

STONECASTLE



Existing Client FICA Account **User Guide** For Individual & Joint Accounts

Brokerage Account Set Up

Initiate a Deposit via your Brokerage Account

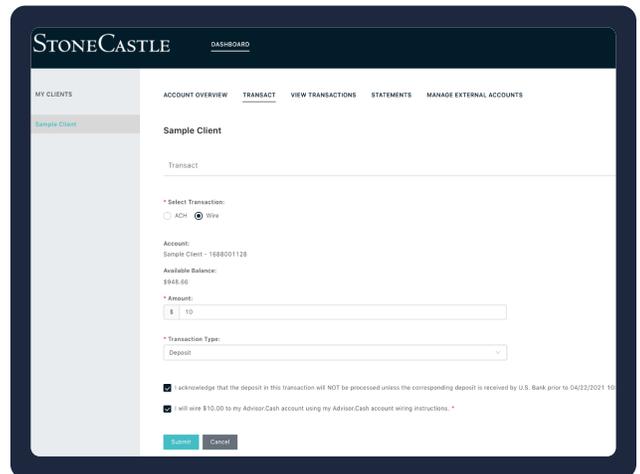
(Please contact your financial advisor if you did not set up a brokerage account during the initial account set up.)

1

Login to the client portal.

Navigate to “Transact” Tab to initiate/request wire instructions.

- Select Wire
- Input Wire Amount
- Select Transaction Type-Deposit
- Check Acknowledgments and Submit



The screenshot shows the StoneCastle client portal dashboard. The 'Transact' tab is selected, and the 'Sample Client' account is active. The form displays the account number (1688001128) and available balance (\$948.66). The amount field is set to \$10.00, and the transaction type is 'Deposit'. There are two checkboxes for acknowledgment: 'I acknowledge that the deposit in this transaction will NOT be processed unless the corresponding deposit is received by U.S. Bank prior to 04/22/2021 10:00 AM ET' (checked) and 'I will wire \$10.00 to my Advisor Cash account using my Advisor Cash account wiring instructions.' (unchecked). 'Submit' and 'Cancel' buttons are at the bottom.

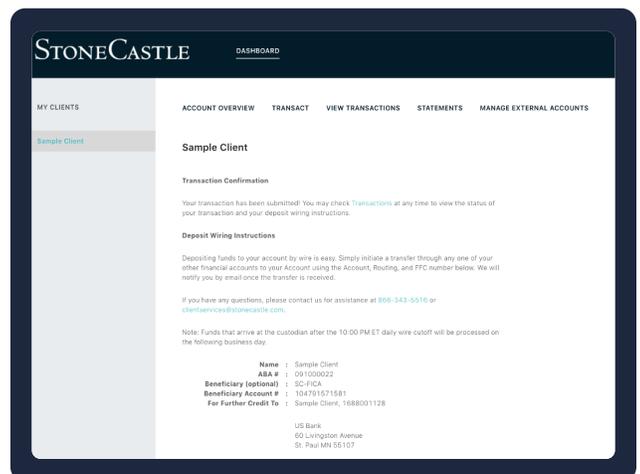
2

You will be redirected to the deposit wiring instructions screen.

(At this point your transaction is not final.)

Provide these instructions to the financial institution responsible for sending the wire to StoneCastle’s custodian.

Wires must be received prior to the 3pm ET cut off for same-day credit.



The screenshot shows the StoneCastle client portal dashboard with the 'Deposit Wiring Instructions' screen. It includes a 'Transaction Confirmation' section stating the transaction has been submitted. The 'Deposit Wiring Instructions' section provides details for depositing funds to the account, including contact information for assistance (888-343-5316 or clientservices@stonecastle.com). A note states that funds arriving after the 10:00 PM ET daily wire cutoff will be processed the following business day. The beneficiary information is listed as follows:

Name	: Sample Client
ABA #	: 091000022
Beneficiary (optional)	: 00-FICA
Beneficiary Account #	: 104791571581
For Further Credit To	: Sample Client, 1688001128

The bank information is listed as US Bank, 60 Livingston Avenue, St. Paul, MN 55107.

3

Click on the “View Transactions” Tab to view pending transaction details.

Once wire is received by StoneCastle (prior to 3pm ET cutoff), wire and new account balance will be updated (by 6pm ET).

The screenshot displays the StoneCastle dashboard interface. At the top left is the StoneCastle logo and a 'DASHBOARD' label. On the right, there is a user profile section with the email 'sin@stonecastle.com', a LinkedIn icon, and an 'INVITE CLIENT' button. The main navigation menu includes 'MY CLIENTS', 'ACCOUNT OVERVIEW', 'TRANSACTION', 'VIEW TRANSACTIONS' (which is highlighted), 'STATEMENTS', and 'MANAGE EXTERNAL ACCOUNTS'. Under 'MY CLIENTS', 'Sample Client' is selected. The 'Pending Transactions' section for 'Sample Client' features a table with the following data:

Request Time (ET)	Amount	From/To Account	Transaction Type	Account	Status	Actions
04/22/2021 02:20 PM	\$10.00		Wire Deposit	Sample Client - 1128	Submitted	Cancel Transaction
04/21/2021 01:48 PM	\$1.00		Wire Deposit	Sample Client - 1128	Submitted	Cancel Transaction

A link for 'View Deposit Wiring Instructions' is located at the top right of the table.

Initiate a Withdrawal via your Brokerage Account

1

Login to the client portal.

Navigate to “Transact” Tab to initiate/request wire instructions.

- Select Wire
- Input Wire Amount
- Select Transaction Type-Withdrawal
- Select Financial Institution

(If not previously set up, field will appear blank. For security and internal control reasons, wire instructions cannot be modified through the portal. Contact your financial advisor for a bank wire instruction form.)

The screenshot shows the StoneCastle dashboard with the 'Transact' tab selected. The form includes the following fields and options:

- Select Transaction:** Radio buttons for 'ACH' and 'Wire' (selected).
- Account:** Sample Client - 1088001128
- Available Balance:** \$848.06
- Amount:** Input field with '\$ 10' entered.
- Transaction Type:** Dropdown menu with 'Withdrawal' selected.
- To:** Input field with '100 Account - *12345' entered.
- Disclaimer:** A checkbox for acknowledging that the withdrawal will not be processed unless submitted prior to 04/22/2021 10:00 PM (ET).
- Buttons:** 'Submit' and 'Cancel' buttons.

2

Click the “Submit” button.

Transactions go into a queue and will be processed same-day if submitted prior to 3pm ET.

All transactions processed same-day will be delivered via wire to the standing instructions on file by 11am ET the following business day (T+1 Liquidity).

The screenshot shows the StoneCastle dashboard with the 'Transaction Confirmation' message displayed. The message includes the following text:

- Transaction Confirmation**
- Your transaction has been submitted! You may check [Transactions](#) at any time to view the status of your transaction and your deposit wiring instructions.
- If you have any questions, please contact us for assistance at [866-343-5516](tel:866-343-5516) or clientservice@stonecastle.com.
- Note: Funds that arrive at the custodian after the 10:00 PM ET daily wire cutoff will be processed on the following business day.

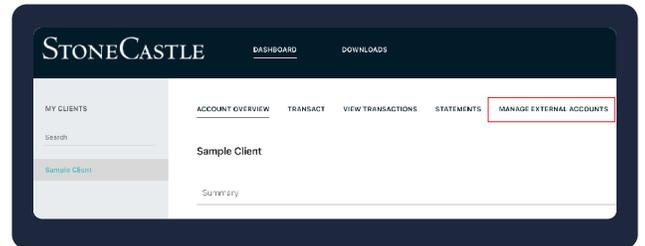
ACH Account Set Up/Transaction Process

Add ACH to an Existing Account

1

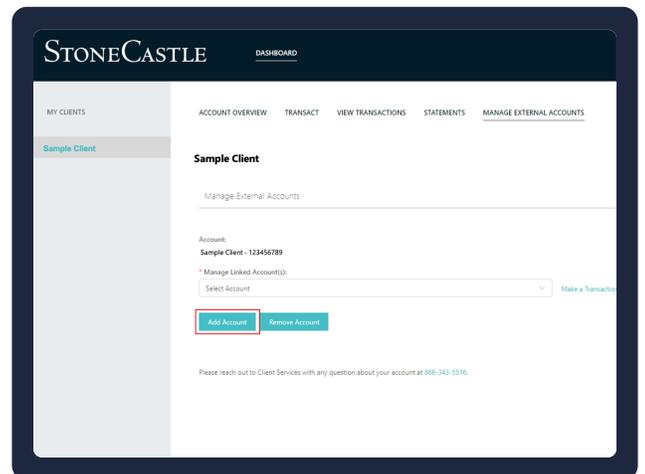
Login to your client portal.

Navigate to “Manage External Accounts” Tab.



2

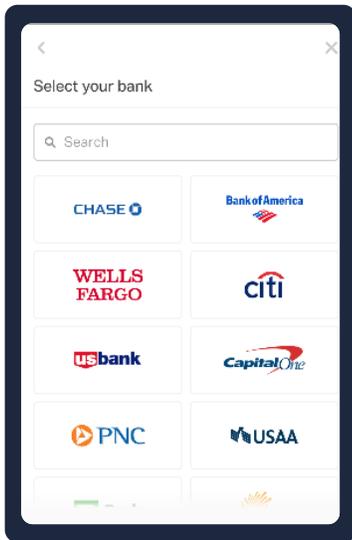
Click on “Add Account” button to link a new bank account.



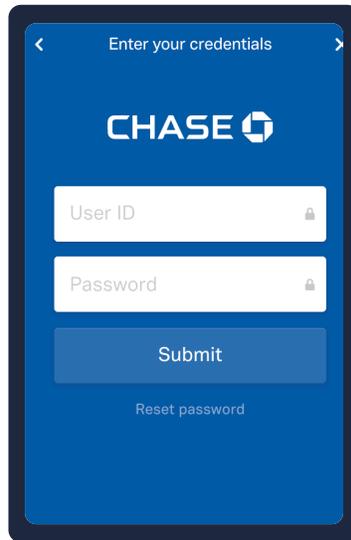
3

You will be redirected to the Plaid interface.

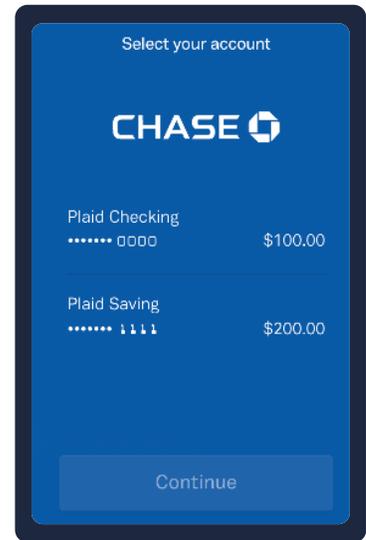
LINK to your bank account for ACH transfers.



Select your bank name



Enter your unique user ID and Password for your bank account



Select your account type

By selecting an account and clicking "Continue" the process will be complete and allow you to immediately initiate a deposit into your FICA account.

