

Wealth Client Services

Agreement Express > Getting Started



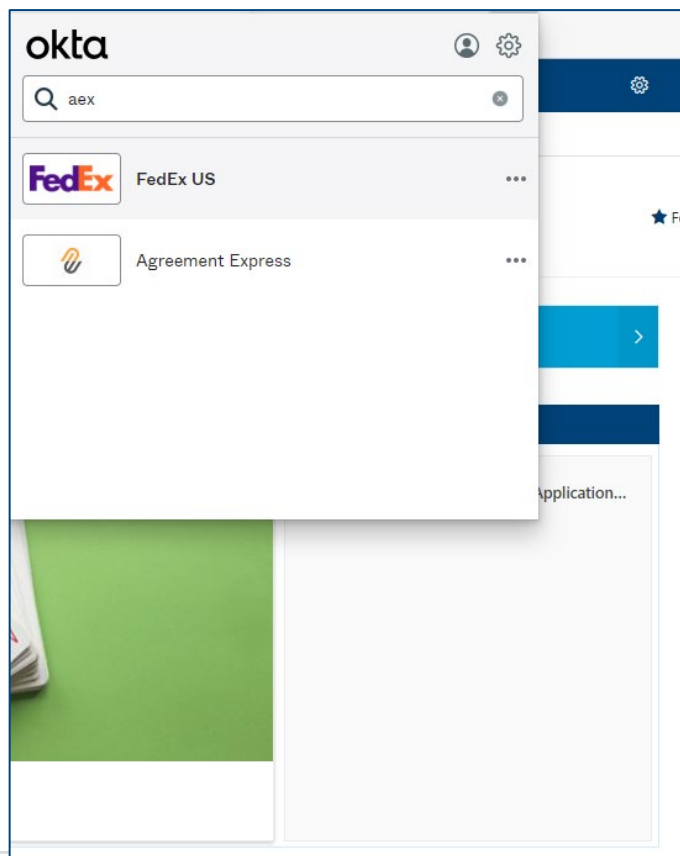
CAPTRUST

Internal Use Only

Agreement Express (AEX) – Getting Started

Logging In

- In your web browser, please navigate to OKTA
- Next, search for 'AEX' and click on the AEX tile to log in using SSO



Agreement Express (AEX) – Getting Started

Credentials

- In the top right corner click the drop down arrow → choose 'Personal Settings' → 'Integration Credentials'

The screenshot shows the CAPTRUST AEX dashboard. At the top, there's a navigation bar with 'CAPTRUST', a '+ Launch' button, and tabs for 'Workspace', 'Reporting', 'Administration', and 'Help'. On the right, it says 'Welcome Mackenzie Ball'. Below the navigation bar, there are filters for 'All (5066)', 'Draft (1721)', 'Waiting On Me (7)', 'CMC View (2010)', and 'Manage Views'. A table lists various agreements with columns for AEX ID, Status, Case ID, Agreement Name, Created Date, Last Updated Date, Current Signer, and Active Time. A dropdown menu is open on the right, showing 'Personal Settings' (with sub-items: Personal Details, Contact Details, Security Settings, Salesforce Credentials, Integrations Credentials) and 'Company' (set to CAPTRUST). A 'LOGOUT' button is also visible.

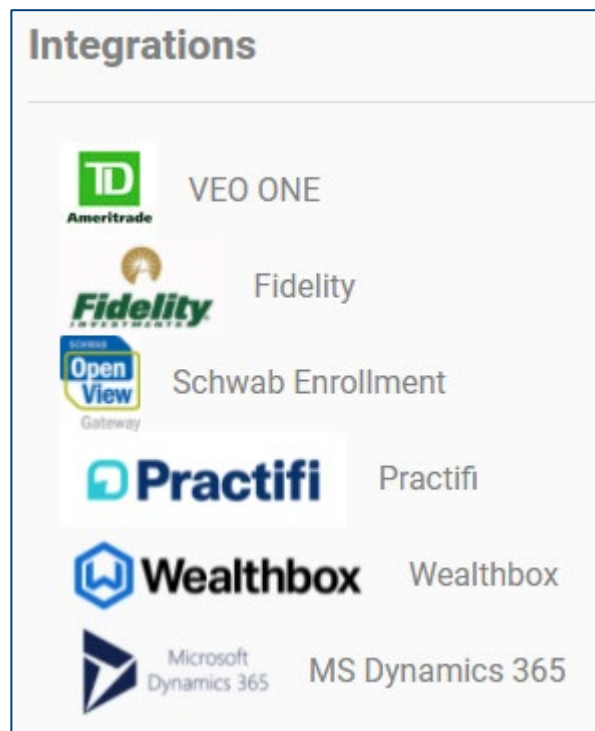
| AEX ID | Status | Case ID | Agreement Name | Created Date | Last Updated Date | Current Signer | Active Time |
|---------|--------|---------|------------------------------|-----------------------|----------------------------|-------------------|-------------|
| 1695558 | Done | C588815 | CAPTRUST OFAC Score... | Mar 02, 2023, 08:5... | Mar 02, 2023, 09:06:01 ... | underwriting team | 10m 25s |
| 1695509 | Draft | C588766 | CAPTRUST Onboarding... | Mar 02, 2023, 04:3... | Mar 02, 2023, 04:39:13 ... | | 17h 38m 53s |
| 1695445 | Draft | C588704 | PCRA LPOA - Schwab | Mar 02, 2023, 02:5... | Mar 02, 2023, 02:56:13 ... | | 19h 18m 12s |
| 1695444 | Draft | C588704 | Limited Power of Attorn... | Mar 02, 2023, 02:5... | Mar 02, 2023, 02:56:10 ... | | 19h 18m 12s |
| 1695346 | Done | C588644 | CAPTRUST OFAC Score... | Mar 02, 2023, 01:5... | Mar 02, 2023, 02:02:01 ... | underwriting team | 10m 38s |
| 1695338 | Draft | C588636 | Individual/Joint - Pershi... | Mar 02, 2023, 01:4... | Mar 02, 2023, 01:52:17 ... | | 20h 25m 20s |
| 1695337 | Draft | C588636 | CAPTRUST Onboarding... | Mar 02, 2023, 01:4... | Mar 02, 2023, 04:43:48 ... | | 20h 25m 21s |

The screenshot shows the 'Personal Settings' page. On the left is a sidebar with icons and labels for 'Personal Details', 'Contact Details', 'Security Settings', 'Salesforce Credentials', and 'Integration Credentials'. The main area is titled 'Personal Details' and contains the following information: Registered Name: Mackenzie Ball, Registered Email: mackenzie.ball@captrust.com, Registered Mobile: (empty field), Language: English (dropdown), Default Company: CAPTRUST (dropdown), Show Timezones as: Server Time (dropdown), Out of Office: Radio buttons for On and Off (Off is selected). On the right, there is a 'Your Signature' box with a handwritten signature 'Mackenzie Ball' and an 'EDIT SIGNATURE' button with a pencil icon.

Agreement Express (AEX) – Getting Started

Credentials

- Select the custodian(s) and proceed to entering your credentials
 - NOTE: This does not apply to Pershing (no credentials needed)
 - For TDA, Schwab and Fidelity you must create an access token to be able to generate an account number



Agreement Express > Steps to Launch a Transaction



CAPTRUST

Agreement Express (AEX) – Onboarding Forms

Launch a new transaction

- Click +Launch on the top left corner → choose the custodian you are using then click Next
- Please remember that once you make a selection, you will need to check which forms to include ('CAPTRUST ONBOARDING FORMS' and the type of account(s) you need to open)
- Once you check the boxes for the forms you need to add, you will notice a number on the right side which indicates the quantity of that form you want to add (hit the arrows to increase or decrease the quantity)
 - Note: You do not have to check any of these boxes and by selecting the CAPTRUST Onboarding Forms in the previous step, AEX will generate the Client Profile

Agreement Express (AEX) – CAPTRUST Onboarding Forms

CAPTRUST Onboarding Forms landing page

- Client: Within the ‘Client’ section, you can click on the person icon on the right side of the page to activate the pre-fill. This will pull up a screen that will search and link to CAPConnect.
 - It is IMPORTANT that you choose to search at the client level on the left hand side of that pop-up so that it links to the correct client. This will help ensure that postback links to Sharepoint are not severed. NOTE: DO NOT use the AEX Record search

● CAPTRUST Onboarding Forms ● Individual/Joint - Pershing ● Trust - Pershing

1 Account Information — 2 Contact Information — 3 Entity Associated Person — 4 Client Profile — 5 Wealth Planning Survey — 6 Agreement

Client

Client Name *

Case Name/Envelope *
This will label all agreements in the case with the same case name

Client Street City State Zip code
00000

Country
United States X ID Client Full Address *

Agreement Express (AEX) – CAPTRUST Onboarding Forms

CAPTRUST Onboarding Forms landing page

- Search for the Client at the CAPConnect Client level and click 'Populate'
 - It is IMPORTANT that you choose to search at the client level on the left hand side of that pop-up so that it links to the correct client. This will help ensure that postback links to Sharepoint are not severed. NOTE: DO NOT use the AEX Record search

| fullName | addressStreet | |
|-----------------------------------|----------------|------------------------------|
| Flintstone, Pebbles and Bam Bam | | View Details |
| Flintstone, Wilma | 101 Boulder Dr | View Details |
| O'Yello, Mel and Wilma Flintstone | 555 Pepper Ln | View Details |

Agreement Express (AEX) – CAPTRUST Onboarding Forms

CAPTRUST Onboarding Forms landing page

- The ‘Client’ section will pull in the client information from CAPConnect and will display an ID
 - This will help ensure that postback links to Sharepoint are not severed.
 - NOTE: DO NOT use the AEX Record search

| Client | | | |
|-------------------|-----------------------------------|--|----------|
| Client Name * | | Case Name/Envelope * | |
| Flintstone, Wilma | | Flintstone, Wilma | |
| | | This will label all agreements in the case with the same case name | |
| Client Street | City | State | Zip code |
| 101 Boulder Dr | Denver | Pennsylvania | 17517 |
| Country | ID | Client Full Address * | |
| United States | e207d4c0-7a29-e911-a965-000d3a4e7 | 101 Boulder Dr, Denver, PA, 17517 | |

Agreement Express (AEX) – CAPTRUST Onboarding Forms

Client Information

- The type of Client is “Wealth”
- Choose if it is a New or Existing Client

The screenshot displays the 'New Account Opening' form in the CAPTRUST system. At the top, there are two tabs: 'CAPTRUST Onboarding Forms' (selected) and 'Pershing IRA - Pershing'. Below the tabs is a progress bar with six steps: 1. Account Information, 2. Contact Information, 3. Entity Associated Person, 4. Client Profile, 5. Wealth Planning Survey, and 6. Agreement. The main form area has a blue header bar labeled 'Client' with a user icon. Below this, there are several input fields: 'Client Name *' with a copy icon, 'Case Name/Envelope *' with a note 'This will label all agreements in the case with the same case name', 'Client Street', 'City', 'State' (a dropdown menu), and 'Zip code' (pre-filled with '00000'). There are also fields for 'Country' (pre-filled with 'United States' and a close icon), 'ID *' (with a note 'System use only' and a character count '0/36'), and 'Client Full Address *'. A blue bar labeled 'Client Information' separates the address fields from the client type questions. These questions are: 'What type of client? *' with radio buttons for 'Wealth' (selected) and 'Institutional'; 'Is this a new or existing client? *' with radio buttons for 'New' (selected) and 'Existing'; and 'Do you need the Wealth Planning Survey? *' with radio buttons for 'Yes' and 'No' (selected). At the bottom of the form are two buttons: 'SAVE' and 'NEXT'.

Agreement Express (AEX) – CAPTRUST Onboarding Forms

- Client Information:
 - If you choose Existing, a new field will come up asking ‘How will the contract be updated?’ In the drop down, please choose the appropriate action, then click the ‘Next’ button
 - A new IAA
 - An updated account schedule
 - An amendment to update the Fee Schedule and/or signing party

Client Information

What type of client? *
☒ Wealth ☐ Institutional

Is this a new or existing client? *
☐ New ☒ Existing

Do you need the Wealth Planning Survey? *
☐ Yes ☒ No

Do you have a new contact to add? *
☐ Yes ☒ No

Existing Client

How will the contract be updated? *

SAVE NEXT

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- Client Type: only check the box if entity information is needed
- Contact 1 / Control Person 1: click the pre-fill (person) icon to pull up the search to CAPConnect

CAPTRUST Onboarding Forms ● Individual/Joint - Pershing ● Trust - Pershing

✓ Account Information 2 Contact Information 3 Entity Associated Person 4 Client Profile 5 Wealth Planning Survey 6 Agreement

Client Type

☒ Enable Entity Information

Contact 1 / Control Person 1

Full Name

First Name Middle Name Last Name

Email Address * SSN / TIN Date of Birth ID

you@example.com 000-00-0000

Mother's Maiden Name

Home/Legal Street Address

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- Contact 1 / Control Person 1: make sure you are searching at the CAPConnect Contact level to pull in the information from CAPConnect for the Contact chosen

The screenshot shows the 'Pre-fill' section of the CAPTRUST interface. On the left sidebar, the 'CAPConnect Contact' option is selected and circled in red. The main area displays a search bar with 'flintstone' entered, also circled in red. Below the search bar is a table of results:

| First Name | Last Name | Email | DOB | |
|------------|------------|------------------------------|------------|------------------------------|
| Fred | Flintstone | fredXXXXXXXXXX@XXXXX.com | 1945-12-15 | View Details |
| Wilma Blue | Flintstone | Wilma.Flintstone@hotmail.com | 1965-10-01 | View Details |

At the bottom right of the interface, there are two buttons: 'CANCEL' and 'POPULATE'. The 'POPULATE' button is circled in red.

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued





Please complete any other known information before proceeding

Note: The client email address and cell phone number is required

| Fraud Prevention Security Questions | | | |
|--|---------------|---------------------|----------------------------|
| Question # | Answer | | |
| | | | |
| Question # | Answer | | |
| | | | |
| Household Financial Information | | | |
| Tax Bracket | Annual Income | Estimated Net Worth | Estimated Liquid Net Worth |
| | | | |
| The next two questions are required by industry regulations | | | |
| Are you affiliated with or employed by a stock exchange or member firm of an exchange or FINRA, or a municipal securities broker-dealer? | | | |
| <input type="radio"/> No <input type="radio"/> Yes | | | |
| Are you a director, 10% shareholder or policy-making officer of a publicly held company? | | | |
| <input type="radio"/> No <input type="radio"/> Yes | | | |
| Beneficiary(ies) | | | |
| | | | |
| REMOVE PRIMARY | | ADD PRIMARY | |
| | | | |
| REMOVE CONTINGENT | | ADD CONTINGENT | |
| | | | |
| Add Account Holder | | | |
| REMOVE ACCOUNT HOLDER | | ADD ACCOUNT HOLDER | |
| | | 1 | |

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- Entity Client Profile:
 - If you checked the entity box, please enter the information of the entity
 - If you did not check the entity box, you will be able to proceed by clicking the next button at the bottom of those landing pages

| Entity Client Profile 1 | | | |  |
|---|------------------------|--------------------|--|---|
| Entity Name | | Date | |  |
| Wilma Flintstone Trust | | | | |
| Legal Street | | | | |
| 123 Caveman Way | | | | |
| City | State | Zip code | Country | |
| Raleigh | North Carolina | 27603 | United States | |
| <input type="checkbox"/> Mailing Address is different from above | | | | |
| Entity Information | | | | |
| Business Phone | Business EIN | Tax Classification | | |
|  (201) 555-0123 | 00-0000000 | | | |
| Effective Date of Entity | State of Establishment | | | |
| 12/13/2021 | North Carolina | | | |
| Primary Contact | | Full Name | Phone Number | Email |
| | | Wilma Flintstone |  (201) 555-0123 | Wilma.Flintstone@hotmail.com |

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- Entity Associated Person:
 - Please use the pre-fill to pull in information for any Beneficial Owner/Control Person using the CAPConnect Contact search

Beneficial Owner/Control Person Information 1

Full Name

First Name

Middle Name

Last Name

Full Address

Street Address

City

State

Zip code

Country

Email *

Cell Phone

Business Phone

you@example.com

(201) 555-0123

(201) 555-0123

Pre-fill

AEX Records0

Transaction Records2

CAPConnect Client

CAPConnect Contact2

flintstone

| First Name ↑ | Last Name | Email | DOB | |
|--------------|------------|------------------------------|------------|------------------------------|
| Fred | Flintstone | fredXXXXXXXXXX@XXXXXX.com | 1945-12-15 | View Details |
| Wilma Blue | Flintstone | Wilma.Flintstone@hotmail.com | 1965-10-01 | View Details |

CANCEL

POPULATE

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

Client Profile

- Answer any known information in the 'Other Information' section before clicking the 'Next' button
- If you did not check the entity box or that you needed a Wealth Planning survey, you will be able to proceed by clicking the next button at the bottom of those landing pages

The screenshot shows a progress bar at the top with six steps: Account Information, Contact Information, Entity Associated Person, Client Profile, Wealth Planning Survey, and Agreement. The first four steps are marked with a checkmark in a blue circle, indicating they are completed. The fifth step, 'Wealth Planning Survey', is marked with a '5' in a blue circle, indicating it is the current step. The sixth step, 'Agreement', is marked with a '6' in a grey circle, indicating it is not yet reached. Below the progress bar, a message states: 'Wealth Planning Survey was not selected. Click on the Next button to continue.' At the bottom left is a 'SAVE' button. At the bottom right are 'BACK' and 'NEXT' buttons. The 'NEXT' button is highlighted with a red circle.

✓ Account Information — ✓ Contact Information — ✓ Entity Associated Person — ✓ Client Profile — 5 Wealth Planning Survey — 6 Agreement

Wealth Planning Survey was not selected. Click on the Next button to continue.

SAVE BACK NEXT

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

Agreement Type

- Please select if it is a standard IAA or a SMA IAA
- Choose the Account Billing Type: Arrears or Advance
- Fee Type – please choose one or both

| Agreement Type | | | |
|--------------------------------------|---------------------------|--|--|
| Select One * | | Account Billing Types * | |
| <input checked="" type="radio"/> IAA | <input type="radio"/> SMA | <input type="radio"/> Arrears | <input checked="" type="radio"/> Advance |
| | | Fee Type * | |
| | | <input checked="" type="checkbox"/> Wrap | <input type="checkbox"/> Non-Wrap |

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- Program Type: please chose the Schedule of Fees type (WAS, PMA or both)
- You will then see an area to begin to build out the various tables based on your selections

Program Type

Schedule of Fees *

☒ New Wealth Advisory Services (WAS)

☒ New PMA Program

Wealth Advisory Services

☐ WAS Percentage Fee Tiered

☐ WAS Fixed Fee

☐ WAS Percentage Annual Fee

PMA Program

☐ PMA Percentage Fee Tiered

☐ PMA Fixed Fee

☐ PMA Percentage Annual Fee

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- ‘Percentage Fee Table A’ – you will be able to add multiple rows by clicking the ‘Add Row’ button
 - If you have multiple tables, you will click the ‘Add Table’ button

Percentage Fee Table A

| | | | |
|------------------------------------|-----------|---------------------------|------------|
| All assets less than or equal to * | | Annual Fee * | 1 |
| Amount \$ | | Annual Fee Rate | |
| All assets greater than | | and less than or equal to | Annual Fee |
| Amount \$ | Amount \$ | Annual Fee Rate | |
| REMOVE ROW | ADD ROW | | |
| All assets greater than | | Annual Fee | |
| Amount \$ | | Annual Fee Rate | |
| REMOVE TABLE | ADD TABLE | | System Use |
| | | | 1 |

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- Ex: ‘ Percentage Fee Table A’

Percentage Fee Table A

All assets less than or equal to *

\$500,000

Amount \$

Annual Fee *

1.000%

Annual Fee Rate

1

All assets greater than

Amount \$

and less than or equal to

Amount \$

Annual Fee

Annual Fee Rate

REMOVE ROW

ADD ROW

All assets greater than

\$500,000

Amount \$

Annual Fee

0.600%

Annual Fee Rate

REMOVE TABLE

ADD TABLE

System Use

1

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- ‘Annual Fee Rates’ – Please complete the ‘Exclude Assets:’ if necessary


| Annual Fee Rates | | | |
|----------------------------|----------------------------|----------------------------|----------------------------|
| Fee Table E | Fee Table F | Fee Table G | Fee Table H |
| All Assets Annual Fee Rate | All Assets Annual Fee Rate | All Assets Annual Fee Rate | All Assets Annual Fee Rate |
| Exclude Assets: | | | |

- ‘Fixed Fee’ – Please enter the ‘Fixed Fee dollar (\$) amount per quarter

| Fixed Fee | | | |
|-------------------|-----------------|-----------------|-----------------|
| A: Fixed Fee \$ * | B: Fixed Fee \$ | C: Fixed Fee \$ | D: Fixed Fee \$ |
| per quarter | per quarter | per quarter | per quarter |

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- Account 1:
 - Please click the pre-fill (person) icon to pull up the search

Account 1

Account Name *

Custodian * ▾

Services * ▾

Proxy Voting *

WAS Prefix *

Fee Type * ▾

Payment of Fees * ▾

☐ Yes ☐ No

☐ WAS ☐ No Fee

Client Name

PAS Prefix *

Account ID

Flintstone, Wilma

☐ PMA ☐ No.Fee

Selected Fee Schedule

Add/Remove Account

REMOVE ACCOUNT

ADD ACCOUNT

Minimum Household Fee

Investment Adv Serv Fee Discount

\$ per quarter

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- Account 1:
 - Please make sure you are searching at the account level in CAPConnect (Note: this is where you will pull in the account information that was previously entered into CAPConnect)
 - You will search by the account name and select the appropriate account before clicking ‘populate’

The screenshot displays the 'Pre-fill' section of the CAPTRUST interface. On the left, a sidebar lists record counts: 'AEX Records' (0), 'Transaction Records' (2), and 'CAPConnect Account' (18). The main area features a search bar with 'Flintstone' entered. Below the search bar, a table lists search results with columns for 'AccountName' and 'View Details'. The results include 'Flintstone Joint', 'Fred Flintstone', 'Fred Flintstone IRA', 'Pebbles Flintstone', 'TEST TEST Wilma Flintstone', and 'Wilma Flintstone'. The 'Wilma Flintstone' entry is highlighted. At the bottom right, there are 'CANCEL' and 'POPULATE' buttons.

| AccountName | View Details |
|----------------------------|------------------------------|
| Flintstone Joint | View Details |
| Fred Flintstone | View Details |
| Fred Flintstone IRA | View Details |
| Pebbles Flintstone | View Details |
| TEST TEST Wilma Flintstone | View Details |
| Wilma Flintstone | View Details |

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- Account 1:
 - Please note that you can click the 'Add Account' button if you need to add multiple accounts and you will then need to do the pre-fill for each account that you need to add to the contract
 - Do not add existing accounts here

Account 1

Account Name * Custodian * Services *

Proxy Voting * WAS Prefix * Fee Type * Payment of Fees *

☐ Yes ☐ No ☐ WAS ☐ No Fee

Client Name PAS Prefix * Account ID

Flintstone, Wilma ☐ PMA ☐ No.Fee

Selected Fee Schedule

Add/Remove Account


REMOVE ACCOUNT ADD ACCOUNT

Minimum Household Fee Investment Adv Serv Fee Discount

\$ per quarter

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- Account 1:
 - Complete all required information for that account that was not pre-filled using the appropriate drop-down selections (Custodian, Services, Proxy Voting, prefix, Fee Type, Payment of Fees)

Account 1

Account Name *
Wilma Flintstone

Custodian *
▼

Services *
▼

Proxy Voting *
☒ Yes ☐ No

WAS Prefix *
☐ WAS ☐ No Fee

Fee Type *
▼

Payment of Fees *
▼

Client Name
Flintstone, Wilma

PAS Prefix *
☒ PMA ☐ No.Fee

Account ID
b54dbfbb-6a4f-ea11-a812-000d3a4db2

Select Fee Schedule *
▼

Selected Fee Schedule
PMA

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- Account 1:
 - Once you select an option in all required drop-downs, you will be able to choose from the drop-down which Fee Schedule to assign to that account

| Account 1 | | | |
|---|--|---|------------------------------------|
| Account Name * | | Custodian * | Services * |
| Wilma Flintstone | | Pershing | PMA-Disc & WP |
| Proxy Voting * | | Fee Type * | Payment of Fees * |
| <input checked="" type="radio"/> Yes <input type="radio"/> No | | Wrap & Flow | Deduct Fees From Acct |
| WAS Prefix * | | | |
| <input type="radio"/> WAS <input type="radio"/> No Fee | | | |
| Client Name | | PAS Prefix * | Account ID |
| Flintstone, Wilma | | <input checked="" type="radio"/> PMA <input type="radio"/> No.Fee | b54dbfbb-6a4f-ea11-a812-000d3a4db2 |
| Select Fee Schedule * | | | |
| % Sch A | | | |
| Selected Fee Schedule | | | |
| PMA % Sch A | | | |

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

Landing Pages

- Agreement Signatures – please choose the ‘Signer Type’
- If it is a trust, please choose ‘Non-Individual’ at which point, change the Client Name to the Trust name and then you will be able to prefill the ‘Non-individual Full Name’, email address and phone number


Agreement Signatures

Signer Type *

☒ Individual

☐ Non-Individual

Individual Signer(s)

Individual Signer 1 

Individual Full Name *

Email *

you@example.com


First Name

Last Name

Pre-fill Only

Pre-fill Only

Phone Number

 (201) 555-0123

Add/Remove Individual Signer(s)

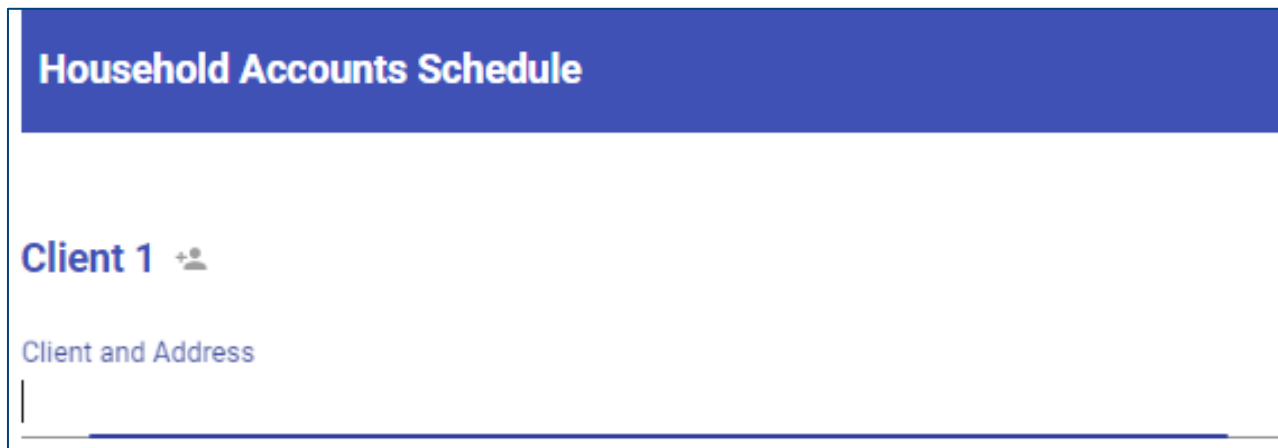
REMOVE

ADD

Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

Landing Pages

- Household Accounts Schedule – please complete this section if you need to household with any other separate client in CAPConnect
- Note: you will click the small pre-fill (person) icon to search for the client. If pre-fill does not work, you will need to type in the information.



The screenshot shows a web form titled "Household Accounts Schedule" in a blue header. Below the header, the text "Client 1" is followed by a small icon of a person with a plus sign. Underneath, the label "Client and Address" is positioned above a text input field, which currently contains a single vertical line cursor.