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1 Supervisor Role

When a home office user logs into the system, they will be brought into the Advisor site. In order for them to switch over to the home office site, they will need to use the wrench icon to Switch to the Supervisor Role.

Once the user has switched roles, they will see a new set of tabs on the global toolbar: Enterprise/Firm/Branch, Dashboard, Trading (if enabled), and Customization.

If you do not wish to log into the advisor site and instead log in directly to the Supervisor Role, you can adjust this from the Platform tab. From the Platform tab, go to Settings and then Profile and click on the Edit button. Place a check in the box that states, ‘Direct login to sponsor console.’ The next time you log in, you will be taken directly to the above console.
2 Enterprise/Branch/Firm Tab

The Enterprise/Firm tab will allow the sponsor user to view and report on day to day administration activities. The tab is broken down into the following sections: Advisors, Clients and Accounts (under the Enterprise/Firm side bar); Service, Performance, Billing and Firm Level Oversight (under the Service side bar). Each of these sections allows visibility at the Enterprise/Firm/Branch levels.

2.1 Desktop

Upon logging in the sponsor user lands on the customizable desktop page where they can add, remove, and customize the number and order of widgets they wish to see.
2.2 Advisors

The Advisors section of the platform will give you access to search for Advisors, Rep Codes, Login History, and Branches.

2.2.1 Advisor Search

The Advisor Search will allow the sponsor user to find specific advisors and add new advisors. To find specific advisors, use the filtering tool or utilize the Explorer Search Functionality. To launch as an advisor, click on the Gear icon next to the Advisor’s name and choose Launch Advisor Portal.

To add a new advisor, click the Plus (+) icon.
Select the branch; fill in the required advisor information, and click **Save**.

The profile of the new advisor automatically appears in the active window; edit any additional information for the new advisor.

### 2.2.2 Rep Codes
Rep code search can be used by the sponsor user to find and create rep codes. Find specific rep codes by using the **Filter** icon or create a new rep code by using the **Plus (+)** icon.
2.2.3 Login History

The Login History allows sponsors to use the Filter icon to search for advisors by branch, user type, relation, user name, number of logins in a specific period of time, browser type, active minutes, and type of user interface (i.e. single sign on, login to ENV1/ENV2, Advisor now, etc.).

2.2.4 Branches

Branches can be used by the sponsor user to find, edit and create Branches. Find a specific branch by using the Filter icon or create a new branch by using the Plus (+) icon.

2.2.5 Regions

Regions can be used to customize views at the zip code or state levels.
2.3 Clients
The clients section of the administration tab will allow the sponsor user to search for clients, view client activities (Advisor Change; Change Address; Meeting; etc.) and upload documents at the Enterprise/Firm/Branch levels.

2.3.1 Client Search
Client search allows the sponsor user to search for a specific client and make any updates if necessary (client updates can be made by clicking on the client name hyperlink). The sponsor user can launch into the client reports by clicking on the Gear icon. The full client list can be filtered by using the Filter icon.
2.3.2 Client Activities

Client activities will allow the sponsor user to view all client activities at the Enterprise/Firm/Branch level. These results can be filtered by using the Filter icon.
2.3.3 Client Documents

The Client Documents page allows sponsors to bulk upload documents to clients at the Enterprise/Firm/Branch level. Sponsors can also update or delete uploaded documents from this page. To upload a new document, select the + icon.

"Note: This feature is not enabled by default.

The Upload Document popup displays, the sponsor can attach the document to select all clients or select specific clients. Once the sponsor has completed all fields within the popup, select the Update button to proceed.

If ‘All Clients’ is selected, no additional work is required once Update is selected. The document is automatically posted to all of the sponsor’s clients. If ‘Select Clients’ is chosen the sponsor will be prompted to select the required clients. Sponsors can use the search filters to display clients that meet a particular criteria. Select Post Document from the Actions dropdown to post the document to the Client Document Vault for the selected clients.
2.4 Accounts (Enterprise/Firm Side Bar)

The accounts section of the administration tab allows the sponsor user to search for accounts and view account history (Account Closed; Advisor Change; Cash Protection Changed; etc.) at the Enterprise/Firm/Branch levels.

2.4.1 Accounts

The Account section allows the sponsor user to search for a specific account and make any updates if necessary (account updates can be made by clicking on the account number hyperlink). The sponsor user can then view the general properties and overview of the account.
Additionally, under the Filter icon, the sponsor user can also run a group of preconfigured reports.
2.4.2 Accounts Holding Duplicates

Sponsors can view accounts that are holding duplicate holdings at the Enterprise/Firm/Branch level. Filters are available to narrow down search results.
2.4.3 Account Activity

Account activity will allow the sponsor user to view specific client activities at the Enterprise/Firm/Branch level during a selected period of time using the Filter icon.

2.4.4 Account History

Account history will allow the sponsor user to view all client activities at the Enterprise/Firm/Branch level. These results can be filtered by using the Filter icon.
2.5 Change Logs
The change log entry contains various details about data changes applied on the Platform.

2.5.1 Change Log Search
- **Audit Type** – Represents the object on which auditing is done. *(For example, if the auditing is done on an account object, the audit object will be the account).*
- **Object Name** – The name of the object. *(For example, for an account level audit the object name will be the custodian account number).*
- **Updated By** – Indicates the name of the user who applied the data change. If performed by an admin user, “Envestnet User” will be shown; if performed by the advisor, the advisor name will be shown.
- **Action** – indicates whether the change is an update or deletion.

2.6 Service
2.6.1 Service Requests
The service request section allows the sponsor user to search for Service Requests. The list can be filtered using the Filter icon.
To view more information on the service request (SR), the user can click on the Request hyperlink.

Clicking on the link will bring the user into the service request (SR).
From this section the user can view service request information via the SR Summary, as well as add service notes and upload documents to the request via Manage Service Request dropdown. Review the tasks by going to the Tasks tab, and review any client and/or registration information by going the General tab.

2.6.2 Tasks

Each service request (SR) is made up of individual tasks that need to be completed by Envestnet, the Home Office or Advisor. When a task is ‘ready,’ the party responsible for completing the task needs to take action. When a sponsor user searches for Tasks, they should set the filter to Ready (Sponsor) to see the items that will require action by the home office.
To complete a Task:

1. Click the Service Request (SR) Number

2. Go to the Tasks tab & select Ready under the Status column

3. Use the Wrench icon to complete or take action on the task
2.6.3 Proposal Search

The Proposal Search section will display all proposals that have been run at the Enterprise/Firm/Branch. This section will be used to promote proposals which will create the open registration service request. This section can be filtered by using the filter icon, or the user can scroll to find the proposal and click on the proposal title.

Filters – Status Options:
- **All** – Combination of Active, Waiting on Paperwork, Waiting on Funding/Investing, Invested and Pending Delete
- **Active** – Proposals that not have been finalized by the advisor.
- **Paperwork Pending** – Proposals that have been completed but paperwork has not been generated.
- **Waiting on Paperwork** – Proposals that have been finalized by the advisor but not yet promoted to In Good Order (IGO). Home office receives paperwork and promotes to IGO.
- **Waiting on Funding/Investing** – Proposals that have been promoted to IGO and are either waiting for funding or investing.
- **Invested** – Proposals that have been promoted to IGO and the accounts have invested.

When the sponsor user finds the proposal, in order to promote to in good order, follow the below steps:

1. **Click the Proposal Title**
2. Then click on the Wrench to Promote to IGO (In Good Order)

![Screenshot of Promote To IGO](image)

3. After promoting to IGO, the **Open Registration** service request will be created and the user can begin processing the service request.

![Screenshot of Open Registration](image)

### 2.7 Performance

Performance and Billing allows the sponsor user to have Enterprise/Firm/Branch access to Quarterly Performance Reports (QPRs), Notification Reports, Account Billing Activity and the Billing Debit Report.

#### 2.7.1 Quarterly Performance Report (QPR)

The QPR section will allow the sponsor user to pull up any QPR from the Enterprise/Firm/Branch level. The results can be filtered using the **Filter** icon. The system will automatically display the last 8 quarters of QPR documents. If the user wishes to merge the results of their filtering into one document (to save time on printing), this can be done via the **Document** icon. If the user wishes to pull up a single QPR, this can be done via the statement hyperlink.
2.8 Billing

2.8.1 Advisor Compensation Activity
The Advisor Compensation Activity allows for a high level view of firm/branch/advisors assets under management. By using the Explorer Search Functionality sponsors can identify an Advisor’s program breakdown.

2.8.2 Account Billing Activity
Account billing activity will show all billing that has taken place at the Enterprise/Firm/Branch level. Results can be filtered using the Filter icon.
2.8.3 Billing Debit Report

This report is intended to provide the sponsor user with information related to the most recent pending or published bill for accounts. The billing debit report will allow the sponsor user to view accounts that will be taken into debit if fees are pulled. The results can be filtered via the Filter icon. To view only accounts that will be in debit, check off the box Accounts with insufficient cash.
2.9 Monitor

2.9.1 Investment Policy Exceptions
All clients’ Investment Policy Exceptions can be monitored and filtered via the Exception Type (varies by firm) and Level of Severity (Violation vs. Warning).

2.9.2 Trade Hold Management
The ability to monitor for all accounts placed on trade hold, follow up date and reason for placing the account on trade hold. Review this report daily to monitor for trade holds that need to be reviewed for validity.
2.9.3 Advisor Alerts
Provides the home office with all of the advisors’ alerts at the Enterprise/Firm/Branch level, for example, account opened, account closed, security style change, and account funded.

2.9.4 Restrictions
This report allows the home office user to view all of the restrictions for the entire client base. Client level and firm level restrictions can be viewed including security, industry and wash sale restrictions.
2.9.5 Service Enrollment
Sponsors can track and identify advisors that are enrolled in additional reporting services offered through Envestnet.

2.9.6 Fiduciary Notes
Sponsors using Investment Policy Review Questionnaires as part of the Investment Policy Reviews can access the Fiduciary Notes that are a part of the Investment Policy Review Questionnaire. This report is only available for firms configured to set up and manage Investment Policies.
3 Dashboard

The Dashboard global tab provides the sponsor user with access to their desktop along with the following reports: Proposal Activity, Advisor Activity, Sales and Redemptions, Manager Analysis, Sleeve Analysis, Holdings Analysis, and Transactions.

3.1 Proposal Activity

The Proposal Activity report allows the home office user to review proposals that have been created by any advisors within the Enterprise/Firm/Branch.

Results of this report can be filtered by using the Filter icon. Use the filters to search for different proposal statuses, product, advisor, etc.
The remaining symbols allow for the following:

- **Column Manager** – Choose order and which columns to view
- **Saved Layouts** – Allows the sponsor user to create and save report layouts (this includes columns and filters)
- **Groupings** – Provides different ways for the report results to be grouped
- **CSV** – Allows for exporting the report results to spreadsheet

### 3.2 Advisor Activity

The **Advisor Activity** report allows the sponsor users to view information about advisors' activities on the platform. Some of the available information includes: Assets under Management, Firm, Branch; Region, Logins, Last Login, Number of Accounts, and Average Account Size.

Results of this report can be filtered by using the **Filter** symbol.
The remaining symbols allow for the following:

- **Column Manager** – Choose order and which columns to view
- **Saved Layouts** – Allows the sponsor user to create and save report layouts (this includes columns and filters)
- **Groupings** – Provides different ways for the report results to be grouped
- **CSV** – Allows for exporting the report results to spreadsheet

### 3.3 Sales and Redemptions

The **Sales and Redemptions** report will give the sponsor user the ability to view new and closing accounts on the system. The initial running of the report will show the user the total new/closed accounts as well as each individual account.

Results of this report can be filtered by using the **Filter** symbol.
The remaining symbols allow for the following:

- **Column Manager** – Choose order and which columns to view
- **Saved Layouts** – Allows the sponsor user to create and save report layouts (this includes columns and filters)
- **Groupings** – Provides different ways for the report results to be grouped
- **CSV** – Allows for exporting the report results to spreadsheet

### 3.4 Manager Analysis

The manager analysis report gives the home office user a firm/enterprise wide view of money invested by manager. The user will be able to view manager, number of advisors using the manager, total assets with the manager, percent of the firm’s assets held within a particular manager, number of accounts with manager, and the number of sleeves within accounts that use a particular manager. Results of this report can be filtered by using the **Filter** symbol.
The remaining symbols allow for the following:

- **Column Manager** – Choose order and which columns to view
- **Saved Layouts** – Allows the sponsor user to create and save report layouts (this includes columns and filters)
- **Information** – Provides disclosure information
- **CSV** – Allows for exporting the report results to spreadsheet

### 3.5 Sleeve Analysis

The sleeve analysis report gives the home office user a firm/enterprise/branch wide view of money invested by sleeve. The user will be able to view the account and sleeve manager for all accounts the sponsor user has access to.

Results of this report can be filtered by using the **Filter** symbol.

![Sleeve Analysis Screenshot](image)

The remaining symbols allow for the following:

- **Column Manager** – Choose order and which columns to view
- **Saved Layouts** – Allows the sponsor user to create and save report layouts (this includes columns and filters)
- **Groupings** – Allows to group the information that has been filtered
- **PDF** – Allows to print the report to PDF
- **CSV** – Allows for exporting the report results to spreadsheet

### 3.6 Holdings Analysis

The holdings analysis report gives the home office user a firm/enterprise/branch wide view of holdings across all client accounts. The report can then be filtered to find specific information about client holdings. Results of this report can be filtered by using the **Filter** symbol.

![Holdings Analysis Screenshot](image)
The remaining symbols allow for the following:

- **Column Manager** – Choose order and which columns to view
- **Saved Layouts** – Allows the sponsor user to create and save report layouts (this includes columns and filters)
- **Groupings** – Allows to group the information that has been filtered
- **CSV** – Allows for exporting the report results to spreadsheet

### 3.7 Transactions

The transactions report gives the home office user a firm/enterprise/branch wide view of transactions across all client accounts. The report can then be filtered to find specific information about client transactions. Results of this report can be filtered by using the **Filter** symbol.
The remaining symbols allow for the following:

- **Column Manager** – Choose order and which columns to view
- **Saved Layouts** – Allows the sponsor user to create and save report layouts (this includes columns and filters)
- **Groupings** – Allows to group the information that has been filtered
- **CSV** – Allows for exporting the report results to spreadsheet

### 4 Manage

The **Manage** global tab will provide the sponsor user oversight into the UMA and Advisor Directed portfolios being used by all advisors within the firm/enterprise.

![Manage Global Tab](image)

#### 4.1 Models

#### 4.1.1 Advisor Models

This section will give the sponsor user the ability to view all models that have been created by advisors. Results can be filtered by the options below.

![Advisor Models Section](image)

Clicking on a model name will bring you into the model information section where you will be able to view/update the model based on your permissions to the system.
4.1.2 Overlay Models

If enabled for Overlay use, this section will allow the sponsor user to create overlay models for advisors.
4.1.3 Overlay Recommendations
This section will allow the sponsor user to create overlay recommendations for use by advisors.

After choosing to Add Overlay Rule, use the Edit button to unlock the fields for making updates.

4.2 Trading
4.2.1 Trade Generation
The trade generation will allow the home office user to generate trades on behalf of the advisors. This works similar to the advisor trade generation section. For further information on how to generate trades from here, please see the Manage Tab Manual. All tabs have the ability to be filtered or grouped via the icons on the top of the report.

4.2.2 Trade Execution
After trades have been submitted, they will move from the Trade Generation section into the Trade Execution section. This will allow the sponsor user to track trades after they have been submitted by the advisor. Trades can be filtered by Branch, Advisor Name, Account, Ticker/CUSIP, Custodian, Status, Trade Price Qualifier, Trade Time In Force, Start Date, End Date, Block ID, Batch ID, Exceptions, GTC Trades, Off-Platform, and Deleted Transactions.
4.2.3 Trade History

The Trade History section will show a history of all trades for the Enterprise/Firm/Branch. The results on this page can be filtered by Status (Pending, Staged, Completed and Cancelled) and Date.
4.2.4 Trade Reconciliation

**Trade Reconciliation** will show a summary of all trade alerts within the Enterprise/Firm/Branch. The results can be filtered by **Exception Type** (Rejected, Pending and Unscheduled) and **Account Number**. Trade alerts can be closed one at a time by using the **Gear** icon.

4.2.5 GTC Exceptions

This section shows all outstanding GTC orders across the Enterprise/Firm/Branch. Results on this page can be filtered by **Branch**, **Account**, **Ticker**, **Branch Region**, and **Exception Type** (Short Cash, Insufficient Position, Account Terminated, and Rep Terminated).
5 Customization

The Customization global tab will provide the sponsor user to ability to maintain Global Settings, Entitlements, Reporting Templates, Security List applications, the ability to monitor Investment Policy violations and site content to all advisors within the firm/sponsor/enterprise.

5.1 General Properties

The General Properties section is where high level Enterprise/Firm Information is posted.

5.2 Settings

From the Settings tab the branch/firm/enterprise user can apply and configure various configurations and entitlements when Advisors log into their respective interfaces. By using the Explorer Search Functionality, each component can be expanded and customized by selecting the Pencil icon. Please see the Entitlement Configuration Manual for additional details in creating, posting & maintaining firm level documentation.
5.3 Report Benchmarks

From the Report Benchmarks tab the branch/firm/enterprise user can apply and configure pre-built or custom report benchmarks. Use the Filter icon to search the available benchmarks. Please see the Entitlement Configuration Manual for additional details in creating, posting & maintaining custom firm benchmarks.
Use the Plus (+) icon to create a custom benchmark (please see the Benchmarks home office manual to learn how to create custom benchmarks).

5.4 Report Templates

The Report Templates tab contains all available Report Templates, which can be applied at the Advisor Log-In, End Client Log-In and Quarterly Performance levels. The Platform also allows for the application of customized templates from the firm level down to an individual client. To view details regarding a specific template, or make changes to a pre-existing template, select the template name hyperlink to launch into the Properties/Reports within the Template/Settings for that specific template.

To create a new Template select the + icon and choose the type of template to create.
5.5 Investment Policies

Investment Policies will show the sponsor user all Investment Policy exceptions at the Enterprise/Firm/Branch level. The results can be filtered by using the Filter icon. The most frequently used Reports are pre-populated under the Saved Layouts icon, however the platform allows for flexible report creation that adapts to the Firm’s requirements.
5.6 Site Content

Site Content is an index of all Firm wide content. Utilizing the Filter options will allow for the easy identification of content. Supervisor level entitlements may allow users to upload and manage custom documentation on the Envestnet Platform. Select the + to add a Marketing or Product document. Select the hyperlink of the document within the Name column to apply updates. Please see Site Content Manual for additional details in creating, posting & maintaining firm level documentation.

NOTE: Enabling Site Content requires prior approval from Envestnet’s Compliance Department; Supervisor level users with Site Content may not alter or remove Envestnet or Manager documents.

5.7 Customize Advisor Desktop

This enables sponsors to set a default desktop layout for all advisors under their hierarchy at once and lock any widgets that are deemed as required so that advisors cannot remove them.
Clicking **Edit** will enable the sponsor user to make updates to the default desktop view for their advisors. The sponsor can click the **Plus (+)** icon to add widgets that will be available to the advisors. Select the **X** icon to remove any widgets; use the **Arrows** to rearrange the default order of the widgets. Use the toggles to lock that widget to the desktop page and make visibility mandatory. Any widget that is not mandatory can be removed from the desktop page by the advisor. Click **Save** when ready to proceed.

A confirmation popup will appear, confirming that this action will make changes to existing layouts saved by advisors under their hierarchy. The sponsor can then click **Continue** to proceed in publishing the layout.

**NOTE:** The next time advisors logs in, they will find the sponsor’s published layout. If the advisor wishes to customize their layout further, they will have the ability to use the Desktop Manager to rearrange any of the widgets that the sponsor has included by default, add any widgets that the sponsor has not included by default, and remove any widget that the sponsor has not locked as mandatory. If a widget has been required by the sponsor, the **x** icon next to that widget will be greyed out and the advisor will not have the ability to remove it.

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### 6 Disclaimer

This Home Office™ Reference Manual is designed for **Home Office Use Only**. The graphical illustrations herein do not represent client information or actual investments. The services and materials described herein are provided on an “as is” and “as available” basis, with all faults. Envestnet disclaims all warranties, express or implied, including, without limitation, warranties of merchantability or fitness for a particular purpose, title, non-infringement or compatibility. Envestnet makes no representation or warranties that access to and use of the internet while utilizing the services as described herein will be uninterrupted or error-free, or free of viruses, unauthorized code or other harmful components. Envestnet reserves the right to add to, change, or eliminate any of the services and/or service levels listed herein without prior notice to the advisor or the advisor’s home office/SR# 1330511.