An introduction to Schwab Advisor Portfolio Connect[™]

This guide is designed to help you find all of the essential portfolio management tools, like billing and reporting, that are available as part of Schwab Advisor Center[®].

Below, you'll find an interactive menu that also appears in the upper right-hand corner of each page. Use this menu to navigate through each section.

On the following pages you can click on any **orange text links** to navigate to a new view, just as you would when using Schwab Advisor Portfolio Connect.





Accounts

When you access the platform, the first screen you see will be the Accounts list page. From here, you can sort and display account information, navigate to the Account Groups view, or access the overview dashboard for a specific account.





Account Groups

The Account Groups list view shows all account groups and their members.

Ac	counts and A	ccount Group	5	\$ - }	Back Office	
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Accounts			Account			
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Overview	Positions	Transactions		Billing Overview	Client Reports List	Firm Overview
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Overview Dashboard	Position Summary	Transaction Summary			Client Report Review	
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Dashboard Components						

Use the filtering feature

Each of the col headers is sort	umn able.					to adjus for eacl	st the values n column.
	Schwab Advisor Portfolio Connect	Accounts	Back Office			<u> </u>	
	Account Groups	Accounts	Account Groups				
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	All Name 🔺	Account Number	Account Type	Total Value	Cash Balance	Status	
				\$1,347,814.81	\$467,047.69	Active :	
Select an	📃 🕀 🖻 Best Portfolio Ever			\$1,010,396.91	\$129,629.79	Active	View account
account 🛛 🗣	📃 Θ 🖻 Sample Account Group			\$211,353.29	\$98,945.48	Active :	groups
group to	â Bill Bucks	0123-XXXX	S1	\$100,002.79	\$100,002.79	Active :	overview
view the	🏛 Dora Dollar	1234-XXXX	S1	\$100,002.79	\$100,002.79	Active :	or account
Overview	🏛 Harry Halfdollar	2345-XXXX	S1	\$50,000.93	\$50,000.93	Active :	groups
dashboard.	🏛 Nancy Nickel	1234-XXXX	S1	\$347,343.70	\$53,723.23	Active :	details.
	â Chris Cashmoney	2345-XXXX	S1	\$76,971.45	\$4,582.47	Active	
	â Patty Penny	4567-XXXX	S1	\$99,253.79	\$99,253.79	Active	
	Dristy Currency	5678-XXXX	S1	\$586,081.76	\$71,324.09	Active :	
	🟛 Suzy Stocks	6789-XXXX	S1	\$99,133.22	\$99,133.22	Active	
	🟛 Billy Bonds	7890-XXXX	S1	\$39,831.03	\$39,831.03	Active	
	童 Marty Mutual	9012-XXXX	S1	\$100,002.79	\$100,002.79	Active	

Use the collapsible menus to view individual account holders within each account groups.

Accounts Dashboard

You will see the account's overview dashboard by default, but you can select other views from the top-level menu.





Overview Dashboard

The Overview dashboard organizes a variety of important information about a specific account or portfolio on a single screen.





Position Summary

This view provides holdings details, including subtotals by asset classes and security types.

Ac	counts and A	ccount Group	5	Back Office				
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Accounts			Account		Back Office menu			
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Overview	Positions	Transactions		Billing Overview	Client Reports List	Firm Overview		
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Dashboard Components								

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	盦 Nancy Nickel	Overview Positions Transactions							
	Aug 05, 2018 🗸								
ach of the	Position Summary							V	
olumn 🔶	Symbol Name	Quantity	Cost Basis	Price	Total Value	Accrued Inco	Unrealized G	% Assets	
eaders is	TOTAL		_		\$586,081.76	\$0.00	_	100.0%	
ortable.	🖯 📕 CASH		\$71,324.09		\$71,324.09	\$0.00	\$0.00	12.2%	
	⊖ CASH AND EQUIVALENTS		\$71,324.09		\$71,324.09	\$0.00	\$0.00	12.2%	
	CASH Cash		\$71,324.09		\$71,324.09	\$0.00	\$0.00	12.2%	
			_		\$466,643.67	\$0.00	_	79.6%	
	DOMESTIC COMMON STOCK		—		\$456,948.07	\$0.00	_	78.0%	
	EQUITY MUTUAL FUNDS		\$8,680.50		\$8,330.00	\$0.00	(\$350.50)	1.4%	
	BAR Baron Asset Fd		\$1,725.00		\$1,700.00	\$0.00	(\$25.00)	0.3%	
	BARIX Baron Asset Fd Inst		\$1,801.00		\$1,700.00	\$0.00	(\$101.00)	0.3%	
	DOD Dodge & Cox Balanced Fd		\$1,801.00		\$1,700.00	\$0.00	(\$101.00)	0.3%	
	PREFERRED STOCK		\$6,029.90		\$1,365.60	\$0.00	(\$4,664.30)	0.2%	
•	FMC Freddie Mac	100.000	\$1,024.95	\$8.610	\$861.00	\$0.00	(\$163.95)	0.1%	
etractable ashboard tray	Use the collapsible menus to view classification and position data.	A	ccess tax-lot le or a given positi	vel info on.	ormation				

Transaction Summary

This view provides summary and detailed activity information for a given time period.

Ac	counts and A	Account Groups	6	Back Office					
	•				¥				
Accounts			Account						
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Overview	Positions	Transactions		Billing Overview	Client Reports List	Firm Overview			
V	•	-			*				
Overview Dashboard	Position Summary	Transaction Summary			Client Report Review				
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	Schwab Advisor Portfolio Connect			Accounts	Back Office			~ ?	
	m Nancy Nicke	el		Overview	Positions Transactions				
	Jul 06, 2018 –	- Aug 05, 2018 $ imes $]						
the	Transaction Sur	nmary						V	
-	Trade Date 👻	Activity	Symbol	Nan	ne	Quantity	Price	Amount	
is	07/30/2018	Withdrawal	CASH	Cas	sh			\$176.00	
	07/30/2018	Expense	CASH	Cas	sh			\$25.00	
	07/30/2018	Interest Payment	CASH	Cas	sh			\$0.62	
	07/17/2018	Management Fee	CASH	Cas	sh			\$1,348.00	
	07/17/2018	Dividend	KO	Coc	ca Cola Company	0.000	\$0.000	\$300.00	
	07/12/2018	Split	KO	Coc	ca Cola Company	300.000	\$0.000	\$0.00	
	: 07/12/2018	Split	KO	Coc	ca Cola Company	300.000	\$0.000	\$0.00	
	07/12/2018	Split	KO	Coc	ca Cola Company	900.000	\$0.000	\$0.00	
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Quick-View Boxes

These features, located at the top of the dashboard, offer at-a-glance understanding of a variety of important account statistics for the quarter to date.

Ac	counts and A	Account Groups	6	Back Office					
	—				¥				
Accounts			Account						
*			Groups	*	•	•			
Overview	Positions	Transactions		Billing Overview	Client Reports List	Firm Overview			
•	•	•			*				
Overview Dashboard	Position Summary	Transaction Summary			Client Report Review				
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Dashboard Components									



Dashboard Tray

Click on the tab on the left of the screen to expose the dashboard tray for additional details and links. Click again to retract the tray.





Profile Details

This view offers account and portfolio information, as well as links to details about account groupings and custodian data.

Accounts			Account			
*			Groups	*	+	
Overview	Positions	Transactions		Billing Overview	Client Reports List	Firm Overvie
•	•	•			*	
Overview Dashboard	Position Summary	Transaction Summary			Client Report Review	

See all the groups in which this account is a member.	Review custodian information for this account.	
û Nancy Nickel 1234-XXXX		
Profile Membership Custodian Data]	E
Contact Information	Nancy Nickel	
Account Information	Client-Facing Name: Nancy Nickel Contact Information	
Performance Settings	FOULTY LARGE	
Billing Settings	h: 123-456-7890	Address: 211 Main Street
Report Settings		San Francisco, CA 94105 US
		Organization:
	Account Information	W . 125-430-7650
	Account Number: 1234-XXXX Cust Acct Type: S1 Custodian: SCHWAB	Portfolio Connect 07/13/2017 Start Date: Close Date:
	Performance Settings	
	Performance Start 07/13/2017 Date: ①	Benchmark: ①
	Billing Settings	
	Bill As: Account	Billing Start Date: 07/13/2017

Components of Change

Learn how various factors affected performance over a given period.





Components of Change–Analysis View

Expand the Components of Change view to dig more deeply into each element.



Use the collapsible menus to explore details and subtotals for each component.	Customize each of the time columns to compare change across various periods.		Click on each tota see supporting de in the analysis vie		
Mancy Nickel 1234-XXXX Components of Change Aug 05	2018		$\odot \mid X$		
	Month to Date \vee	Quarter to Date \vee	Year to Date \vee		
⊖ Beginning Value					
Beginning Market Value	\$586,081.76	\$471,749.48	\$614,832.73		
Beginning Accrued Income	\$0.00	\$0.00	\$0.00		
	\$586,081.76	\$471,749.48	\$614,832.73	1	
⊕ Net Contributions	\$0.00	\$524.00	(\$96,186.00)		
⊖ Income					
Dividend Payments	\$0.00	\$300.00	\$1,013.96		
Interest Payments	\$0.00	\$0.62	\$1.28		
	\$0.00	\$300.62	\$1,015.24		
⊕ Capital Appreciation	\$0.00	\$114,880.66	\$69,623.79		
Change In Accrued Income	\$0.00	\$0.00	\$0.00		
⊖ Expenses					
Management Fees	\$0.00	(\$1,348.00)	(\$3,104.00)		
Other Expenses	\$0.00	(\$25.00)	(\$100.00)		

Allocation Summary Chart

This chart represents the account's asset class allocation as defined by the advisor for a given period.





Value Versus Investment

Easily visualize how the account's value compares against client contributions over time.





Allocation Summary Table

This view provides the value and percentage weight of each asset class in table format.





Performance Summary

This view provides time-weighted performance over various time periods.





Cumulative Performance Chart

This view presents performance returns for the period as if they were applied to a \$100 investment.





Back Office Menu

Click the Back Office tab at the top of the page to view this menu, which provides easy access to a number of functions, including billing and client reports.



Review and update information related to securities, including the display name, asset class, and security type.		View and manage your client reporting workflow.	View key information and performance metrics at the firm level.					
	Schwab Advisor Portfolio Connect	Client Benette	Accounts Back Office					
Review and manage benchmark	Benchmarks	Firm Settings	irm Settings					
for time-weighted performance	(1) Billing	Content Authorship						
comparisons.	🏛 Nancy Nicl el	1234-XXXX	S1	Active	:			
	🏦 Bill Bucks	2345-XXXX	S1	Active	:			
	🏛 Dora Dolla	3456-XXXX	S1	Active	:			
	🏦 Harry Halfe ollar	4567-XXXX	S1	Active	:			
	🏛 Chris Cashmone	5678-XXXX	S1	Active	:			
	🏛 Patty Penny	6789-XXXX	S1	Active	:			
	🏛 Christy Currency	7890-XXXX	S1	Active	÷			
	🏛 Suzy Stocks	8901-XXXX	S1	Active	÷			
	🏦 Billy Bonds	9012-XXX	S1	Active	÷			
4								
Create and manage fee schedules, and manage your period-end billing workflow.	Use this optic logo and cust client report v	on to upload your firm's omize advisor and <i>v</i> iews.	View and edit footnote text, billing messages, and client report details.					

Billing Overview

This view helps you easily manage your billing workflow, and access details on specific fees.



Use this drop-down menu to change the "as-of" date for the billing period.				Use this option to confirm your fees and ready them for transmission to Schwab.					Use the filtering feature to filter based on accounts or portfolio	
	Schwab Advisor Portfolio Connect		Accounts Ba	ck Office				~	?	
	Billing Overview		Billing Overview	Fee Schedules						
	Dec 31, 2018 ∨									
	Billing Summary				Lock All Fe	es Transmit Pe	ending Fees	√ None Selected		
	All Name	Account	Payment Method	Cash Balance	Fee Amount	Cash Difference	Unpaid Amount	Status 🔺 Mid-Perio	d	
	🗌 😑 🖻 Cash Portfolio				\$1,935.31		\$1,935.31	Locked	1	
	ANANCY NICKEL	1234-XXXX	Automatic	\$13,769.19	\$153.38	\$13,615.81	\$153.38	Locked	1	
	BILL BUCKS	2345-XXXX	Automatic	\$69,353.15	\$425.02	\$68,928.13	\$425.02	Locked	÷	
	DORA DOLLAR	3456-XXXX	Automatic	\$100,082.41	\$129.31	\$99,953.10	\$129.31	Locked	÷ .	
	ARRY HALFDOLLAR	4567-XXXX	Automatic	\$100,082.41	\$129.31	\$99,953.10	\$129.31	Locked	1	
	ANNCY NICKEL	5678-XXXX	Automatic	\$100,082.41	\$129.31	\$99,953.10	\$129.31	Locked	1	
	CHRIS CASHMONEY	6789-XXXX	Automatic	\$100,082.41	\$129.31	\$99,953.10	\$129.31	Locked	1	
	DUENTIN QUARTER	7890-XXXX	Automatic	\$100,082.41	\$129.31	\$99,953.10	\$129.31	Locked	E.	
	PATTY PENNY	8901-XXXX	Automatic	\$99,749.27	\$128.74	\$99,620.53	\$128.74	Locked	1	
	CHRISTY CURRENCY	9012-XXX	Automatic	\$150,173.15	\$194.07	\$149,979.08	\$194.07	Locked	1	
	☐	0123-XXX	Automatic	\$50,346.34	\$64.94	\$50,281.40	\$64.94	Locked	1	
	BILLY BONDS	1234-XXXX	Automatic	\$100,082.41	\$129.31	\$99,953.10	\$129.31	Locked	1	
	FRANCINE FUND	2345-XXXX	Automatic	\$149,612.70	\$193.30	\$149,419.40	\$193.30	Locked	1	
	marty mutual	3456-XXXX	Manual	\$236,456.35	\$0.00	\$236,456.35	\$0.00	Paid In Full	1	
		Click the view a de of how th	fee amount tailed break e fee is calc	to down •—— ulated.			This made Click	column sho e against the for more de	ws any pay e fee amou etail.	yments ınt.

Client Reports List

This list facilitates a period-end client-report workflow.



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Schwab Advisor Portfolio Connect				Accounts	Back Office			× 0	
Client Reports List				Client Report	is List				
Jun	30, 2018 ∨]							
								7	
All	Date	Na	me 🔺		Template	Frequency	Status		
	06/30/2018	盦	BILL BUCKS		Default Client Report	Quarterly	Available for Review	:	
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	06/30/2018	盦	HARRY HALFDOLLAR		Default Client Report	Quarterly	Available for Review	:	
	06/30/2018	盦	NANCY NICKEL		Default Client Report	Quarterly	PDF Available ()	:	
	06/30/2018	盦	CHRIS CASHMONEY		Default Client Report	Quarterly	Available for Review	÷	
	06/30/2018	盦	QUENTIN QUARTER		Default Client Report	Quarterly	PDF Available (i)	:	
	06/30/2018	Ē	PATTY PENNY		Default Client Report	Quarterly	Available for Review	:	
	06/30/2018	盦	CHRISTY CURRENCY		Default Client Report	Quarterly	PDF Available (i)	:	
	06/30/2018	Ē	SUZY STOCKS		Default Client Report	Quarterly	Available for Review	:	
	06/30/2018	盦	BILLY BONDS		Default Client Report	Quarterly	PDF Available ()	:	
	06/30/2018	盦	FRANCINE FUND		Default Client Report	Quarterly	Available for Review	:	
	06/30/2018	盦	MARTY MUTUAL		Default Client Report	Quarterly	PDF Available (i)	:	
	down i date fo eriod. Schwat Portfolk Clien	down menu date for period. Schwab Advisor Portfolio Connect Client Reports Lis Client Reports Lis Jun 30, 2018 ~ All Date 06/30/2018 06/30/2018 06/30/2018 06/30/2018 06/30/2018 06/30/2018 06/30/2018 06/30/2018 06/30/2018	down menu date for period. Schwab Advisor Portfolio Connect Client Reports List Jun 30, 2018 \ Jun 30, 2018 \ All Date Na 06/30/2018 0	All Date All Jun 30, 2018 ✓ ✓ Jun 30, 2018 ✓ ✓ 06/30/2018	All Date Name ▲ Jun 30, 2018 ∨ Client Reports List Client Report Jun 30, 2018 ∨ Client Report Client Report Jun 30, 2018 ∨ Client Report Client Report Jun 30, 2018 ∨ Client Report Client Report O6/30/2018	Accounts Back Office Schwab Advisor Portfolio Connect Accounts Back Office Client Reports List Client Reports List Client Reports List Jun 30, 2018	Marce Accounts Back Office Schwab Advisor Portfolio Connect Client Reports List Client Reports List Client Reports List Client Reports List Client Reports List Jun 30, 2018 Marce Template Frequency 06/30/2018 m BiLL BUCKS Default Client Report Quarterly 06/30/2018 m DORA DOLLAR Default Client Report Quarterly 06/30/2018 m NANCY NICKEL Default Client Report Quarterly 06/30/2018 m QUENTIN QUARTER Default Client Report Quarterly<	Accounts Back Office Schwab Advisor Portfolio Connect Accounts Back Office Client Reports List Client Reports List Client Reports List Jun 30, 2018 ✓ Client Reports List All Date Name ▲ Template Frequency Status 06/30/2018 m BiLL BUCKS Default Client Report Quarterly Available for Review 06/30/2018 m BiLL BUCKS Default Client Report Quarterly Available for Review 06/30/2018 m BILL BUCKS Default Client Report Quarterly Available for Review 06/30/2018 m BILL BUCKS Default Client Report Quarterly PDF Available ① 06/30/2018 m DORA DOLLAR Default Client Report Quarterly PDF Available ⑦ 06/30/2018 m NANCY NICKEL Default Client Report Quarterly PDF Available ⑦ 06/30/2018 m ANCY NICKEL Default Client Report Quarterly PDF Available ⑦ 06/30/2018 m OLENTIN QUARTER Default Client Report Quarterly PDF Available ⑦ 06/30/2018 m OLENTIN QUARTER Default Client Report Quarterly	down menu date for veriod. Use the fit feature to values for Schwäb Advisor Perfolio Connect Accounts Back Office Image: Connect for the fit of the fi

Access client report content for review and distribution.

Firm Overview

The Firm Overview Dashboard organizes key firm level metrics with dynamic content views.



Firm level metrics for specified time periods and the various components affecting the change.

These features offer at-a-glance understanding of critical metrics, with comparisons to previous quarters, to provide executive insights.

		Schwab Advisor Portfolio Connect DRTFOLIOCONNECT Feb 21, 2019 Total Firm AUM \$2,042,473 0% oTD	Accounts Projected Revenue Q1 \$29,789 +4883% vs. Q4	Back Office	Net Contributions QTD \$11,825 Contributions \$12,500	Average Account Value \$120,145 Total Accounts: 17	✓ ⑦		
		Firm Components of Change MTD QTD YTD 1 Yr Beginning AUM Net Contributions Income Capital Appreciation Expenses Change in Accrued Income Ending AUM		2,036,625 \$11,825 \$867 (\$4,416) (\$75) (\$2,354) \$2,042,473	Highest Value Accounts ∨ Name A LARGE, EQUITY A LARGE, FIXED INCOME A SMALL, EQUITY Excluded from Firm Calcs Cash Only Account m. ROSS, CARSON A SMALL, FIXED INCOME		[2] Total Value \$372,042 \$342,918 \$245,655 \$150,170 \$149,613 \$135,455 \$133,767	-•	View the highest value accounts and account groups.
Visualization of your firm's AUN change over time.	л •	Historical AUM MTD QTD YTD 1 Yr 52,194 52,044 51,954 51,954 51,954 51,954 51,954 51,954 51,954 6,92,195 Age 2015 Age 2015 Age 2015	Oct 2018	Jan 2019	Top Flows 1 Month Name A LARGE, FIXED INCOME A SMALL, EQUITY A SMALL, FIXED INCOME A SMALL, FIXED INCOME A LARGE, FIXED INCOME ▲ A SMALL, EQUITY	Date 02/01/2019 02/01/2019 02/01/2019 02/01/2019 02/01/2019 02/01/2019 02/01/2019	2 Amount 52,500 52,500 52,500 52,500 (\$225) (\$225)	-•	Lists account and account groups with the largest inflows and outflows
List the top securities and holdings of the firm.	•	Top Holdings Name Cash Alphabet Inc - Craig Xto Energy Inc. 108/37 6 75% Kimberh-ctark 108/37 6 65% Pilmoc Total Return Fund Pilmoc Total Return Fund Amazon Com Inc<		Vatue \$1,669,049 \$139,745 \$38,745 \$36,298 \$34,000 \$34,000 \$33,462	Management Views	oming Soon			over a rolling one month period.

Client Report Review

This mode lets you preview client reports, to confirm all information, and review any errors or warnings.





Disclosures

For institutional audiences only.

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Screen shots are provided for illustrative purposes only and have been abridged.

TWI (04/19)