

## **SCHWAB'S PORTFOLIO REBALANCER**

**Frequently asked  
questions**

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# Access

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## How can I get access to Schwab's Portfolio Rebalancer?

Schwab's Portfolio Rebalancer can be found as a dedicated tab within Schwab Advisor Center's Trading & Research section. If the tab is not present, you will need the 'Access Rebalancer' function enabled by your firm security administrator. Additional functions will also need to be granted to make full use of the tool's functionality:

- **Trade Online** – Portfolio Rebalancer has the capacity to create trade files, requiring users to have trading rights. As a rule of thumb, users with access to the Web Trading Applet (WTA) will also have access to the Portfolio Rebalancer tool.
- **Access Group Administration** – Users have the option to rebalance groups of accounts, created using Group Manager.

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## Are there online help or tutorials available for me to access?

There are eight workflow specific user guides that can be found within tool. Each guide provides information and step-by-step instructions on how to complete such tasks as model creation, setting target allocations, or rebalancing an account via one of the four rebalancing modes. Additional help content is also available within Portfolio Rebalancer's Help section of the Schwab Advisor Center.

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## Can Portfolio Rebalancer be used with the Mozilla Firefox web browser?

Portfolio Rebalancer is optimized for Internet Explorer 7 and Mozilla Firefox versions 3.5 or higher.

# Feature functionality

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## What security types does Portfolio Rebalancer accept?

Schwab's Portfolio Rebalancer is capable of rebalancing portfolios containing mutual funds, equities, exchange-traded funds, fixed income and cash. Rights, warrants, options, securities priced under \$.01 and short positions, however, are considered excluded and will not be included in the rebalancing process. Should a security not be recognized by the tool, you will be given the option to assign that security as a generic product, allowing it to be included in the rebalancing process.

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## Is Portfolio Rebalancer customizable?

Within Portfolio Rebalancer's preferences area, you will find a number of available customizations to customize the portfolio-rebalancing process:

- **Target allocations** – Create and rebalance to custom target asset allocations by style or sector classifications
- **Model portfolios** – Create and rebalance to custom securities-based model portfolios used by your practice
- **Style and sector overrides** – Override tool-provided style and sector assignments for any security used to best meet your needs
- **Cash buffers** – Create cash buffers as either a fixed dollar amount or percentage of the portfolio to ensure cash on hand after a rebalance
- **Manage outside accounts** – Establish portfolios held at outside custodians and rebalance the portfolios alongside Schwab-held assets

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## What controls are available within Portfolio Rebalancer?

Portfolio Rebalancer was designed to give you control over the rebalancing process and help minimize the number of transactions generated in the trade list. Constraint features include:

- **Security and product locks** – Lock securities or entire product types from being sold after a rebalancing session
- **Messaging for restricted securities** – Create a list of securities deemed 'restricted' and be notified via warning message should any of them appear during the rebalancing process
- **Tolerance bands** – Set lower and upper percentage tolerance 'bands' unique to each security's within a portfolio weight, ensuring trades will only be generated when the position drifts beyond those bands
- **Minimum transaction amounts** – Set minimum transaction amounts for a supported product type and be notified when trades are generated below those minimums

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### Can I assign models to accounts within the tool?

When an account or group is selected for a rebalance and a model is chosen for that account or group, the model choice persists and is pre-selected the next time that account or group is selected for a rebalance. This even applies to Portfolio Rebalancer's Multiple-Model mode where models are individually applied to accounts within a group. The exception is Portfolio Rebalancer's Batch mode where model selections are not persisted, as the mode is intended to be used for efficiently rebalancing large quantities of accounts.

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### Does Portfolio Rebalancer allow for cash-only rebalancing?

Portfolio Rebalancer does provide for cash-only rebalancing, allowing you to invest new cash, generate cash, or allocate excess cash prior to completing a full rebalance.

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### Can I import securities-based models from Schwab Performance Technologies' PortfolioCenter® ?

Portfolio Rebalancer allows you to import securities-based models maintained within Schwab Performance Technologies' PortfolioCenter. For specific instructions on exporting from PortfolioCenter, please refer to the Help content within PortfolioCenter or contact PortfolioCenter® Technical Support at **1-800-528-9595**, option 4.

# Assistance

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## How do I get more information about what Portfolio Rebalancer can do for my business?

Your relationship manager and/or technical consultant would be happy to discuss in more detail Portfolio Rebalancer's capabilities.

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## Who do I contact with technical questions?

Technical Client Services representatives are trained to handle technical and operational questions surrounding Schwab's Portfolio Rebalancer. They can be reached at **(800)647-5465**.

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