

Orion Implementation and Onboarding Milestones

Each of the milestones presented below have dependencies on deliverables to be provided by the Parties necessary to complete Customer's onboarding, which includes the scope for new accounts on the platform for an initial core migration.

In addition to the requirements described herein, Customer shall also:

(1) Participate in weekly onboarding meetings.

(2) Be reasonably responsive to other Orion communications and completion of the Onboarding Project Plan, which includes, but is not limited to: (i) completion of online training courses; (ii) bill compare, where Orion and Customer run a comparison of Orion's bills and Customer's existing billing system to confirm the advisory fee billing is configured properly; and (iii) performance outlier review where Orion's Performance Team reviews account performance above 40% return and below -40% return, and provides Customer with comments pertaining to its analysis that may result in a need for further response from Customer.

Should any of the dependencies described herein be delayed, such delays will result in delays in the overall estimated duration presented below. Further, should changes in the requirements of Customer occur, such changes will impact the duration needed for these milestones.

The following project plan outlines Orion's standard implementation framework and serves as a starting point for collaboration. It is intended to provide visibility into the breadth of services available and highlight key milestones that may be relevant. Timelines and deliverables are adjusted based on account volume, internal resources, and strategic priorities. The framework is designed to be flexible and will evolve in partnership with the customer to reflect their unique goals and implementation needs.

1. Onboarding Milestones

Orion & Customer Onboarding Milestones and Durations				
Milestone	Description	Estimated Duration (Business Days)	Responsible Party	Process and Outcome
Onboarding Questionnaire	Completion of Onboarding Questionnaire to initiate Orion Database Creation	5 days	Customer	Complete Onboarding questionnaire.
Client Database Creation	Creation of Orion databases.	5 days – <i>dependent on completion of a signed agreement.</i>	Orion	• Create Orion databases. • Overview of support and manage user applications with best practices.
			Customer	• Creation of user hierarchy with logins and roles.

Orion & Customer Onboarding Milestones and Durations				
Milestone	Description	Estimated Duration (Business Days)	Responsible Party	Process and Outcome
				(Orion will provide guidance/training.)
			Outcome	Orion database and logins have been created with an initial navigational and access overview provided.
Master Client List (MCL) Upload and Review	Establish the initial organization of existing Account & Household data. (MCL would only be bypassed for a brand-new Advisor with no established book of business.)	10 days – <i>dependent on data source.</i>	Orion	• MCL overview and training.
			Customer	• Complete MCL template. • Load MCL/client demographic information.
			Outcome	Orion and Customer team completed the upload of Customer's MCL into Orion platform.
Custodial Interface Setup	Establish the custodial data.	30 days* – <i>Start time dependent on Client Database Creation completion.</i> *Based on Custodians response time for data requests. Can be done in tandem with MCL Upload	Orion	• Provide instructions on the required forms and/or instructions to follow to establish custodial feeds. • Establish custodial interfaces set up in Orion.
			Customer	• Provide custodial interface information to Orion. • Review expected data is flowing into the Orion system from specified custodians.
			Outcome	Orion and Customer completed the Custodial Interface setup and data/accounts are downloading.
Database Audit	If no MCL - will only need to review householding on new accounts. With MCL: Review and confirm that accounts are accurately valued,	5 days – <i>Start time dependent on Custodial feed completion.</i> *Reviews may require additional	Orion	
			Customer	• Customer to confirm in writing, via email, to Orion expected accounts are downloading to the Orion platform. Customer to sign off on database audit.

Orion & Customer Onboarding Milestones and Durations				
Milestone	Description	Estimated Duration (Business Days)	Responsible Party	Process and Outcome
	householded correctly.	days beyond quoted timelines.	Outcome	Expected accounts are downloading to the Orion platform.
Provide Historical backup file- If applicable	Customer provides complete and usable historical backup of Client database, as applicable	5 days- Start of time dependent on Custodial feed completion	Customer	Customer to provide complete historical backup file from approved source if historical conversion is within scope.
Prior steps are the baseline set up and must occur. Total estimated duration is 50 business days, review steps for Customer may increase or decrease overall timeline duration.				
Products and Pricing Onboarding – one time set up at the firm level.	Training and establishment of Customer's products and pricing procedures within the Orion system.	10 days - <i>Start time dependent on database audit.</i>	Orion	• Review of Products & Prices App
			Customer	• Complete Product Classification Questionnaire. • If not already in place, sign Morningstar addendum, for example. • Create and assign asset classes/ run Morningstar classification. • Determine ongoing maintenance process - product classification and pricing hierarchy.
			Outcome	Orion and Customer have completed the product classification and Customer has established go-forward product and pricing processes.
Trading Onboarding – one time set up at the firm level. If applicable.	Configuration of the trading platform by creating models, establishing preferences, tool and execution training, and establishing workflows.	70 days – <i>Start time dependent on database audit and Products and Pricing onboarding.</i>	Orion	
			Customer	• Complete Actifi questionnaire. • Eclipse Ascent courses. • Eclipse training and overview – series of 4 weekly calls. (joint effort)
			Outcome	Orion and Customer Trading team have configured the trading platform; Customer

Orion & Customer Onboarding Milestones and Durations				
Milestone	Description	Estimated Duration (Business Days)	Responsible Party	Process and Outcome
				has established trading workflows and has completed training.
Billing Onboarding – one time set up at the firm level. If applicable.	Training and establishment of Customer's billing procedures within the Orion system.	30 days - <i>Start time dependent on database audit.</i>	Orion	• Mock bill run • Fee collection
			Customer	• Fee schedules, Payout Schedules, Exclusions etc • Training completed. (joint effort) • Quarter-end dashboard (joint effort)
			Outcome	Orion and Customer have fee billing attribution assigned and are ready to be billed during the next billing instance.
Billing Compares – one time set up at the firm level. If applicable.	Side by side compares of Orion and Customer's current billing systems.	15 days* - <i>Start time dependent on Billing Onboarding completion.</i> *Reviews may require additional days beyond quoted timelines. Compare also dependent on customer's billing methodology	Orion	
			Customer	• Customer Billing Team to confirm in writing, via email, to Orion that they sign off on a successful billing compare and validation is complete.
			Outcome	Orion and Customer have completed billing compares and validation.
Reporting Onboarding – one time set up at the firm level.	Building of Customer's custom reports and training on tools related to the Reporting applications.	50 days - Start time dependent on database audit.	Orion	• Build and adjust custom report(s).
			Customer	• Identify custom reports needed. (joint effort) • Review reports. • Training completed. (joint effort) • Mock statement run. (joint effort)
			Outcome	Orion and Customer have created the necessary reports and Customer has

Orion & Customer Onboarding Milestones and Durations				
Milestone	Description	Estimated Duration (Business Days)	Responsible Party	Process and Outcome
				been trained on reporting tools.
Financial Planning – one time set up at the firm level. If applicable.	Establishment, set-up, and training on Orion’s Financial Planning tool which is the connection of clients’ financial goals and investment performance data.	30 days - <i>Start time dependent on database audit.</i>	Customer	• Identify custom reports needed. (joint effort) • Review reports. • Training completed. (joint effort) • Mock statement run. (joint effort)
			Outcome	Orion and Customer have created the necessary reports and Customer has been trained on reporting tools.
			Outcome	Orion and Customer have worked to set up and structure Orion’s Financial Planning tool.
Client Portal – one time set up at the firm level.	Establishment, set-up, and training on Orion’s Client Portal tool where clients can manage their finances.	25 days - Start time dependent on database audit.	Orion	• Review and training of Client Portal tool
			Customer	• Review Orion Client Portal and Orion Planning Onboarding Guide • Add Client logos and create client logins • Test client access • Submit Mobile App information
			Outcome	Orion and Customer have worked to set up and structure Orion’s Client Portal.
All steps in the above section are dependent on the initial platform set up (50 business days) and can occur later in the onboarding process based on Customer preference. Products and Pricing and Trading, steps must be performed sequentially with an overall estimated duration of 80 day. If Customer is not setting up Trading, Products and Pricing is still a required onboarding. Reporting (50), Billing/Billing Compares (30/15), Compliance (50), Financial Planning (30), Client Portal (25) can run in parallel with other set up steps but would be dependent on Customer resource capacity. All the above areas need to be complete for an advisor to go live but are a one–time set up at the firm level.				