

# STONECASTLE

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FICA® | FOR ADVISORS

## Financial Institution User Guide



Step by Step process for opening a FICA® | For Advisors client account

## Financial Institution Workflow

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### A) Institution Account Set-up



**Financial Advisors** to provide the following information to StoneCastle:

- Name
- Firm Name
- Mailing Address
- Phone number
- Email
- Portfolio software vendor or data aggregator (e.g., Addepar, eMoney, etc.)



**StoneCastle will contact FAN Mail** and send credentials to the financial advisor. Advisor forwards information to their software vendor.

## STONECASTLE

[DATE]

Dear [ADVISOR],

Below you find your credentials for FAN MAIL. Please present this to your [PORTFOLIO SOFTWARE VENDOR] in order to set up visibility into your FICA® account(s).

URL: <http://www.dstfanmail.com>  
Username: FMXXXXXX  
Temporary Password: XXXXXXXX

Please call StoneCastle Cash Management's Client Service Team at 1-866-343-5516 should you have any questions.

Regards,  
SCCM Client Services

# Financial Institution Workflow

## B) Client On-line Account Set-up Process

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### FICA® Account Application.

Client completes basic account information, selecting joint or individual account.

**YOUR LOGO HERE** FICA® Account Application

1 2 3 4

**Account Owner**  
For Joint Accounts, registrations will be Joint Tenancy with Right of Survivorship (JTWRCS) unless otherwise specified.

Name \*  
First Name Middle Name Last Name Suffix

Social Security Number \*  
Tax ID

Date of Birth \*  
Month Day Year

Address  
Home or Street Address (the P.O. never allows)  
Street Address Line 2  
City (Phone Select) State  
P.O. Code

Mailing Address (if Different from Permanent Address)

E-mail \*  
example@example.com

Account Type \*  
 Individual Account  Joint Account

2

### Source Account Information.

Client adds brokerage or bank account number to which withdrawals will be sent.

### Online Access Authorization.

The assigned advisor's email and name will be provided for clients to authorize view access.

1 2 3 4

**Source Account Information**  
Where Withdrawals Will Be Sent

Type of Account \*  Brokerage Account  Bank Account

Brokerage Account Number \*

**Online Access Authorization**  
I authorize StoneCastle to provide the following individual with access to my FICA Account

Name  
Advisor Name  
Full Name

Email  
example@example.com

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### FICA® Terms and Conditions Document.

Client reads and clicks on box to agree.

1 2 3 4

**STONECASTLE** CASH & LIQUIDITY SOLUTIONS  
**FEDERALLY INSURED CASH ACCOUNT (FICA®)**  
**TERMS AND CONDITIONS**

**Introduction**  
The Federally Insured Cash Account program ("FICA® Program") offered by StoneCastle Cash Management, LLC ("StoneCastle") allows investors the ability to purchase the money to provide a secure source of funds, including retirement and asset-accumulation. "Federal Insured" is a term that denotes full coverage of funds by the Federal Deposit Insurance Corporation ("FDIC") under the FDIC's "qualified institution" status.

**Minimum Initial Deposit and Account Eligibility**  
The FICA Program requires a \$1,000,000 minimum initial deposit to open an account. StoneCastle may charge each investor at its discretion. There is no minimum amount required for subsequent deposits. The FICA Program is open to investors that are US-legal "qualified persons" under the Securities Act of 1933 and "qualified persons"

I agree to Terms and Conditions. \*

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## New Account Application Certification.

Client clicks on box to certify and submit.

**1** **2** **3** **4**

### New Account Application Certification

I, {client-name}, have received and understand the Terms and Conditions for the StoneCastle Federally Insured Cash Account (FICAA) (the "Account"). I understand the Account's investment objectives and policies and agree to be bound by the Terms and Conditions. I acknowledge and consent to the householding (i.e., consolidation of mailing) of regulatory documents such as shareholder reports, proxy statements, and other similar documents. I may contact StoneCastle to resolve my comment. I agree to notify StoneCastle of any errors or discrepancies within 45 days after the date of the statement confirming a transaction. The statement will be deemed to be correct, and StoneCastle and its transfer agent shall not be liable, if I fail to notify StoneCastle within such time period. I certify that I am of legal age and have the legal capacity to make this purchase.

StoneCastle, its transfer agent, and any of their respective agents or affiliates will not be responsible for banking system delays beyond their control.

I understand that these account assets may be transferred to my state of residence if no activity occurs within my account during the inactivity period specified in my State's abandoned property laws.

Under penalty of perjury, I certify that (a) the Social Security or taxpayer identification number shown on this form is my correct taxpayer identification number, and (b) I am not subject to backup withholding as a result of either being exempt from backup withholding, not being notified by the IRS of a failure to report all interest or dividends, or the IRS has notified me that I am no longer subject to backup withholding. (c) I am a U.S. person (including a U.S. resident alien), and (d) I am exempt from FATCA reporting. The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

I agree that by clicking "Certify & Submit" below I am providing the legal equivalent of my handwritten signature and that doing so shows my intent to sign the new account application and certification. I agree to print (CTRL, P) and/or save a copy of this certification for my records. This binding contract is effective as of today's date, and is binding on myself, any joint account holder, and any successor account. By pressing the Certify & Submit button, the new account(s) will be create.

Certify & Submit

Submit Application



## Client Receives Thank You Message.

On this screen, client can choose to be directed to a Bank Exclusion Form.

### Thank You!

Your name your submission has been received.

You will receive account credentials when your account is approved.

If you would like to provide bank exclusion, please submit your entries [here](#)

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Dear {advisor-name},

We have received a new FICA® application for {client name}, with email: {client email}.

The applicant listed you as the advisor to the account.

For more details, please contact StoneCastle at [clientservices@StoneCastle.com](mailto:clientservices@StoneCastle.com) or at 866-343-5516.

## Advisor Receives Confirmation Message.

Email sent immediately after client submits application.

Accounts will then be added to Advisor view in the [www.ficaaccount.com](http://www.ficaaccount.com) portal. The FICA® account number, wiring instructions, and online credentials will be supplied to the client.

C) FICA® Client Account Application (PDF)

[Click here](#) for a PDF version of the application.

Contact us for additional information on setting up a FICA® | For Advisors Account

[intermediaries@stonecastle.com](mailto:intermediaries@stonecastle.com)

833-F4A-CASH  
(833-342-2274)