

# NetXInvestor<sup>®</sup>

USER GUIDE

September 2016

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This User Guide contains illustrations and screen shots that are representative of information available within the secure pages of the NetXInvestor website. The information contained herein is for discussion purposes only and is subject to change without notice. Please refer to the secure web pages for additional details on use and/or applicable disclosures.

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# 1. Introduction

This guide will familiarize you with the capabilities and functions of the NetXInvestor™ platform. The platform enables you to view your portfolio, perform market research and much more.

## Audience

This guide is to be used by you, the investor, to learn how to:

- Access the platform
- Navigate through the platform
- Manage your account preferences
- View your account portfolio
- Perform market research

## 2. Overview

NetXInvestor™ is an online investor platform enabling you to access account information, view trade status, get quotes, and perform market research, read news and much more. You can also view your account, tax statements and trade confirmations online.

### Navigation

The **NetXInvestor** home page provides access to a majority of the functions via tabs. Each tab performs a specific function.

TAB	ENABLES YOU TO:
Advisor Home	View the contact information FAQs, and External Resources.
Portfolio	View the snapshot view of your account overview. Along with the snapshot view, you can also view: balances, holdings, unrealized gain/loss, realized gain/loss, history and projected cash flow.
Transact	View, pay and manage bills online through Bill Suite. Bill Suite is available with Corestone™.
Research	View how the market is performing today. You can also view quotes of recently visited stocks, news relating to the visited stocks, create watch lists to monitor the required stocks and much more.
Tools	Create and view watch lists, view educational resources and helpful links.
Communications	View and download statements, trade confirmations, tax documents, and notifications. You can create new account groups, add a nickname to your linked accounts, and change your password and security settings. You can also establish your e-delivery preferences.

### Browser Requirements

The NetXInvestor platform supports the following browsers:

- Google Chrome Version 23.x and higher
- Mozilla Firefox Version 17.x and higher
- Microsoft Internet Explorer Version 8 and 9
- Apple Safari Version 4.x and higher

### Other Information

- Data displayed in the screen shots represent sample data.

## 2. OVERVIEW

- Shortcut keys are not supported for any of the functions.
- Tab control on all screens is from top to bottom, left to right.
- Screen names, buttons, links are provided in bold.
- Text provided as part of the note, tip is for information.

## 3. Access the Platform

### Adaptive Design

The NetXInvestor platform uses adaptive design that provides an optimized experience whether the site is viewed on your desktop, tablet or smartphone. When you access the site on a tablet or mobile device, you will see much of the same data and functions available to you on your desktop, just displayed in a different way.

### Accessibility Theme

The NetXInvestor platform is now compliant with the WCAG 2.0 Level AA standard which exceeds Federal guidelines for online accessibility (generally referred to as Section 508). This means the platform offers an optimized experience for persons who are visually disabled, have certain physical or neurological challenges or require additional consideration when online due to use of screen readers, magnifiers or other accessibility aids.

Once the accessibility theme is implemented, the pre-login page displays a link, **Switch to Accessible Theme**, on the top right. Click the link to display all the related functions on one page in a simple and logical page layout. The theme also provides support to screen readers, refreshable braille display and Job Access With Speech (JAWS).

Accessibility theme is optional, so you can choose between the standard theme or change to the accessible theme at any time using a selector on the settings page of NetXInvestor.

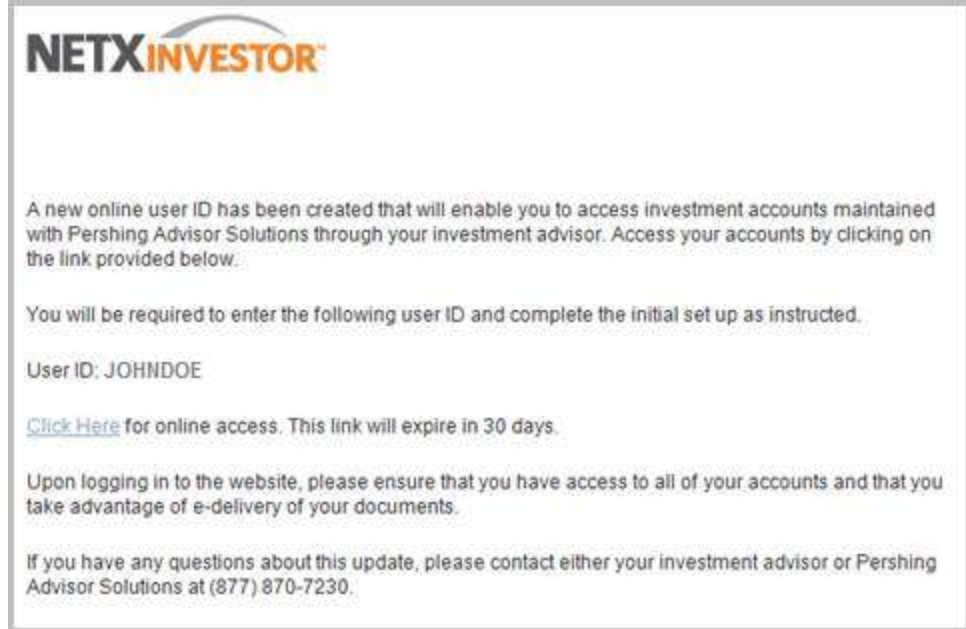
For more information on switching between standard and accessibility themes, see the [Change Themes](#) section in this user guide.

### First-Time Login and User ID Communication (Paperwork Submission)

1. Complete the **User ID and e-Delivery Request Form** and submit to your investment advisor for processing. You can also elect a user ID upon account opening through the Account Application and Agreement.
2. Once completed, your investment advisor will submit the **User ID and e-Delivery Request Form** to Pershing Advisor Solutions. The request takes 48 hours for processing.
3. Once the user ID is created, you will receive an email from [pershing@advisor.netxinvestor.com](mailto:pershing@advisor.netxinvestor.com) containing the user ID and temporary URL to login. The subject line of the email will be "Online Account Access: User ID Request Complete."



### 3. ACCESS THE PLATFORM



**NETX INVESTOR**

A new online user ID has been created that will enable you to access investment accounts maintained with Pershing Advisor Solutions through your investment advisor. Access your accounts by clicking on the link provided below.

You will be required to enter the following user ID and complete the initial set up as instructed.

User ID: JOHNDOE

[Click Here](#) for online access. This link will expire in 30 days.

Upon logging in to the website, please ensure that you have access to all of your accounts and that you take advantage of e-delivery of your documents.

If you have any questions about this update, please contact either your investment advisor or Pershing Advisor Solutions at (877) 870-7230.

#### Notes:

- If the email address fails, an **Email Failure** letter with the user ID is sent.
- If you are enrolled in e-delivery of documents, you will also receive an e-delivery enrollment email. Email failures will result in an e-delivery de-enrollment letter being sent to the address of record on the account.
- The temporary URL expires after 30 days. If you are accessing the site for the first time after 30 days, you must contact your investment advisor to log in directly to [advisor.netxinvestor.com](http://advisor.netxinvestor.com) with temporary password credentials.

4. Click the **Click Here** link provided in the email.
5. Enter your mother's maiden name and date of birth and click **Continue** as displayed below.



**NETX INVESTOR**

**ACCESS YOUR INVESTMENTS ONLINE**  
NetExchange Investor™ is an innovative and intuitive investor platform at your fingertips, day and night, giving you instant access to account and tax statements, trade confirmations and more.

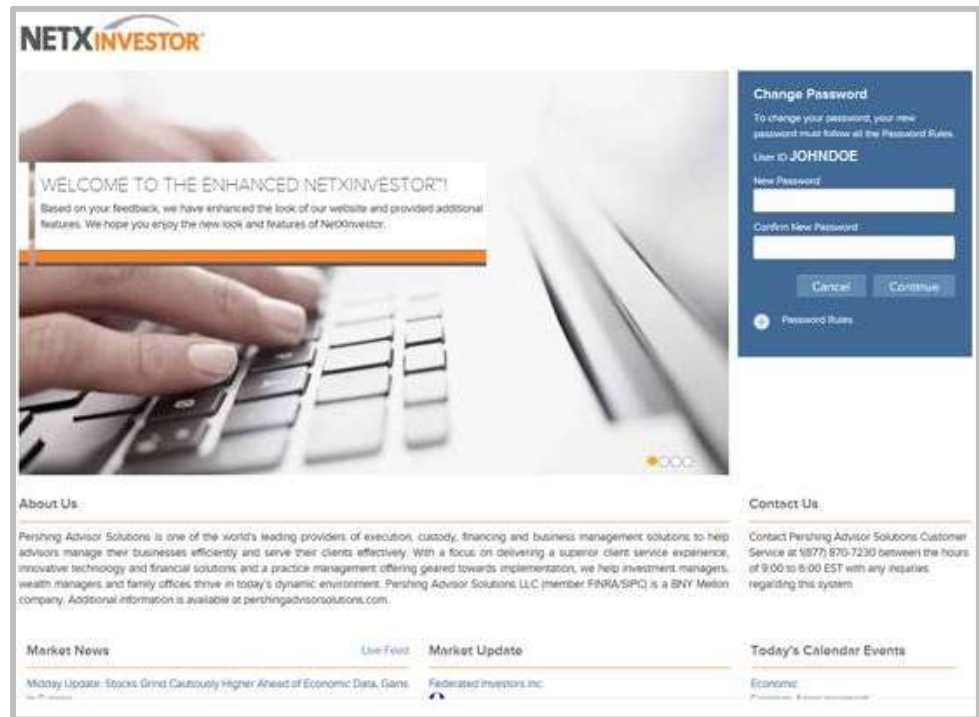
**Login**  
User ID: JOHNDOE  
Mother's Maiden Name  
Date of Birth (mm/dd/yyyy)   
 Hide Response   
Stay Safe Online

**Quick Quote**  
Enter Symbol or Name

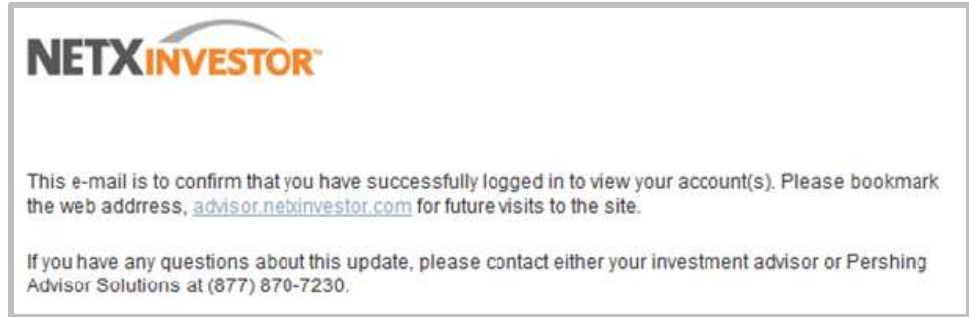
**Notes:**

- Once you provide your mother’s maiden name and date of birth correctly, you will be required to set up One-Time Passcode and password for your online access to your account electronic communications.
- If you answer incorrectly three times, you will be locked out and must contact Pershing Advisor Solutions to unlock your account.

6. In the **New Password** and **Confirm New Password** fields, enter the new password.

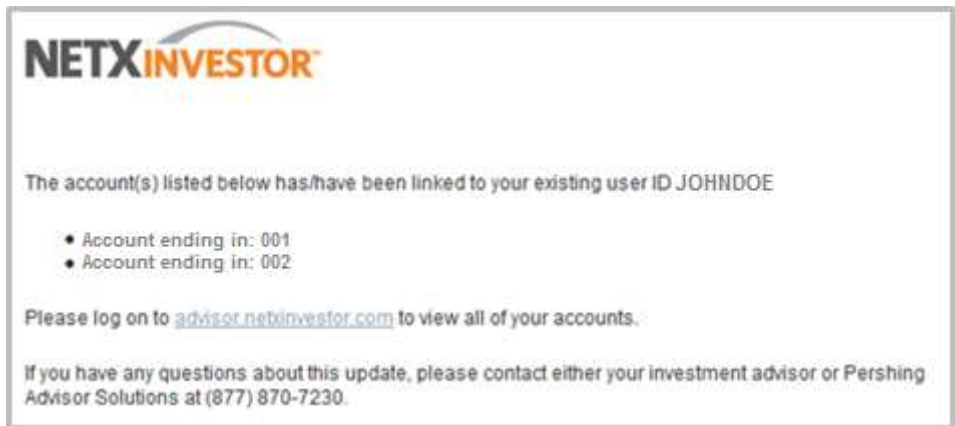


7. Click **Continue**. The **Security Email Setup** page displays.
8. Enter your email address in the fields provided and click **Continue**.
9. Configure One-Time Passcode (OTP) contact method when prompted. See the [Configure One-Time Passcode](#) section for more information.
10. Click **Continue**. The **Go Paperless** page displays.
11. Click the **Update Preferences** button to set up your e-delivery instructions.
12. After setting up the e-delivery instructions, the **NetXInvestor** home page displays.
13. Once successfully logged in, you will receive a confirmation email as displayed below. To access the site in the future, please use the Web address, **advisor.netxinvestor.com**.



## Link Additional Accounts to an Existing User ID (Paperwork Submission)

1. Complete the **User ID and e-Delivery Request Form** and submit to your investment advisor for processing. You can also elect a user ID upon account opening through the Account Application and Agreement. Include your existing User ID on the paperwork.
2. Once completed, your investment advisor will submit to Pershing Advisor Solutions. The request takes 48 hours for processing.
3. Once the user ID is created, you will receive an email notifying you of the additional account(s) linked to your user id as displayed below. The subject of the email is "New Account Linked to your User ID."

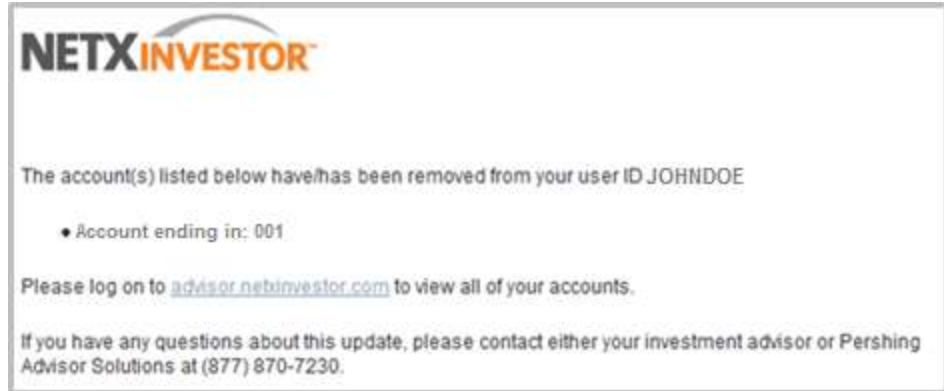


**Note:** If the email address fails, an **Email Failure** letter is sent containing the user ID to the address of record on the account.

If you are enrolled in e-delivery of documents, you will receive an e-delivery enrollment email as well. Email failures will result in an e-delivery de-enrollment letter being mailed.

## Delink Accounts From an Existing User ID

1. Accounts that are delinked from your User ID will receive an email notification. The subject line is "Account Removed from your User ID."



**Note:** If you are enrolled in e-delivery of documents, you will receive an e-delivery de-enrollment email and letter as well.

## Online Self-Registration

Online self-registration is limited to the account types listed below:

- Retirement Accounts
- Individual Accounts
- Joint Accounts (where you are the **primary** account holder)

All other account types should fill the **User ID and e-Delivery Request Form** and submit to your Registered Investment Advisor (RIA) for processing. Clients can also elect for a user id upon account opening through the Account Application and Agreement.

1. Go to: **advisor.netxinvestor.com**.
2. Click **Register Now**.
3. Review the **Welcome Screen** and click **Next**.
4. Review the terms and conditions regarding identity verification and click **I Agree**.
5. Provide user information, including your name, a valid email address, Social Security number, legal U.S. address, and account number on which you are listed as the primary account holder.
6. Verify your identity and proceed.

To verify your identity and for the safety and security of your information, you will be asked three questions.

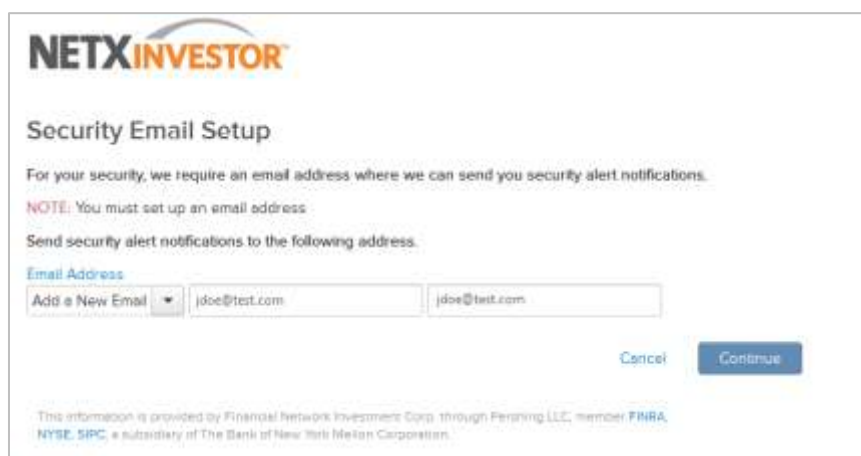
- If you provide the correct answer to all three questions, you will be taken to the next step.
  - If you fail to provide the correct answer for one question, the fourth question will be displayed. If your answer to the fourth question is correct, you will be taken to the next step.
  - If you fail to provide the correct answer for more than two questions, a message displays indicating you have failed to verify your identity. You can either try again later or contact your broker-dealer for assistance.
7. Create a **temporary user ID and password**.

8. Enter **email address, date of birth** and **mother's maiden name**.
9. An email with further instructions is sent to the provided email address. Action should be taken in three days of receiving the email.
10. Click the link in the email within three days to make the **user ID** permanent. The **Security Email Setup** page displays.
11. Enter your email address in the fields provided and click **Continue**.
12. Configure the One-Time Passcode (OTP) contact method when prompted. The self-registration for online access is completed. See the [Configure One-Time Passcode](#) section for more information.
13. If you desire e-delivery, click the **Go Paperless** icon and follow the instructions to add email address and create paperless preferences.

## Configure One-Time Passcode (OTP) Contact Method

One-Time Passcode protects your online information from unauthorized access

1. Once logged in, **the Security Email Set Up** page displays.

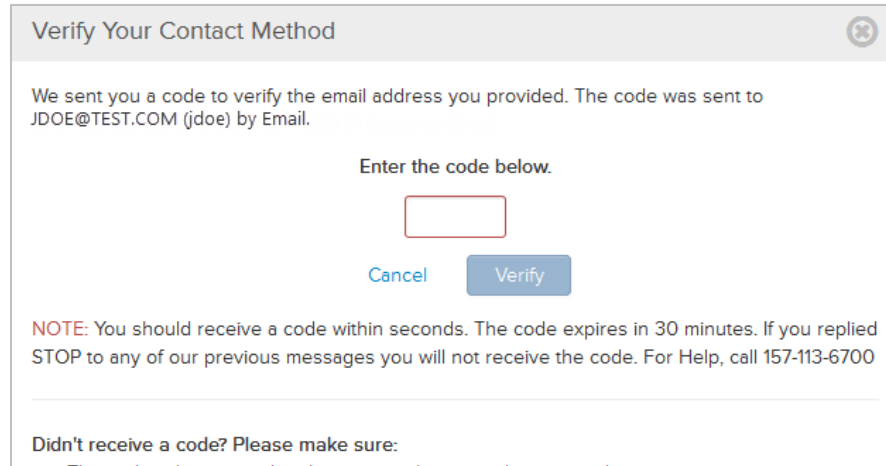


2. Enter your email address in the fields provided and click **Continue**. The **One-Time Passcode Setup** page displays.



### 3. ACCESS THE PLATFORM

3. Select a **Contact Method** from the list (Voice Call, Text/SMS, and Email), provide appropriate information in the fields that display and click **Verify**. The **Verify Your Contact Method** window displays.



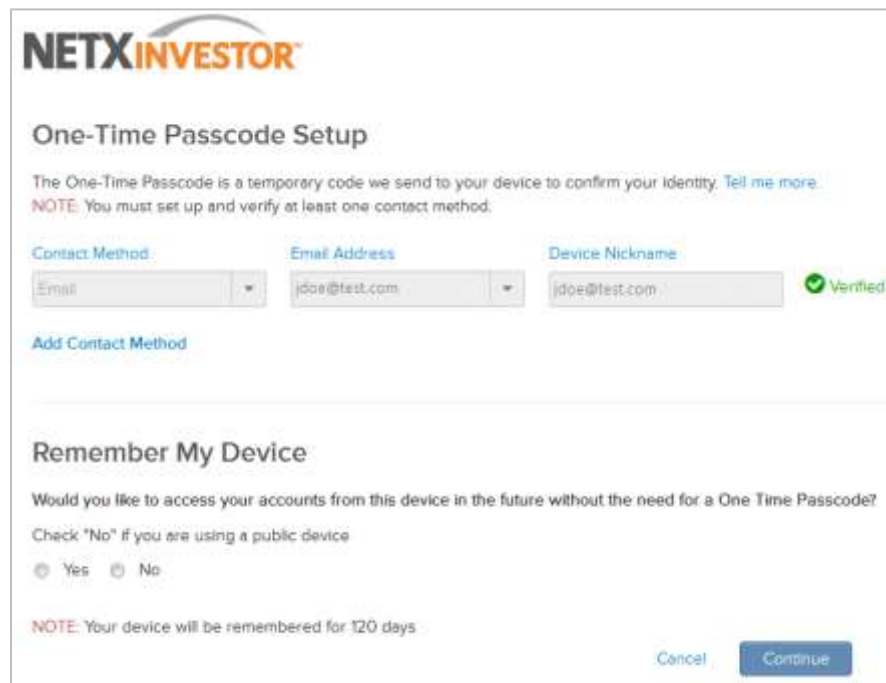
The screenshot shows a dialog box titled "Verify Your Contact Method" with a close button in the top right corner. The main text reads: "We sent you a code to verify the email address you provided. The code was sent to JDOE@TEST.COM (jdoe) by Email." Below this is the instruction "Enter the code below." followed by a red-outlined input field. There are two buttons: "Cancel" and "Verify". A red "NOTE" states: "You should receive a code within seconds. The code expires in 30 minutes. If you replied STOP to any of our previous messages you will not receive the code. For Help, call 157-113-6700". At the bottom, there is a link: "Didn't receive a code? Please make sure:".

4. Enter the passcode that was sent to your selected contact method.

#### Tips:

- It is recommended that you set up more than one Contact Method.
- If you did not receive a code, click **Send a New Code**.

5. Click **Verify**. The **One-Time Passcode Setup** page displays a confirmation that the contact method is successfully verified.



The screenshot shows the "NETXINVESTOR" logo at the top. The page title is "One-Time Passcode Setup". Below the title is a message: "The One-Time Passcode is a temporary code we send to your device to confirm your identity. [Tell me more.](#)" followed by a red "NOTE": "You must set up and verify at least one contact method." There are three input fields: "Contact Method" (set to "Email"), "Email Address" (set to "jdoe@test.com"), and "Device Nickname" (set to "jdoe@test.com"). A green checkmark and the word "Verified" are shown to the right of the Device Nickname field. Below these fields is a link: "Add Contact Method". The next section is "Remember My Device" with the question: "Would you like to access your accounts from this device in the future without the need for a One Time Passcode?" and the instruction: "Check 'No' if you are using a public device". There are two radio buttons: "Yes" (selected) and "No". A red "NOTE" at the bottom states: "Your device will be remembered for 120 days". At the bottom right are "Cancel" and "Continue" buttons.

- To access NetXInvestor from this device in future without a passcode, select **Yes** for **Remember My Device** and click **Continue**. The **NetXInvestor** home page displays.

## Login (Recognized Device)

- Go to: **advisor.netxinvestor.com**.
- Enter your user ID and password, and click **Continue**. The **NetXInvestor** home page displays.

**Note:** Click **Forgot Password** if you do not remember your password. You will be prompted to verify your security email address and identify using a one-time passcode.

## Login (Unrecognized Device)

- Go to: **advisor.netxinvestor.com**.
- Enter your user ID and password, and click **Continue**. The **Verify Identity** page displays.

### Notes:

- To remember your user ID the next time you access NetXInvestor, select the **Remember User ID** option.
- Click **Forgot Password** if you do not remember your password. You will be prompted to verify your security email address and identify using a One-Time Passcode.

- Verify your identity by providing a passcode.
  - Select a contact method where you want to receive the passcode.
  - Click **Send Code**. A passcode is sent to the selected contact method.
  - Enter the passcode and click **Continue**. If the passcode is correct, the **NetXInvestor** home page displays.

**Tip:** If your device is secure, select **Yes** for the **Remember My Device** option. You will not be asked to verify your identity if you turn on this option.

### 3. ACCESS THE PLATFORM

The screenshot shows the NetXInvestor One-Time Passcode verification interface. At the top left is the NetXInvestor logo. Below it, the heading "One-Time Passcode" is displayed. A sub-heading reads: "For your protection, we need to confirm your identity by sending you a One-Time Passcode to the contact method you select below. [What is this?](#)".

Step 1: "Select Contact Method". It features a dropdown menu labeled "Select a contact method" and a blue "Send Code" button.

Step 2: "Once you receive your code enter it here." It features a text input field labeled "Enter Code".

Below the passcode section is the "Remember My Device" section. It asks: "Would you like to access your accounts from this device in the future without the need for a One-Time Passcode?". A note below says: "Check 'No' if you are using a public device." There are radio buttons for "Yes" and "No". A note at the bottom of this section states: "NOTE: Your device will be remembered for 120 days." At the bottom right of the form are "Cancel" and "Continue" buttons.

**Note:** If you are locked out of the site on an unrecognized device, you cannot request a One-Time Passcode to reset your password. This is done for your protection and prevents someone from resetting a password fraudulently. For support, contact Pershing Advisor Solutions at (877) 870-7230.

## Logout

- On the **NetXInvestor** home page, click **Logout**.



## 4. Manage Account Settings & Preferences

The NetXInvestor platform has options to manage your account settings and preferences, such as changing your password, security settings, creating an account group, adding a nickname and much more.

### Change Themes



Switch from standard to accessible theme:

1. On the **NetXInvestor** home page, click **Communications** and then click **Settings**.
2. In the **Display Settings** section, select **Accessible** from the **Available Theme(s)** list.
3. Click **Switch Theme**.

Switch from accessible to standard theme:

1. On the **NetXInvestor** home page, click **Communications** and then click **Settings**.
2. In the **Page Contents** list, click **Display Settings**. The **Display Settings** section displays.
3. From the **Available Theme(s)** list, select **Standard**.
4. Click **Switch Theme**.

## Change One-Time Passcode Contact Method

All Communications Settings

### One-Time Passcode Setup

The One-Time Passcode is a temporary code we send to your device to confirm your identity. [Tell me more.](#)  
**NOTE:** You must set up and verify at least one contact method.

Contact Method	Email Address	Device Nickname	Status	Action
Email	JDOE@PERSHING.CO	JDOE	Verified	Remove
Email	JDOE@PERSHING.CO	DOEJ	Verified	Remove

[Add Contact Method](#)

### Remember My Device

Would you like to access your accounts from this device in the future without the need for a One Time Passcode?  
 Check "No" if you are using a public device

Yes  No

**NOTE:** Your device will be remembered for 120 days

[Cancel](#) [Continue](#)

You can edit this in your [Profile Settings](#)  
 Text STOP to 75780 or 59422 to cancel | Text HELP to 75780 or 59422 for help or call 157-113-6700 | Message & data rates may apply: [SMS Terms & Conditions](#)  
 Supported wireless carriers: AT&T Mobility, Boost, Metro PCS, Nextel, Sprint, T-Mobile, Verizon Wireless

1. On the **NetXInvestor** home page, click the **Settings** icon. The **Settings** page displays.
2. In the **Security Settings** section, click the **Edit** link in the **One-Time Passcode Methods** row.
3. In the **Enter Password** field, enter your current password and click **Continue**.
4. Select a different **Contact Method** and click **Save**.

**Note:** To remove a contact method, click the **Remove** icon. To add a new contact method, select an option from the **Contact Method** list. You have to verify this device before you can use this as your contact method.

5. Click the **Okay** button to continue.

## Change Security Email

1. On the **NetXInvestor** home page, click the **Settings** icon. The **Settings** page displays.
2. In the **Security Settings** section, click the **Edit** link in the **Security Email Address** row.
3. In the **Enter Password** field, enter your current password and click **Continue**.
4. Select a different **Email Address** and click **Continue**. A message displays stating the email has been successfully changed.
5. Click the **Okay** button to continue.

## Account Linking

	ACCOUNT	MAILING ADDRESS
<input type="checkbox"/>	52D000000	JOHN DOE 1 MAIN STREET ANY TOWN, NJ 00000

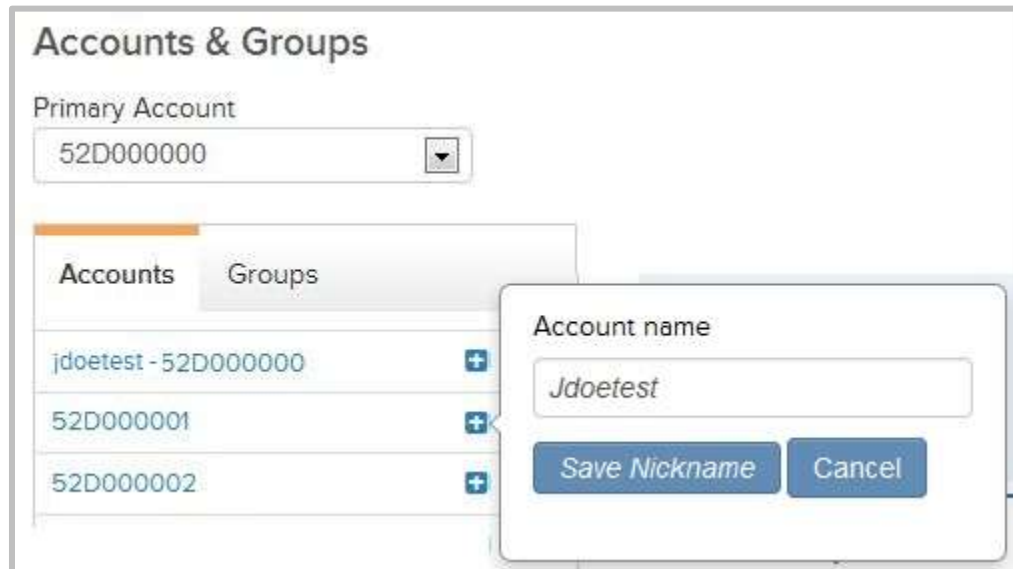
Account linking enables you to link all accounts which have the same Social Security number as yours. Through account linking, you can access all your account information

from one place. **You can link account (s) only if you had created your user ID via online self-registration.**

1. On the **NetXInvestor** home page, click the **Settings** icon. The **Settings** page displays.
2. In the **Account Linking** section, select the account to link by clicking on the check box and click **Submit**.

## Account Nickname

A nickname enables you to quickly identify your accounts. The nickname is displayed to the left of the account number.



1. On the **NetXInvestor** home page, click the **Settings** icon. The **Settings** page displays.
2. In the **Accounts** area, click the (+) icon against the required account.
3. In the space provided, enter a nickname for the account and click the **Save Nickname** button.

## Account Groups

An account group is a collection of accounts. The investment portfolio of an account group can be accessed from a single place. You can create, modify or delete a group.

- Account group name can have up to 25 characters and contain alphanumeric characters, spaces, hyphens and apostrophes.
- Account group must contain a minimum of two accounts.
- Duplicate account groups cannot be created.
- Accounts can exist in more than one account group.

## Create a New Group

1. On the **NetXInvestor** home page, click the **Settings** icon. The **Settings** page displays.
2. In the **Accounts & Groups** section, click the **Groups** link.
3. Click the **Add New Group** link. The **Add New Group** window displays.
4. In the **Group Name** field, enter a name for the group.
5. In the **All Account** list, select the required account and click the **Add** link. To remove an account, select the required account in the right box and click the **Remove** link.

**Tip:** You can select multiple and continuous accounts by pressing **Shift** in the keyboard and selecting the accounts. You can select multiple and random accounts by pressing **Ctrl** in the keyboard and selecting the accounts.

6. Click the **Save Groups** button. The group is created and will be listed under **Groups**.

## Edit a Group

1. On the **NetXInvestor** home page, click the **Settings** icon. The **Settings** page displays.
2. In the **Accounts & Groups** section, click the **Groups** link.
3. Click the **Edit** icon. The **Edit Group** window displays.
4. You can edit the following:
  - **Group Name**—In the **Group Name** field, enter a new name for the group.
  - **Add or Remove Accounts**—To add an account, select the account in the **All Account** list and click the **Add** link. To remove an account, select the account in the right box and click the **Remove** link.

**Tip:** You can select multiple and continuous accounts by pressing **Shift** in the keyboard and selecting the accounts. You can select multiple and random accounts by pressing **Ctrl** in the keyboard and selecting the accounts.

5. Click the **Save Groups** button. The group is edited and will be listed under **Groups**.

## Delete a Group

1. On the **NetXInvestor** home page, click the **Settings** icon. The **Settings** page displays.
2. In the **Accounts & Groups** section, click the **Groups** link.
3. Click the **Delete** icon. A warning window displays.
4. In the warning window, click **Yes** to delete the group, else click **No**.

## Brokerage Alerts

The Brokerage Alerts service allows you to receive alerts about account activity or stock prices. You can either retrieve the alerts online or have the alerts delivered to your email address or cell phone device. You can set up the following types of alerts:

- Watchlist
- Price Volume & News

### Set Up Brokerage Alerts

**Device(s)** [X]

Email Addresses

Email Address 1: johndoe@pershing.com Re-Type Email Address 1: johndoe@pershing.com

Format:  Plain Text  HTML

Email Address 2: Re-Type Email Address 2:

Format:  Plain Text  HTML

Phone (Text Messages)

Service Provider: Qwest Phone number: 2010000001

Save Cancel

1. On the **NetXInvestor** home page, click the **Settings** icon. The **Settings** page displays.
2. In the **Alerts Setup** section, click the **Brokerage Alerts Set-up Guide** link. A window displays the terms and conditions.
3. Read through the terms & conditions and click **I Agree**.

- Click the **Add Device(s)** link. The **Device(s)** window displays.
- In the **Email Address 1** and **Re-Type Email Address 1** fields, enter the primary email address to which you want the alert delivered.
- Select the delivery format of the alert, **Plain Text** or **HTML**.
- In the **Email Address 2** and **Re-Type Email Address 2** fields, enter the secondary email address to which you want the alert delivered.
- Select the delivery format of the alert, **Plain Text** or **HTML**.
- To deliver the alert to your cell phone device, select the service provider from the **Service Provider** list and enter your phone number in the **Phone Number** field.
- Click the **Save** button to save the changes.

**Tip:** To send a test message to your email address and phone number, click the **Test Device** link.

## Subscribe Price Alerts

The screenshot shows the 'Manage Alerts' window with the following details:

- ALERT FOR:** Microsoft Corp, MSFT NASDAQ. Last price: \$36.48, Volume: 150. Today's change: \$0.00 (0.00%).
- SELECT & CONFIGURE:** Price rises above X or falls below X. Notify me when... MSFT's price falls below \$ [input field].
- SELECT DELIVERY LOCATION:** Primary E-mail Address: johndoe@pershing.com. Secondary E-mail Address: None saved on file. Text Message Delivery: None saved on file.
- Buttons:** Add to Subscriptions, Close.
- Current Subscriptions:** No alerts have been set.
- Footer:** Market alerts is located under Tools in the main navigation at the top of the page.

- On the **NetXInvestor** home page, click **Research**. The **Markets Today** page displays.
- Click **Investing Tools**. The **Investing Tools** page displays.
- Click **Market Alerts**. A page displays the terms and conditions for the alerts.
- Read through the terms and conditions and click the **I Agree** button to continue. The **Market Alerts** page displays.
- In the **Set a New Alert** field, enter the stock name or symbol for which you would like to set an alert.

#### 4. MANAGE ACCOUNT SETTINGS & PREFERENCES

6. From the list of matches, select the required option. The **Manage Alerts** window displays.
7. From the **Select & Configure** list, select the applicable option.
8. In the **Notify me when** section, select an option from the list and enter the appropriate information in the adjacent text field.
9. From the **Select Delivery Location** options, select where the alert should be delivered.



10. Click the **Add to Subscription** button.
11. The market alert is added to the **Current Subscriptions** section. Click **Close**.

## Create a Watchlist

1. On the **NetXInvestor** home page, click **Research**. The **Markets Today** page displays.
2. Click **Investing Tools**. The **Investing Tools** page displays.
3. Click **My Watchlists** and then click **Create New Watchlist**. The **Create New Watchlist** window displays.
4. In the **Enter watchlist name** field, enter a name for the watchlist and select the check box below to make this watchlist your default (if required).
5. Click **Save**. The **My Watchlists** page displays.
6. In the **Enter Name or Symbol** field, enter a stock name or symbol and click **Add**.

## Subscribe Watchlist Alerts

1. On the **NetXInvestor** home page, click **Research**. The **Markets Today** page displays.
2. Click **Investing Tools**. The **Investing Tools** page displays.
3. Click **Watchlist Alerts**.
4. From the **Set a New Alert** list, select the applicable watchlist and click **Set**. The **Manage Watchlist Alerts** window displays.
5. From the **Send me a summary** list, select how often you like the alert to be delivered.
6. From the **Select Delivery Location** options, select where the alert should be delivered.
7. Click the **Add to Subscription** button.
8. The watchlist alert is added to the **Current Subscriptions** section. Click **Close**.

## Delivery Settings and Hold Alerts for Brokerage Alerts

The screenshot shows the 'Market Alerts' configuration page. At the top, there's a navigation bar with 'Investing Tools' and 'Market Alerts' tabs. Below that, there's a 'Send To' section with three rows: Primary Email Address, Secondary Email Address, and Text Message Delivery. Each row has input fields for the address and a 'Confirm' field. There are also radio buttons for email format (HTML or Plain text). At the bottom, there's a 'Hold/Resume Market Alerts' section with a radio button for 'Market Alerts are Active' and a 'Please hold my Market Alerts' section with 'Starting' and 'Ending' date pickers.

1. On the **NetXInvestor** home page, click **Research**. The **Markets Today** page displays.
2. Click **Investing Tools**. The **Investing Tools** page displays.
3. Click **Market Alerts**. The **Market Alerts** page displays.
4. Click **Delivery Settings & Hold/Resume Alerts**.
5. In the **Send To** section, provide the following information:
  - o For **Primary Email Address**, enter the primary email address in the **Primary Email Address** and **Confirm primary email address** fields.
  - o Select the email format, **HTML** or **Plain Text**.
  - o For **Secondary Email Address**, enter the secondary email address in the **Secondary Email Address** and **Confirm secondary email address** fields.
  - o Select the email format, **HTML** or **Plain Text**.
  - o For **Text Message Delivery**, enter the cell phone number in the **Cell Phone Address** and **Confirm cell phone address** fields.
6. In the **Hold/Resume Market Alerts** section, select one of the following options and click **Save**.
  - o **Market Alerts are Active**—This option is selected by default when the market alerts are active. Select this option to resume alerts if you had placed a hold on receiving alerts.
  - o **Please hold my Market Alert**—Select this option to temporarily stop the alerts from being delivered. Select the **Starting** and **Ending** dates using the **Calendar** control.

## 5. Electronic Delivery

You can enable electronic delivery of statements and documents to be delivered to your email address (es). You can also view the statements and documents online in the NetXInvestor platform.

You can setup the e-delivery preferences for an individual account or for all accounts using the **Quick Enroll** option.

The retention time for account communications and documents vary based on the communication type. To view the retention time, click the **View Retention Times** link.

The **e-delivery Preferences** section is available in the **Settings** page. You can access this section by one of the following ways:

- On the **NetXInvestor** home page, click the **Go paperless** icon.
- On the **NetXInvestor** home page, click **Communications > Settings**.
- On the **NetXInvestor** home page, click the **Settings** icon.

### Add Email Addresses

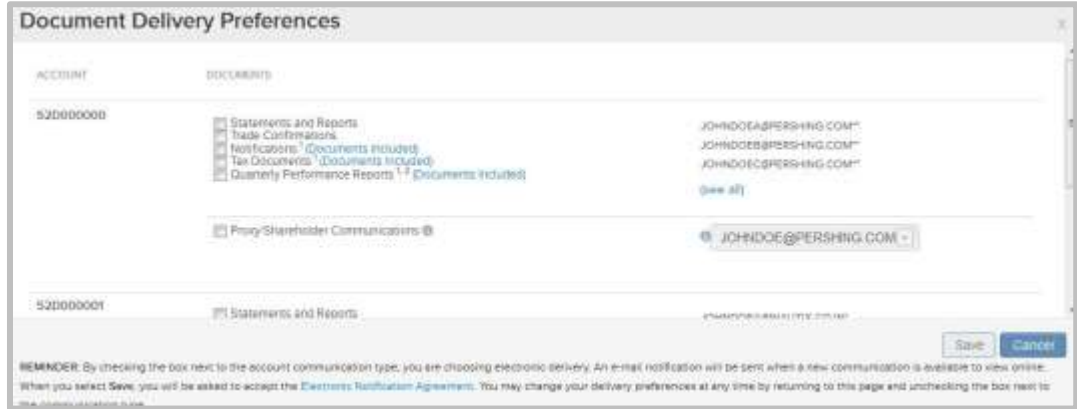
The **e-delivery Preferences** section displays all the email address (es) you have added earlier to your account. If you have not added any email address (es) earlier, follow the instructions below to add.

The screenshot shows a modal window titled "Add Email Address" with a close button (X) in the top right corner. The window contains two sets of input fields. The first set is labeled "EMAIL ADDRESS 1:" and "CONFIRM EMAIL ADDRESS 1:", with both fields containing the text "johndoe@pershing.com". The second set is labeled "EMAIL ADDRESS 2:" and "CONFIRM EMAIL ADDRESS 2:", with both fields containing the text "johndoeb@pershing.com". At the bottom right of the window, there are two buttons: "Save" and "Cancel".

1. On the **NetXInvestor** home page, click the **Settings** icon. The **Settings** page displays.
2. In the **Email Address(es)** section, click the **Add Email Address(es)** link. The **Add New Email Address** window displays.
3. In the **Email Address 1** and **Confirm Email Address 1** fields, enter the primary email address.

4. In the **Email Address 2** and **Confirm Email Address 2** fields, enter the secondary email address.
5. Click the **Save** button.

## Set Up e-Delivery for an Individual Account

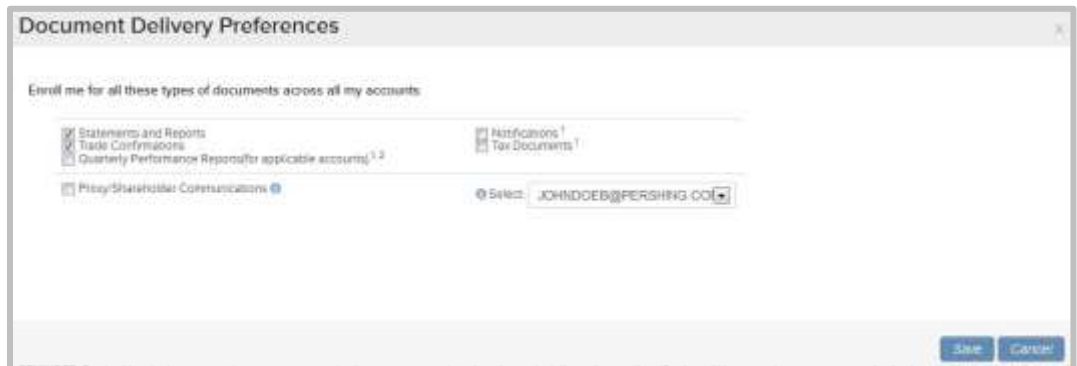


1. In the **e-Delivery Preferences** section, click the **Edit** link. The **Document Delivery Preferences** window displays.
2. Select the box (es) next to the documents against the respective account you want to opt for e-delivery.

**Tip:** To view the included documents under a category, click the **Documents Included** link.

3. From the email list, select the required email address to which the documents should be delivered electronically.
4. Click the **Save** button. A window displays the terms & conditions.
5. Read through the terms and conditions and click the **I Agree** button. A window displays stating the e-delivery preferences have been saved.
6. Click the **OK** button to continue.

## Set Up e-Delivery for Multiple Accounts using Quick Enroll



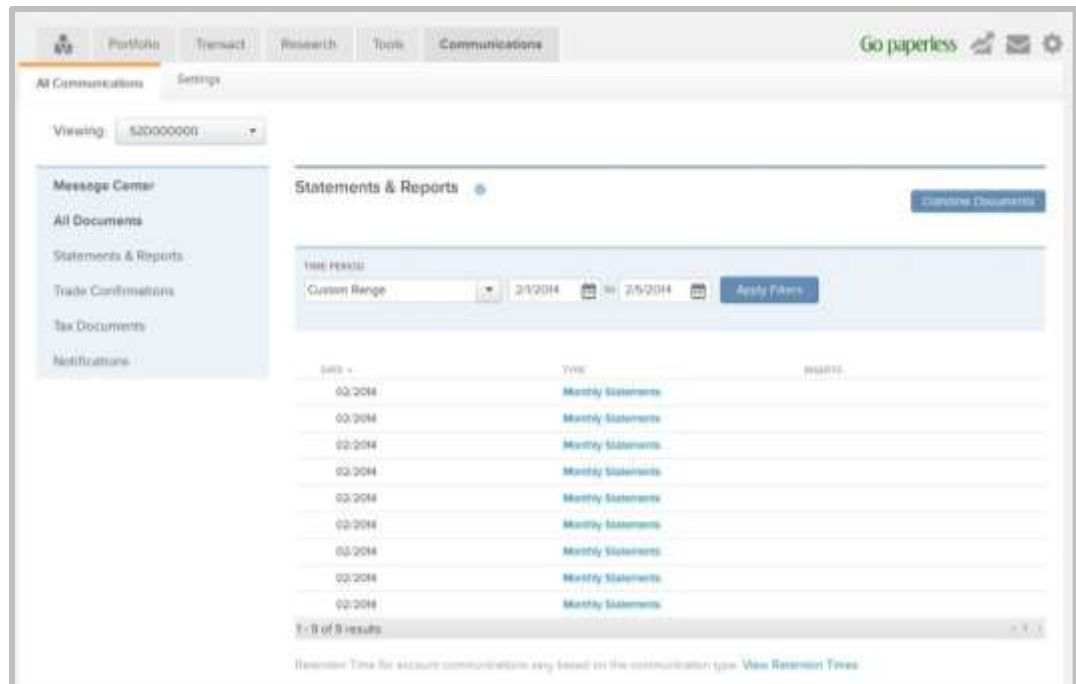
1. In the **e-Delivery Preferences** section, click the **Quick Enroll (for all accounts)** link. The **Document Delivery Preferences** window displays.
2. Select the box (es) next to the documents you want to opt for e-delivery.
3. From the email list, select the required email address to which the documents should be delivered electronically.
4. Click the **Save** button. A window displays the terms and conditions.
5. Read through the terms and conditions and click the **I Agree** button. A window displays stating the e-delivery preferences have been saved.
6. Click the **OK** button to continue.

## View Statements & Reports

The NetXInvestor platform allows you to view and download your account brokerage statements and reports and deliver these statements and reports electronically.

Statements and reports are available in the **All Communications** page. You can access statements and reports this way:

- Click **Communications > All Communications**. In the **All Communications** page, click the **Statements & Reports** link.
- Click the **My Documents** link in the **Quick Links** section.



The page, by default, displays the statements and reports for one year. To view a statement, click the link in the **Type** column for the required date. You can also view any notices by clicking the link in the **Inserts** column.

You can filter the information to display according to your requirements. Provide information in one or all of the following filters and click the **Apply Filters** button.

- Time Period

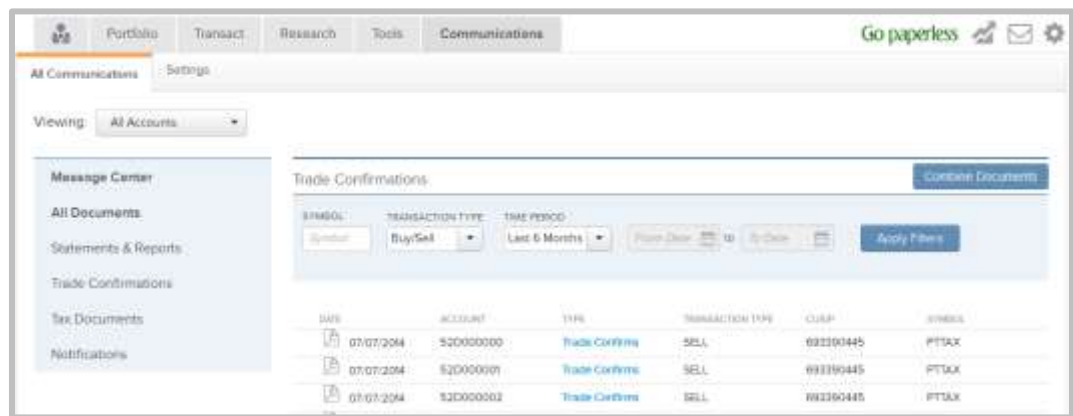
- From Date
- To Date

The information displayed can be exported to an Adobe PDF. For more information on exporting the information to a PDF, see [Generate Adobe PDF](#).

## View Trade Confirmations

The NetXInvestor platform allows you to view and download your trade confirmations and electronically deliver these confirmations.

Trade Confirmations are available in the **All Communications** page. You can navigate by clicking **Communications > All Communications**. In the **All Communications** page, click the **Trade Confirmations** link.



The page, by default, displays the trade confirmations for one year. To view a trade confirmation, click the link in the **Type** column for the required date.

You can filter the information to display according to your requirements. Provide information in one or all of the following filters and click the **Apply Filters** button.

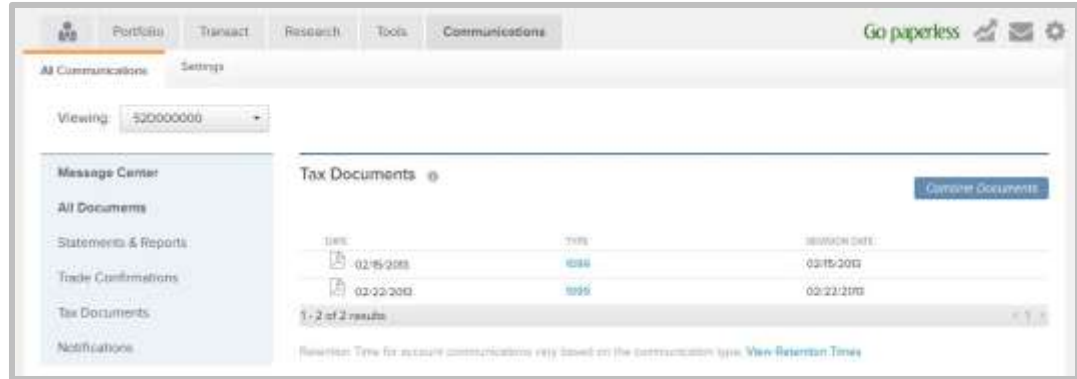
- Symbol
- Transaction Type
- Time Period
- From Date and To Date (These fields will be enabled only if Custom Range is selected for Time Period.)

The information displayed can be exported to an Adobe PDF. For more information on exporting the information to a PDF, see [Generate Adobe PDF](#).

## View Tax Documents

The NetXInvestor platform allows you to view and download your tax information statement and electronically deliver this statement.

Tax statements are available in the **All Communications** page. You can navigate by clicking **Communications > All Communications**. In the **All Communications** page, click the **Tax Documents** link.



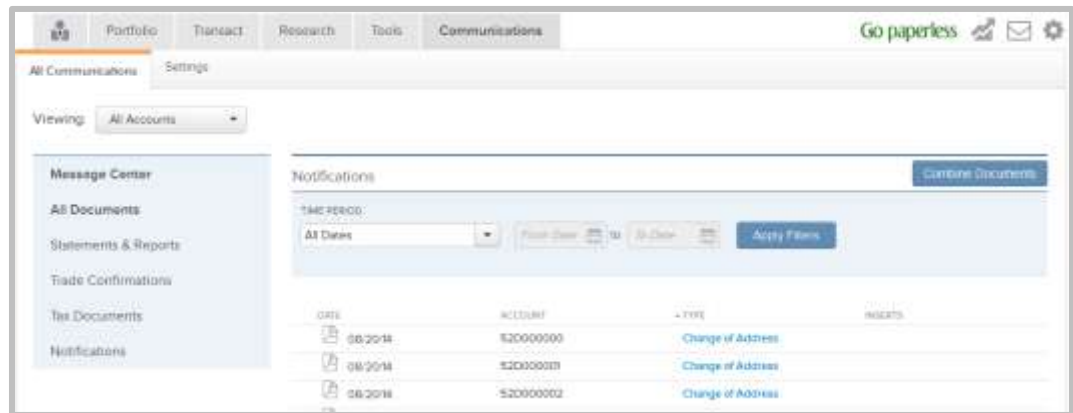
To view a tax statement, click the link in the **Type** column for the required date.

The information displayed can be exported to an Adobe PDF. For more information on exporting the information to a PDF, see [Generate Adobe PDF](#).

## View Notifications

The NetXInvestor platform offers you the option of viewing and downloading the notifications.

Notifications are available in the **All Communications** page. You can navigate by clicking **Communications > All Communications**. In the **All Communications** page, click the **Notifications** link.



To view a notification, click the link in the **Type** column for the required date.

The information displayed can be exported to an Adobe PDF. For more information on exporting the information to a PDF, see [Generate Adobe PDF](#).

## 6. Account Portfolio

NetXInvestor provides access to information relevant to, and regarding your portfolio. Such information is divided into relevant sub-pages on the site under the **Portfolio** tab. These pages include:

- Overview
- Balances
- Holdings
- Unrealized Gain/Loss
- Valuation Over Time
- Realized Gain/Loss
- History
- Projected Cash Flow

### Overview

The **Overview** page provides a snapshot of your most recent events/activities such as, open orders, recently completed trades, composition of investments in the portfolio, and more. The home page also provides information on how your investments are performing in the market, portfolio history and links to the most frequently accessed pages. You can view the portfolio of an individual account, group of accounts or your linked accounts.

To access the portfolio overview page, click **Portfolio** on the **NetXInvestor** home page.

### Portfolio Changes

This section displays the total market value of the available holdings. Unrealized gain/loss information is displayed along with the increase and decrease in terms of percentage.

	TOTAL MARKET VALUE	DAY CHANGE	UNREALIZED GAIN/LOSS
52D000000	\$5,629,151,989.99	-\$852,779.09 (-0.01%)	+\$29,913,155.19 (2.28%)
As of 07:05am ET 08/20/2014			

### Quick Links

This section displays the shortcut links to the pages within the portfolio. You can access the page by clicking the required link.



**Quick Links**

- [→ My Holdings](#)
- [→ My Documents](#)
- [→ My Balances](#)
- [→ My Watchlists](#)
- [→ My Advisor](#)
- [→ Markets Today](#)

**Composition of Holdings**

This section displays the composition of holdings in your portfolio. The composition is displayed in a pie chart along with the various asset classes available in your portfolio, their market value and total percentage. Click on the required asset class to view the filtered **Holdings** page.



**Open Orders & Executed Trades**

This section displays the open orders and the recently executed trades within your portfolio. Click on the stock symbol link in the **Symbol/CUSIP** column to view the **Order Status** page.

6. ACCOUNT PORTFOLIO

Open Orders			
SYMBOL/CUSIP	CURRENT PRICE	ORDER TYPE	EXPIRATION
FIREX	\$0.00	Buy	--
BRK A	\$172,500.00	Buy	DAY
GOOG	\$1,163.70	Buy	FOK
A	\$60.85	Buy	GTC
C	\$51.85	Buy	DAY

As of 04:33am 01/22/2014

Recently Executed Trades			
SYMBOL/CUSIP	PRICE	ORDER TYPE	QUANTITY
CDEFG	\$0.01	Buy	\$0.01 (Executed)
CDEFG	\$0.01	Buy	\$0.01 (Executed)
CDEFG	\$0.01	Buy	\$0.01 (Executed)
CDEFG	\$2.00	Redeem	\$2.00 (Executed)
CDEFG	\$2.00	Redeem	\$2.00 (Executed)

As of 04:33am 01/22/2014

### Strong & Weak Performers

This section displays the positive and negative performers in your portfolio. Click the **Company** hyperlink to view the **Quotes & News** page. You can also click the **Go to Holdings** link to navigate to the [Holdings](#) page directly.

Portfolio Movers			As of 12:00 AM 1/21/2014			<a href="#">Go to Holdings</a>
Strongest Performers			Weakest Performers			
COMPANY		TODAY'S CHANGE (%)	COMPANY		TODAY'S CHANGE (%)	
PSMI	Peregrine Semiconductor Corp	5.26 	GE	General Electric Co	-1.09 	
AAPL	Apple Inc	1.55 	IBM	International Business Machines Corp	-0.87 	
GOOG	Google Inc	1.14 	MSFT	Microsoft Corp	-0.58 	
INFY	Infosys Ltd	0.41 				
A	Agilent Technologies Inc	0.23 				

Portfolio Movers securities are derived from the top 20 holdings based on current market value. Quotes at least 15 min delayed

## Portfolio History

This section displays the five most recent activities in your account. Click the **Go to History** link to navigate to the [History](#) page.

History <small>As of 07:05am ET 08/20/2014</small> <a href="#">→ Go to History</a>			
DATE	SYMBOL/CUSIP	DESCRIPTION	NET AMOUNT
08/20/2014	<a href="#">94975J201</a>	DIVIDENDS - CASH LONG TERM CAP GAIN - CASH SHORT TERM CAP GAIN - CASH ** 94975J201	\$0.00
08/20/2014	<a href="#">782493795</a>	DIVIDENDS - CASH LONG TERM CAP GAIN - CASH SHORT TERM CAP GAIN - CASH ** 782493795	\$0.00
08/20/2014	<a href="#">HASDX</a>	DIVIDENDS - REINVEST SHORT TERM CAP GAIN - CASHLONG TERM CAP GAIN - CASH ** HASDX	\$0.00
08/20/2014	<a href="#">WISIX</a>	DIVIDENDS - REINVEST SHORT TERM CAP GAIN - CASHLONG TERM CAP GAIN - CASH ** WISIX	\$0.00
08/20/2014	<a href="#">AVPAX</a>	DIVIDENDS - CASH LONG TERM CAP GAIN - CASH SHORT TERM CAP GAIN - CASH ** AVPAX	\$0.00

## News

This section displays the news relating to the available holdings in your portfolio. Click the **Go to News** link to navigate to the **Quotes & News** page directly. You can also click the stock or news headline link to view the stock's information in the [Quotes & News](#) page.

My Portfolio in the News <a href="#">→ Go to News</a>	
<a href="#">AAPL</a>	Apple Inc
<p><a href="#">TECH STOCKS: Expedia Gets Hit On Google Traffic Decline Issue</a> 2014-01-21 17:59:00 - Dow Jones</p> <p>Investors sold Expedia Inc. shares Tuesday following a report that it has lost a quarter of its search visibility on Google due to the s...</p>	
<a href="#">IBM</a>	International Business Machines Corp
<p><a href="#">EUROPE MARKETS: Europe Stocks Up, Led By ASML; Pimco News Hits Allianz</a> 2014-01-22 04:30:00 - Dow Jones</p> <p>European stocks were clinging to gains on Wednesday.</p>	

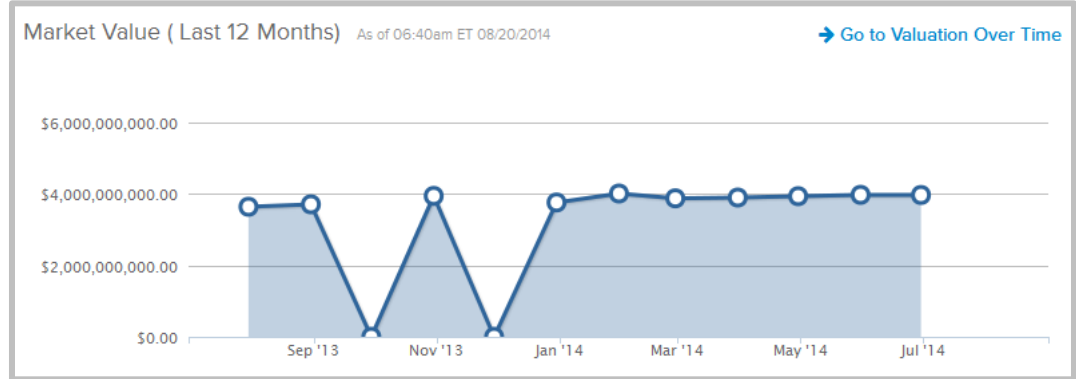
## Market Value

This section displays the valuation of portfolio, in the form of a chart for the past 12 months. This data is available for, a single account, a group of accounts, and, the entire portfolio. The values are as of the previous day's close of Business.

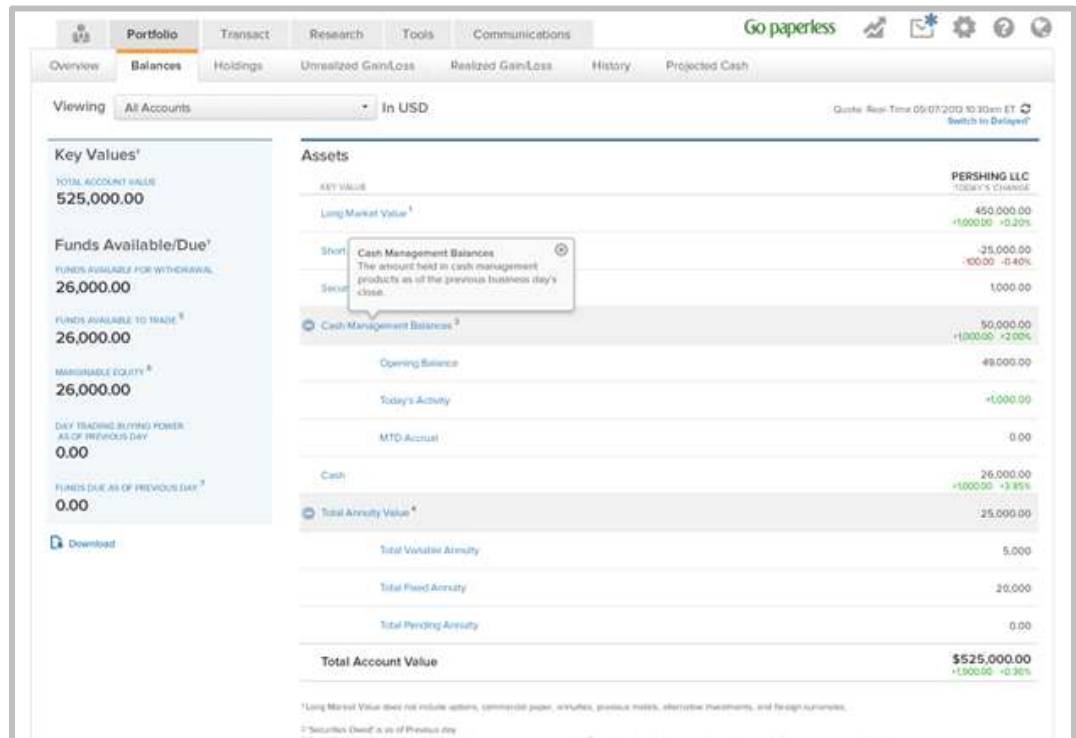
## 6. ACCOUNT PORTFOLIO

You can also click the [Go to Valuation Over Time](#) link to view applicable aggregate value of the account or the portfolio with the values at the end of last month and end of last year.

If the user is viewing the values for group of accounts or the entire portfolio, the value is the aggregate value of the accounts that make up the portfolio.



## Balances



The **Balances** page displays account balance information including long and short market value, funds available for withdrawal and funds available to trade. You can view information for an individual account, group, or the portfolio summary. The portfolio summary includes all the information of the linked accounts.

If the securities are custodied only at Pershing LLC, the **Balances** page also displays the following:

- **Name of the Custodian** displayed on top in the **Asset Component** area.
- **Cash Management Balances** will display the following information when expanded:
  - Opening Balance
  - Today's Activity
  - MTD Accrual
- Today's change values will be displayed for Long Market Value, Short Market value, Cash management balances (summary only), Cash and Total Account Value. The change value will be displayed below the actual current values.
- The **Currency Balances** section will be displayed after **Total Account Value**. This section displays Cash, Margin and Short balances when an account has a position not in U.S. dollars. If all positions in U.S. dollars, this section will not be displayed.

## Navigation

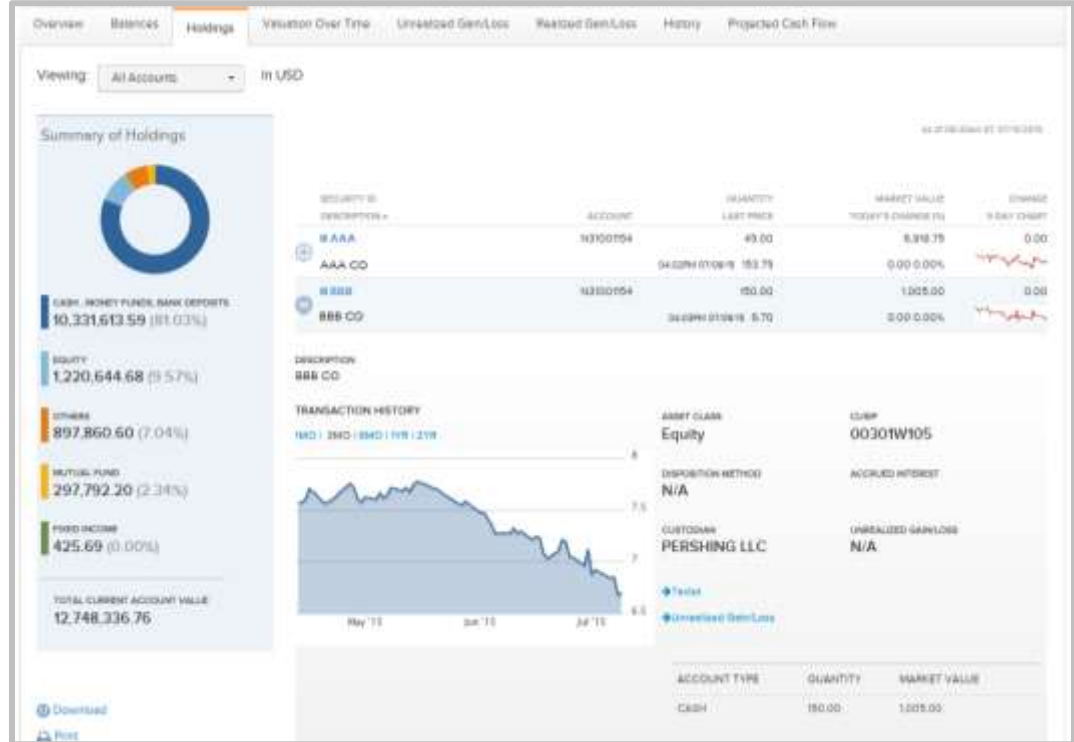
- To view the balances page, click **Portfolio** on the **NetXInvestor** home page and then click **Balances**.
- To view the balances for a single account, select the required account from the **Viewing** list.
- To view the balances for a group, select the required group from the **Viewing** list.
- To view the balances for all linked accounts, select **All Accounts** from the **Viewing** list.

**Note:** Balance data is only available for groups with fewer than 45 accounts and 1000 positions.

## Download/Print

You can [download](#) the information displayed in the page to a **Microsoft® Excel** file or [print](#) for record keeping.

## Holdings



The **Holdings** page displays all the holdings by account, group, or portfolio. The page also displays the total current value of holdings. From this page, you can view the quantity of holding, current market value, last traded price, yield, and more. You can also view more information about a holding by clicking the (+) icon next to a stock. For Fixed Income Positions, you can view the accrued interest, which is available as of the previous business day's close of business. This is, however, available for a single account. The transactions details chart, account type information is displayed after expanding the view.

When a security row is expanded:

- Links to **Tax Lots** and **Unrealized Gain/Loss** are available and the tax lot related information will be displayed in a separate pop-up window. Through this window, you can view tax lot and transaction details in a single space.
- **Dividend Reinvestment** and **Disposition Method** information is available.

## Navigation

- To view the holdings page, click **Portfolio** on the **NetXInvestor** home page and then click **Holdings**.
- To view the holdings for a single account, select the required account from the **Viewing** list.
- To view the holdings for a group of accounts, select the required group from the **Viewing** list.
- To view the holdings for all accounts, select **All Accounts** from the **Viewing** list.

## Download/Print

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## Unrealized Gain/Loss

SYMBOL/CUSIP	DESCRIPTION	QUANTITY	UNIT COST	MARKET VALUE	TOTAL COST	%
*885638124	3DM CORP MERGER EFF...	1,000.00	Please Provide	Please Provide	Please Provide	N/A
MVM	3M CO COM	994,423	144.25	143,445.44		
ABB	ABB LTD SPONSORED ADR	308.00	5.00	\$1,540.00		1,475.32
ABB	ABBOTT LABS COM	1,281,061	42.54	54,495.31		355.91%
*10020-F08	ABERDEEN EMERGING MA...	10.00	Please Provide	Please Provide	Please Provide	N/A
*10020-F08	ABERDEEN EMERGING MA...	10.00	Please Provide	Please Provide	Please Provide	N/A

The **Unrealized Gain/Loss** page displays the current performance of your holdings. The page also displays the summary of short- and long-term gain and loss information, besides displaying the total gain and loss information.

You can also view the date when the position tax lot became a long term holding. This information displays in the Long-Term Date column, which can be viewed by clicking the **Tax Lots** link, and is available for a single account. The information displayed is for the positions as of the previous business day's close of business.

## Navigation

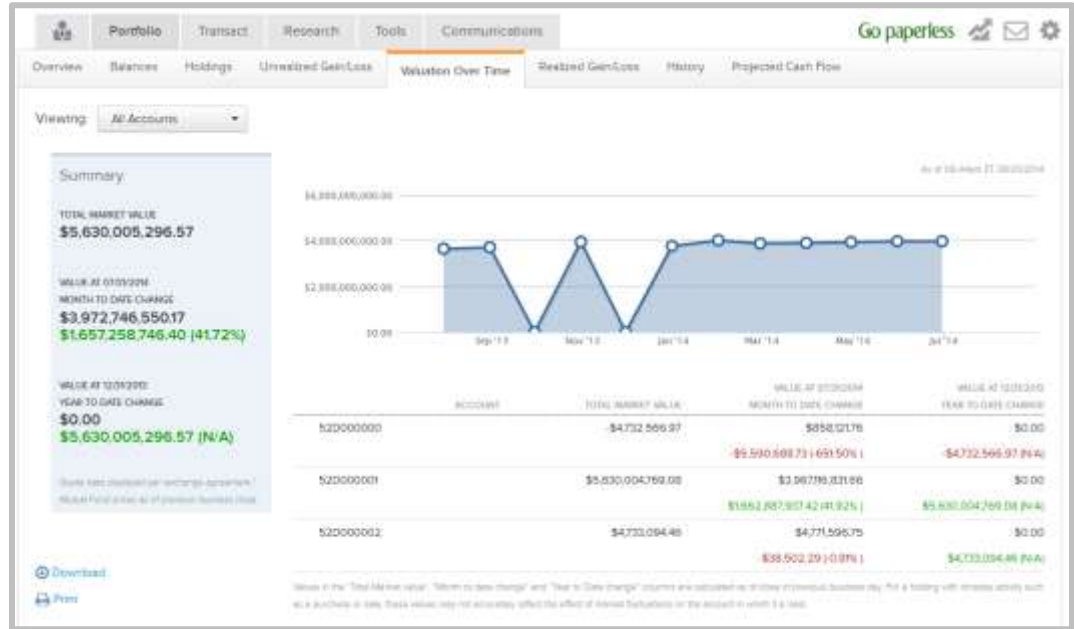
- To view the **Unrealized Gain/Loss** page, click **Portfolio** on the **NetXInvestor** home page and then click **Unrealized Gain/Loss**.
- To view the Unrealized Gain/Loss for a single account, select the required account from the **Viewing** list.
- To view the Unrealized Gain/Loss for a group of accounts, select the required group from the **Viewing** list.
- To view the Unrealized Gain/Loss for all accounts, select **All Accounts** from the **Viewing** list.

You can filter and view the information displayed on the page. To filter the information, enter a stock's symbol, name, CUSIP, or ISIN in the **Filter By** field and click the **Apply Filters** button.

## Download/Print

You can [download](#) the information displayed in the page to a **Microsoft® Excel** file or [print](#) for record keeping.

## Valuation Over Time



The **Valuation Over Time** page displays the value of the portfolio, in the form of a chart, for the past 12 months. This is available for a single account a group of accounts, and for the entire portfolio. When the mouse is hovered over the graph, the label changes to show month and year in the chart and in the rollover display to indicate when the year changes in data series.

The left panel of the page displays the summary of information, such as, **Total Market Value, Prior Day \$, Month Change \$, Month Change %, YTD Change \$, and YTD Change %.**

The right panel displays the information in the form of chart and grid. You can compare the applicable aggregate value of the account or the portfolio with the values at the end of last month and end of last year.

If you are viewing the values for group of accounts or the entire portfolio, the value is the aggregate value of the accounts that make up the portfolio.

## Download/Print

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## Realized Gain/Loss

The screenshot displays the 'Realized Gain/Loss' page in the NetXInvestor system. The page is titled 'Realized Gain/Loss' and shows a table of securities with the following columns: SYMBOL, CUSIP, DESCRIPTION, QUANTITY, OPENING DATE, CLOSING DATE, and REALIZED GAIN/LOSS (%). The table lists one security: EBAH-076840, TARJETA NARANJA S & NOTES S... with a quantity of 25,000.00, an opening date of 03/19/2018, a closing date of 01/05/2014, and a realized gain/loss of -1,244.72 (-8.8325%).

On the left side, there is a 'Filter By' section with the following options:

- Time Period: Year To Date
- From Date: [Calendar icon]
- To Date: [Calendar icon]
- Symbol, CUSIP: [Text input field]
- View By:  Symbol,  List
- Apply Filters button

Below the filter section is a 'Summary' section showing:

- SHORT TERM GAIN/LOSS: No Chg
- LONG TERM GAIN/LOSS: -\$1,244.72
- TOTAL GAIN/LOSS: -\$1,244.72

The page also includes a 'Go paperless' button and a 'History' link. The bottom of the page contains a copyright notice: '© 2017 by Ayuda1 - Tax Ltd. All Rights Reserved.'

The **Realized Gain/Loss** page displays the profit or loss information of your stocks arising out of a sell. The page also displays the summary of short- and long-term gain and loss information, besides displaying the total gain and loss information.

### Navigation

- To view the **Realized Gain/Loss** page, click **Portfolio** on the **NetXInvestor** home page and then click **Realized Gain/Loss**.
- To view the Realized Gain/Loss for a single account, select the required account from the **Viewing** list.
- To view the Realized Gain/Loss for a group of accounts, select the required group from the **Viewing** list.
- To view the Realized Gain/Loss for all accounts, select **All Accounts** from the **Viewing** list.

You can filter and view the information displayed on the page. To filter the information, provide information in one or all of the following filters and click the **Apply Filters** button.

- Time Period
- From Date and To Date
- Symbol, CUSIP
- View By

## Download/Print

You can [download](#) the information displayed in the page to a **Microsoft® Excel** file or [print](#) for record keeping.

## History

The screenshot shows the 'History' page in the NetXInvestor interface. At the top, there are navigation tabs: Portfolio, Transact, Research, Tools, and Communications. Below these are sub-tabs: Overview, Balances, Holdings, Unvested Gain/Loss, Valuation Over Time, Realized Gain/Loss, History (selected), and Projected Cash Flow. A 'Viewing' dropdown is set to '\$20000000'. A 'Filter By' section includes a 'Symbol name (CUSIP or ISIN)' field, a 'Time Period' dropdown set to 'Last 7 Days', and a 'Transaction' dropdown set to 'All'. An 'Apply Filters' button is present. The main table displays transaction history with columns: DATE, ACCOUNT TYPE, SYMBOL/CUSIP, ACTIVITY, NET AMOUNT CURRENCY, and NET AMOUNT (US\$). The table shows several rows of dividend payments for 'PTAX' on '08/20/2014' through '08/13/2014'. Below the table are links for 'Download', 'Print', and 'Go to Order Status'. A note at the bottom states 'Data available for a maximum of 2 years'.

DATE	ACCOUNT TYPE	SYMBOL/CUSIP	ACTIVITY	NET AMOUNT CURRENCY	NET AMOUNT (US\$)
08/20/2014	CASH	PTAX	DIVIDENDS - REINVEST SHORT TERM CA...	\$0.00 USD	\$0.00
08/19/2014	CASH	PTAX	DIVIDENDS - REINVEST SHORT TERM CA...	\$0.00 USD	\$0.00
08/18/2014	CASH	PTAX	DIVIDENDS - REINVEST SHORT TERM CA...	\$0.00 USD	\$0.00
08/15/2014	CASH	PTAX	DIVIDENDS - REINVEST SHORT TERM CA...	\$0.00 USD	\$0.00
08/14/2014	CASH	PTAX	DIVIDENDS - REINVEST SHORT TERM CA...	\$0.00 USD	\$0.00
08/13/2014	CASH	PTAX	DIVIDENDS - REINVEST SHORT TERM CA...	\$0.00 USD	\$0.00

The **History** page displays all the activities that have taken place in the account. The activities are available for a maximum of two years. By default, activities for one week are displayed.

## Navigation

- To view the **History** page, click **Portfolio** on the **NetXInvestor** home page and then click **History**.
- To view the History for a single account, select the required account from the **Viewing** list.
- To view the History for a group of accounts, select the required group from the **Viewing** list.
- To view the History for all accounts, select **All Accounts** from the **Viewing** list.

You can filter and view the information displayed on the page. To filter the information, provide information in one or all of the following filters and click the **Apply Filters** button.

- Symbol, CUSIP
- Time Period
- From Date and To Date
- Transaction

## Download

The information displayed in the page can be [downloaded](#) as a **Microsoft Excel** file.

You can track the status or order from the [Order Status](#) page. To view the **Order Status** page, click the **Order Status** link.

## Projected Cash Flow

The **Projected Cash Flow** page displays the cash money flow into your account.

## Navigation

- To view the **Projected Cash Flow** page, click **Portfolio** on the **NetXInvestor** home page and then click **Projected Cash Flow**.
- To view the projected cash flow for a single account, select the required account from the **Viewing** list.
- To view the projected cash flow for a group of accounts, select the required group from the **Viewing** list.
- To view the projected cash flow for all accounts, select **All Accounts** from the **Viewing** list.

The page is divided into the following sections:

- **Incoming Cash Flow**— - This section displays the announced and projected cash flow information. To view the cash flow distribution, click the View Cash Flow Distribution link.
- **Fixed Income Cash Flow**— - This section displays the incoming cash flow from the fixed income securities.

- **Maturity Schedule**— - This section displays the dates and amounts of redemption for an issuance.

## Download

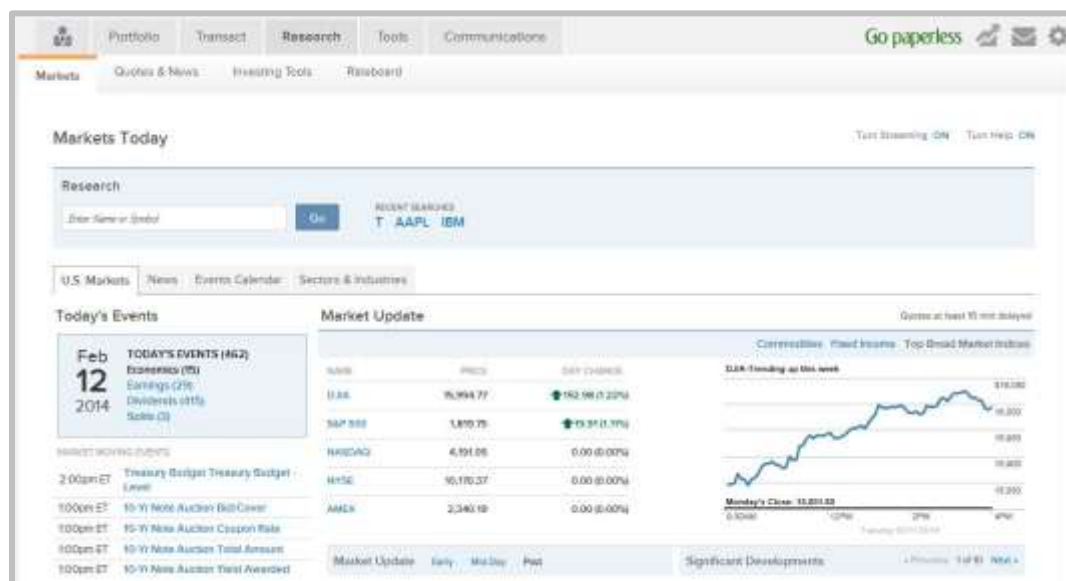
The information displayed in the page can be [downloaded](#) as a **Microsoft Excel** file.

## 7. Research

The NetXInvestor platform helps you stay connected to the market by providing access to quotes, late-breaking news stories, comprehensive information and research on thousands of stocks, options, and mutual funds.

### Markets

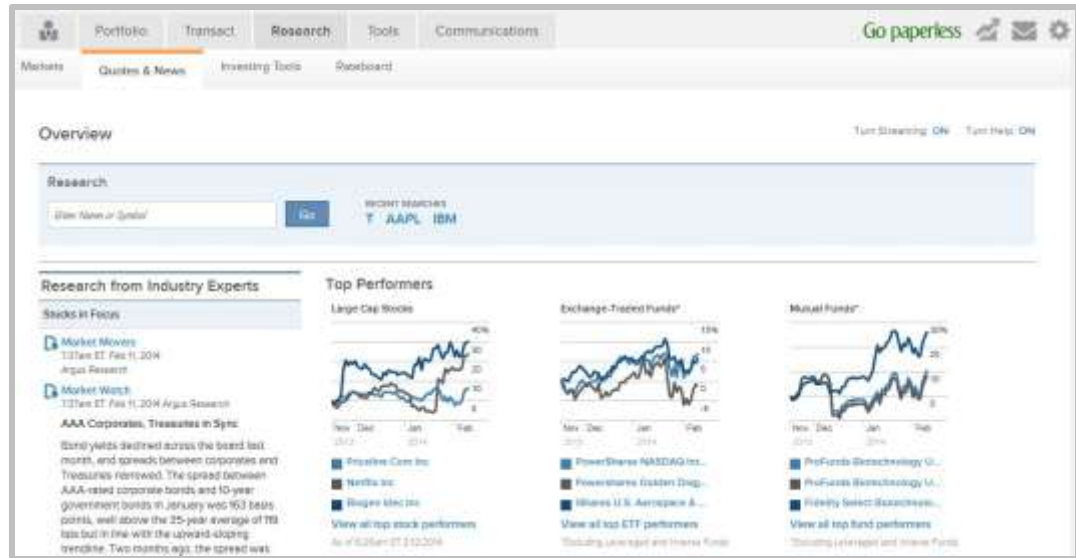
The **Markets** tab enables you to view market updates, market movers, advancers/decliners, access to real-time market news and events.



### Quotes & News

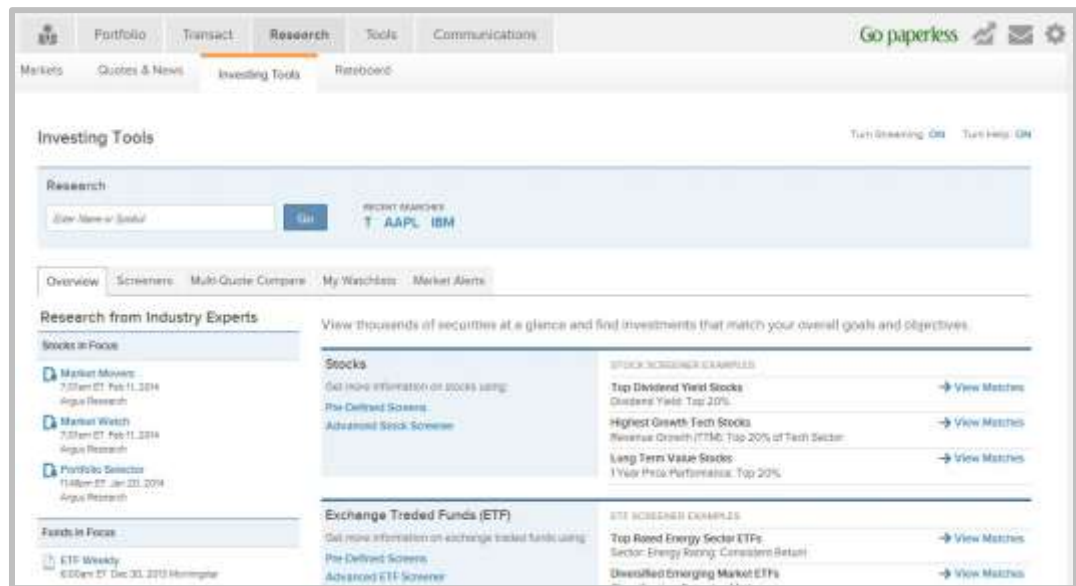
The **Quotes & News** tab enables you to view quotes for stocks, options, mutual funds, or ETFs. This tab also enables you to obtain the latest news headlines for each position, as well as detailed information including last bid, ask, and volume numbers. From this tab, you can view the following:

- Research from industry sources
- Market headlines



## Investing Tools

The **Investing** Tools tab enables you to view predefined stock, ETF and mutual fund screeners; compare stocks and funds for profile, performance, risk, and much more.



## Rateboard

The **Rateboard** tab enables you to view the prevailing rates for money market products, currency, commodities and others.

## 7. RESEARCH

Money Market Product Rates		7 day Yield as of 02/10/2014	Interest Rates		Current Yield as of 02/10/2014
FED-INSR CREDIT INTEREST		0.00%	30 year Treasury bond		3.54%
CA MUNI CASH TRUST CASH SERIES		0.00%	1 year Treasury bill		0.06%
FEDERATED CAPITAL RESERVES		10.83%	90 day Treasury bill		0.06%
CT MUNI CASH TRUST CASH SERIES		0.00%			<a href="#">Back To Top</a>
FL MUNI CASH TRUST CASH SERIES		0.00%	Stock & Option Indices		As of 02/10/2014
FEDERATED GOVERNMENT RESERVES		10.83%	Dow Jones Industrial Average (DJIA)	149014	No Chg
FEDERATED MUNICIPAL TRUST		0.00%	NASDAQ Composite (COMP)	3376.22	No Chg
NJ MUNI CASH TRUST CASH SERIES		0.00%	S&P 500 Index (SPX)	1605.26	No Chg
NY MUNI CASH TRUST CASH SERIES		0.00%	S&P 500 Index (OEX)	721.04	No Chg
VA MUNI CASH TRUST CASH SERIES		0.00%	Major Market Index (DMI)	1628.07	No Chg
TREASURY CASH SERIES		0.00%			<a href="#">Back To Top</a>
		<a href="#">Back To Top</a>	Commodities		As of 02/10/2014
Currency Rates		As of 02/10/2014	Gold (London spot, tray oz)	\$1,205.10	No Chg
United States Dollar (per US dollar)		1.000000	Silver (London spot, tray oz)	\$36.52	No Chg
Australian Dollar (per US dollar)		1.037459	Oil (B: Tc, mt, crude, barrel)	\$95.48	No Chg
Brazilian Real (per US dollar)		2.403920			<a href="#">Back To Top</a>
British Pound (per US dollar)		0.606722			
Chinese Renminbi (per US dollar)		0.0201600			

## 8. Sort, Filter, Download and Print

The information displayed in the pages within the platform can be sorted, filtered, exported to a Microsoft Excel file or printed for record keeping. Some pages within the platform also offers the ability to generate an Adobe® PDF file from multiple files.

### Sort

The sorting feature enables you to reorder the information in ascending or descending order. A sort can be applied to any page with a table-like structure. To sort the information, click on a required column heading to sort in ascending order, and click the heading again to sort the information in descending order.

An ascending sort order is identified by an upward triangle, whilst the descending sort order is identified by a downward triangle. The indicator appears in the column used for sorting.

### Filter

The filtering feature enables you to limit the information displayed in a page. The platform offers many filter criteria that you can use to display the information according to your requirements.

The filter criteria differ from page to page. The most common filter criteria are:

- Symbol, name, CUSIP
- Time Period
- View by
- Transaction
- Cash flow type—Appears only in the Projected Cash Flow page.

To filter the information, provide information for the required filter and click the **Apply Filters** button.

### Download

The downloading feature enables you to download the information displayed in a page to a Microsoft Excel file.

To download the information, click the **Download** link or the link name adjacent to the **Download** label.

### Generate Adobe PDF

The platform offers the ability to download these document types as PDFs.

- Statements and Reports
- Trade Confirmations



- Tax Documents
- Notifications

To generate a PDF:

1. In any of the above pages, click the **Combine Documents** button. The option to select multiple documents becomes available for selection.

The screenshot shows the 'Statements & Reports' header with a 'Combine Documents' button in the top right corner. Below the header, there is a 'TIME PERIOD' section with a dropdown menu set to 'Last 12 Months', 'From Date' and 'To Date' fields with calendar icons, and an 'Apply Filters' button.

2. Select one or more documents by clicking the check box and click the **Generate PDF** button. The documents appear in the generated PDF.

The screenshot shows the 'Statements & Reports' header with 'Generate PDF' and 'Cancel' buttons in the top right corner. Below the header, there is a 'TIME PERIOD' section with a dropdown menu set to 'Last 12 Months', 'From Date' and 'To Date' fields with calendar icons, and an 'Apply Filters' button. Below this is a table with three columns: DATE, TYPE, and INSERTS.

DATE	TYPE	INSERTS
<input checked="" type="checkbox"/> 02/2014	Monthly Statements	Insert 1, Insert 2, Insert 3
<input checked="" type="checkbox"/> 02/2014	Monthly Statements	Insert 1, Insert 2, Insert 3
<input checked="" type="checkbox"/> 02/2014	Monthly Statements	Insert 1, Insert 2, Insert 3

## Print

The information displayed in the page can be printed for record keeping. To print the information, click the **Print** link.

## Appendix A: NetXInvestor Mobile App

The NetXInvestor mobile app has all of the features that you currently see in the NetXInvestor website. There are a few additional features that are uniquely available through the app, but every other aspect of the app will look and work as it does on the website. Mobile check deposit and Apple Watch (works with iOS app) are the unique mobile features that can be found in the NetXInvestor mobile app.

### Access

For more information on accessing NetXInvestor using the NetXInvestor mobile app and using the mobile check deposit feature, contact your financial institution.

### Apple Watch

The NetXInvestor mobile app for iOS works with Apple Watch to let you view balances and activity for your accounts. To synchronize Apple Watch with NetXInvestor, go to the Apple Watch app on Apple phone's home screen and select NetXInvestor to include in the App Layout.

### Download NetXInvestor Mobile App


You can download the NetXInvestor mobile application directly to your Android or iOS device by searching for **NetXInvestor** on Google Play Store or Apple App Store.

### Mobile Requirements

- Android:
  - OS 4.4 or higher
  - Size: 3 MB
- iOS
  - OS: 7.0 or higher
  - Size: 30 MB

## Navigation

### General Navigation

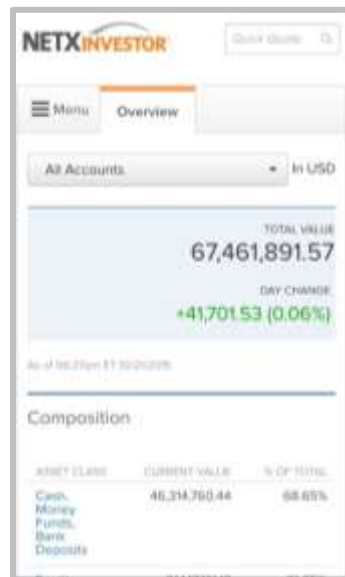
TO	DO THIS
Move between pages	Tap the menu icon and then tap the desired page
Return to the home page	Tap the menu icon and then tap Overview
Return to the previous page (Android specific)	Tap the back icon 

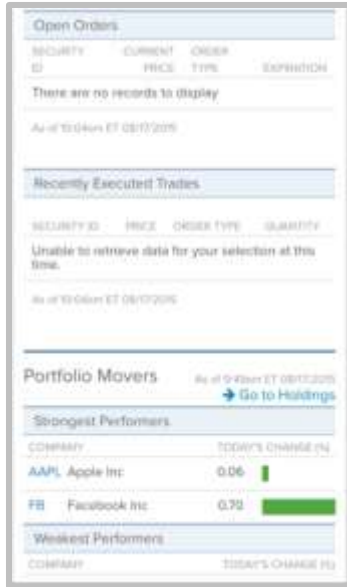
### Functional Navigation

TO	TAP
View market snapshot	<b>Menu</b> icon and then tap the <b>Market Snapshot</b> icon.
View messages	<b>Menu</b> icon and then tap the <b>Message</b> icon.
Set e-delivery preferences	<b>Menu</b> icon and then tap the <b>Go Paperless</b> icon.
Log out	<b>Menu</b> icon and then tap the <b>Logout</b> icon.

### Portfolio

- To view the snapshot of your most recent events/activities such as open orders, recently completed trades or composition of investments in the portfolio, tap the menu icon and then tap **Overview**.

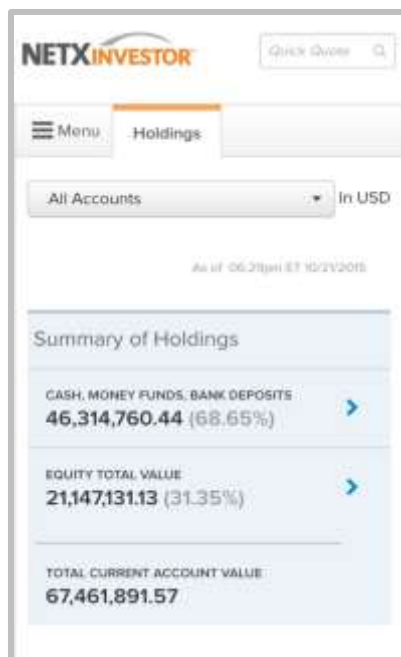




- To view the total account value of your account, funds available for withdrawal, funds available to trade and day trading power as of previous day, tap the menu icon and then tap **Balances**.



- To view the holdings you hold in the portfolio, tap the menu icon and then tap **Holdings**.



- To view the value of the portfolio in the form of a chart for the past 12 months, tap the menu icon and then tap **Valuation Over Time**.
- To view the current performance of stocks in the market, summary of short-and long-term gain and loss information, tap the menu icon and then tap **Unrealized Gain/Loss**.
- To view the profit or loss information of your stocks arising out of a sell, summary of short- and long-term gain and loss information, tap the menu icon and then tap **Realized Gain/Loss**.
- To view the activities that have taken place in your account, tap the menu icon and then tap **History**.
- To view the cash money flow into your account, tap the menu icon and then tap **Projected Cash Flow**.

### ***Transact***

- To deposit checks, tap the menu icon and then tap **Mobile Deposit (More Detail Below)**.

### ***Research***

- To view stock market updates, market movers, advancers/decliners, access to real-time market news and events, tap the menu icon and then tap **Markets**.



- To view full quote and perform research of a security, tap the menu icon and then tap **Quotes & News**.
- To view the predefined stock, ETF and mutual fund screeners, compare stocks and funds for profile, performance and risk, tap the menu icon and then tap **Investing Tools**.
- To view the prevailing rates for money market products, currency, commodities and others, tap the menu icon and then tap **Rateboard**.

### **Tools**

- To view your watchlists, tap the menu icon and then tap **Watchlist**.
- To view the educational resources, tap the menu icon and then tap **Educational Resources**.
- To view helpful links, tap the menu icon and then tap **Helpful Links**.

### **Communications**

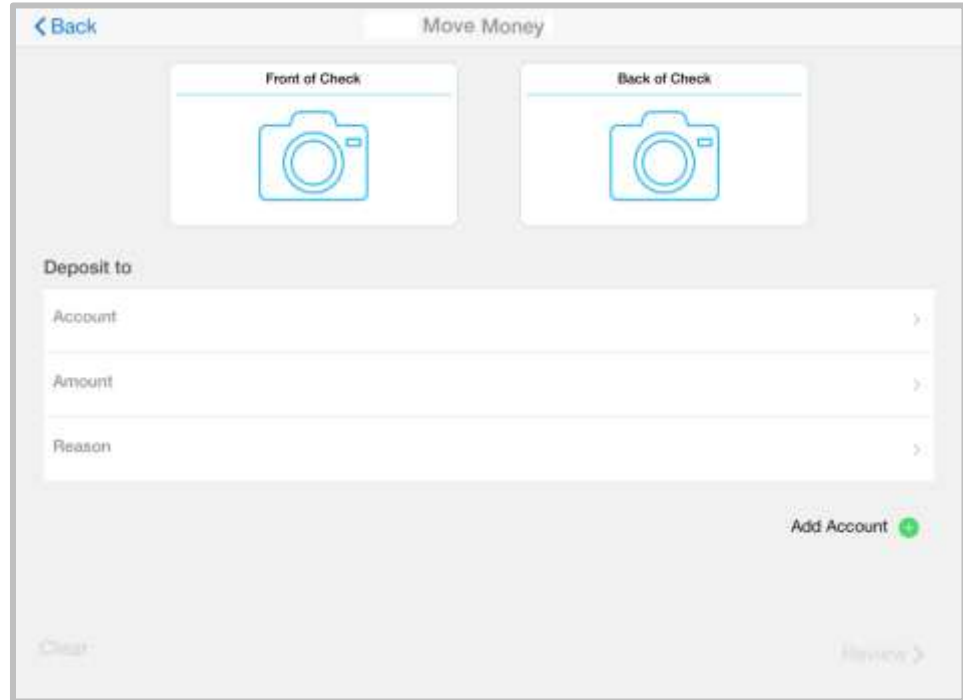
- To view your account brokerage statements, tap the menu icon and then tap **All Communications > Statements & Reports**.
- To view your trade confirmations, tap the menu icon and then tap **All Communications > Trade Confirmations**.
- To view your tax information statement, tap the menu icon and then tap **All Communications > Tax Documents**.
- To view your notifications, tap the menu icon and then tap **All Communications > Notifications**.
- To change password, display settings, e-delivery preferences and more, tap the menu icon and then tap **Settings**.

## Deposit Checks

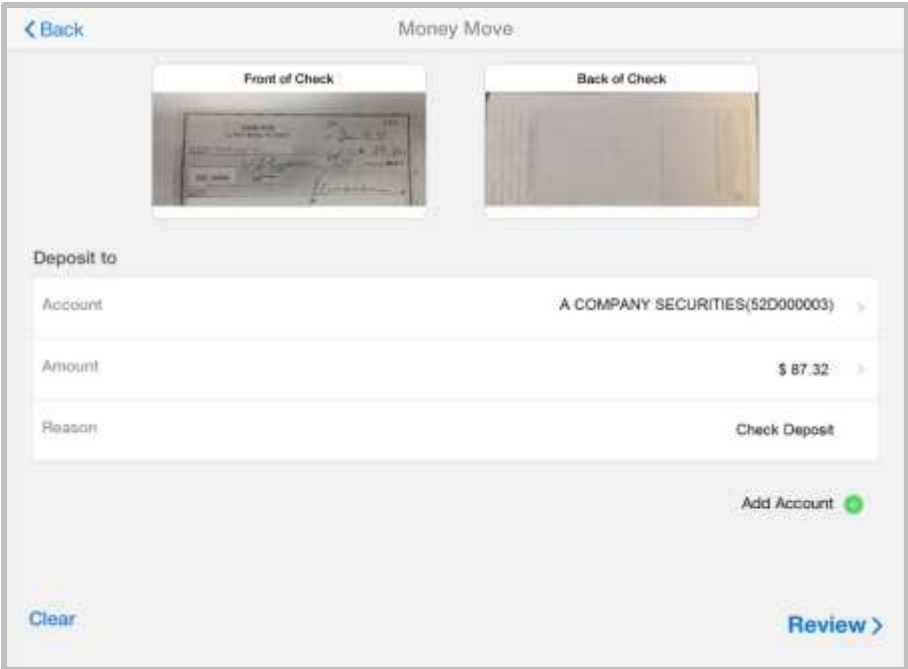
Mobile check deposit provides a quick and convenient way to deposit checks for processing using NetXInvestor® mobile. Using this feature, you can take front and back photos of checks, attach the check images, enter the amount of the check and select the accounts to credit.

To deposit checks:

1. Tap the menu icon and then under the **Transact** tab, tap **Mobile Deposit**. A page displays where you can use the device camera to take photo of the check.



2. Take a photo of the front and back of the check.
3. Follow the prompts to enter the check amount, select the desired accounts and enter the deposit amount.
4. If prompted, select a deposit source code for each account.



- 5. After providing the details, tap **Review** to verify the deposit details.
- 6. Verify the deposit details and tap **Submit**.



## Appendix B: Bank Custody

Bank Custody integration with NetXInvestor enables you to:

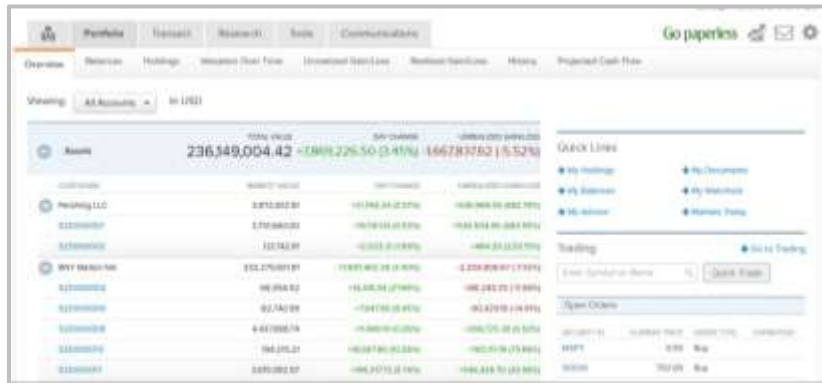
- Access all accounts held with multiple institutions with a single user ID
- View complete financial information across all your accounts
- View principal and income reporting across different account types
- View your investment manager and the style of investments (if applicable)

This appendix highlights the changes between the Bank Custody and Brokerage accounts.

- Overview
- Balances (All Accounts)
- Balances (Single Account)
- Holdings
- Valuation Over Time
- Unrealized Gain & Loss
- Realized Gain & Loss
- Projected Cash Flow
- Settings

## Overview

### Bank Custody Account



### Brokerage Account



The **Overview** page provides a snapshot of your most recent events/activities such as composition of investments in the portfolio. The page also provides information on how your investments are performing in the market, portfolio history and links to the most frequently accessed pages. You can view the portfolio of an individual account, group of accounts or your linked accounts.

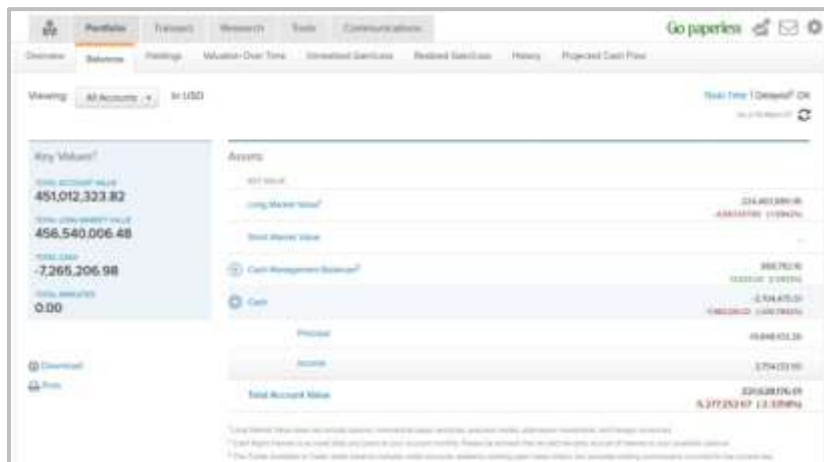
The following fields display for Bank Custody accounts:

BANK CUSTODY FIELD <sup>1</sup>	DESCRIPTION	COMPARISON TO BROKERAGE
Assets by Custodian	Custodian level assets are displayed. The following information is also displayed for each asset: Total Value, Day Change and Unrealized Gain/Loss. The custodian level line displays only if you have access to both bank and brokerage accounts. If you have access to bank accounts only, the first custodian line does not display.	New field for Bank Custody. This field displays only if the user ID has access to both Bank and Brokerage accounts.
Security ID	Symbol or CUSIP of the security.	Symbol and CUSIP column titles have been relabeled as Security ID.

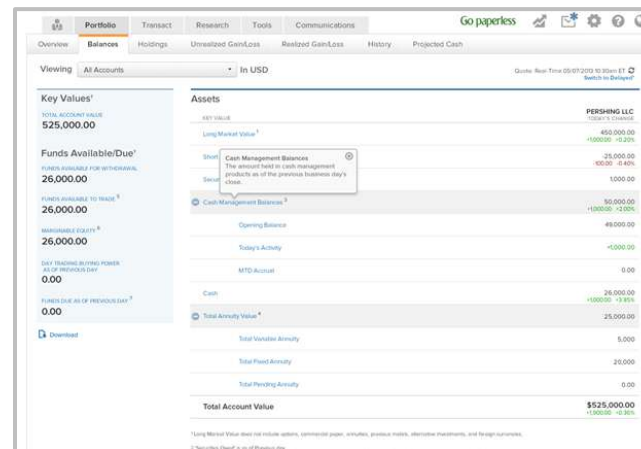
<sup>1</sup> \* The screen print for Bank Custody displays information of a user ID that has access to Bank and Brokerage accounts.

## Balances (All Accounts)

### Bank Custody Account



### Brokerage Account



The **Balances** page displays the account balance information for all accounts. You can view information for an individual account, group, or the portfolio summary. The portfolio summary includes all the information of the linked accounts.

The following fields display for Bank Custody accounts:

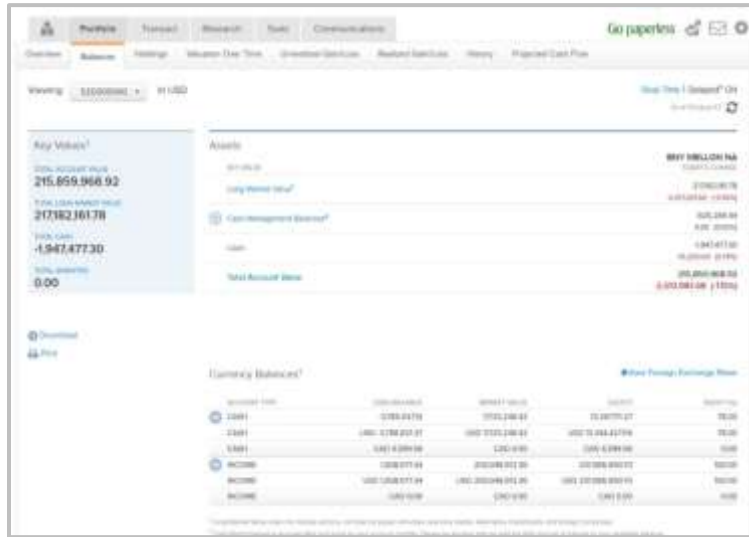
BANK CUSTODY FIELD	DESCRIPTION	COMPARISON TO BROKERAGE
<b>Key Values Section</b>		
Total Account Value	Sum of previous day market values of all account assets defined as long security positions, annuities, insurance, cash, not held assets, cash management and accrued interest.	Same as Brokerage account.
Total Long Market Value	Sum of previous day market values of all account assets defined as long security positions.	New field for Bank Custody.
Total Cash	Total cash available as of previous day close.	New field for Bank Custody.
Total Annuities	Sum of total annuities available as of previous day close.	New field for Bank Custody.
<b>Assets Section</b>		

APPENDIX B: BANK CUSTODY

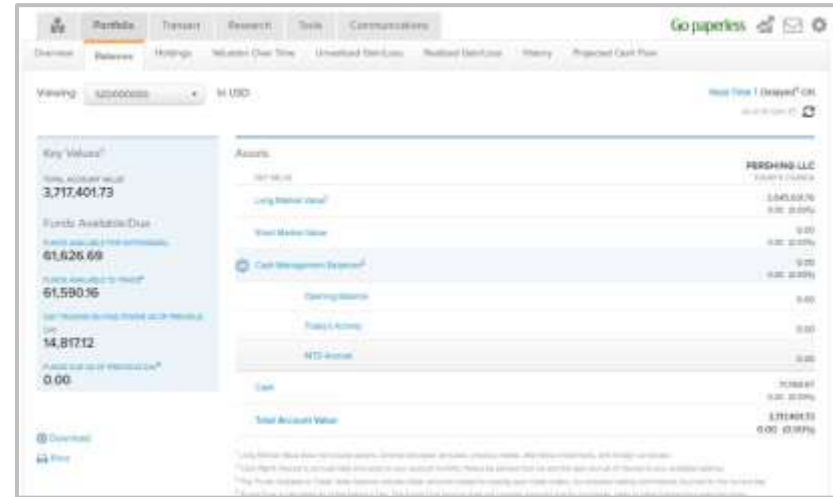
BANK CUSTODY FIELD	DESCRIPTION	COMPARISON TO BROKERAGE
BNY Mellon NA	BNY Mellon NA is displayed as default custodian for Custodian accounts.	New field for Bank Custody.
Principal Cash and Income Cash	Sum of all cash products available within the account.	New field for Bank Custody.

# Balances (Single Account)

## Bank Custody Account



## Brokerage Account



The **Balances** page displays account balance information for a single account. You can view information for an individual account, group or the portfolio summary. The portfolio summary includes all the information of the linked accounts.

The following fields display for Bank Custody accounts:

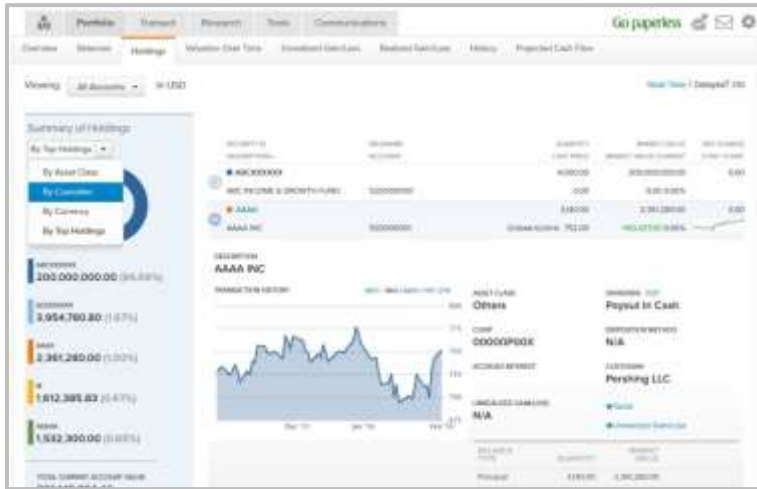
BANK CUSTODY FIELD	DESCRIPTION	COMPARISON TO BROKERAGE
<b>Key Values Section</b>		
Total Account Value	Sum of previous day market values of all account assets defined as long security positions, annuities, insurance, cash, not held assets, cash management and accrued interest.	Same as Brokerage account.
Total Long Market Value	Sum of previous day market values of all account assets defined as long security positions.	New field for Bank Custody.
Total Cash	Total cash available as of previous day close.	New field for Bank Custody.
Total Annuities	Sum of total annuities available as of previous day close.	New field for Bank Custody.

APPENDIX B: BANK CUSTODY

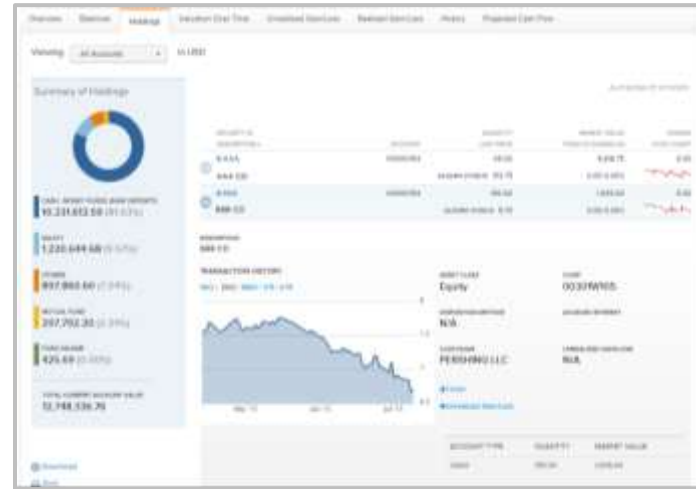
BANK CUSTODY FIELD	DESCRIPTION	COMPARISON TO BROKERAGE
<b>Assets Section</b>		
BNY Mellon NA	BNY Mellon NA is displayed as default custodian for Custodian accounts.	New field for Bank Custody.
<b>Currency Balances Section</b>		
Cash and Income Account Types	<p>The following information is displayed: Cash and Income balances when an account has a position not in U.S. dollars. If all positions in U.S. dollars, this section will not be displayed.</p> <p>On expanding the account type, cash value with different currencies is displayed (ex. USD, CAD).</p>	New field for Bank Custody.

# Holdings

## Bank Custody Account



## Brokerage Account



The **Holdings** page displays all the holdings by account, group or portfolio. The page also displays the total current value of holdings. From this page, you can view the quantity of holding, current market value, last traded price, yield, and more. You can also view more information about a holding by clicking the (+) icon next to a stock. For fixed income positions, you can view the accrued interest, which is available as of the previous business day's close of business (available only for a single account.) The transactions details chart, and account type information is displayed after expanding the view.

The following fields display for Bank Custody accounts:

BANK CUSTODY FIELD	DESCRIPTION	COMPARISON TO BROKERAGE
Summary of Holdings drop-down	Two new options have been added to the drop-down.	Same as Brokerage account.
Custodian	Custodian field has been added and is visible when the security row is expanded. The field displays the firm that holds the assets.	New field for Bank Custody.  This field displays only if the user ID has access to both Bank and Brokerage accounts.

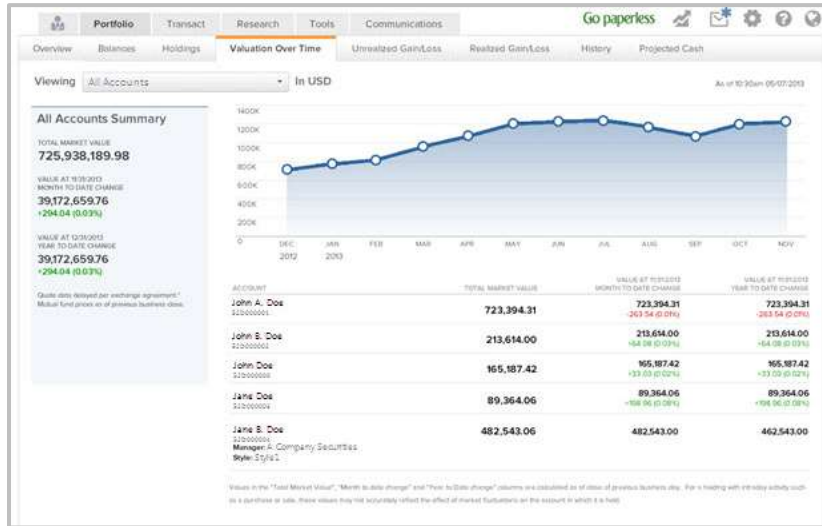
APPENDIX B: BANK CUSTODY

BANK CUSTODY FIELD	DESCRIPTION	COMPARISON TO BROKERAGE
Tax Lot and Unrealized Gain/Loss	Tax Lot and Unrealized Gain/Loss links are added. Click these links to view tax lot and unrealized gain/loss information.	New field for Bank Custody.
Transaction history chart	A transaction history chart is added that includes holdings details.	New field for Bank Custody.
Balance Type	Account Type column relabeled to Balance Type.	New field for Bank Custody.

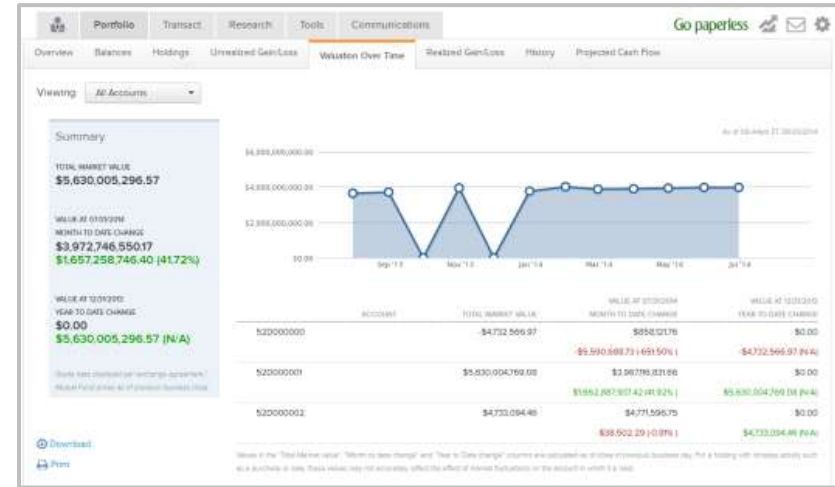


# Valuation Over Time

## Bank Custody Account



## Brokerage Account



The **Valuation Over Time** page displays the value of the portfolio, in the form of a chart, for the past 12 months. This is available for a single account, a group of accounts and for the entire portfolio. When the mouse hovers over the graph, the label changes to show month and year in the chart and in the rollover display to indicate when the year changes in data series.

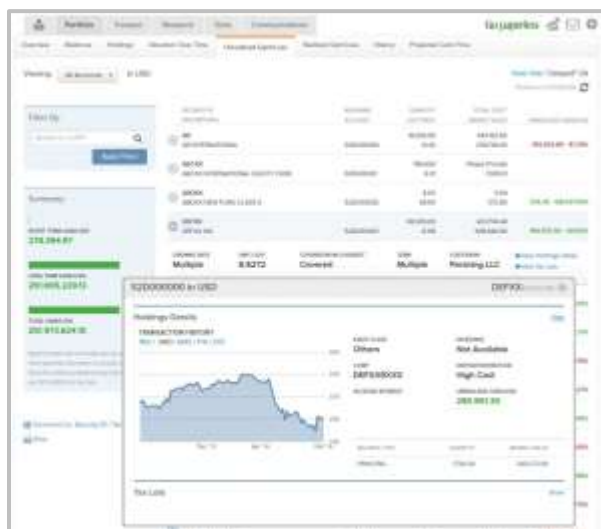
The left panel of the page displays the summary of information, such as **Total Market Value**, **Prior Day \$**, **Month Change \$**, **Month Change %**, **YTD Change \$**, and **YTD Change %**. The right panel displays the information in the form of chart and grid. You can compare the applicable aggregate value of the account or the portfolio with the values at the end of last month and end of last year. If you are viewing the values for a group of accounts or the entire portfolio, the value is the aggregate value of the accounts that make up the portfolio.

The following fields display for Bank Custody accounts:

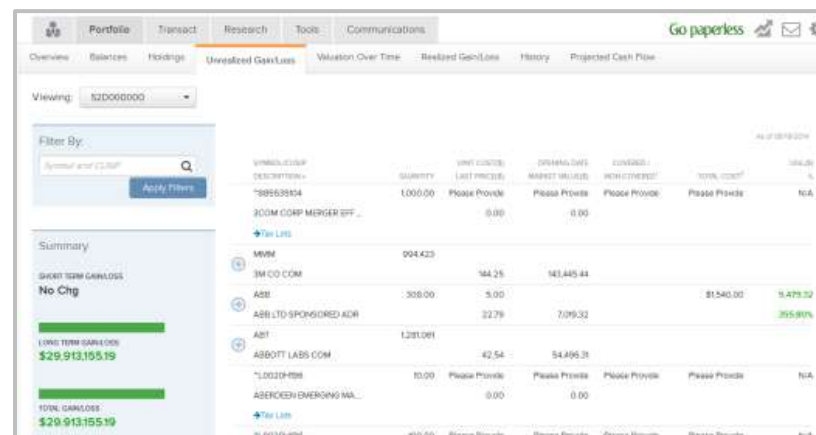
BANK CUSTODY FIELD	DESCRIPTION	COMPARISON TO BROKERAGE
Account Number/Nickname	Account Number/Nickname field has been added.	New field for Bank Custody.
Investment Manager and Style	On hovering the mouse over an account, investment manager and style is displayed.	New field for Bank Custody.

# Unrealized Gain & Loss

## Bank Custody Account



## Brokerage Account



The **Unrealized Gain/Loss** page displays the current performance of your holdings. The page also displays the summary of short- and long-term gain and loss information, besides displaying the total gain and loss information.

You can also view the date when the position tax lot became a long term holding. This information displays in the **Long-Term Date** column, which can be viewed by clicking the **Tax Lots** link, and is available for a single account. The information displayed is for the positions as of the previous business day's close of business.

The following fields display for Bank Custody accounts:

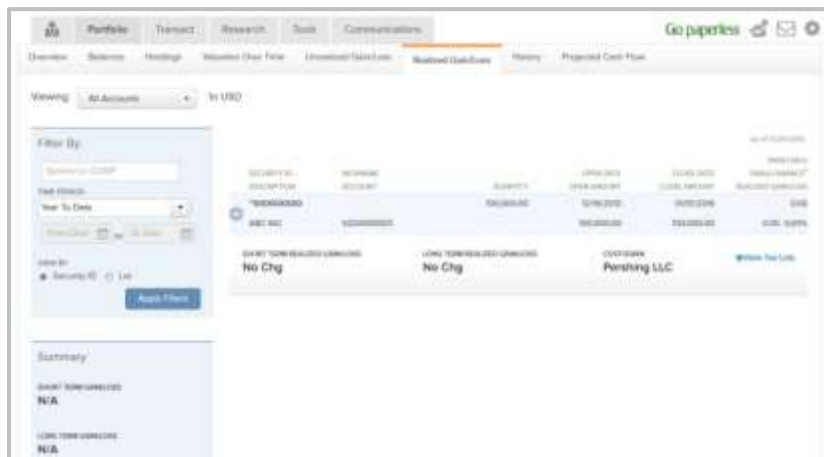
BANK CUSTODY FIELD	DESCRIPTION	COMPARISON TO BROKERAGE
Nickname	Nickname column has been added to the grid.	New field for Bank Custody.
Opening Date	Opening Date field has been added and is visible when the security row is expanded.	New field for Bank Custody.
Unit Cost	Unit Cost field has been added. This displays the unit cost of the security.	New field for Bank Custody.
Covered/Non-Covered	Covered/Non-Covered field has been added. This displays whether the security is covered or not covered.	New field for Bank Custody.

APPENDIX B: BANK CUSTODY

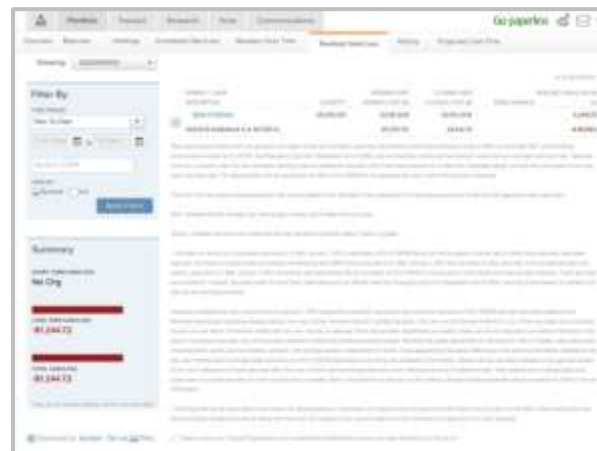
BANK CUSTODY FIELD	DESCRIPTION	COMPARISON TO BROKERAGE
Term	Term field has been added.	New field for Bank Custody.
Custodian	Custodian field has been added and is visible when the security row is expanded. The field displays the firm that holds the assets.	New field for Bank Custody.
View Holding Detail	View Holding Detail link has been added. On clicking the link, holding information is displayed.	New field for Bank Custody.
View Tax Lots	View Tax Lots link has been added. On clicking the link, tax lot information is displayed.	New field for Bank Custody.

## Realized Gain & Loss

### Bank Custody Account



### Brokerage Account



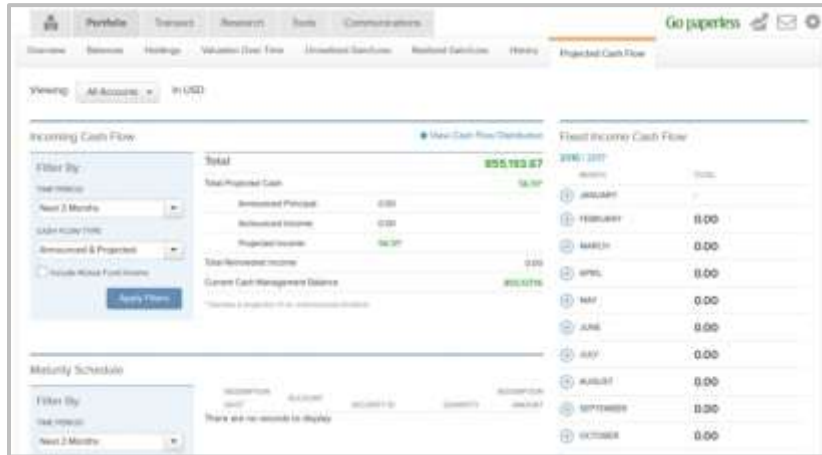
The **Realized Gain/Loss** page displays the profit and loss information of your assets arising out of a sell. The page also displays the summary of short- and long-term gain and loss information, besides displaying the total gain and loss information.

The following fields display for Bank Custody accounts:

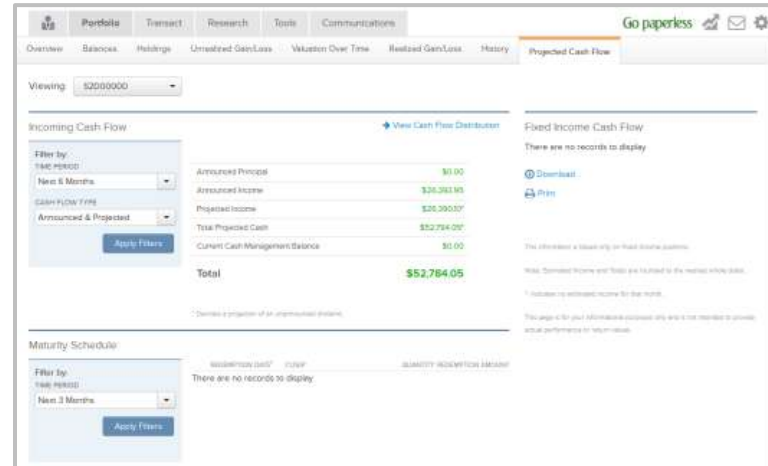
BANK CUSTODY FIELD	DESCRIPTION	COMPARISON TO BROKERAGE
Nickname	Nickname column has been added to the grid and displays the account nickname that is available in the profile.	New field for Bank Custody.
Custodian	Custodian field has been added and is visible when the security row is expanded. The field displays the firm that holds the assets.	New field for Bank Custody.

# Projected Cash Flow

## Bank Custody Account



## Brokerage Account

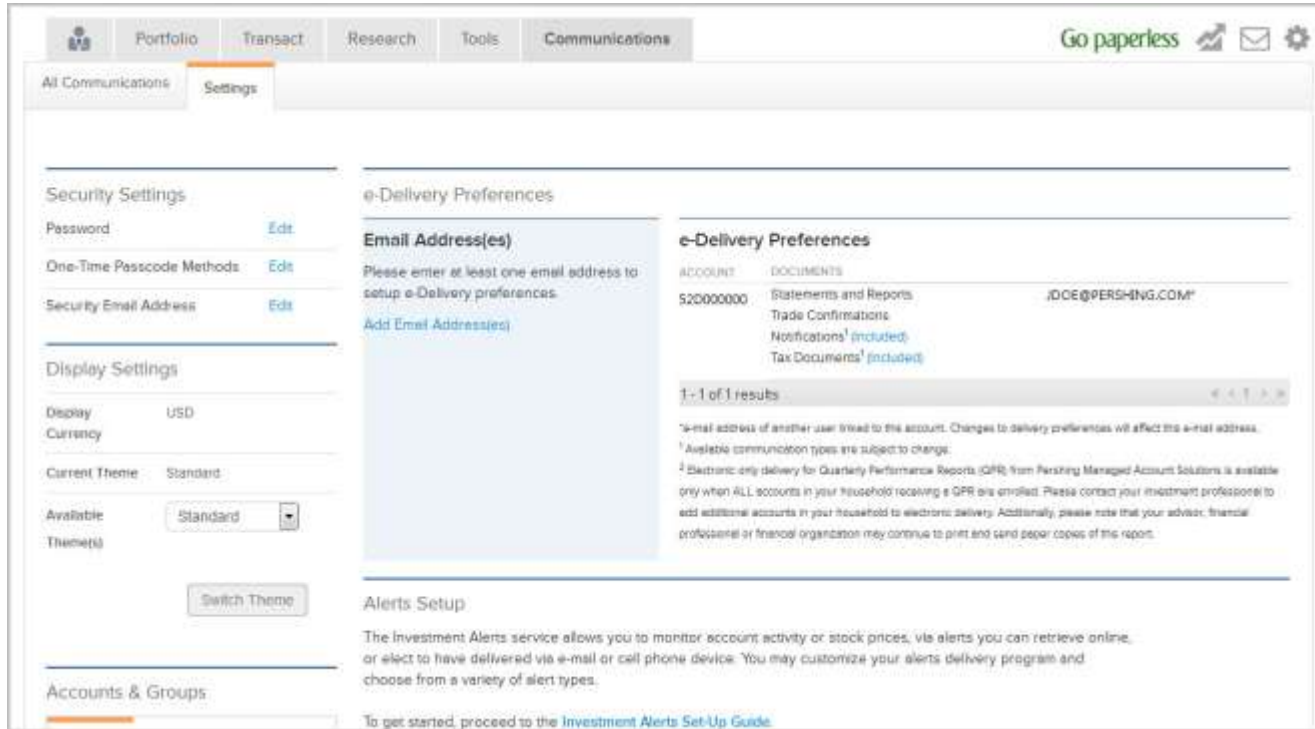


The **Projected Cash Flow** page displays the cash money flow into your account. The following fields display for Bank Custody accounts:

BANK CUSTODY FIELD	DESCRIPTION	COMPARISON TO BROKERAGE
Announced Principal	Total value of the announced principal.	Same as Brokerage account.
Announced Income	Total value of the announced income.	Same as Brokerage account.
Total Reinvested Income	Total value of the reinvestment income.	New field for Bank Custody.

# Settings

## Bank Custody Account



The **Settings** page has options to manage your account settings and preferences, such as changing your password, security settings, creating an account group, adding a nickname and much more.

The following fields display for Bank Custody accounts:

BANK CUSTODY FIELD	DESCRIPTION	COMPARISON TO BROKERAGE
Display Currency	Displays the currency that is set to be displayed across NetXInvestor.	New field for Bank Custody.
Default Accounts	Displays the account or group that is set as default. There is also an option to select any account or custom group to be made as default.	New field for Bank Custody.

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