

April 2016

Liberty Trade Processing User Guide

Overview

Trade processing allows an Investment Advisor to trade one or more models with specified criteria and all clients' accounts that are invested in the models at one time. Trade processing can be accessed through the Models page under the **Trading** tab.



Models

The models page will display a list of all models available to process. Models can be selected for processing by clicking on the checkbox to the left of the model ID. To look at the details of an individual model, click on the model name. This will bring you to the **Manage Models** area in Liberty.

| curci | | | () include outside models | | | |
|---------|--------------|--------------------------------|---------------------------|-------------------|----------------------|---------------------|
| wing 79 | 9 of 79 mode | els | | | | Expo |
| ID | Abbrev | Model Name | Select Allocation Method | No Account List 🔻 | # Accounts | Status |
| 3 | DOME | DOMESTIC GROWTH FUND A | Select Allocation Method | No Account List 🔻 | | Unprocessed |
| 12 | OPTI | OPT IMIZED GROWTH STRATEGY | Select Allocation Method | No Account List 🔻 | | Unprocessed |
| 22 | MODE | MODERATE GROWTH FUND C | Select Allocation Method | No Account List 🔻 | | Unprocessed |
| 24 | MODE | MODERATE GROWTH PORTFOLIO | Select Allocation Method | No Account List 🔻 | | Unprocessed |
| 30 | GLOB | GLOBAL GROWTH INVESTMENTS | Select Allocation Method | No Account List 🔻 | | Unprocessed |
| 32 | DOME | DOMESTIC ALLOCATIONS | Select Allocation Method | No Account List 🔻 | | Unprocessed |
| 44 | AGGR | AGGRESSIVE GROWTH FUND E | Select Allocation Method | No Account List 🔻 | | Unprocessed |
| 49 | DYNA | DYNAMIC FUND A | Select Allocation Method | No Account List 🔻 | | Unprocessed |
| 52 | WORL | WORLD GROWTH STRATEGY B | Select Allocation Method | No Account List 🔻 | | Unprocessed |
| 53 | INTE | INTERNATIONAL INCOME PORTFOLIO | Select Allocation Method | No Account List 🔻 | | Unprocessed |
| 54 | WORL | WORLD GROWTH FUND | Select Allocation Method | No Account List 🔻 | | Unprocessed |
| 55 | INTE | INTERNATIONAL INCOME FUND | Select Allocation Method | No Account List 🔻 | | Unprocessed |
| | | | | (| reate Model View Mes | sages Reset Process |



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Trade Processing Selections

After the models that need to be processed have been selected, the Allocation Method needs to be specified. A method can be applied to all models being processed by selecting it from the table header drop-down selection. Individual models can be updated by specifying the method for each model. The methods available are:

Balance - searches for accounts that are not within the target goal percentage defined in the model

Invest All Available Funds - searches for accounts with excess cash and reinvests in all securities held based on goal percentages

Divest Proportionately - sells a portion of all securities based on actual percents of the holdings

Invest to Goal % - invests available cash into the most under invested securities first to make accounts more in balance with the model

Divest to Goal % - sells securities that are overallocated first in order to generate cash



After setting Allocation Methods, select a named account list from the drop-down to participate in the model trades. Lists can be applied to all models being processed by selecting from the table header drop-down selection. Individual models can be updated by specifying the Account List for each model. **If an account list is not selected, all eligible accounts in the included models will participate in the trades.**

If any accounts have already been saved to the model, the number of accounts will be shown in the **# Accts** column. These models will need to be processed individually.



Process Trades

| Ana | alytics | | | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------|
| <u>Blotter</u> | <u>Order Quei</u> | Process Model Trades | | |
| Search | n | Completed Processing Models 74 tra | des created or modified. | |
| | | | 100% | |
| Viewing 79 | of 79 mod Abbrev | Processed 2 of 2 Models | | Export data |
| 3 | DOME | ID Model Name | Processing Messages / Errors | |
| ✓ ✓ | OPTI MODE MODE | 3 3-DOME-DOMESTIC GROWTH FUND # | Account 374753 has insufficient cash and assets in model 3. This account will r Account 396593 has insufficient cash and assets in model 3. This account will Account 473790 has insufficient cash and assets in model 3. This account will Account 532191 has insufficient cash and assets in model 3. This account will r 57 trades created or modified, 2 with future trade dates 48 trades deleted | not be processed. |
| 30 32 44 | GLOB DOME AGGR | 12 12-OPTI-OPTIMIZED GROWTH STRATE | GY Account 265499 has insufficient cash and assets in model 12. This account will 57771 DREVFUS 100% US TREASURY MON MKT FUND Fund has reorganized. P Trade blocked 69884 FIDELITY SELECT CONSUMER STAPLES FUND SELECT CLASS Warning - Sh apply - contact your RM for additionalinformation. 17 trades created or modified | not be processed. lease see product memos ort Term Redemption Fees |
| 49 | DYNA WORL | | Close | Continue To Blotter |
| | | | 2 modeljej selecce for processna | Process |

Once all criteria have been specified and the models are ready to be processed, the total number of models to be processed will be displayed on the Action Dock. Click the Process button to create trades.

A dialog will appear that shows the status of all models being processed. A bar on the top of the dialog will show the percentage completion and a table below will show the status of each model. This includes any errors that need to be addressed and the total number of trades created. At any point, click the **Stop** button to interrupt trade processing.

Once processing is complete, the messages presented can be exported. As a best practice, it is recommended that exporting the results of processing is always done.

| Export data | 8 |
|--------------------------------------------------------------------------|---|
| Select a format in which to export all the data from the selected table. | |
| CSV Format | |
| 🔁 Adobe Acrobat | |
| Microsoft Excel | |
| * XML | |
| | |
| | _ |

To review and approve trades, click the Continue to Blotter button.