Wealth Client Services

# Agreement Express > Getting Started

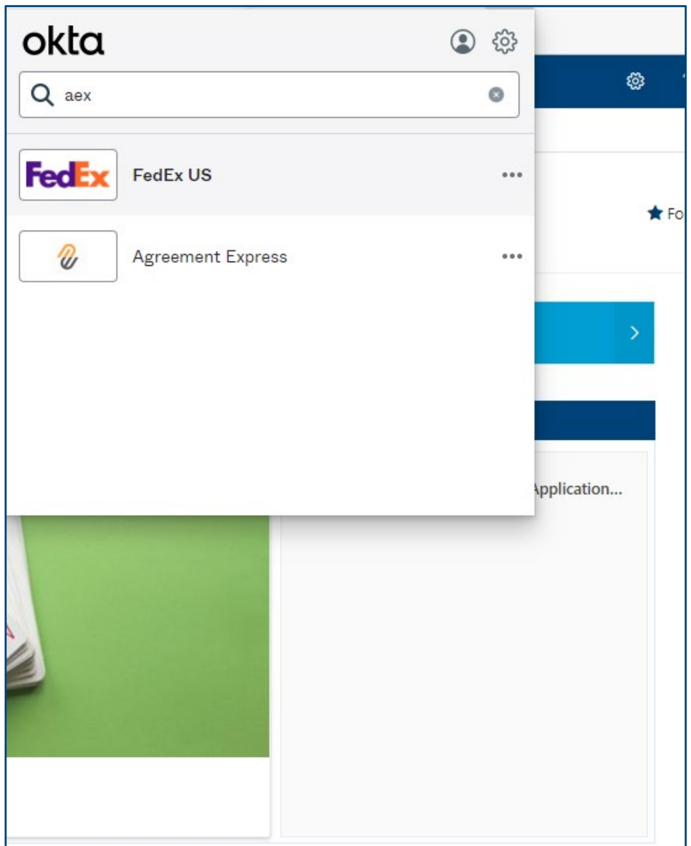
CAPTRUST

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

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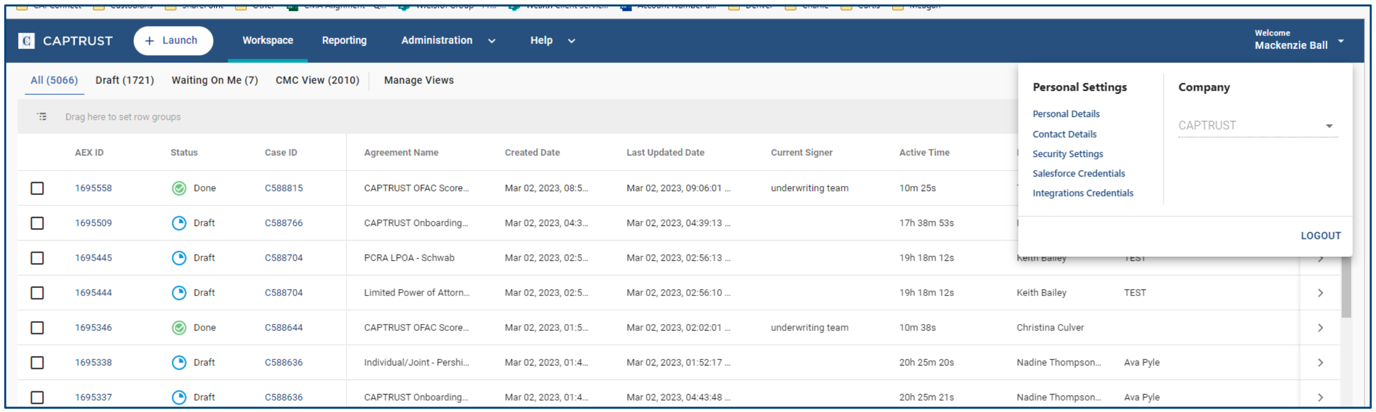
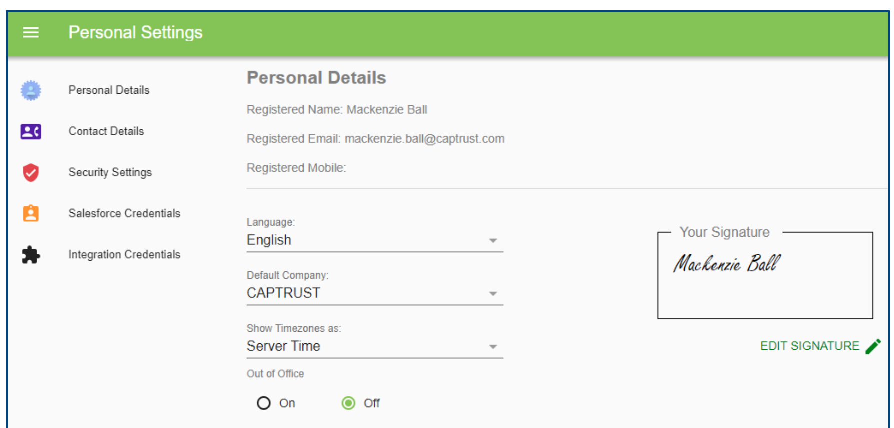
# Agreement Express (AEX) – Getting Started

## Credentials

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

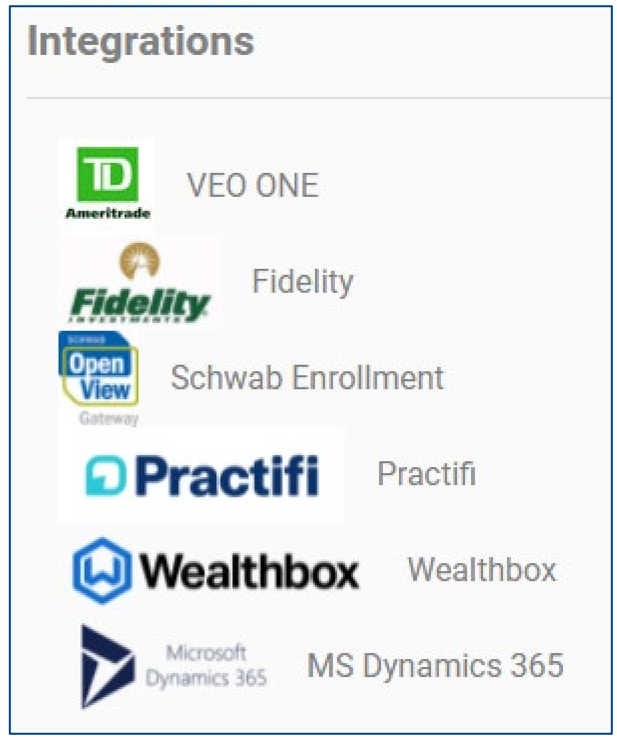


# Agreement Express (AEX) – Getting Started

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



Wealth Client Services

# Agreement Express > Steps to Launch a Transaction

CAPTRUST

# Agreement Express (AEX) – Onboarding Forms

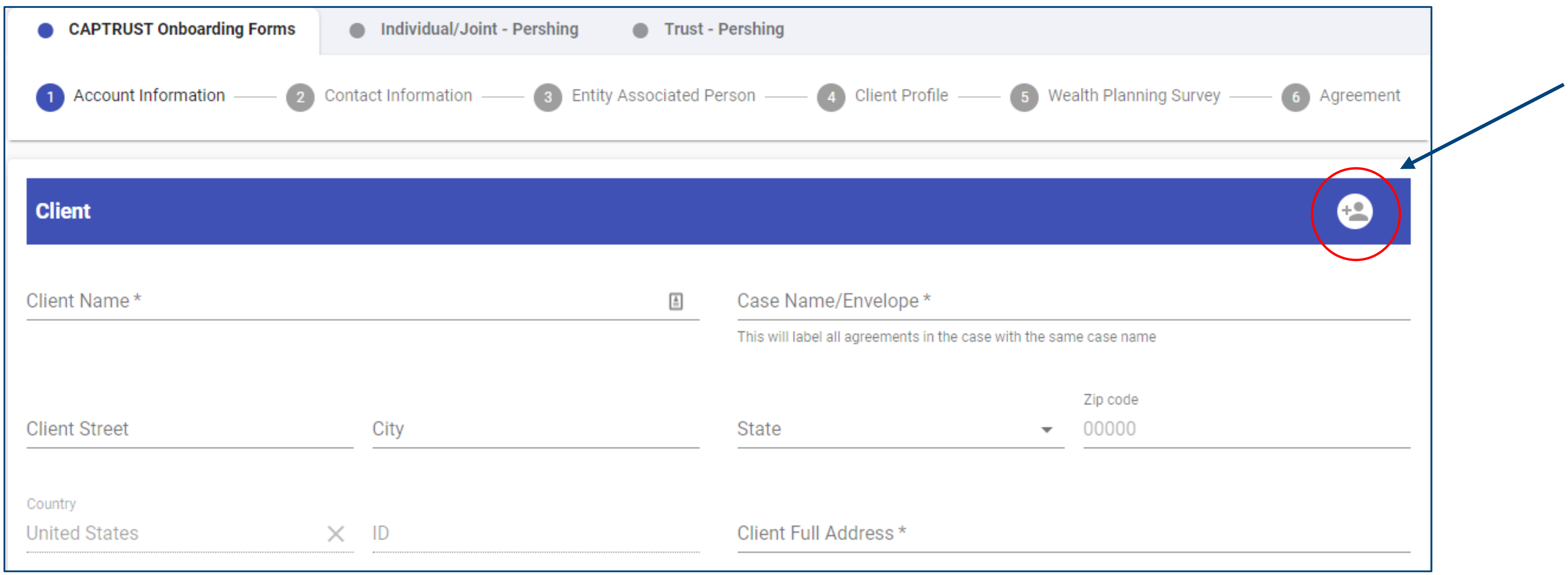
## Launch a new transaction

- 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

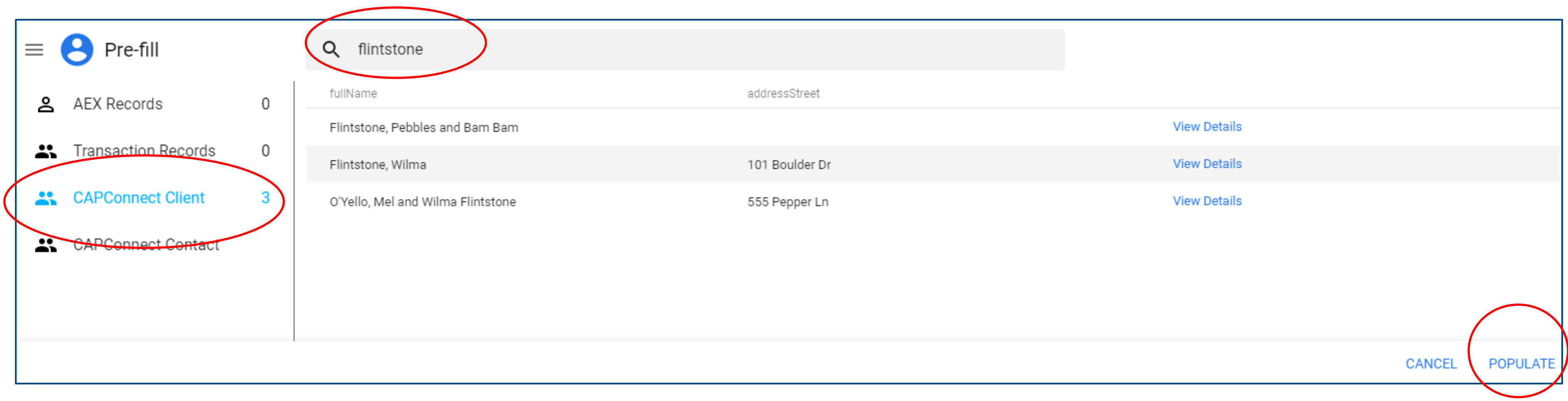
- Client: Within the ‘Client” section, you can click on the person icon on the right side of the page to activate the pre-fill. This will pull up a screen that will search and link to CAPConnect.
  - It is IMPORTANT that you choose to search at the client level on the left had side of that pop-up so 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



# 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 had 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



# 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 *
Flintstone, Wilma

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

Client Street
101 Boulder Dr

City
Denver

State
Pennsylvania

Zip code
17517

Country
United States

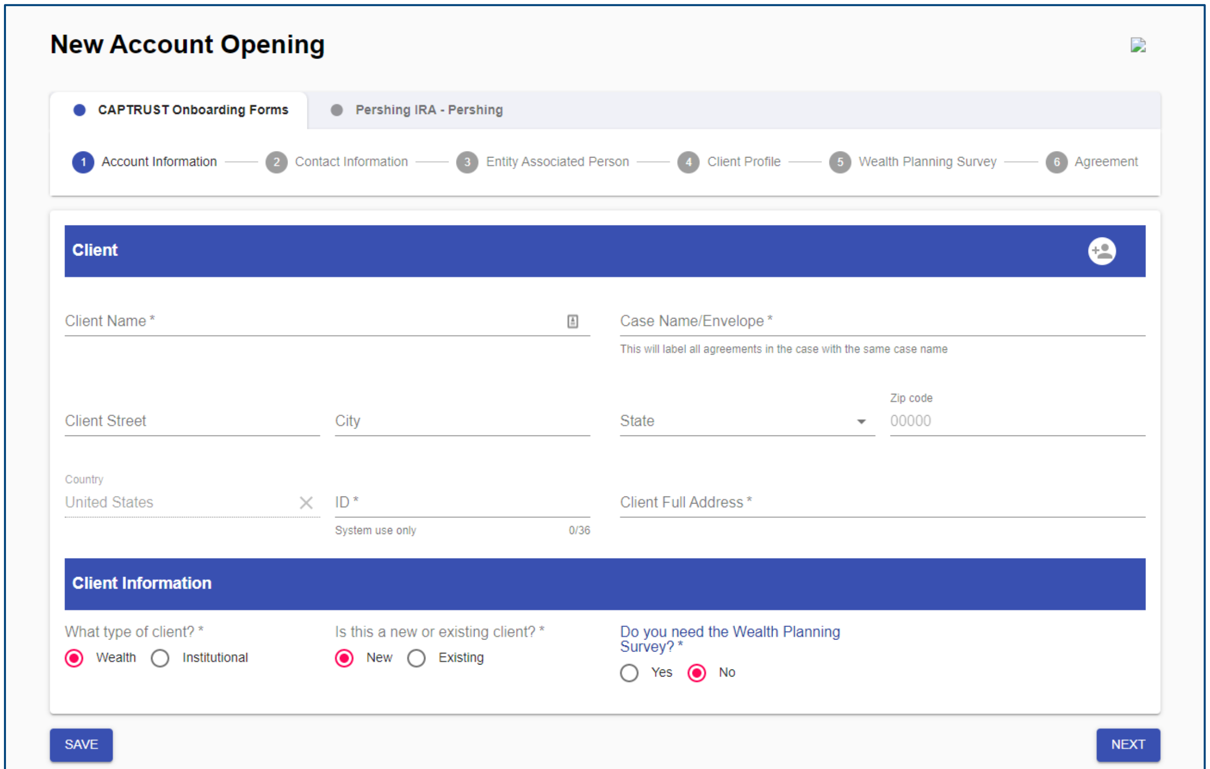
ID
e207d4c0-7a29-e911-a965-000d3a4e7

Client Full Address *
101 Boulder Dr, Denver, PA, 17517

# Agreement Express (AEX) – CAPTRUST Onboarding Forms

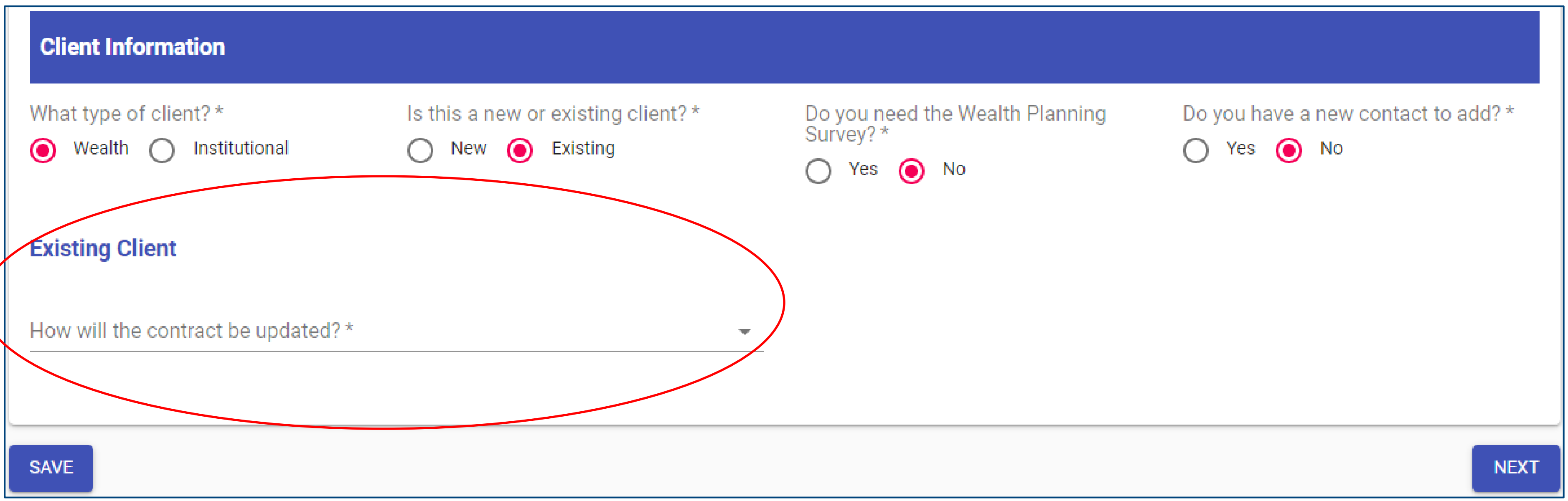
## Client Information

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



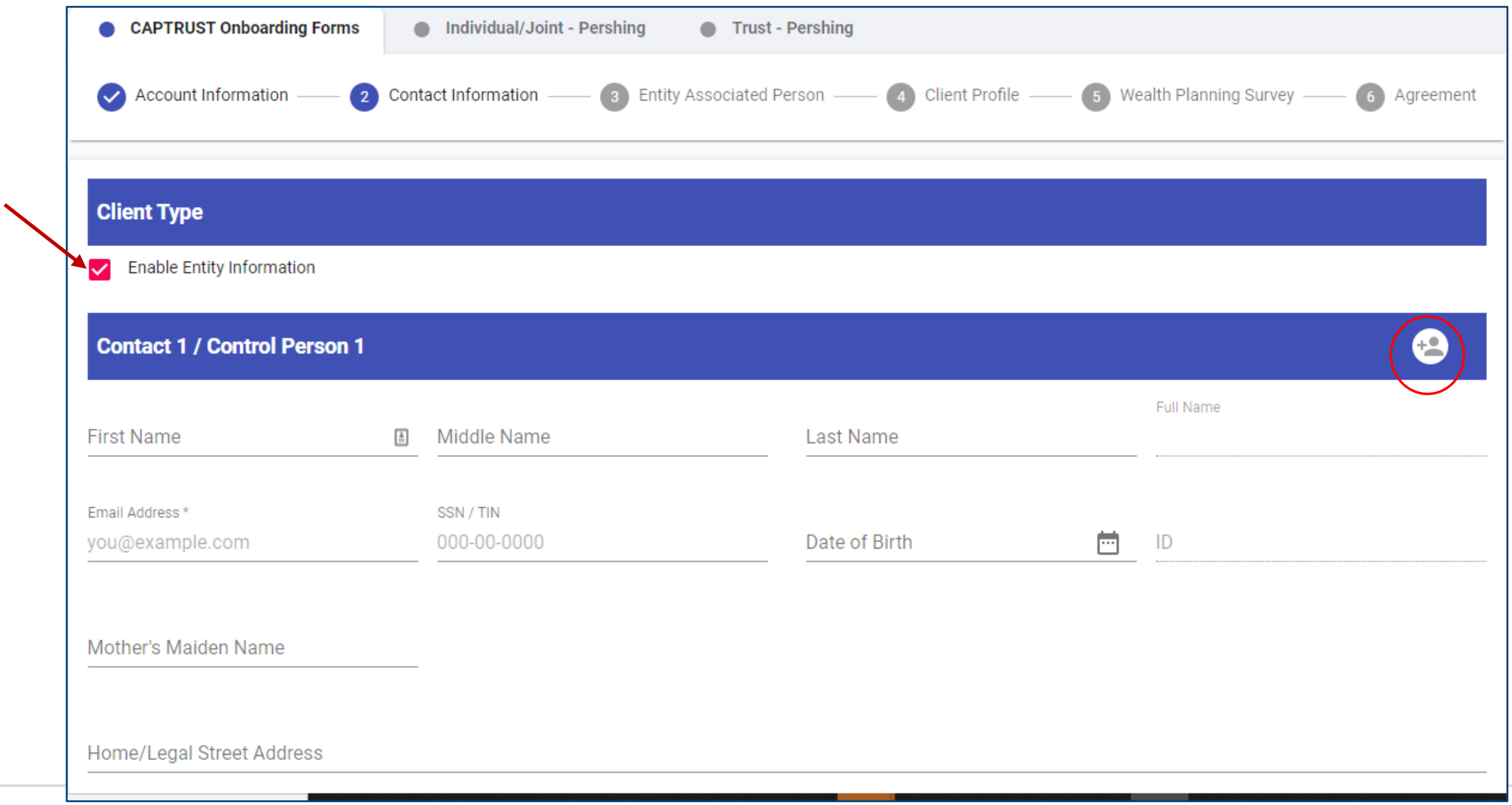
# Agreement Express (AEX) – CAPTRUST Onboarding Forms

- 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



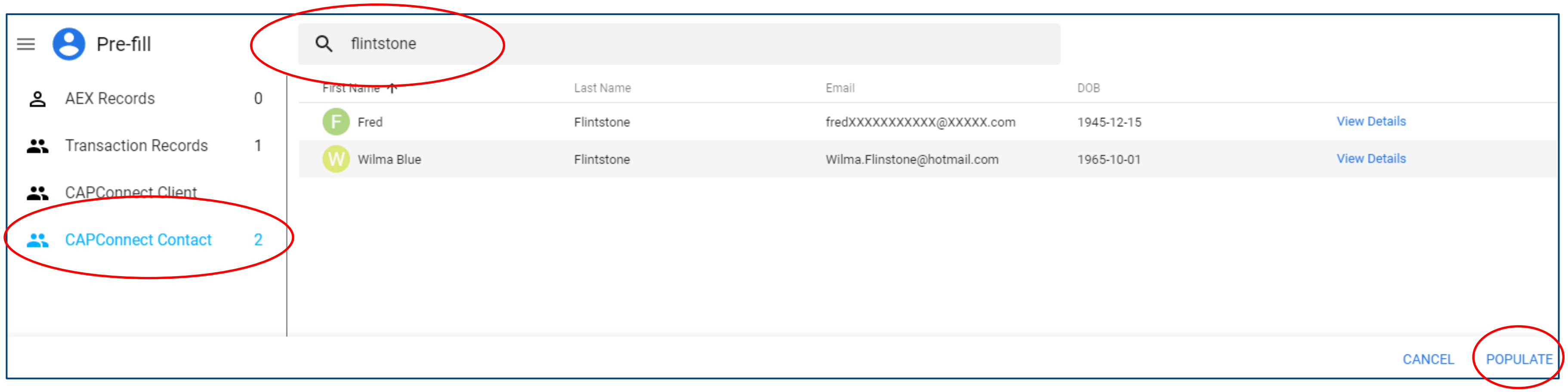
# Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- 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



# 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



# 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?

No Yes

Are you a director, 10% shareholder or policy-making officer of a publicly held company?

No Yes

**Beneficiary(ies)**

REMOVE PRIMARY ADD PRIMARY

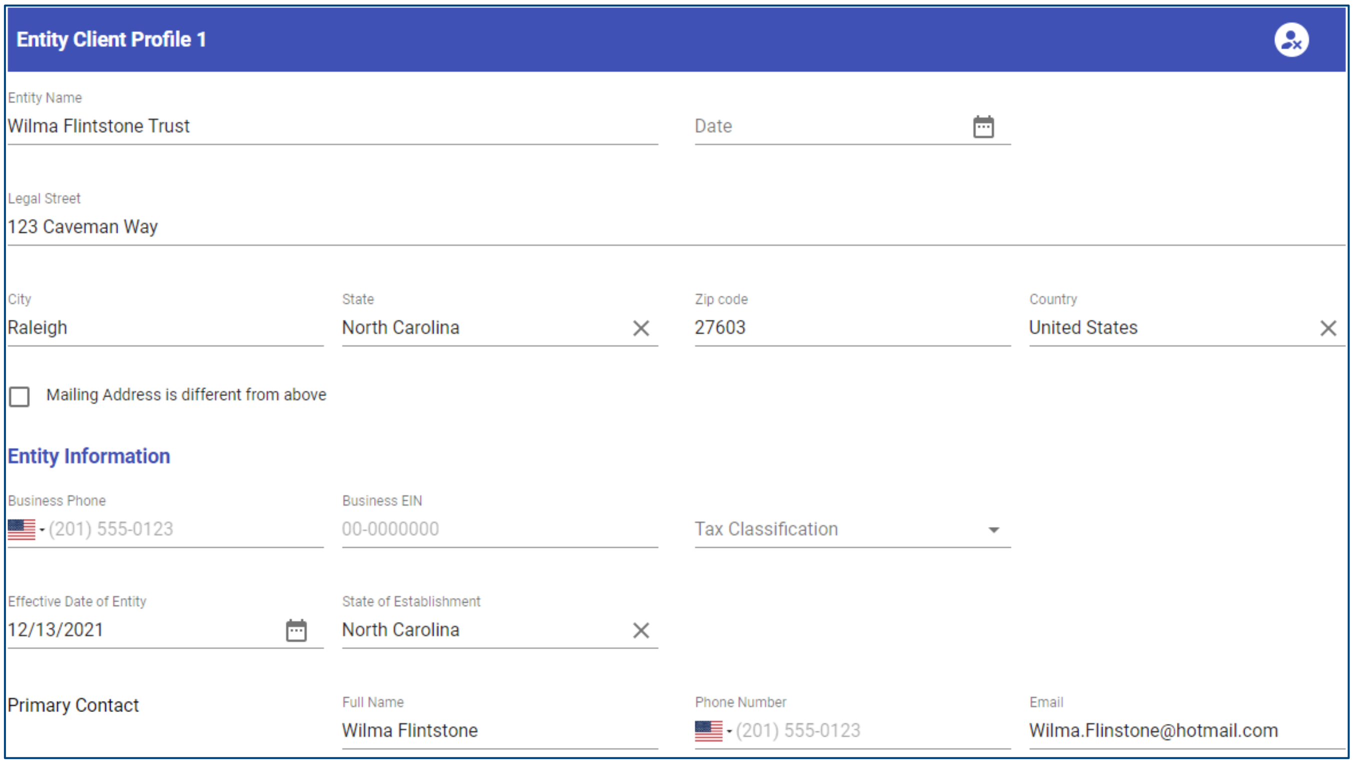
REMOVE CONTINGENT ADD CONTINGENT

**Add Account Holder**

REMOVE ACCOUNT HOLDER ADD ACCOUNT HOLDER 1

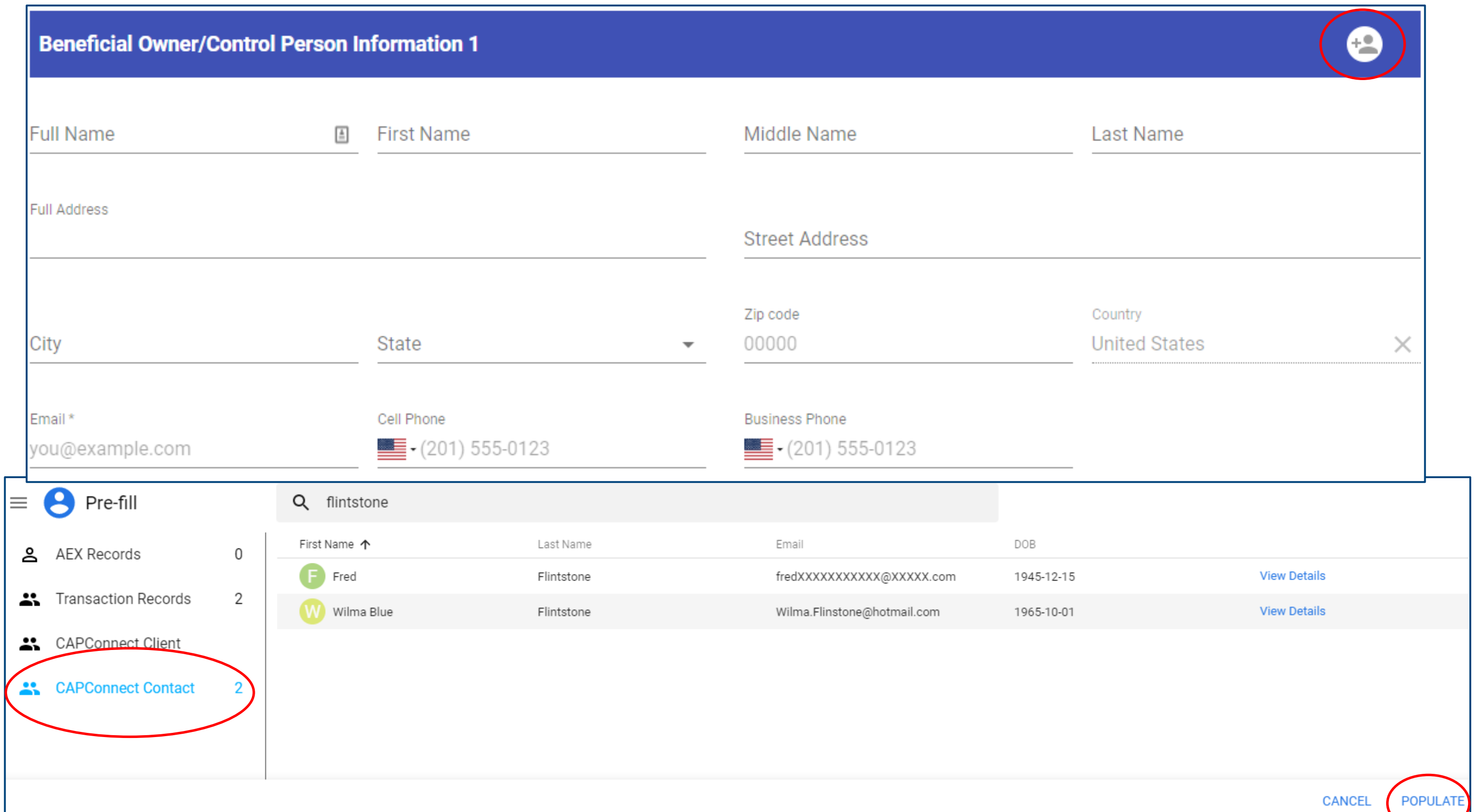
# Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- 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



# 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

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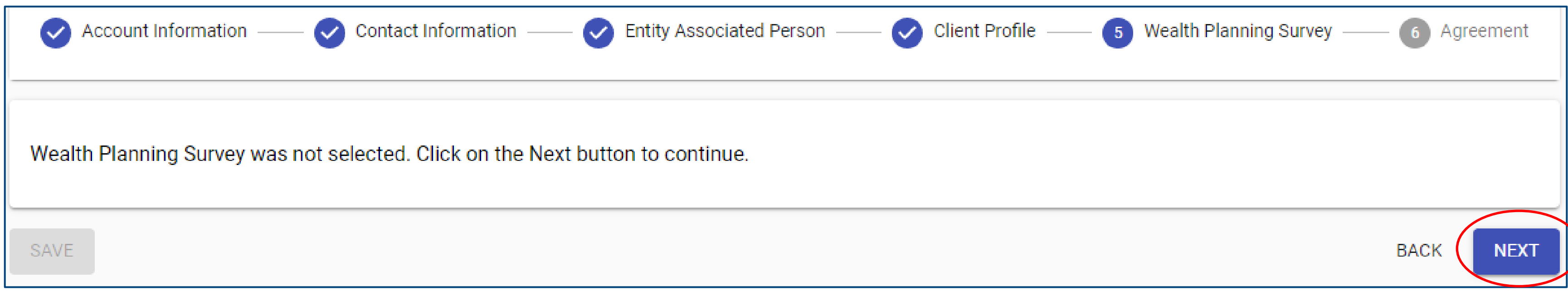
# Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

## Client Profile

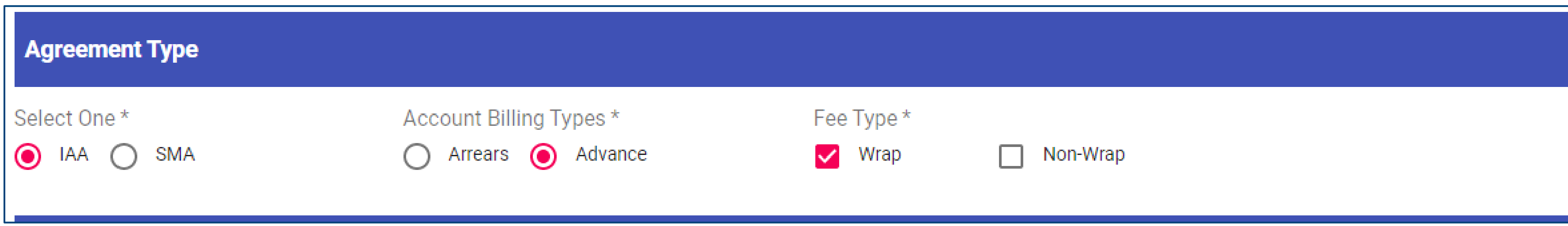
- Answer any known information in the ‘Other Information’ section before clicking the ‘Next’ button
- If you did not check the entity box or that you needed a Wealth Planning survey, you will be able to proceed by clicking the next button at the bottom of those landing pages



# 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 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 *

- [x] New Wealth Advisory Services (WAS)
- [x] New PMA Program

**Wealth Advisory Services**

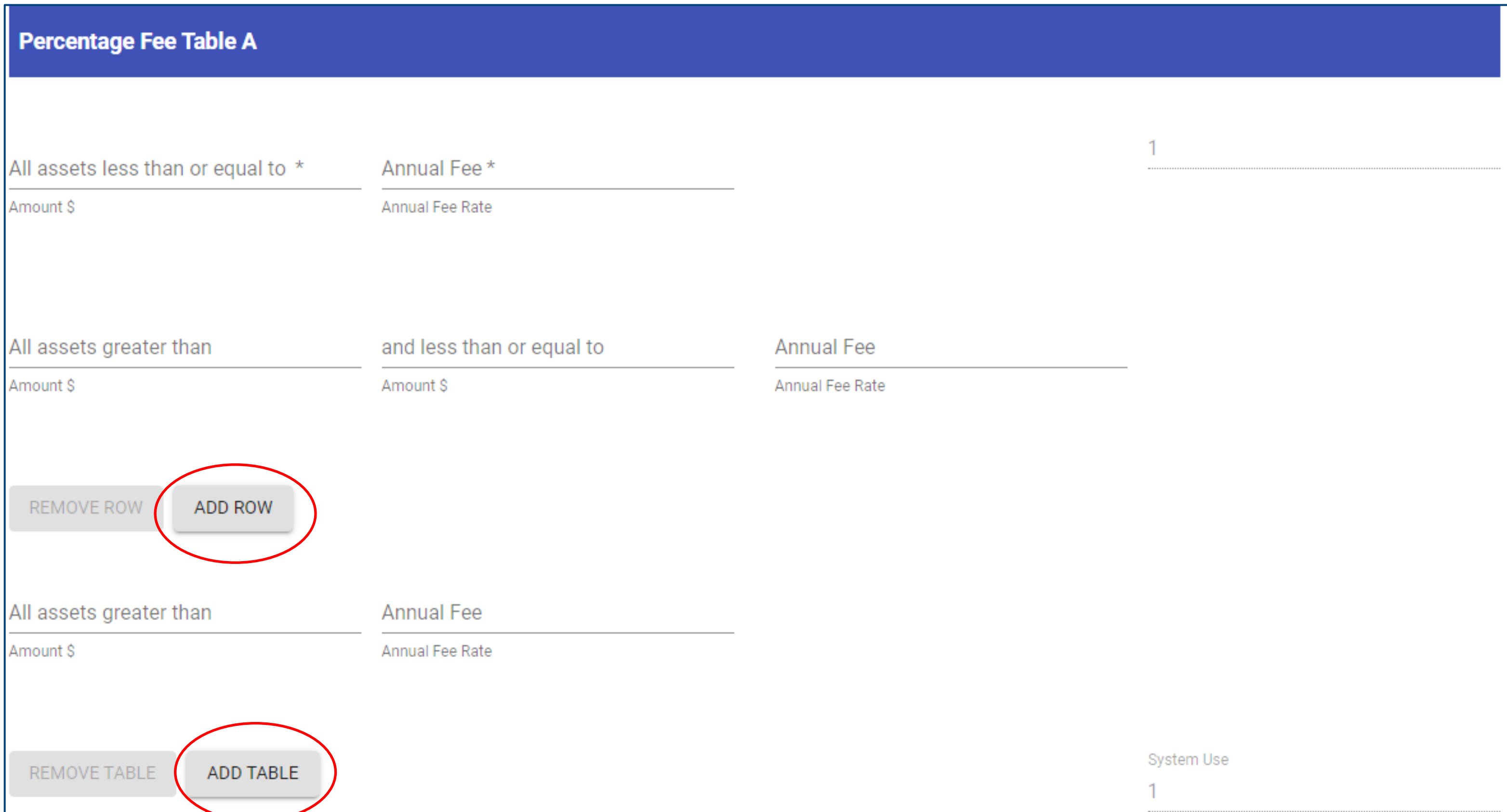
- [ ] WAS Percentage Fee Tiered
- [ ] WAS Fixed Fee
- [ ] WAS Percentage Annual Fee

**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



# 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:

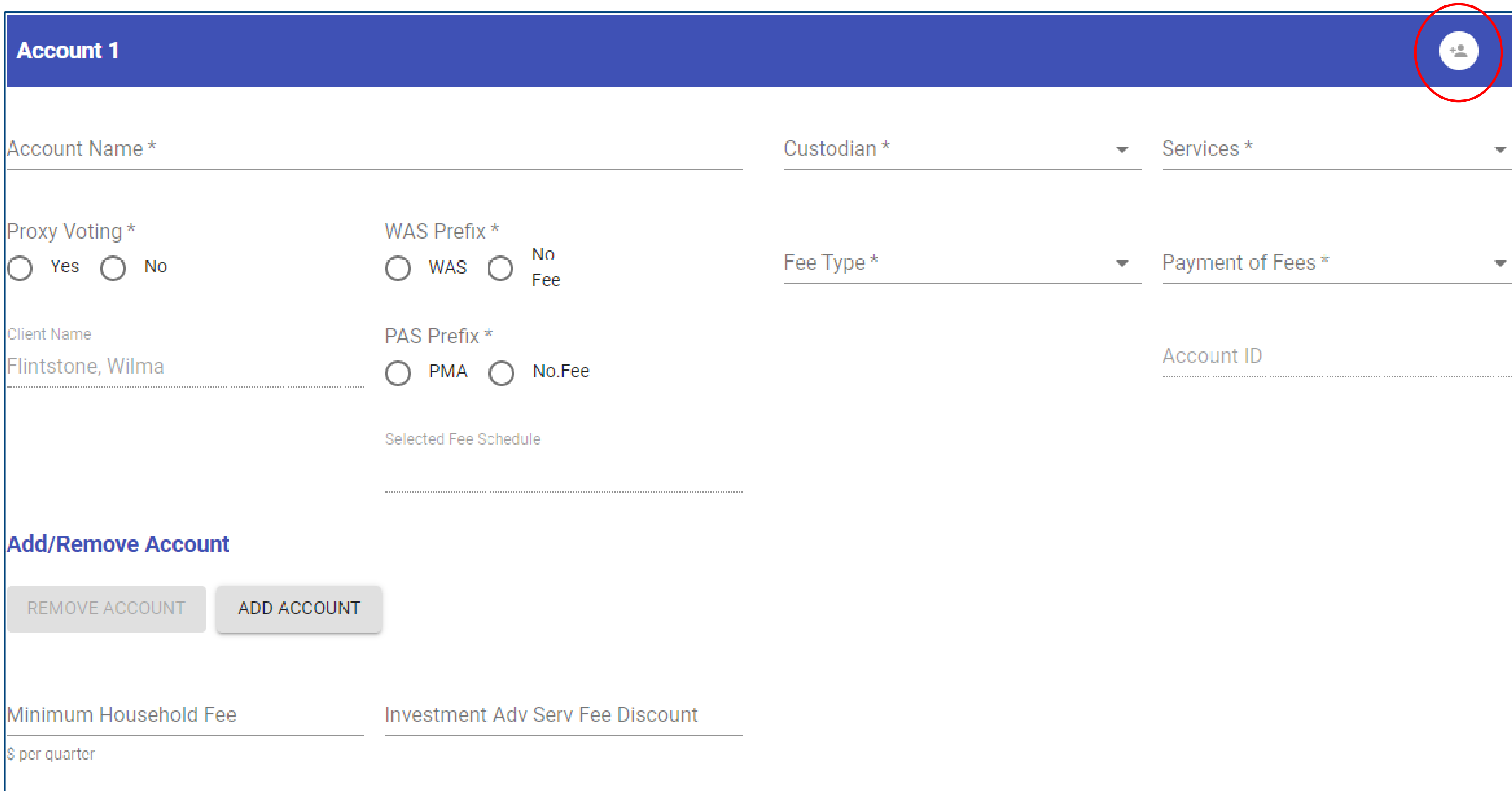
- ‘Fixed Fee’ – Please enter the ‘Fixed Fee dollar ($) amount per quarter

**Fixed Fee**

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

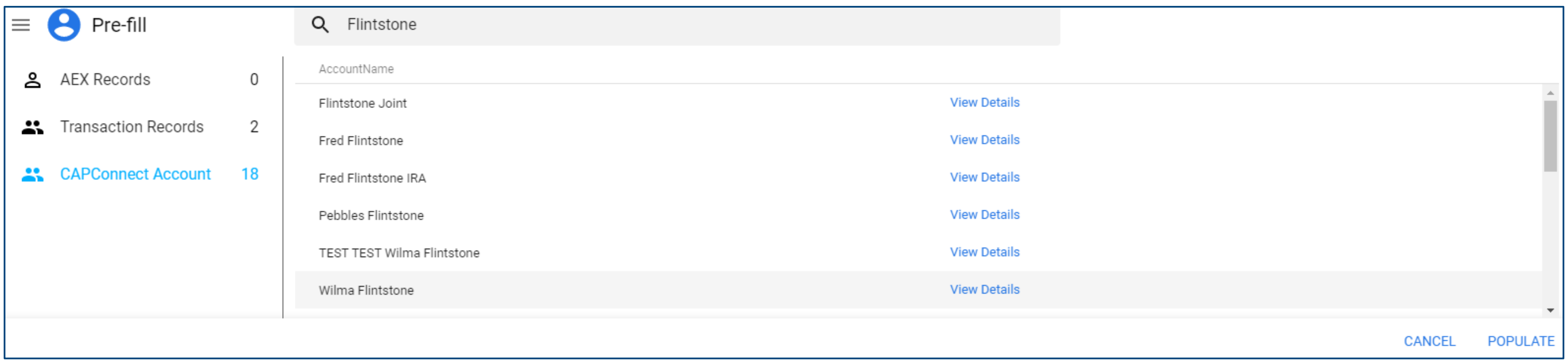
# Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

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



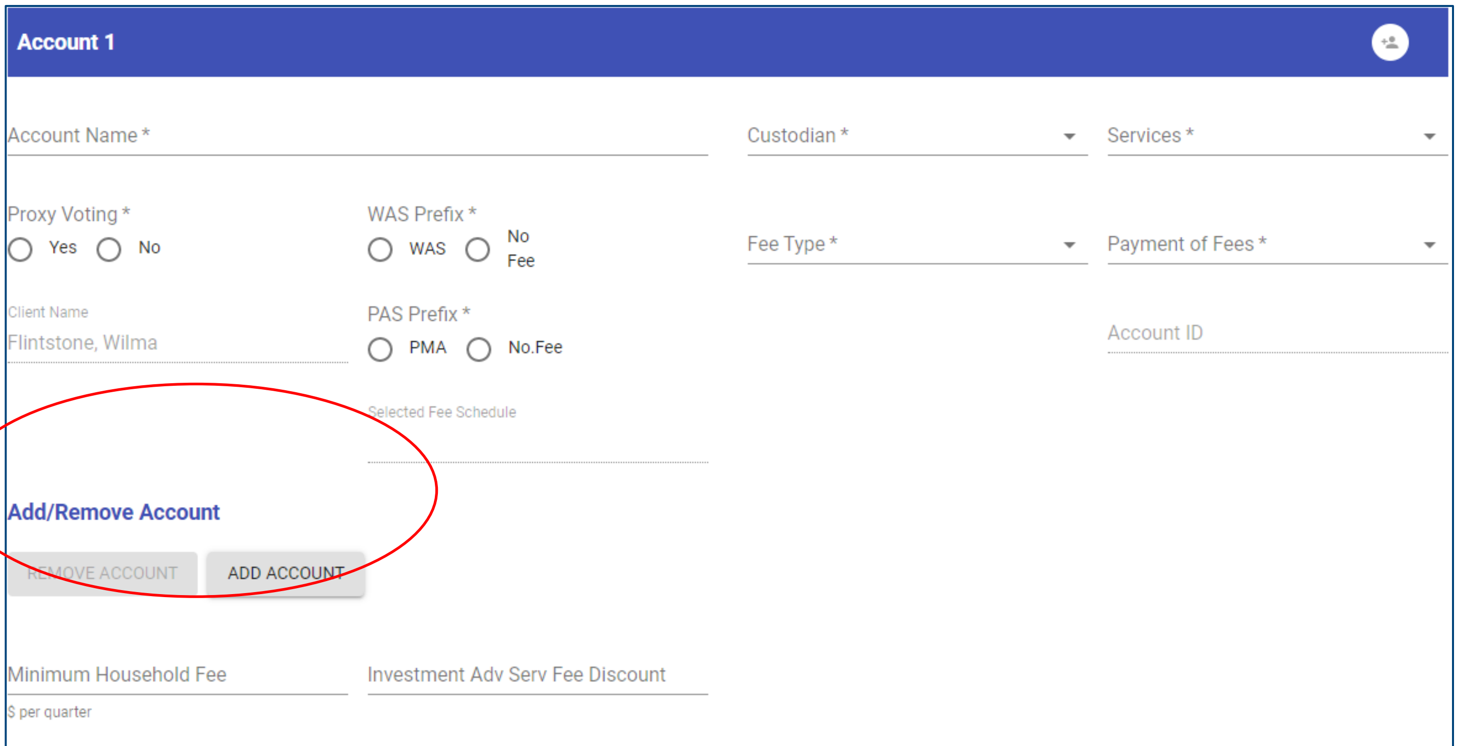
# Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- 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'



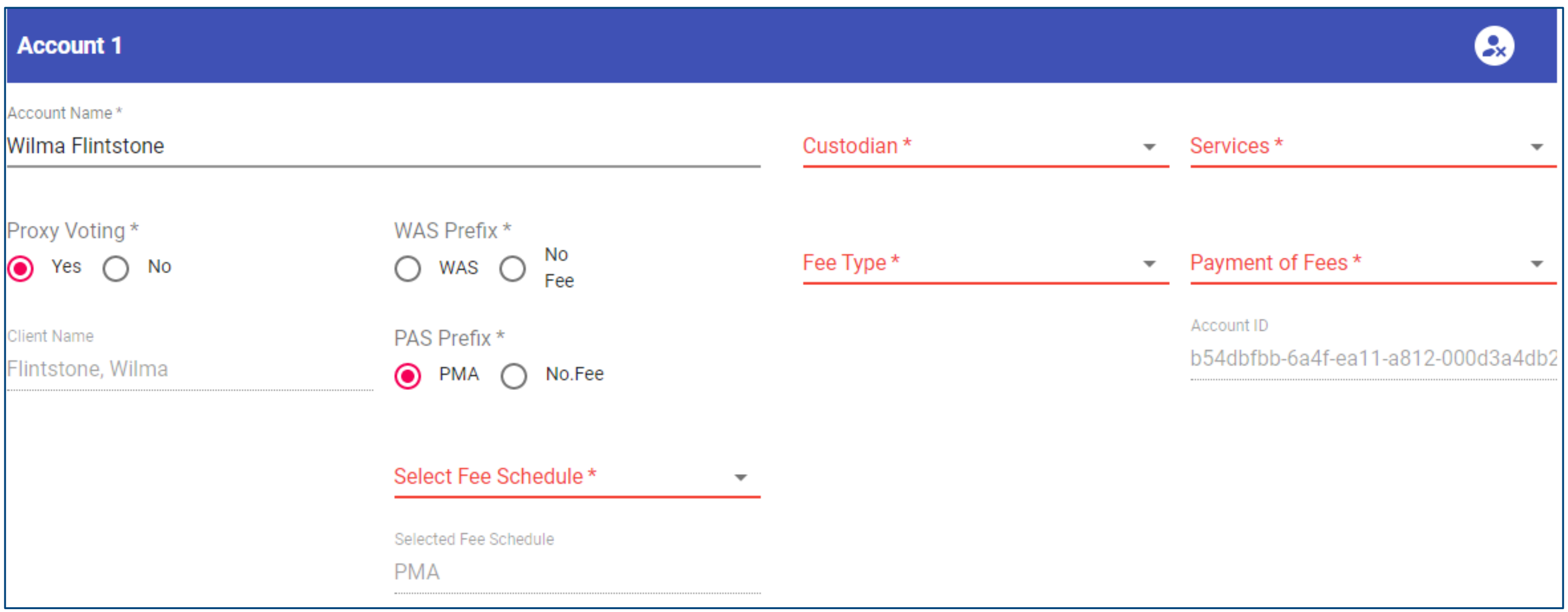
# Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- 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



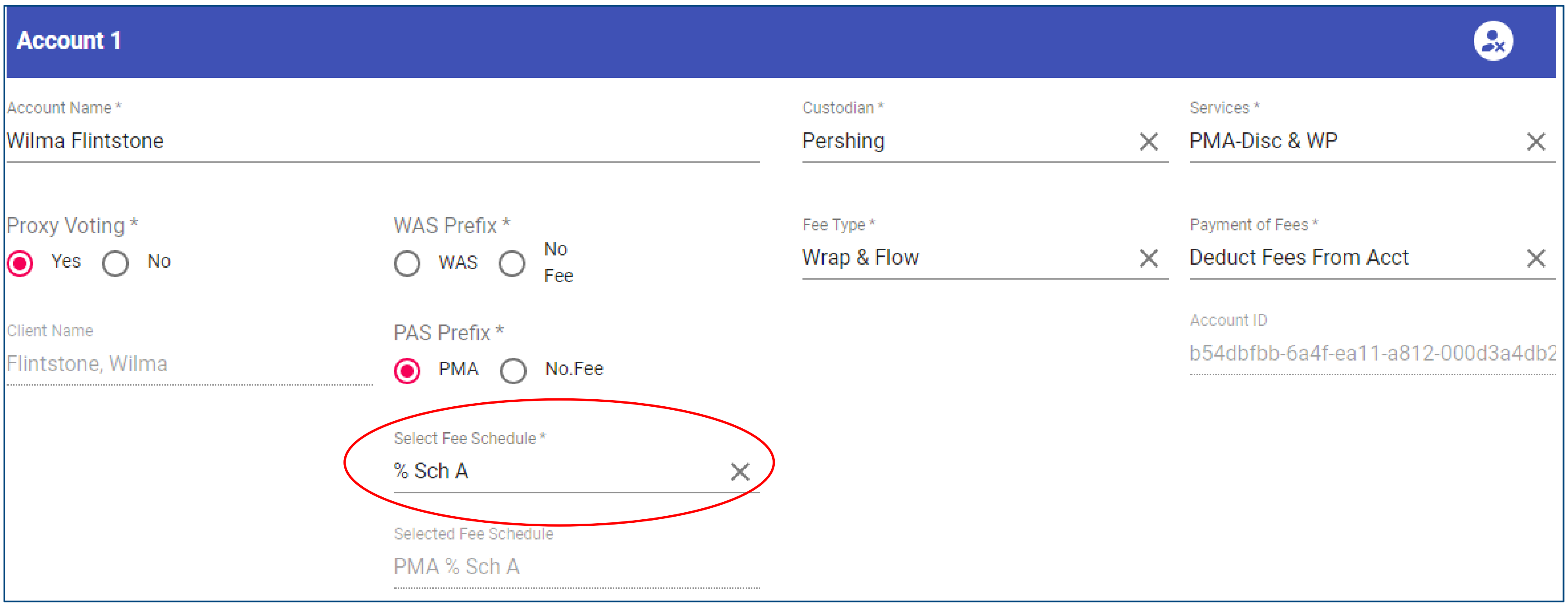
# Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

- 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)



# Agreement Express (AEX) – CAPTRUST Onboarding Forms - Continued

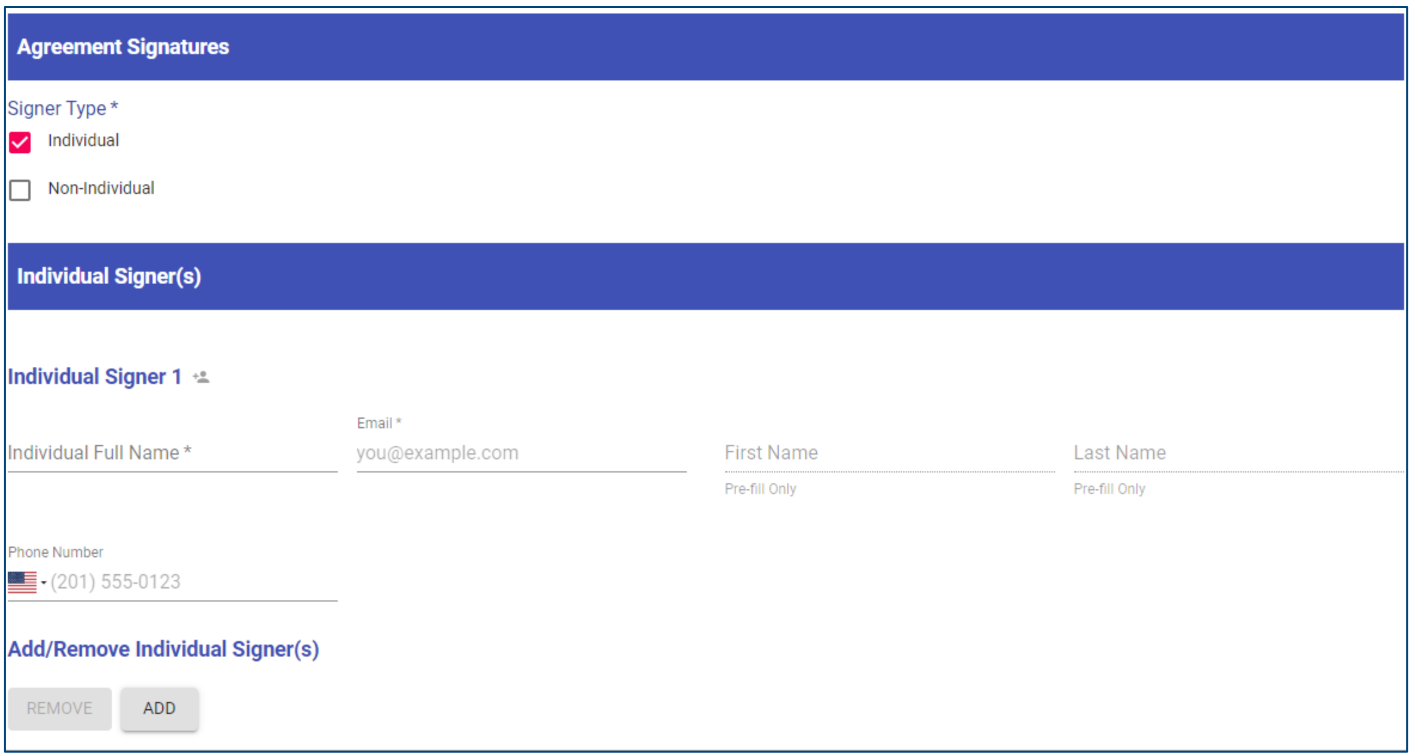
- Account 1:
  - Once you select an option in all required drop-downs, you will be able to choose from the drop-down which Fee Schedule to assign to that account



# 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 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.