



April 2, 2024

As we continue to transition to a self-clearing platform, we want to keep you informed of any remaining conversion related matters, what we are doing about them, and when you can expect resolution for both you and your clients.

Again, we want to express our sincere apologies for any disruptions you may have experienced. We understand the frustration and inconvenience this has caused you, and we want to assure you that we are working diligently to limit further disruptions. We want to thank you for your patience and understanding as we work towards solutions.

Here's what we're doing to address the ongoing interruptions:

1. **Technology:** Our team and partners are working diligently to identify and implement necessary fixes, upgrades, and optimizations to improve the performance of the platform and processes.
2. **Quality Assurance Measures:** We are enhancing our quality assurance procedures over introduced systemic changes.
3. **Communication:** We are committed to keeping you informed about the progress of our efforts and any developments related to the resolution of these issues. You can expect frequent updates on significant items from us as we work toward impactful solutions.

Effective today, April 2, 2024, we will be providing you with Conversion Updates. These updates will provide a summary of current issues and what action has/will be taken to resolve them. We expect these updates will provide the transparency you require.

## CONVERSION UPDATES

### Cashiering | Money Movement

- REMINDER: When requesting distributions, please ensure accounts have available cash at the time the distribution form is received.
- If funds are not available, then the request will be considered NIGO.

Attached is a copy of the email sent on 3/26/2024 regarding Money Movement items.

### Pricing | Alternatives & Non-Traditional Assets

- We are aware of instances where valuations reflected on Orion and Wealthstation for the same Alternative & Non-Traditional Assets are not matching.
- We are investigating this matter with our vendors and will provide an update on the progress

### End Client Log-On Credentials | All Credentials Will Be Distributed by April 9<sup>th</sup>

- End Client login credentials are being distributed.
- We're organizing logins by Social Security Number (SSN) or Tax Identification Number (TIN) to reduce the number of emails your clients receive.
- Each SSN or TIN will get two emails: one with the Username and another with the temporary password.
- If there are different types of accounts (for example Trust accounts or Custodial accounts), with different SSNs or TINs, your clients will may multiple emails with different sets of credentials.
- If you require additional assistance, please contact your Relationship Manager.
- We've also created a special phone option to help with password resets and online credentials for you and your clients.
- **Please Note:** *If you are logging into your personal accounts, please ensure you are using your Investor credentials and not your Advisor credentials.*

### WealthStation | Difficulty determining or viewing account registration types/account nature

- An enhancement was added that will show you the account registration type when hovering over the account in WealthStation.
- A screen shot has been added below for your reference.

