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| **Procedure Name:** | **Restrict Securities**  **(Advisor Model Portfolio)** | **A picture containing text, clipart  Description automatically generated** | |
| **Department:** | Investment Team |
| **Effective Date:** | 11/14/2022 | **Author:** | Katie Weinschenk |

**Description**

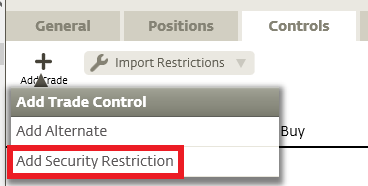
We restrict securities in AMP accounts to prevent them from being traded in an account.

**Assumptions**

N/A

**Procedure**

1. From the Wealth Management Platform, search for the account in question
2. From the Service tab, click on the hyperlinked account number
3. Click on the Controls screen
4. Click on the + Add Trade Control button in the upper-left corner
5. On the menu, click on Add Security Restriction



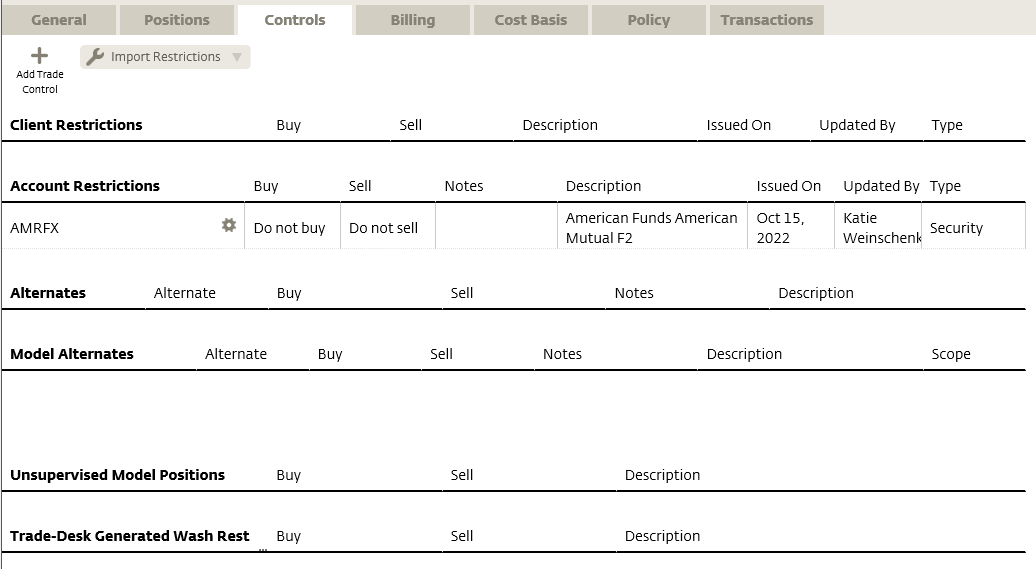
1. In the Add Restriction Screen

Graphical user interface, text, application

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* 1. Type in the ticker symbol of the mutual fund or security you wish to restrict,
  2. Click the Do Not Sell box, if applicable, and
  3. Click Save
  4. Check the box to Acknowledge the disclosure and click Continue. (You will only need to do this for the first restriction on the account.)
  5. Repeat this step for each mutual fund or security you need to restrict

1. The restriction will now appear under Account Restrictions on the Control Page



**References**

N/A

**Revision History**

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| --- | --- | --- |
| **Revision Date** | **Revised By** | **Revision Notes** |
| 11/14/2022 | Katie Weinschenk | Procedure Created |
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