Private Wealth Series
Advisor Guide

What you need to do to move a client's Alternatives allocation from account setup through funding.

ACCREDITED INVESTORS | PRIVATE PLACEMENT | DOCUSIGN REQUIRED | UP TO 6 WEEKS TO FUND

Investing a client in a Gradient Alternatives model involves a few steps on your end — account setup, replying to a qualification email, and signing via DocuSign. Once you've completed those, our Trading team handles the rest (order entry, carrier submission, and filing) — you don't need to do anything further.

Set expectations with your client up front: once we have the DocuSign paperwork back, full allocation can take up to 6 weeks due to issuer deadlines.

1 💼 Set Up or Update the Account

NEW ACCOUNT

Set up and fund the account as you would any other.

Make sure the IPC indicates the client is investing in the appropriate Alternatives model.

EXISTING FUNDED ACCOUNT

Submit a Business Central PCR to move the allocation into the appropriate Alternatives model.

2 ✉ Reply to the Qualification Email

Once Trading identifies the model in the account, you'll receive a qualification email (sample on the following page). Nothing moves forward until you reply — so respond as soon as you're able. Your reply needs to include:

- The client's answers to all four qualification questions (Accredited Investor, Qualified Client, Qualified Eligible Person, Qualified Purchaser)
- A copy of the client's unexpired driver's license — front and back
- Your confirmed cell number, which you'll need for DocuSign multi-factor verification

⚠ Gate: Trading cannot begin building the order until your reply is received.

3 ✍ Sign the DocuSign Package

Once Trading has your reply and has built the order, you and your client will each receive a DocuSign package to sign. Your client's identity is verified via a text message to their cell, and you'll verify yours via the cell number you provided in Step 2.

Trading is notified automatically once everything is signed correctly — there's nothing further for you to do at that point.

Timing to Keep in Mind

Because these are private investments, allocation isn't instant — once we have the DocuSigned paperwork back, issuer deadlines and cutoffs mean full allocation can take up to 6 weeks. Build this into how you set expectations with your client.

💡 **Hamilton Lane Private Infrastructure Fund** (ticker XHIIX) trades on a tender date rather than daily, so allow extra time for that model specifically.

After You Sign

From here, Trading takes care of submitting the order to the carrier, filing all documentation, and monitoring funding through to the carrier and any needed sleeve transfers in Orion.

You don't need to track these steps — Trading will follow up if anything further is needed from you.

Appendix — Sample Qualification Email

This is the email you'll receive from Trading once a model is identified in the account. Reply directly to it with the items listed in Step 2.

RE: GRADIENT ALTERNATIVES — (INSERT MODEL)

Good day,

Thank you for choosing to invest in Gradient Alternatives: (Insert Model)

As these are private investments, additional follow-up questions need to be answered to qualify the client for this purchase — one answer per boxed section:

Accredited Investor	YES / NO
Qualified Client	YES / NO
Qualified Eligible Person	YES / NO
Qualified Purchaser	YES / NO

Please respond to this email with the client's qualifications to proceed — no action will be taken until we have these answers.

We also need a copy of an unexpired driver's license (front and back) for (Client).

Lastly, please confirm your cell number — you're required to sign the DocuSign, which requires multi-factor verification to your cell phone.

Thank you