

Quantinno Client Onboarding

(Tax-Aware Long/Short Strategy)

For any questions, please contact trading@wealthplan.partners and we will be happy to assist.

*Best practice is to download Schwab forms fresh from the Forms Library in Schwab Advisor Center to ensure the most current version is used

*Any cash balance or positions that will not go into the tax-aware long/short strategy will need to be journaled to another account.

1. Submit a trade request to trading@wealthplan.partners. Provide the following information:
 - a. Client name
 - b. Account number
 - c. Client email address (so that the trading team can send Quantinno's ADV to the client to evidence disclosure of their fees and other information)
 - d. Desired leverage level (130/30, 145/45, 225/125, etc.)
 - e. Target benchmark (choose from the following):

Reference	Index
US 500 Large Cap	S&P 500
Global Developed ex-US	MSCI World ex-US
US 3000 Large & Small Cap	Russell 3000
US / International Blend	Mutliple (ex: 80% Russell 1000 / 20% MSCI World ex-US)
Global Developed & Emerging	MSCI ACWI
Global Developed	MSCI World
US 1000 Large & Mid Cap	Russell 1000
Global Developed & Emerging ex-US	MSCI ACWI ex-US
Model Delivery / Other	Custom designated by firm
NASDAQ 100	QQQ
f. US 1000 Value / Growth	Russell 1000 Value / Growth

2. The most current version of the DIMA must be signed. If needed, please email trading@wealthplan.partners to request the most current version of the DIMA.
3. Add Quantinno to the account through Schwab's Managed Account Marketplace.
 - a. If adding Quantinno to an existing account that **does not** already have a third-party manager linked, use Schwab's "Managed Account Marketplace Money Manager Limited Power of Attorney (LPOA)" form.

- b. If adding Quantinno to an existing account that **does** already have a third-party manager linked, use Schwab's "Managed Account Marketplace Add or Change a Money Manager Form"
- c. If opening a new account, use one of the following Schwab forms (choose correct form based on registration type):
 - 1. Managed Account Marketplace Account Application for Trusts
 - 2. Managed Account Marketplace Account Application
 - 1. For all other non-trust NQ account types
- d. Use the following information to complete the correct form from above:
 - 1. Manager name is "Quantinno"
 - 2. Manager master account is "0813-8120"
 - 3. Strategy name is "Quantinno DEALS"
- 4. Add margin to the account (if not already added), or add portfolio margin if using leverage equal to or higher than 150/50.
 - a. If using leverage 145/45 or below, use the standard "Options Trading and Margin Application" form.
 - b. If using leverage 150/50 or above:
 - 1. **Do not use the standard margin application as it will slow down the process.**
 - 2. The trading team will request a Schwab Portfolio Margin Application using the information provided in step 1 of this SOP. This will allow for greater leverage to be utilized and will also enable the account for level 3 options which is needed for portfolio margin (aka risk-based margin) to be enabled.
 - 1. *Schwab's Portfolio Margin team will send a DocuSign first to the advisor or support staff to prefill the application and then will route the DocuSign to the client for signature.