

Technology Adoption Scorecard

Master and End-Client Accounts		Investment Advisor Data				Benchmark
		Q4 2016	Q1 2017	Q2 2017	Q3 2017	Q3 2017
	Total Number of Master Accounts	26	26	26	26	
	Total Number of End-Client Accounts	11,616	11,787	11,863	11,982	
Authentication Devices		Q4 2016	Q1 2017	Q2 2017	Q3 2017	Q3 2017
	Total Number of Active User IDs	132	136	140	140	
	Number of Active IDs Using Authentication Devices	62	61	61	64	
	Authentication Devices Adoption Percentage	46.97%	44.85%	43.57%	45.71%	61.43%
Schwab Alliance and Schwab Mobile Usage		Q4 2016	Q1 2017	Q2 2017	Q3 2017	Q3 2017
Accounts	Percentage Enabled for SchwabAlliance.com	76.80%	77.34%	77.72%	77.76%	68.18%
	Percentage of Enabled Accounts Accessed on SchwabAlliance.com	65.44%	74.10%	64.64%	63.20%	58.88%
	Percentage of Enabled Accounts Accessed on Schwab Mobile	16.40%	16.63%	17.27%	17.80%	13.05%
Clients	Percentage with SchwabAlliance.com Credentials	53.07%	53.80%	54.53%	54.73%	51.96%
	Percentage with Credentials Who Accessed SchwabAlliance.com	57.41%	65.14%	57.36%	55.45%	52.11%
	Percentage with Credentials Who Accessed Schwab Mobile	12.35%	12.51%	12.89%	13.06%	10.11%
Electronic Delivery		Q4 2016	Q1 2017	Q2 2017	Q3 2017	Q3 2017
eStatements	Total Number of Client Accounts Receiving eStatements	5,432	5,667	5,758	5,875	
	eStatements Adoption Percentage	46.76%	48.08%	48.54%	49.03%	45.34%
eConfirms	Total Number of Client Accounts Receiving eConfirms	6,224	6,464	6,591	6,772	
	eConfirms Adoption Percentage	53.58%	54.84%	55.56%	56.52%	52.70%
Alerts and Status		Q4 2016	Q1 2017	Q2 2017	Q3 2017	Q3 2017
	Viewed Alerts in Time Period?	Y	Y	Y	Y	
	Viewed Status Detail in Time Period?	Y	Y	Y	Y	
Online Account Open		Q4 2016	Q1 2017	Q2 2017	Q3 2017	Q3 2017
	Total Number of Eligible Accounts Opened	222	250	274	204	
	Number of Accounts Opened Online	22	35	25	19	
	Online Adoption Percentage	9.91%	14.00%	9.12%	9.31%	17.67%
eSignature		Q4 2016	Q1 2017	Q2 2017	Q3 2017	Q3 2017
	Total Number of Eligible eSignature Forms	404	423	481	337	
	Number of eSigned Forms	36	41	27	12	
	Percentage of Forms with eSignature	8.91%	9.69%	5.61%	3.56%	3.34%

The "Benchmark" is based on all transactions for all advisors who custody assets with Schwab.

© 2017 Charles Schwab & Co., Inc. All rights reserved. Member SIPC.

Schwab Advisor Services™ includes the custody, trading and support services of Charles Schwab & Co., Inc. (1017-7CVK) MKT47405-06

Advisor Check Deposits		Investment Advisor Data				Benchmark
		Q4 2016	Q1 2017	Q2 2017	Q3 2017	Q3 2017
	Number of Check Deposited Online	0	0	0	90	

Service Requests		Q4 2016	Q1 2017	Q2 2017	Q3 2017	Q3 2017
	Total Number of Jobs Created	3,075	2,782	3,521	2,636	
	Number of Jobs using Service Requests	1,557	1,655	2,319	1,938	
	Service Request Adoption Percentage	50.63%	59.49%	65.86%	73.52%	56.34%

Move Money Requests		Q4 2016	Q1 2017	Q2 2017	Q3 2017	Q3 2017
Total Requests	Total Number Initiated by Investment Advisor	4,448	4,274	4,278	3,819	
	Number Requested Online	2,993	3,357	3,233	2,874	
	Online Adoption Percentage	67.29%	78.54%	75.57%	75.26%	67.13%
Total eAuthorization	Total Number of Eligible eAuthorization Transactions	64	74	78	75	
	Number of eAuthorized Move Money Transactions	43	54	49	63	
	Percentage of Move Money Transactions with eAuthorization	67.19%	72.97%	62.82%	84.00%	51.35%
Wire Requests	Total Number Initiated by Investment Advisor	1,003	985	1,014	975	
	Number Requested Online	792	782	766	740	
	Online Adoption Percentage	78.96%	79.39%	75.54%	75.90%	53.96%
Check Requests	Total Number Initiated by Investment Advisor	531	228	218	208	
	Number Requested Online	89	79	64	48	
	Online Adoption Percentage	16.76%	34.65%	29.36%	23.08%	44.48%
Cash Journal Requests	Total Number Initiated by Investment Advisor	1,815	1,931	1,861	1,542	
	Number Requested Online	1,254	1,512	1,391	1,169	
	Online Adoption Percentage	69.09%	78.30%	74.74%	75.81%	57.45%
MoneyLink Requests	Total Number Initiated by Investment Advisor	903	1,008	1,049	943	
	Number Requested Online	839	954	986	900	
	Online Adoption Percentage	92.91%	94.64%	93.99%	95.44%	91.42%
Position Journal Requests	Total Number Initiated by Investment Advisor	196	122	136	151	
	Number Requested Online	19	30	26	17	
	Online Adoption Percentage	9.69%	24.59%	19.12%	11.26%	17.88%

The "Benchmark" is based on all transactions for all advisors who custody assets with Schwab.

© 2017 Charles Schwab & Co., Inc. All rights reserved. Member SIPC.

Schwab Advisor Services™ includes the custody, trading and support services of Charles Schwab & Co., Inc. (1017-7CVK) MKT47405-06

Trading		Investment Advisor Data				Benchmark
		Q4 2016	Q1 2017	Q2 2017	Q3 2017	Q3 2017
Equities	Total Number Executed Trades Initiated by Investment Advisor	14,286	18,354	11,575	11,856	
	Total Number Executed through Online Channels	14,183	18,157	11,465	11,781	
	Online Adoption Percentage	99.28%	98.93%	99.05%	99.37%	97.03%
Exchange Traded Funds	Total Number Executed Trades Initiated by Investment Advisor	2,753	2,878	2,296	2,999	
	Total Number Executed through Online Channels	2,741	2,862	2,280	2,978	
	Online Adoption Percentage	99.56%	99.44%	99.30%	99.30%	98.59%
Mutual Funds	Total Number Executed Trades Initiated by Investment Advisor	14,636	14,634	16,087	13,986	
	Total Number Executed through Online Channels	14,509	14,524	15,994	13,834	
	Online Adoption Percentage	99.13%	99.25%	99.42%	98.91%	98.67%
Fixed Income	Total Number Executed Trades Initiated by Investment Advisor	114	154	77	129	
	Total Number Executed through Online Channels	7	3	3	0	
	Online Adoption Percentage	6.14%	1.95%	3.90%	0.00%	53.12%
Total Trades	Total Number Executed Trades Initiated by Investment Advisor	31,789	36,020	30,035	28,970	
	Total Number Executed through Online Channels	31,440	35,546	29,742	28,593	
	Online Adoption Percentage	98.90%	98.68%	99.02%	98.70%	97.35%
Prime Broker Block Trades	Total Number Executed Trades Initiated by Investment Advisor	70	77	80	35	
	Total Number Executed through Online Channels	70	77	80	33	
	Online Adoption Percentage	100.00%	100.00%	100.00%	94.29%	97.82%
Trade Away	Total Number Executed Trades Initiated by Investment Advisor	71	76	69	193	
	Total Number Executed through Online Channels	71	76	69	193	
	Online Adoption Percentage	100.00%	100.00%	100.00%	100.00%	99.01%

The "Benchmark" is based on all transactions for all advisors who custody assets with Schwab.

© 2017 Charles Schwab & Co., Inc. All rights reserved. Member SIPC.

Schwab Advisor Services™ includes the custody, trading and support services of Charles Schwab & Co., Inc. (1017-7CVK) MKT47405-06