

# TCA by E\*TRADE's Liberty Portal Instructions

The easiest way to get to

TCA by E\*TRADE's

portal is to start at

SEMWealth.com and click on

the "Powered by tca by

E\*TRADE" logo.



Login/Sign up

Navigating SEMWealth.com



Scientifically Engineered Models

HOME

ABOUT

MODELS

INVESTORS

ADVISORS

BLOG

CONTACT

Upon login, you will see

important activity on your accounts such as accounts opened, cash deposits or withdrawals, transfers, and closures.

## BULLETINS

Viewing 3 results

All	Must Read	Date	Subject
<input checked="" type="checkbox"/>	No	11/30/2018 01:02:51am	Transfers Initiated <a href="#">View Details</a>
<input checked="" type="checkbox"/>	No	11/29/2018 01:02:35am	Accounts Opened <a href="#">View Details</a>
<input checked="" type="checkbox"/>	No	11/26/2018 01:19:46am	Cash Withdrawals <a href="#">View Details</a>

(1 of 1) 1 10

The primary landing page provides a summary of your accounts, both those held at TCA by E\*TRADE and those tracked through TCA's Aggregation service. Clicking on the TCA by E\*TRADE link will take you to the accounts held at TCA & the Analytics tab.

Analytics Client Management Prospecting Tools Documents My Profile

Summary | Averages | Leaderboard | Growth

All Institutions

You are viewing information for All Institutions

All Accounts	TCA by E*TRADE Qualified and Non-Qualified Accounts	TCA by E*TRADE Qualified Accounts	TCA by E*TRADE Non-Qualified Accounts
\$4,587,158.41 Total Active Account Value*	\$4,540,720.22 Total Active Account Value*	\$4,346,908.26 Total Active Account Value*	\$193,811.96 Total Active Account Value*
36 Number of Active Accounts	29 Number of Active Accounts	25 Number of Active Accounts	4 Number of Active Accounts

Held-Away Account Value \$46,438.19

BOOK OVERVIEW

Institution	Value	Allocation
TCA by E*TRADE	\$4,540,720.22	98.99%
Fidelity	\$46,438.19	1.01%
Total	\$4,587,158.41	100.00%

AGGREGATED ACCOUNTS

Client	Institution	Portfolios	Value	Sync Status
TCA by E*TRADE	TCA by E*TRADE	29	\$4,540,720.22	Good
Strategic Equity Management 401K Plan	Fidelity	7	\$46,438.19	Good
Total		36	\$4,587,158.41	

The header contains a search box to find clients by name or account number. It also includes buttons to return to the searched account list and to create a new account.

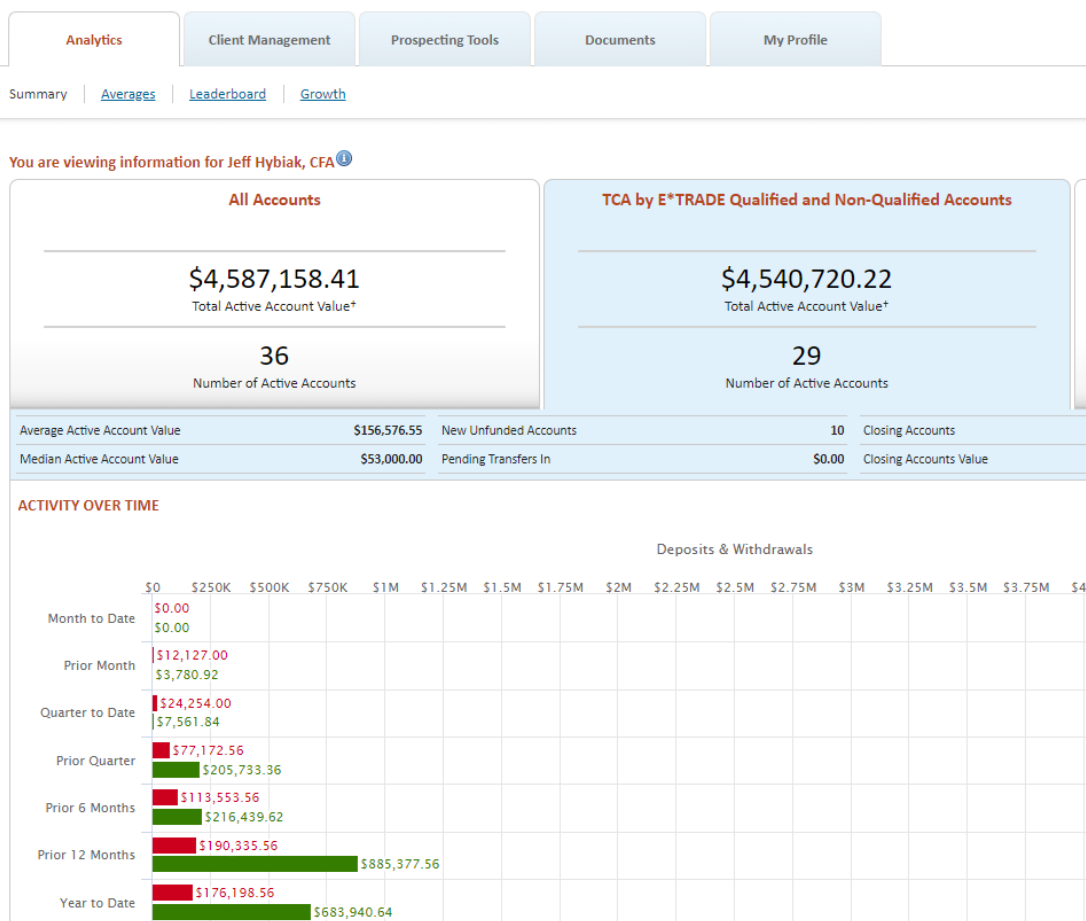
Account number or name or tax ID Search + Closed Select a list Back to account list Create Account

Analytics Client Management Prospecting Tools Documents My Profile

Summary | Averages | Leaderboard | Growth

The Analytics tab contains a summary of your book of business. Under the charts are a list of your clients sorted by size with links to take you directly to their accounts.

The Analytics tab also includes reports to view different metrics for your business with SEM/TCA.



The Client Management tab is the best place to keep track of your accounts. You can view “all accounts” or those based on the status.

Pending = Accounts created in Liberty, with no paperwork submitted yet

Open = Paperwork Submitted to TCA

Active = Accounts funded

Clicking on the account number in the list takes you to that account.

Note: If you do not see any accounts, you can change the search to “All Accounts” and hit the “SEARCH” button.

Analytics Client Management Prospecting Tools Documents My Profile

Accounts Users

ACCOUNT SEARCH ACCOUNT LISTS ACCOUNT QUERIES

Search All Accounts Search Criteria Search

Filter All Statuses All Representatives

Viewing 42 of 42 results

Value<sup>1</sup>

\$0.00 Go To

Off to the right of the account list are ways you can navigate to different areas of Liberty for that particular account. The most relevant is “Account Details”, which takes you to the account information section (name, address, social security number, email, etc). From there you can get to the FORMS section as well.

The Account Details section shows the required fields to open an account in Liberty (which changes based on the account type selected.) After entering the required information **click SAVE** at the bottom of the page (not CONTINUE). Note if SAVE is greyed out there is some missing information.



Registration Steps

- Account Details
- Model Allocations
- Representatives
- Interested Parties
- Beneficiaries
- Fees
- Forms

Opened Account Number  
n/a [redacted]

Account Type: Select Account Type [dropdown] Entity Tax ID, EIN or SSN: [input]

**REGISTRATION INFORMATION**

Name: Name on Account [input] Find [button]  
 Create a Contact for this client

**ASSOCIATED CONTACT**

None [link]

Mailing name: [input]  
Mailing name 2: [input]  
Sort name as: [input]  
Date of birth: [input]

Address line 1: [input]  
Address line 2: [input]  
Address line 3: [input]

City: [input] State: Select State [dropdown] Zip: [input]

This tab is also where you can change the address, email, or phone number for the account. Note the client will receive notification at both the old and new addresses (both physical and email). You can also change the “Mailing Name” (how it appears on the envelope for statements) and

the “Sort Name” (how it appears in Liberty when you view accounts). [Again remember to hit SAVE” when done editing.]

The Model Allocation tab contains details on how the portfolio is being managed. DO NOT EDIT ANYTHING IN THIS SCREEN — SEM is responsible for ensuring all models are properly allocated to. This screen can give you information on where distributions or contributions are set as well as the composition of any “composite” models (SEM managed blends of multiple models such as our Platinum portfolios.)

Account Details

- Model Allocations
- Representatives
- Interested Parties
- Beneficiaries
- Fees
- Forms

VIEW MODEL ALLOCATIONS | VIEW MODEL INSTRUCTIONS | Export data

Type	Model	Allocation	Deviation	Contribution	Distribution	Market Value
Standard	23-AG-GRW-AmeriGuard Growth	20.00%	5.00%	50.00%	20.00%	\$26,653.31
Standard	10-DAG-Dynamic Aggr. Growth	0.00%	0.00%	0.00%	0.00%	\$0.00
Standard	9-DBA-Dynamic Balanced Alloc.	30.00%	5.00%	0.00%	30.00%	\$32,299.50
Hold	20-NDAH-Non-Discretionary Asset Holding	0.00%	0.00%	0.00%	0.00%	\$0.00
Standard	0-OTH-Other Assets	0.00%	0.00%	0.00%	0.00%	\$0.00
Composite	26-PPP-Platinum Preservation Portfolio	50.00%		0.00%	50.00%	\$55,088.96
Hold	37-SIIA-Special Individual Invest. Alloc.	0.00%	0.00%	50.00%	0.00%	\$7,776.38
		100.00%		100.00%	100.00%	\$121,818.15

Icon represents models that are terminating. Click on the icon to view comments on a model. Edit

COMPOSITE MODEL DETAILS | Export data

Type	Model	Member Model Goal	Account Allocation	Account Deviation	Member Model Contribution	Account Contribution	Member Model Distribution	Account Distribution
Standard	31-PBTS-BTS Select Bond (Platinum)	20.00%	10.00%	1.00%	20.00%	0.00%	20.00%	10.00%
Standard	32-PCLK20-Clark Navigator 20-80 (Platinum)	15.00%	7.50%	1.00%	15.00%	0.00%	15.00%	7.50%
Standard	7-DIA-Dynamic Income Alloc.	15.00%	7.50%	1.00%	15.00%	0.00%	15.00%	7.50%
Standard	1-INAI-Income Allocator	15.00%	7.50%	1.00%	15.00%	0.00%	15.00%	7.50%
Standard	33-POPB-Ocean Park Balanced (Platinum)	15.00%	7.50%	1.00%	15.00%	0.00%	15.00%	7.50%
Standard	34-PTHI-Toevis High Income (Platinum)	20.00%	10.00%	1.00%	20.00%	0.00%	20.00%	10.00%
		100.00%	50.00%		100.00%	0.00%	100.00%	50.00%

- Representatives
- Interested Parties
- Beneficiaries
- Fees

The Representatives, Interested Parties, Beneficiaries, & Fees are all informational areas. These sections will be filled out after the paperwork is submitted. **EXCEPTION: If you are an “Office Manager” (not representative) user you MUST enter a Representative and click SAVE or you won’t be able to view the account (contact SEM if you forget).**

The FORMS tab shows all the relevant forms for the account. For new accounts it lists the required forms. Clicking on the form name pulls up the form with the account information already filled in. This can be used for on-going service items such as beneficiary changes or withdrawal requests.

Account Details
Model Allocations
Representatives
Interested Parties
Beneficiaries
Fees
Forms

AVAILABLE FORMS

Required	Form Name
yes	<a href="#">Qualified Account Application</a>
no	<a href="#">Beneficial Ownership Information</a>
no	<a href="#">General Terms &amp; Conditions</a>
no	<a href="#">Statement Family Request</a>
no	<a href="#">Transfer Form</a>

Send Forms for eSignature

eSignature Steps

- Select Account Forms
- Select Advisor Forms
- Select Proposals
- Upload Other Forms
- Enter Recipients
- Confirmation

**SELECT ACCOUNT FORMS**

Form Name	Form Description	Required
<input type="checkbox"/> 0 Beneficial Ownership Information	Beneficial Ownership Information	no
<input checked="" type="checkbox"/> 1 Qualified Account Application	Qualified Plan Account Application	yes
<input type="checkbox"/> 0 Statement Family Request	Statement Family Request	no
<input type="checkbox"/> 0 Transfer Form	Transfer Form	no

In the bottom right-hand corner is an eSignature button (if you would like this enabled, please contact SEM). To start a DocuSign envelope, simply select the forms you would like included with the check boxes. (This can be used for service forms, not just new accounts). Under ADVISOR

FORMS you can select to include SEM’s New Account form as part of the envelope. Please note “other forms” is not currently functioning and cannot be used to add your B/D required forms. Click ENTER RECIPIENTS to view the paperwork flow. PLEASE DO NOT CHANGE the “SEM Approval”, “Suitability Check”, and “Final Copy” entries.

Analytics   Client Management   Prospecting Tools   Documents   My Profile

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Accounts | Users

Username, Name, Account ID, Rep ID  Investor

Also under the CLIENT MANAGEMENT tab is the “Users” link. This is where you can view their username & reset their password. Note you may need to change the drop down box on the right-hand side of the page to “ALL” instead of “ENABLED” for clients that have locked themselves out of their accounts inadvertently or their password has expired.

Use the radio button next to the client’s username (Acct#) and choose “EDIT” at the bottom of the page. You can enter & confirm the new temporary password for the client and hit “SAVE”. The client will be required to change this on the next login.

CHANGE PASSWORD

CHOOSE A NEW PASSWORD

.....

CONFIRM PASSWORD

.....

Going back to the “accounts” link, Click on the account number to take you to the OVERVIEW tab. Here you can see recent performance, transactions, investment models, holdings, etc. On the right

The screenshot displays the 'Overview' tab of an investment account. At the top, the net assets are \$121,818. The account is managed by SEM Wealth Management, with a financial advisor Jeff Hybiak, CFA. The account address is 7367 E Tanque Verde Rd, Tucson, AZ 85715. The page is divided into several sections: 'Totals & Trends' with a line chart showing value over 92 days; 'LATEST ACCOUNT ACTIVITY' with a table of transactions; 'TOP ASSET CLASSES' and 'TOP MODELS' with summary tables; and a right-hand sidebar with account details, address, and report options. The sidebar includes sections for 'ABOUT YOUR ACCOUNT', 'Your Investment Manager', 'Your Financial Advisor', 'Latest Statement', 'Latest Tax Forms', 'Your Address', 'Primary Beneficiaries', 'Secondary Beneficiaries', 'Account List', and 'PORTFOLIO REPORT'. The 'PORTFOLIO REPORT' section includes dropdown menus for 'REPORTS TO INCLUDE', 'MODEL TO INCLUDE', and 'REPORT BY'.

-hand side of the page you can view the investment Manger information (SEM), the Financial Advisor listed on the account, a link to the current statement, the address of record, beneficiaries, etc. You can also generate multiple reports.

The HOLDINGS tab allows you to view the allocation to the investment models or by asset classes. Clicking on the checkbox next to the model allows you to view the allocation for just that model.

Please note if you view by Asset Class, the asset classes are determined by Morningstar, not SEM or TCA.

You can also filter by models or asset classes or pull up historic positions by changing the date.

The screenshot shows the 'Holdings' tab with a filter set to '12/01/2018'. The 'VIEW BY MODEL' option is selected. The table below lists various investment models with their respective performance metrics.

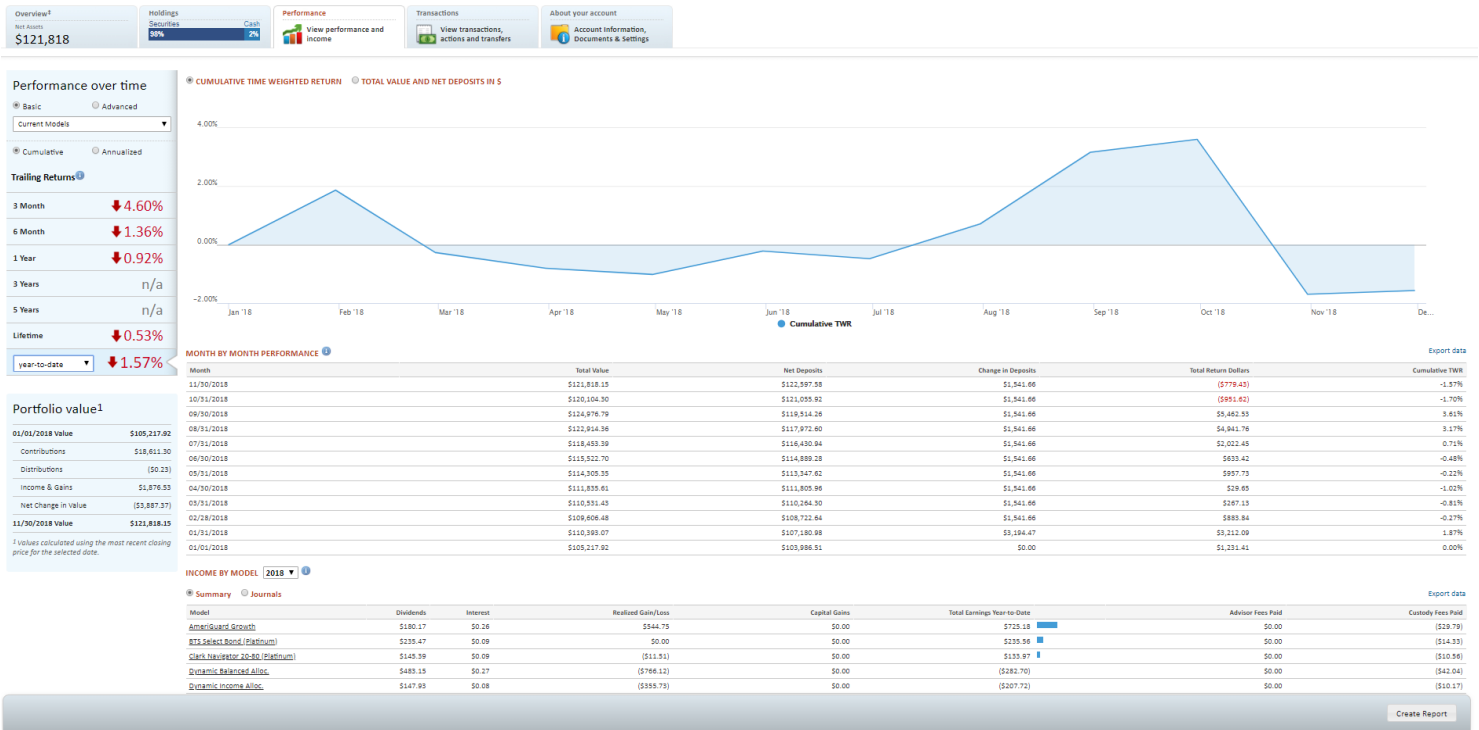
Model	Cost Basis	Unrealized Short-Term Gain/Loss <sup>1</sup>	Unrealized Long-Term Gain/Loss <sup>1</sup>	Unrealized Gain/Loss <sup>1</sup>	Market Value	Allocation %	% of Total Holdings
AmeriGuard Growth	\$27,004.64	(\$962.24)	n/a	(\$962.24)	\$26,653.31	20.00%	21.88%
BTS Select Bond (Platinum)	\$12,523.51	(\$87.57)	(\$782.16)	(\$869.73)	\$11,859.16	10.00%	9.74%
Clark Navigator 20-80 (Platinum)	\$8,876.65	(\$25.27)	(\$576.26)	(\$601.53)	\$8,487.14	7.50%	6.97%
Dynamic Balanced Alloc.	\$31,458.81	(\$257.16)	\$376.50	\$119.34	\$32,299.50	30.00%	26.51%
Dynamic Income Alloc.	\$7,434.13	(\$62.32)	(\$30.79)	(\$93.11)	\$7,498.98	7.50%	6.16%
Income Allocator	\$7,898.57	(\$50.69)	(\$40.67)	(\$91.36)	\$7,964.11	7.50%	6.54%
Ocean Park Balanced (Platinum)	\$8,348.70	(\$31.06)	(\$371.79)	(\$402.85)	\$8,130.65	7.50%	6.67%
Special Individual Invest. Alloc.	\$8,062.22	(\$471.76)	n/a	(\$471.76)	\$7,776.38	0.00%	6.38%
Toews High Income (Platinum)	\$11,760.71	(\$29.60)	(\$850.81)	(\$880.41)	\$11,148.92	10.00%	9.15%
All Models	\$123,367.94	(\$1,977.67)	(\$2,275.98)	(\$4,253.65)	\$121,818.15	100.00%	100.00%

<sup>1</sup> Unrealized gains/loss data is only available as of 12/01/2018.

**HOLDINGS WITHIN ALL MODELS**

Symbol	Security Name	Quantity	Price	Unrealized Short-Term Gain/Loss <sup>1</sup>	Unrealized Long-Term Gain/Loss <sup>1</sup>	Unrealized Gain/Loss <sup>1</sup>	Unrealized Gain/Loss % <sup>1</sup>	Market Value	% of Total Holdings
CASH	CASH	2,703.8600	\$0.00	n/a	n/a	n/a	n/a	\$2,703.86	2.22%
FFICX	AMERICAN FUNDS INVESTMENT COMPANY OF AMERICA CLASS F-3	130.5530	\$39.89	(\$291.57)	n/a	(\$291.57)	-5.30%	\$5,207.76	4.28%
BLCK	AMPLIFY TRANSFORMATIONAL DATA SHARING BLOCCHAIN LEADERS ETF	104.0000	\$16.81	(\$233.79)	n/a	(\$233.79)	-11.80%	\$1,748.24	1.44%
QMNIX	AQR EQUITY MARKET NEUTRAL FUND CLASS I	32.4490	\$10.43	(\$6.33)	(\$66.93)	(\$73.26)	-17.79%	\$338.44	0.28%

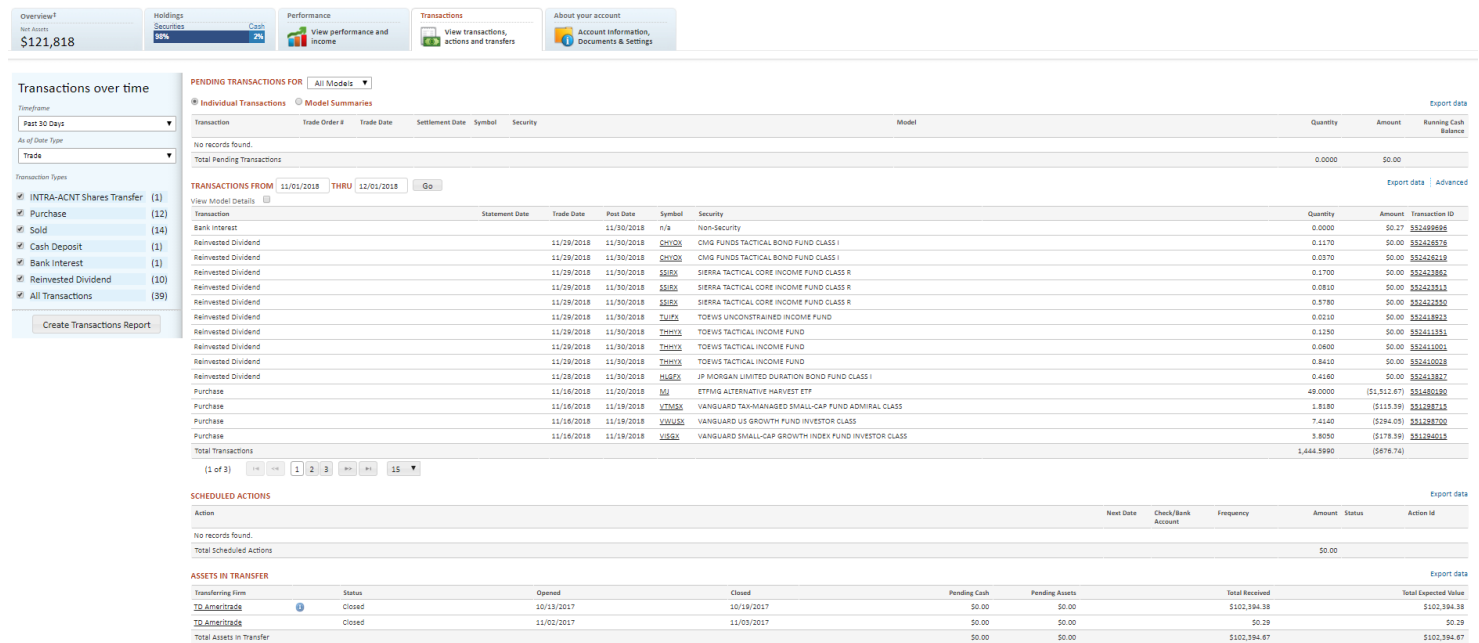
The performance tab allows you to view all kinds of performance information. The default is to show performance for all current models. You can toggle the various models inside the accounts



by changing the drop down menu. You can also change the time frame for the chart and other data with the other toggle buttons.

The bottom section contains data regarding deposits, withdrawals and income sources. This can help with tax planning purposes throughout the year.

The TRANSACTIONS tab allows you to view pending & recent transactions. You can also filter by transaction type or date range as necessary. Towards the bottom shows pending systematics as well as has links to any transfers including the status. Clicking on the custodian name pulls up the transfer details.



The ABOUT YOUR ACCOUNT tab provides links to 2 years' of statements, tax documents, and other account details saved on file.

The screenshot shows a dashboard with four main tabs: 'Cash' (2%), 'Performance' (View performance and income), 'Transactions' (View transactions, actions and transfers), and 'About your account' (Account Information, Documents & Settings). Below the tabs is a 'Statements' section with a table of quarterly statements.

Period Ending	Description	Statement
09/30/2018	Quarterly statement for period ended 09/30/2018	<a href="#">view</a>
06/30/2018	Quarterly statement for period ended 06/30/2018	<a href="#">view</a>
03/31/2018	Quarterly statement for period ended 03/31/2018	<a href="#">view</a>
12/31/2017	Quarterly statement for period ended 12/31/2017	<a href="#">view</a>

Below the table are several expandable menu items: EFT Statements, Tax Documents, Document Delivery Options, Account Details, Beneficiaries, Authorizations, and Account Lists.

There are also links at the top for “Account Details”, “View Other Accounts” (Statement Family form submitted), and “CompleteView” (Account Aggregation).

[Account Details](#) ▶ [View Other Accounts](#) ▶ [CompleteView](#) ▶

**Account Details:** takes you back to the name, address, email, etc section discussed earlier.

**View Other Accounts (Statement Family):** Allows you to either switch to other household accounts

The screenshot shows a list of accounts with checkboxes. Two accounts are selected: 'HYBIAK, JEFFREY' and 'HYBIAK, BRANDI'. A 'View Combined(2)' button is visible. Below the list, there are links to toggle back to single accounts or add more accounts.

for that family or lets you select MULTIPLE accounts and then “View combined”. This gives you a consolidated view of the asset values, holdings, and performance. Navigation is similar to when viewing a single account. You can toggle back to single accounts or add more accounts with the links at the top of the page.

Welcome back, sign out.

Jeff Hybiak, CFA

[Home](#) :: [Bulletins](#) **03** :: [Forms](#) :: [User Guides](#) :: [Agreement](#) :: [Diagnostics](#)

Finally, at the top of every

page you can sign out of your account, view the Bulletins related to your accounts, pull up all blank TCA forms, and TCA User Guides. The User Guides provide step-by-step instructions to a wide range of TCA related items and we encourage you to check them out.

TCA by E\*TRADE’s Liberty Portal is a powerful tool that literally should become your irreplaceable dashboard in working with your SEM clients. There is a lot more information in there, including the “Documents” tab. Please refer to the User Guides or contact TCA for assistance on what reports you can pull for your clients.