

How to get here:

User has entered Login URL as provided by firm.

Concept/Purpose/Objective:

To provide a central point of entry for TradeVantage Pro related information and tools.

Users:

All users.

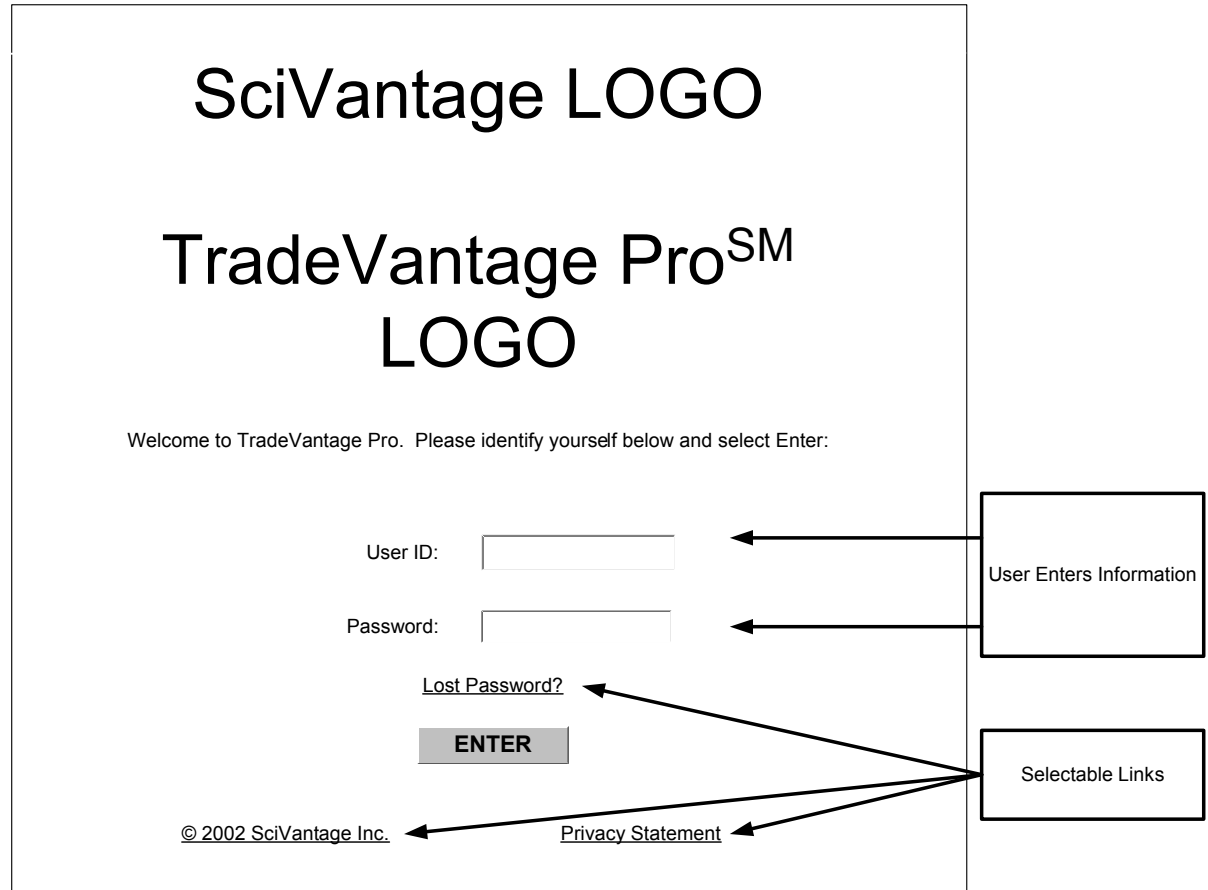
Copy:

Static copy to be provided separately.

Global Navigation:

No Global Navigation present at Login Page.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.



How to get here:

User is redirected to this page from typing in the Login page URL because system has detected an incompatible browser.

Concept/Purpose/Objective:

To provide information on proper browser and system requirements.

Users:

All users.

Copy:

Static copy to be provided separately.

Global Navigation:

No Global Navigation present.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

SciVantage LOGO
TradeVantage ProSM LOGO

Incompatible Browser

We have detected that your browser is incompatible with the site. We recommend that your browser capabilities be at least:

Microsoft Internet Explorer v4.01 or greater; or
Netscape Navigator v4.75 or greater

running on a PC with Microsoft Windows 95 or higher.

We further recommend you have 64MB of available RAM and a run at a screen resolution of 800x600.

Please upgrade your browser version and then return to tradevantagepro.com to login.

Page Title Style

Suggested Text

How to get here:

User has selected Lost Password from Splash Login Page.

Concept/Purpose/Objective:

To provide information on how to recover a lost password.

Users:

All users.

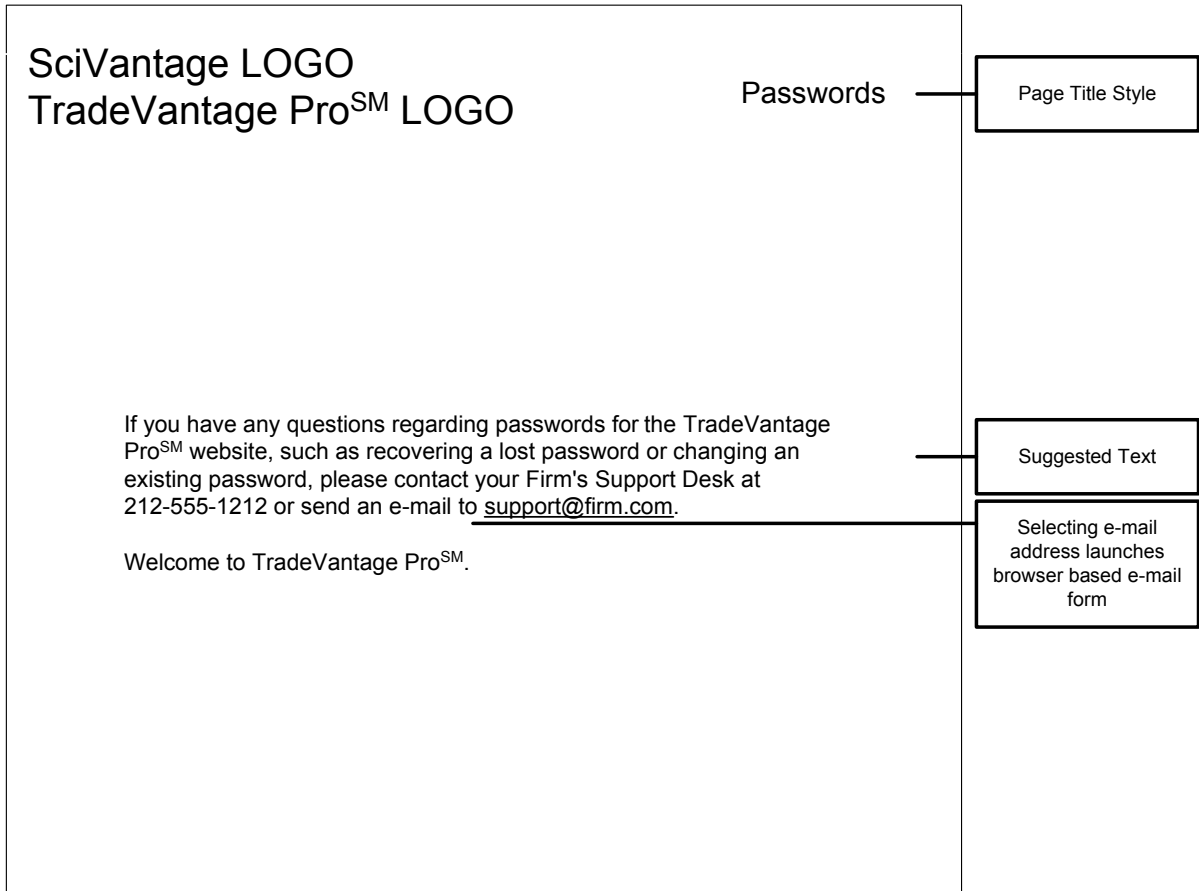
Copy:

Static copy to be provided separately.

Global Navigation:

No Global Navigation present.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.



How to get here:

User has successfully logged in from Splash Login Page.

Concept/Purpose/Objective:

Opening dashboard to give broker overview of top accounts and activities and provide entrance to deeper functionality in drawers.

Users:

All users with successful Login.

Global Navigation:

Global Navigation elements include toolbar and footer buttons, as well as drawer function nav. Selecting any button in toolbar or footer launches that function in separate browser window. See flows for specific destinations.

Within main java applet, tabs indicate drawers on individual separate java layers that are always present. Button in upper right corner of applet control drawer actions. Far right button closes all drawers when pressed. Second button from right clears all text values from any edit box/checkbox in all open drawers. Preferences launches preferences dialog box (1.0.1), which always lives above both the dashboard and any open drawer s. The Branding message along row of drawer nav buttons is customized per client and message is keyed to user ID.

Second java applet is Message Center, with messages expiring at end of day/login session.

Pull-Out Drawers: in tab closed state (see individual drawer templates for drawer open/interior functionality):

1) Alerts: Separate layer in Java applet. User selects tab and can vertically or horizontally move drawer to desired height/width with downward vertical fixed at maximum height = ___ pixels and rightward maximum width = ___ pixels. Drawer tab color changes to indicate new alert placed in drawer when drawer closed.

2) Notepad: Separate layer in Java applet. User selects tab and can vertically or horizontally move drawer to desired height/width with downward vertical fixed at maximum height = ___ pixels and leftward maximum width to = ___ pixels. In closed position, drawer tab changes color upon mouse rollover of item (acct., name, etc.) within remainder of java applet that is in "note state" -- i.e. has a note attached to it to indicate there is a note in the drawer that the user may view. Double-clicking on item that is in "note state" will open notepad to maximum height/width to display attached note.

3) Bottom row of tabs: Each tab is separate layer in java applet. Tabs are constrained vertically to a maximum height of ___ pixels. Each tab has screen that is the width of the java applet. Opening a tab upwards drags all other tabs to the right of selected tab upwards with it with those other tabs remaining in a closed position. Opening any tab displays scroll bar within that tab to view content within individual tab screen.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Branding message/welcome area; working clock

Blue Area is Java applet; remainder is HTML wrapper

Account has note attached to it and is displayed in "note state"

SciVantage TradeVantage ProSM

LOGO LOGO

Welcome Eric Q. Broker
Firm Closing today at 4:15PM

Sell 100s IBM @ 84.15 03:35:34 PM Acct# 123-4598212
Buy 1.5K AMZN @ 17.16 12:23:32 PM Acct # 123-423290

Document Center Help 'Investor' Admin Logout

ALERTS

WELCOME ERIC Q. BROKER -- TUESDAY, DECEMBER 3, 2002 12:45PM EDT

Preferences C

NOTEPAD

MY TOP LISTS

Top Accounts	Name	Value	YTD
102-01311-22	Machado, George, Estate	\$450,324.23	+43.22%
106-34959-11	Cruz, Julia	\$325,453.63	+23.14%
231-23244-23	Smith, Granny	\$300,234.12	+6.49%
123-34395-23	Charcour, Adnane	\$256,349.45	+98.23%
340-49582-21	Watkins, Dave	\$220,459.34	+1.23%

Top Holdings

Symbol	Holding %	Price	Change	YTD
IBM	5.04%	84.13	+1.23	-23.14
X	4.04%	14.13	+0.23	-3.16
VEXPX	3.84%	56.87	-1.23	-10.64
Q	2.34%	4.13	+0.21	-55.14
GE	2.05%	26.58	+1.58	+0.25

Saved Searches

- Buy Lo Sell Hi Last accessed 11/15/02 01:23PM
- Active Bond Funds Last accessed 11/03/02 04:15PM
- Semiconductor Stocks Last accessed 10/28/02 08:31AM

Change Criteria

MARKET DATA

DJIA NASDAQ S&P

Index	Value	Change	YTD %
DJIA	8462.13	+104.23	(6.78%)
NASDAQ	1495.13	+0.23	(64.35%)
S&P 500	956.87	-1.23	(23.15%)
S&P 600.SC	425.13	+0.21	(32.12%)
RUSSEL 2K	262.58	+1.58	3.43%
AMEX	934.15	+6.02	(13.23%)
S&P TSX	734.25	+15.02	

Quote: GO Symbol Lookup

My Portfolios

Portfolio	Value	Daily +/-	YTD +/-
High Tech	\$450,324.23	\$50,304.23 (7.45%)	+43.22%
Hot Tips	\$325,453.63	\$3,084.12 (10.23%)	+23.14%
Portfolio 3	\$300,234.12	\$200.12 (1.23%)	+6.49%
HIMOs	\$256,349.45	\$32,349.12 (7.56%)	+98.23%
Cyclicals	\$220,459.34	\$16,342.15 (9.23%)	+1.23%

Latest Headlines

- Dow slides on weak econ dataChip upgrades, UAL news, holiday sales supportive - CBS MarketWatch.com, December 02, 2002 02:23 PM EST
NEW YORK (CBS.MW) -- The Dow fell Monday as depressing data from the manufacturing sector cast doubts over the health of some key sectors of ...
- Will bulls keep pulling the sleigh? One month left as indexes set for down year - CBS MarketWatch.com, November 30, 2002 03:04 AM EST
A tech-led rally has lifted the benchmark indexes from their Oct. 9 lows even though the Dow Jones Industrial Average, the Nasdaq Composite and the...

MY RECENT ACTIVITY

My Last 5 Quotes	My Last 5 Searches
Symbol Last Change	1. All Activity for 11/15/02
EXTR 5.01 +0.50	2. Symbols Curr Price <= \$2 + 52 Wk Lo...
AES 2.46 +0.34	3. All Portfolio Model out of Balance...
CMGI 1.59 +0.15	4. All Aggressive Risk Profiles.....
ICGE 0.80 +0.07	5. RR 453 + Branch 102 +
RSTN 2.85 +0.36	

MY LAST 5 ACCTS

Symbol	Name	Value	YTD
120-34218-32	Spears, David, Trust	\$25,002.64	-2.53%
106-34959-11	Cruz, Julia	\$325,453.63	+23.14%
231-23244-23	Smith, Granny	\$300,234.12	+6.49%
123-34395-23	Charcour, Adnane	\$256,349.45	+98.23%
340-49582-21	Watkins, Dave	\$220,459.34	+1.23%

Clear Lists

MY COMMISSIONS

Commissions to Date: \$100,345.23
2002 Target: \$300,000.00

Top Commissions Name	Value
102-01311-22	\$50,324.23
106-34959-11	\$25,453.63
231-23244-23	\$10,234.12
123-34395-23	\$6,349.45
340-49582-21	\$4,459.34

Sales Tools Research Workflow

Customers Power Search Trading Asset Allocation Contact Manager

Privacy Statement

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Push Message Area -- Java Applet #2

Constant Toolbar

Drawer Nav (see left)

Side Drawer Tabs (pull-out sideways and down) on separate java layers

Rolling over index changes chart to that index

Fixed at 4 lines of text per article; system truncates

Drawer Tabs (pull-up) on separate java layers. See text for details. Dragging tab up moves all tabs to its right with it. Scroll bar visible within each drawer to view content.

Constant Footer

Item in "Note state"; clicking opens Notepad

Item in "Alert state"; clicking opens Alert Drawer

How to get here:

User opens Alert Drawer or clicks on object in Alert State.

Concept/Purpose/Objective:

To provide single location for all alert functionality.

Users:

All users with successful Login.

Global Navigation:

Global Navigation within the drawer are three buttons: (a) 'clear all' empties the drawer of all alerts whether viewed or not; (b) 'sort' rearranges buttons alpha-numerically ascending separated into accounts, names and symbols; and (c) Edit Alerts replaces drawer contents with Edit Alerts screen (1.1.1).

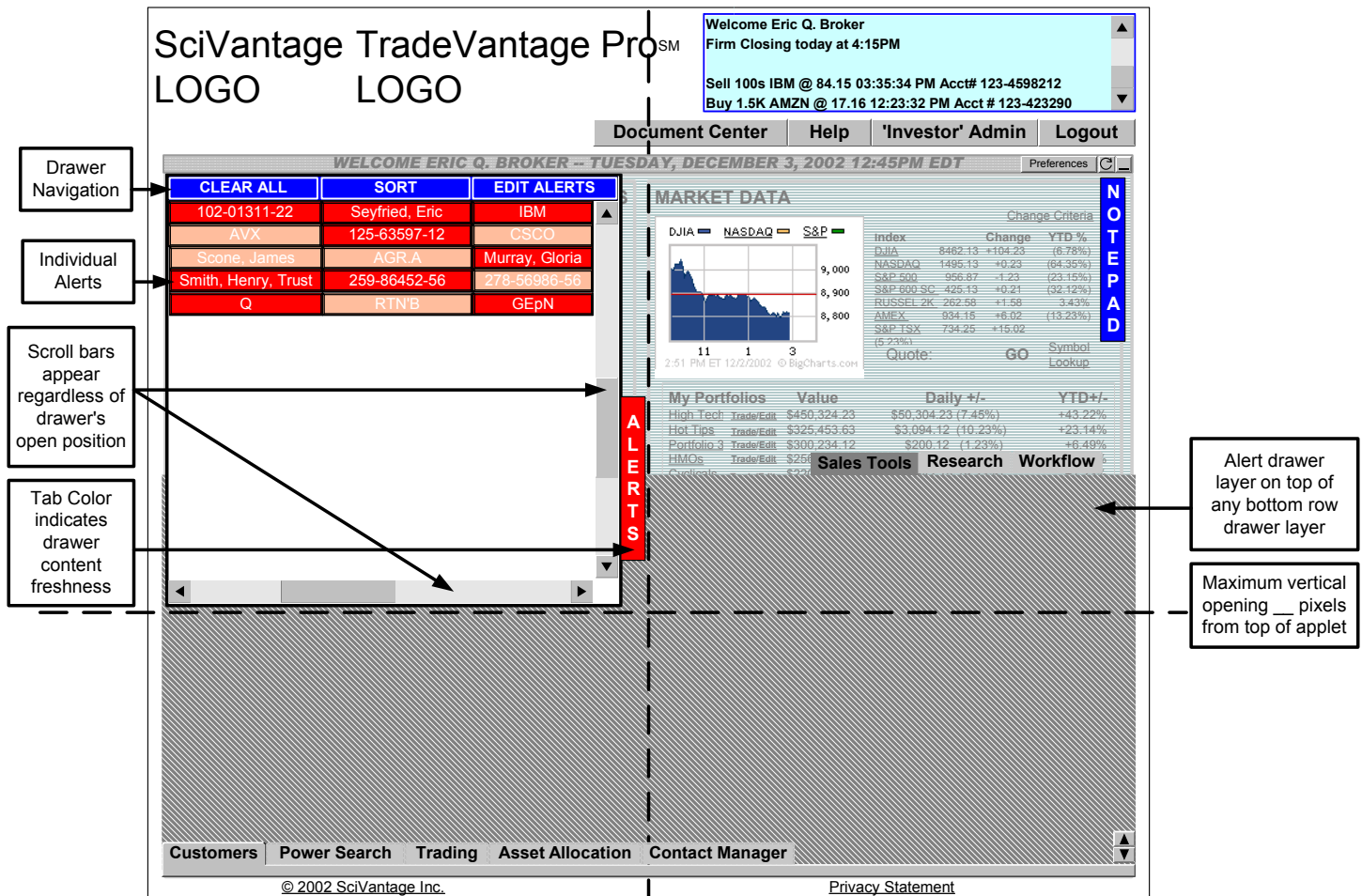
Main Functionality:

User selects tab and can vertically move drawer to desired height and width with maximums determined by system. Tab color changes to indicate new alert placed in drawer when closed. Inside drawer are buttons representing symbols, acct numbers or customer names that have experienced alert events and have not been explicitly deleted by user. New Alerts are added in sequential order at the end of the list. A new alert condition of a previously-viewed but not deleted alert moves the alert button from its viewed position to the end of the list and button is re-highlighted. Alerts expire only if set to expire in Edit Alerts; otherwise, user must explicitly delete buttons using "Clear All" or individually through right-click functionality. Alert buttons are saved in memory across login sessions.

Color of button distinguishes whether alert is new or has been previously viewed by user. Selecting button opens appropriate drawer (either Customer Summary, Acct. Summary, Notepad or Research) to show user details of alert event with screen pre-filled with that button's data.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Maximum horizontal opening ___ pixels from left side of applet



How to get here:

User selects Edit from the Alerts Drawer opening screen (1.1)

Concept/Purpose/Objective:

To allow user to set up and edit Alert objects and criteria

Users:

All users with successful Login.

Global Navigation:

None.

Main Functionality:

If adding a new alert, user inputs text of either symbol, customer name or account number. Search button opens search drawer to max size (without falling beneath alert drawer) to allow user search. Selecting Add places the Alert object in the bottom edit box (system verifies and provides error message if incorrect value), where user can select with radio buttons to create/edit alert criteria. Alert objects displayed in bottom edit box first by group and then by ascending alpha/numeric. Switching between radio buttons saves the edit criteria at the last inputted values. User then selects Remove to remove object selected by radio button, or Done to confirm finished editing, which closes this window and takes the user back to 1.1 with the drawer remaining in its current position. System applies edit criteria changes in real time.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Alert objects displayed by group (account, name, then symbol) in ascending alpha/numeric order

1. Select Item to Watch

(Symbol, Account Number or Customer Name)

SEARCH

ADD

2. Using radio buttons, Select Alert and then Edit Criteria or Remove.

102-01311-22

Finley, James

AGR.A

IBM

This Alert has the following criteria:

Symbols Only

Price above below \$ by %

News

Customers or Accounts Only

Balances above below \$ and by % since mm/dd/yyyy

Cash Available above below \$ or by % since mm/dd/yyyy

Asset Allocation Out of Balance by at least 5 %

New Notes

New ACATS

Margin Calls

General

This Alert will expire: never after mm/dd/yyyy

REMOVE

DONE

ALERTS

New Alerts begin with criteria field checkboxes blank, edit fields set to 0 and date set to current date

How to get here:

User opens Notepad Drawer or clicks on object in Note State.

Concept/Purpose/Objective:

To provide single location for all notepad functionality.

Users:

All users with successful Login.

Global Navigation:

Global Navigation within the drawer are four buttons: (a) 'clear all' empties the drawer of all notes and sends notetext to note archive (viewable only by sys admin); (b) Edit replaces drawer contents with Edit Note screen (1.2.1); (c) a text entry field that allows users to enter a note object name and select Go to view notes associated with that object; and (d) a link to search which opens the power search drawer to the max level without falling under the notepad or alert drawer to allow user to search for valid note objects.

Main Functionality:

User selects tab and can vertically move drawer to desired height and width with maximums determined by system. Tab color changes upon mouse rollover of appropriate object (either customer name, acct # or symbol) when in "note display state" to indicate a note associated with that object is in the closed drawer. Clicking on object opens drawer and populates with all note text associated with the object. New notes are added in sequential order at the end of the list with timestamp and user ID added by system.

System generates title of note for valid note object regardless of whether there exist notes for that object (default text: "(None)").

Selecting GO causes the system to evaluate whether the text in the entry field is a valid note object. If it is not, system displays error message; otherwise takes user to entry/edit screen 1.2.1.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Maximum horizontal opening __ pixels from left side of applet

System generated Title; always present

System adds timestamp + user ID to any new/edited message

Drawer Navigation

Scroll bars appear regardless of drawer's open position

Alert drawer layer on top of any bottom row drawer layer

Maximum vertical opening __ pixels from top of applet

The screenshot displays the SciVantage TradeVantage Pro interface. At the top, there is a navigation bar with buttons for 'Document Center', 'Help', ''Investor' Admin', and 'Logout'. Below this is a header area with the user's name 'WELCOME ERIC Q. BROKER' and the date 'TUESDAY, DECEMBER 3, 2002 12:45PM EDT'. A 'NOTEPAD' drawer is open, showing a list of notes for account 102-01311-22 JAMES WATKINS. The notes include timestamps and user IDs, such as '10/21/2001 0345PM by ESEYFRIED: Telephone call with client regarding asset reallocation...' and '03/25/2002 1248PM by QSTONE: Telephone call to client re: margin call...'. To the left of the notes is a table titled 'MY TOP LISTINGS' with columns for 'Top Holdings', 'Holding %', 'Price', 'Change', and 'YTD'. The table lists holdings for IBM, X, VEXPX, Q, and GE. A red 'ALERT' bar is visible on the left side of the interface. At the bottom, there is a navigation bar with buttons for 'Customers', 'Power Search', 'Trading', 'Asset Allocation', and 'Contact Manager'. The footer includes the copyright notice '© 2002 SciVantage Inc.' and a 'Privacy Statement' link.

How to get here:

User selects Edit from the Notepad Drawer opening screen (1.2)

Concept/Purpose/Objective:

To allow user to edit Notes.

Users:

All users with successful Login.

Global Navigation:

None.

Main Functionality:

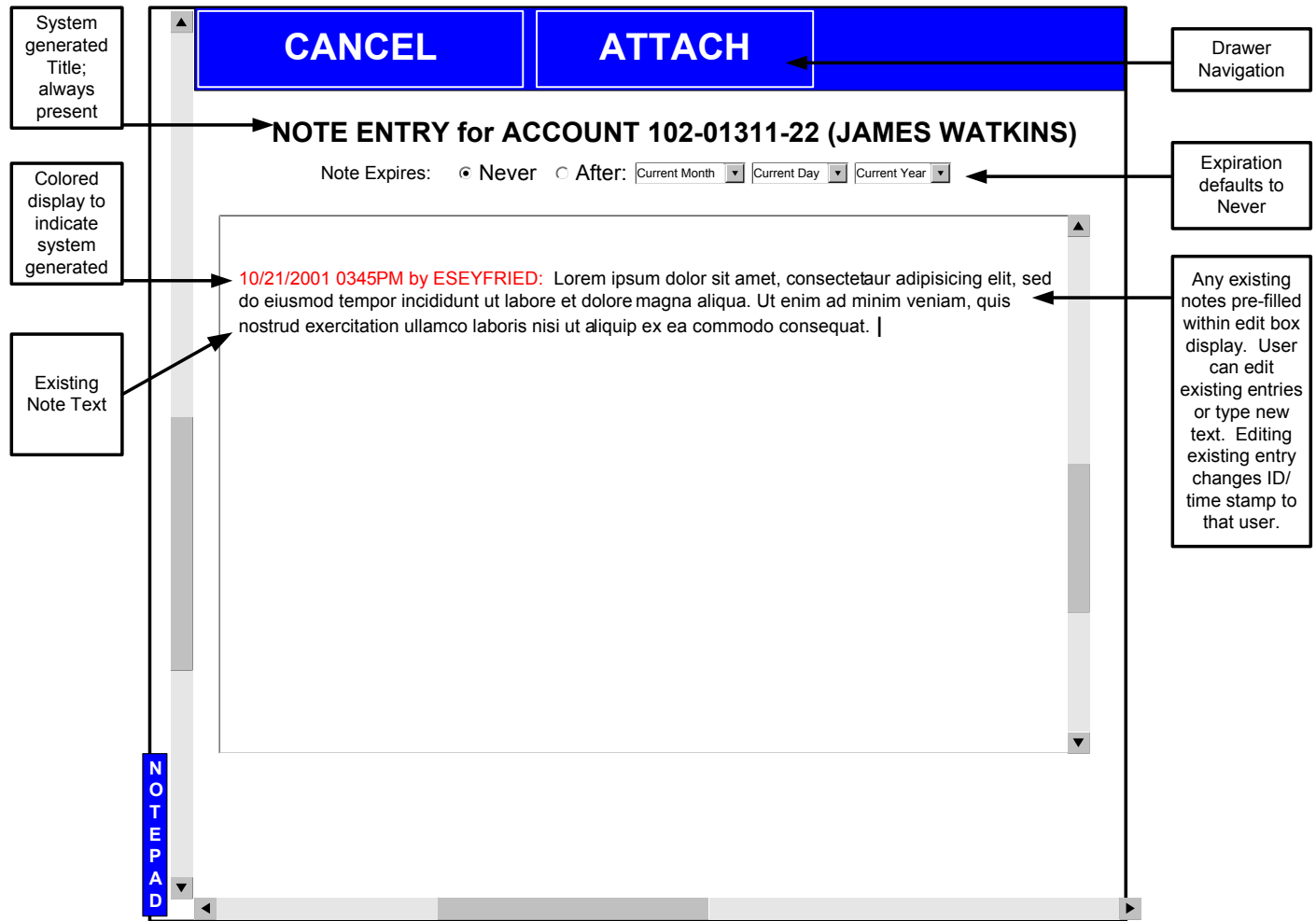
For all notes, system generates a title indicating "NOTE ENTRY FOR [OBJECT BEING EDITED] [(ALIAS OF OBJECT)]" where the alias is either the name on the account (if attaching note to an account number) or the full Company Name (if attaching note to a symbol). Attaching a note to a Customer Name has no Alias.

Expiration defaults to Never. User allowed to set expiration to any date after or including current date. Setting expiration date to date earlier than current date displays error note.

If adding a new note, user inputs text in Edit Box. For existing notes, existing note text is pre-filled in the Edit Box area. User can then make any changes to existing note text or add new text. Making changes to a timestamped entry or adding new text changes (or adds) timestamp to current time and current User ID when done. User then selects Cancel to go back to the Note display screen without saving, or Done to confirm finished editing, which closes this window and takes the user back to 1.2 with the drawer remaining in its current position. System applies edits in real time. When user deletes sections or all of note, deleted text is saved to Note Archive area for paper trail purposes, but can only be accessed only by Pro Admin.

Adding new note forces display of that note object (either Customer Name, Account Number or Symbol) to be shown in "note display state" elsewhere in application. Deleting entire note makes note object revert to normal text elsewhere in application.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.



How to get here:

User opens Customers drawer.

Concept/Purpose/Objective:

Single location to access information regarding customers and their accounts.

Users:

All users with successful Login.

Global Navigation:

Global Navigation elements include add button, which prompts the user to add a customer and/or account, search (with associated edit fields) to search for customer in database, and clear all, which clears all values from the search edit fields.

Search with appropriate criteria returns a table listing customers in ascending alpha/numeric order, and grouping each customers' accounts, if any, under each customer name. User selects radio button and then View, Edit or Close buttons to effect an action.

Table is sortable by clicking on column header. This changes background color of column to indicate that column is the priority sort column. Further, users can sort each column ascending/ descending using arrows in each column header. when that column is selected (see folders in list display in Mac OS X for specific behavior).

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Max height of drawers

Content below this line appears after user enters text in edit field and selects SEARCH.

Asc/desc arrows appear in column header when that column is selected (like Mac OS X)

Table is sortable by column header and asc/desc with arrows in header. Default sort is by Customer Name column (with account numbers as secondary sort) and in ascending alpha/numeric

SciVantage TradeVantage ProSM

LOGO LOGO

Welcome Eric Q. Broker
Firm Closing today at 4:15PM

Sell 100s IBM @ 84.15 03:35:34 PM Acct# 123-4598212
Buy 1.5K AMZN @ 17.16 12:23:32 PM Acct # 123-423290

Document Center Help 'Investor' Admin Logout

WELCOME ERIC Q. BROKER - TUESDAY, DECEMBER 3, 2002 12:45PM EDT

ALERTS

Customers Power Search Trading Asset Allocation Contact Manager Sales Tools Research Workflow

ADD Branch R Name Acct.# SSN/Tax Cust. ID SEARCH CLEAR ALL

NOTEPAD

There are no items that match your criteria. Please try again.

Name	Customer ID	Acct. Number/ Type	Branch	RR	SSN/Tax ID	Balance
<input type="radio"/> Chaplin, Doris	45987	102-01311-22 IRA	102	89	13-5689874	(\$2,405.34)
<input type="radio"/> Seyfried, Eric Z.	12398	113-56849-58 IRA	113	01	122-56-5986	\$10.56
<input checked="" type="radio"/> Zoomster, Abby	25639	123-89546-78 Individual	123	55	112-45-6789	(\$1,596.90)
<input type="radio"/>		223-569785-54 Trust	223	04	112-45-6789	\$324,569.90

VIEW EDIT CLOSE

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Privacy Statement

Max height of any bottom drawer layer is 10 pixels below Welcome Bar. Bottom drawers layers always below layers for Alerts and Notepad. Dragging any tab up moves up all tabs to its right. Dragging down tab from an up position leaves tabs to its right unchanged and moves down all tabs to its left.

Constant Sub-Nav Bar

Suggested error message

Table and buttons display after hitting Search only if there are valid results

How to get here:

User selects Add from Global Nav in Customer Drawer.

Concept/Purpose/Objective:

Single location to create new profile for prospect or new Customer.

Users:

All users with successful Login.

Global Navigation:

Same as Customers drawer (1.3).

Information entered on this form automatically creates a new rolodex entry in Contact Management (1.8) for this Customer.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Customers
Power Search
Trading
Asset Allocation
Contact Manager
Sales Tools
Research
Workflow

ADD
Branch
R
R
Name
Acct.#
SSN/Tax
Cust. ID
SEARCH
CLEAR ALL

CUSTOMER PROFILE

VIEW THIS PROFILE
ADD ACCOUNT

Name:

Salutation:

Address:

City:

State:

Zip:

Phones:

(h)

(w)

(f)

(c)

Gender:

Birthdate:

State of Residence:

SSN/Tax ID:

Employer:

Occupation:

Net Worth:

Expected Retire:

Marital:

Income:

Rating:

Assigned Office:

Assigned Broker:

Referred By:

Status:

Account Type:

Email:

URL:

Page Title Style

How to get here:

User selects Add Account from New Customer Profile form (1.3.0) or selects New Account from any Customer Summary page (1.3.6).

Concept/Purpose/Objective:

Selection of Account Type in order to begin the Account Opening process.

Users:

All users with successful Login.

Global Navigation:

Same as Customers drawer (1.3).

Currently as implemented in the Bank of America Securities version of Investor.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

ALERTS
NOTEPADCustomers
Power Search
Trading
Asset Allocation
Contact Manager
Sales Tools
Research
Workflow

ADD
Branch
R
Name
Acct.#
SSN/Tax
Cust. ID
SEARCH
CLEAR ALL

ACCOUNT TYPE SELECTION

Please Select an Application Method:

Express Retail Application
 Express Institutional Application
 Comprehensive Account Application

What type of account do you wish to open?

<input type="radio"/> Bank Portfolio (056)	<input type="radio"/> Educational Facilities (053)	<input type="radio"/> Limited Liability Company (064)
<input type="radio"/> Bank Trust (057)	<input type="radio"/> Estate (005)	<input type="radio"/> Mutual Funds (054)
<input type="radio"/> Broker Dealer - Omnibus (058)	<input type="radio"/> Foreign Central Bank (062)	<input type="radio"/> No Documents Required (090)
<input type="radio"/> Broker Dealer - Proprietary (059)	<input type="radio"/> Government Agencies (051)	<input type="radio"/> Partnership (014)
<input type="radio"/> Business Trust (001)	<input type="radio"/> Guardian/Conservatorship (007)	<input type="radio"/> REIT/Common Trust Fund (065)
<input type="radio"/> Charitable Organization (052)	<input type="radio"/> Individual (008)	<input type="radio"/> Retirement/IRA (015)
<input type="radio"/> Collateral/Escrow (055)	<input type="radio"/> Insurance Company (063)	<input type="radio"/> Sole Proprietorship (016)
<input type="radio"/> Community Property (002)	<input type="radio"/> Investment Advisor (010)	<input type="radio"/> Trust - Under Agreement (018)
<input type="radio"/> Corporation (004)	<input type="radio"/> Investment Club (009)	<input type="radio"/> Trust - Under Will (017)
<input type="radio"/> Correspondent Firm (060)	<input type="radio"/> Joint Tenants By Entirety (021)	<input type="radio"/> Unincorporated Association (019)
<input type="radio"/> Credit Union (061)	<input type="radio"/> Joint Tenants in Common (012)	<input type="radio"/> Voluntary Association (020)
<input type="radio"/> Custodial (003)	<input type="radio"/> Joint Tenants WROS (011)	

Retirement/IRA Type (required for IRA accounts only)
 Guardian Type (required for Guardian accounts only)

▼

▼

Next >

Page Title Style

How to get here:

User selects Express Application radio button along with account type on Account Type Selection page (1.3.2)

Concept/Purpose/Objective:

Creates shorter, easier application tailored to specific account type chosen.

Users:

All users with successful Login.

Global Navigation:

Same as Customers drawer (1.3).

Currently as implemented in the Bank of America Securities version of Investor. Note that specific fields depend on type of account chosen. This form should fall entirely on one page that is scrollable vertically. Previous takes user back to 1.3.2. Next takes user to 1.3.0, 1.3.5 or 1.3.6 depending on validity of field entries and user's entitlement to approve account openings.

System automatically displays required fields in unique color.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

ALERTS

Customers
Power Search
Trading
Asset Allocation
Contact Manager
Sales Tools
Research
Workflow

NOTEPAD

ADD
Branch
R
Name
Acct.#
SSN/Tax
Cust. ID
SEARCH
CLEAR ALL

EXPRESS APPLICATION

Page Title Style

Fields marked with this COLOR are required.
Fields marked with this COLOR are disabled.

Express Retail Application

Branch Account **RR**

:

Show available account numbers (account number generated if not provided, can specify up to 2 leading digits)

Account Type

Cash 1 Margin 2 Dividend interest income 3

Short 5 DVP 9

Individual - Please complete either First and Last Name or Entity Name as applicable

Title First Name Middle Initial Last Name

Entity

Not Applicable - Please complete either First and Last Name or Entity Name as applicable

Title First Name Middle Initial Last Name

Entity

Mailing Address

Street **Apt./Suite**

City/Town (No Abbreviation) **State/Province (required for US/Canada only)**

Zip/Postal Code (required for US/Canada) **Country**

-

application fields continue depending on account type chosen -- application should fall on single page and be scrollable

< Previous
Next >

How to get here:

User selects Comprehensive Application radio button in Account Type selection page (1.3.2)

Concept/Purpose/Objective:

High-level choices to determine what fields will be necessary to prompt the user for in the account opening process.

Users:

All users with successful Login.

Global Navigation:

Same as Customers drawer (1.3).

Currently as implemented in the Bank of America Securities version of Investor.

Previous takes user back to 1.3.2. Next takes user to 1.3.5, Account Maintenance, with the proper tabs greyed out which are deemed unnecessary by the choices made on this page.

System automatically displays required fields in unique color.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

ALERTS

Customers
Power Search
Trading
Asset Allocation
Contact Manager
Sales Tools
Research
Workflow

NOTEPAD

ADD
Branch
R
R
Name
Acct.#
SSN/Tax
Cust. ID
SEARCH
CLEAR ALL

NEW ACCOUNT SETTINGS

Fields marked with this COLOR are required.

Account Settings

1. Do you want to set up Interested parties to receive duplicate confirms and/or statements? (Click "Yes" for a DVP account) Yes No
2. Do you want to link existing Related Accounts to this account? Yes No
3. Do you want to complete the 'Personal Information' section (i.e. employment info, investment objectives, etc)? Yes No
4. Will this account have option privileges? Yes No
5. Will this account have check-writing privileges? Yes No
6. Will this account have a Preferred Debit Card issued? Yes No

Account Funding

Method	Amount	Funding Date (MM/DD/YYYY)
<input type="text"/>	<input type="text"/>	<input type="text"/>

Source

Introduced By	Specify	Marketing Offer Code
<input type="text"/>	<input type="text"/>	<input type="text"/>

Initial Transaction

Type	Quantity	Security
<input type="text"/>	<input type="text"/>	<input type="text"/>

< Previous
Next >

Page Title Style

How to get here:

User selects Next from New Account Settings (1.3.4) or Manage Profile from a Customer or Account Summary.

Concept/Purpose/Objective:

Provides all account information from a data perspective necessary to open and maintain an account. Data is organized into subtabs that are drawn from existing account opening screens in current version of Investor.

Users:

All users with successful Login.

Global Navigation:

Same as Customers drawer (1.3).

Each tab is a form constructed from the account opening process of the existing Investor (such as BoFA). The tabs correspond to the following forms:

0. Customer Profile - the same information as on screen 1.3.0
1. Account Holder -- the Account Holder screen from Investor
2. Personal Info -- the Personal Info screen from Investor
3. Instructions -- the Instructions screen from Investor
4. Related Accounts -- the related accounts screen from Investor
5. Interested Parties -- the interested parties screen from Investor.
6. Beneficiaries -- the beneficiaries screen from Investor
7. Entitlements -- a new screen which declares the user's entitlements levels within this application -- to be defined depending on data structures
8. Transfers/Funding -- a combination of the Enable ACH transfer screen and the Initial Account Funding screens, as well as the addition of all information needed to execute all E-Money transactions (two-way SWP, PIPS, two-way ACH (all, dividend and trading types) transfers and PPS transfers).
9. Agreements -- a combination of the Margin Disclosure Statement, Real time Quotes Authorizations, Option Agreements and Online Brokerage Agreements, indicating user acceptance and entitlement levels.

Each tab has two views: view and edit. In view mode, user can only see values and switch between tabs, but cannot edit values. In edit mode, values are put inside edit boxes to allow user to edit. Edit mode has a special case called Add mode, where user comes to these tabs through an Add Account process (either through 1.3.3 or 1.3.4) in which case the tabs are colored and are displayed with arrows to indicate which tabs and in what order they must be filled out. Selecting cancel in Add mode takes user back to the beginning of the Account Add process (1.3.3 or 1.3.4), but selecting cancel in regular edit mode changes the tab back to view mode.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

When in Add mode, arrows appear on current tab to indicate progress to prompt completion of form and move on to next tab. System moves user to appropriate tab based on account settings and type chosen in 1.3.4

Each tab contains info from account opening process. See left description for tab contents.

Upon successful input of last form in account opening, system prompts for user to add another account to this client. Yes starts takes user to 1.3.2, No to 1.3.6 or 1.3

Page Title Style
System generated title

Tab colors indicate that form must be filled out in Add process. Grey indicates not necessary.

In view mode only Edit button appears. Selecting Edit button changes to add/edit mode, "Edit" button changes to "Submit" and "Cancel" button appears. Selecting "Cancel" from add mode takes user back to 1.3.4. Selecting "Cancel" from edit mode takes user back to view mode for that tab. Selecting "Submit" in Add mode advances user to next required tab; selecting "submit" in edit mode takes user back to view mode for that tab. In both Submit cases, system checks for correctness of fields and prompts user with "!" for incorrect fields.

How to get here:

User selects Customer from list in customer search results or clicks on customer name link elsewhere in application.

Concept/Purpose/Objective:

Single location to access information for a customer and his accounts.

Users:

All users with successful Login.

Global Navigation:

Same as Customers drawer (1.3).

Sub-navigation on bar directly below global navigation. Close account requires radio button selected in account list.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

ALERTS

Customers Power Search Trading Asset Allocation Contact Manager Sales Tools Research Workflow

ADD Branch R Name Acct.# SSN/Tax Cust. ID SEARCH CLEAR ALL

NEW ACCT. CLOSE ACCT. MANAGE PROFILE VIEW STATUS

NOTEPAD

Eric Q. Seyfried
169 Allen Street Suite 21
New York, New York 10009
(212) 555-2897 (h)
(646) 666-3984 (w)
(917) 342-9837 (c)
ID#3456603
SSN# 119-64-7239

Accounts:

- 102-01311-56 (Trust)
- 102-02568-22 (Individual-Margin)
- 102-02654-11 (IRA)

Balance Summary:

Acct #/Type	Branch	RR	Total Mkt Value	Money Funds	Total Funds	YTD		Commissions
						Realized \$ G/L (%)	Unrealized \$ G/L (%)	
102-01311-56 Trust	102	56	\$234,536.36	\$0.00	\$234,536.36	(\$2,400.32) (5.2%)	\$3,500.23 (6.4%)	\$567.34
102-02568-22 Individual	102	55	\$98,453.12	\$32,458.90	\$130,900.02	\$65,564.34 10.7%	\$102,234.34 34.5%	\$3,500.34
102-02654-11 IRA	102	02	\$25,456.34	\$23.32	\$25,479.66	(\$34,456.23) (50.6%)	(\$36,456.23) (50.6%)	\$2,450.45
TOTAL			\$359,451.21	\$32,490.42	\$381,941.63	\$36,456.23 10.7%	\$70,345.56 23.4%	\$6,012.34

Top Positions by value:

Aggregate	1. VNYTX 50.4%	Trade Allocate	2. IBM 15.6%	Trade Allocate	3. T 6.4%	Trade Allocate	4. VISGX 2.5%	Trade Allocate	5. GE 1.8%	Trade Allocate
102-01311-56 Trust	1. IBM 90.7%	Trade Allocate	2. RBK 3.4%	Trade Allocate	3. Nv '07 2.45 1.2%	Trade Allocate	4. QQQ 1.1%	Trade Allocate	5. AXA 0.4%	Trade Allocate
102-02568-22 Individual	1. T 43.6%	Trade Allocate	2. VEXPX 23.4%	Trade Allocate	3. Q 15.5%	Trade Allocate	4. X 12.1%	Trade Allocate	5. ASX 3.2%	Trade Allocate
102-02654-11 IRA	1. VISGX40.5%	Trade Allocate	2. GE 27.3%	Trade Allocate	3. VISVX 15.0%	Trade Allocate	4. AGRA6.5%	Trade Allocate	5. ZpA 4.3%	Trade Allocate

Last 5 Transactions:

Account	Date	Transaction	Qty	Description	Symbol	Price	Amount	Settlement Date
102-01311-22	12/11/02	Bookkeeping	-5,861.48000	INSURED BANK DEPOSITS	WHIDZ	0.00	\$-5,861.48	
	12/10/02	Dividend	0.00000	ATMOS ENERGY CORP CASH DIV ON 450 SHS REC 11/25/02 PAY 12/10/02	ATO	0.00	\$-135.00	
	12/10/02	Dividend	0.00000	EMERSON ELECTRIC CO CASH DIV ON 125 SHS REC 11/15/02 PAY 12/10/02	EMR	0.00	\$-49.06	
	12/06/02	Bought	150.00000	DIEBOLD INC	DBD	\$39.35	\$6,045.54	12/11/02
	12/05/02	Bookkeeping	-5,384.37000	INSURED BANK DEPOSITS	WHIDZ	0.00	\$-5,384.37	

Request Status:

Request ID	Name	Account	Request	Create Date	Process Date	Status
9623	W	050 -00001	Link Account	12/04/2002 15:11		PENDING
9627	B	919 -00001	Link Account	12/04/2002 16:32	12/04/2002 16:33	PROCESSED
9713	B	919 -00005	Link Account	12/05/2002 15:15		PENDING

Links to individual Account Summaries

Links to individual requests

Sub-Nav Style

Page Title Style

Aggregate Asset View across accounts

If account has less than 5 positions, table cells are blank

Allocate shows as option only for broker accounts

Repeated for each customer account

PRO TEMPLATES 1-012403.VSD VERSION DATE: JANUARY 24, 2003 1.3.6 CUSTOMER SUMMARY PAGE 15 OF 53

How to get here:

User selects Account from list in Customer Summary or clicks on account number link elsewhere in application.

Concept/Purpose/Objective:

Single location to access information for individual customer accounts

Users:

All users with successful Login.

Global Navigation:

First Level navigation same as Customers drawer (1.3).

Sub-navigation on bar directly below global navigation. Drop-down bar pre-populated with all other accounts grouped under this customers (default is same account).

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

ALERTS
Customers Power Search Trading Asset Allocation Contact Manager Sales Tools Research Workflow
NOTEPAD

ADD Branch R Name Acct.# SSN/Tax Cust. ID SEARCH CLEAR ALL
ASSET ALLOCATION 103-23568-12 IRA SWITCH ACCOUNT

CUSTOMER SUMMARY MANAGE PROFILE ORDER STATUS HISTORY E-MONEYSM E-DELIVERYSM
ACCOUNT SUMMARY

ACCOUNT 102-01311-56 (Trust)

Eric Q. Seyfried
169 Allen Street Suite 21
New York, New York 10009
(212) 555-2897 (h)
(646) 666-3984 (w)
(917) 342-9837 (c)
Customer ID # 3456603
SNN # 119-64-7239

Current Asset View

Target Risk Profile -- Aggressive

WARNING: PORTFOLIO OUT OF BALANCE

Balance Detail -- Real Time

Market Value of Securities	223,345.23	Funds Due:	0.00
Cash	34,455.63	Cash Call:	0.00
Net Equity	257,800.86	House Call:	0.00
		Fed Call:	0.00
Margin Buying Power	345,567.23	Available Funds:	456,456.34
Margin Percentage	33%	Funds Available for Cash Trades	456,456.23
Equity Buying Power	456,456.23	Funds Available for Margin Trades	1,234,345.23
Option Buying Power	456,456.23		

Positions Detail -- Real Time

Asset Type	Quantity	Symbol	Description	Current Price	Cost Basis	Cost	Unrealized Gain/Loss	Market Value	Trade
Money Mkt Fund	5,402.34	WBRXX	William Blair Funds Ready Reserve	1.00	1.00	5,000.00	235.50	5,402.34	Allocate
Stock	100	T	AT&T CORP	10.00	20.00	2,000.00	(1,000.00)	1,000.00	Allocate
Stock	400	GE	GENERAL ELECTRIC CORP	26.34	30.00	12,000.00	(500.00)	10,000.00	Allocate
Stock	450	Q	QUEST COMMUNI INC	4.32	2.25	1,110.00	1,100.00	1,845.34	Allocate
Stock	35	RTNA	RAYTHEON CP CLASS A	28.45	25.00	985.00	250.00	1,545.23	Allocate
Stock	1000	FNSR	FINISAR CORP	1.17	0.69	690.00	690.00	1,170.00	Allocate
TOTAL						22,450.00	235.42	24,456.04	Allocate

Scheduled/Recent Transfers:

Type	Frequency	Transfer Day	Amount/Shares	Start Date	End Date	From/To ACH Payee	Symbol/Fund
PIP	Monthly	1st	100 shs	12/1/2002	12/1/9999	From Fleet 2345643	IBM - Int'l Bus Machines Cp
SWP	Monthly	15th	\$15,000	8/15/2002	12/1/9999	To Money Market	VFINX - Vanguard NY Tax Exmpt
SWP	Quarterly	1st	\$25,000	7/1/2001	3/31/2005	To BankNY 20694-2	VEXPX - Vanguard Explorer
Transfer			\$5,500	11/15/2002	11/15/2002	To Fleet 2345643	Money Market

Table is sortable by column header and asc/desc with arrows in header. Default sort is by first column and in ascending alpha/numeric

Link to Plans/Transfer Schedule

Sub-Nav Style

Page Title Style

Allocate shows as option only for broker accounts

How to get here:

User selects History button in sub-nav from Account Summary screen (1.3.7).

Concept/Purpose/Objective:

Single location to transaction histories on a particular account

Users:

All users with successful Login.

Global Navigation:

First Level navigation same as Customers drawer (1.3).

Sub-navigation on bar directly below global navigation. Drop-down bar pre-populated with all other accounts grouped under this customer (default is same account).

Table is sortable by selecting column header with ascending/descending controls by arrows. Default is ascending by transaction date.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

System generated title

Table sortable by selecting column header; each column sorted ascending/descending by selecting arrows. Default sort is ascending by transaction date.

Customers
Power Search
Trading
Asset Allocation
Contact Manager
Sales Tools
Research
Workflow

ADD
Branch
R
R
Name
Acct.#
SSN/Tax
Cust. ID
SEARCH
CLEAR ALL

CUSTOMER SUMMARY
MANAGE PROFILE
ORDER STATUS
HISTORY
E-MONEYSM
E-DELIVERYSM
ASSET ALLOCATION
103-23568-12 IRA
ACCOUNT

ACCOUNT 102-01311-56 (Trust)
ACCOUNT HISTORY

Eric Q. Seyfried

from (MM/DD/YYYY) to (MM/DD/YYYY)

Show Account History

Show Type: All Show Today's Transactions

Update

Date	Transaction	Qty	Description	Symbol	Price	Amount	Credit/Debit
01/02/03	Dividend	0.	AUTOMATIC DATA PROCESSING INC CASH DIV ON 621 SHS REC 12/13/02 PAY 01/01/03 TEFRA TAX WITHHELD	ADP	0.00	\$-52.17	Credit
01/02/03	Dividend	0.	FLEETBOSTON FINL CORP CASH DIV ON 420 SHS REC 12/03/02 PAY 01/01/03 TEFRA TAX WITHHELD	FBF	0.00	\$-102.90	Credit
12/27/02	Bookkeeping	155.	AUTOMATIC DATA PROCESSING INC STK SPLIT ON 621 SHS REC 12/22/02 PAY 12/27/02	ADP	0.00	0.00	
12/26/02	Bookkeeping	167.	AUTOMATIC DATA PROCESSING INC STK SPLIT ON 621 SHS REC 12/15/02 PAY 12/26/02	ADP	0.00	0.00	

Sub-Nav Style

Page Title Style

Default time period is previous 7 days

How to get here:

User selects ACH Profiles from E-Money sub-navigation, providing an ACH profile already exists (otherwise sent to 1.3.7.2.1b).

Concept/Purpose/Objective:

Entry location to view and edit ACH Profiles for a particular account

Users:

All users with successful Login.

Global Navigation:

First Level and second level navigation same as Account Summary drawer (1.3.7). 3rd level navigation unique to E-Money section.

Sub- and Sub-Sub-navigation on bar directly below global navigation. Drop-down bar pre-populated with all other accounts grouped under this customer (default is same account).

Can switch between accounts for same customer using dropdown. Radio buttons next to each entry enable user to select particular profile and either Edit, Remove or Add new Profile using buttons. See flowcharts and ADP documentation for specific fields required for each type (All, trades, dividend both credit and debit).

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

The screenshot shows a web application interface for managing ACH profiles. At the top, there is a navigation bar with tabs: Customers, Power Search, Trading, Asset Allocation, Contact Manager, Sales Tools, Research, and Workflow. Below this is a search bar with fields for Branch, Name, Acct.#, SSN/Tax, and Cust. ID, along with SEARCH and CLEAR ALL buttons. A secondary navigation bar contains tabs: CUSTOMER SUMMARY, MANAGE PROFILE, ORDER STATUS, HISTORY, E-MONEYSM, E-DELIVERYSM, ASSET ALLOCATION, and ACCOUNT SWITCH. A third bar features buttons for ACH PROFILES, PLANS & TRANSFERS, CHECK REQUEST, and WIRE TRANSFER. The main content area displays the account information for 'ACCOUNT 102-01311-56 (Trust) Eric Q. Seyfried' and the title 'E-MONEYSM CURRENT ACH PROFILES'. Below the title are EDIT, REMOVE, and ADD buttons. Two ACH profile entries are listed, each with a radio button for selection and a list of details including Brokerage Account, Customer Bank, Account Name, Start Date, Branch, Bank ABA Number, Bank Account Number, Account Type, Pre Note Delay, and Description Addendum. Annotations on the left side include: 'System generated title' pointing to the account title; 'Use radio buttons to select profile for action' pointing to the radio button for the first profile. Annotations on the right side include: 'Sub-Nav Style' pointing to the secondary navigation bar; 'Sub-Sub-Nav Style' pointing to the third navigation bar; and 'Page Title Style' pointing to the main title.

How to get here:

User selects add or edit button from Current ACH Profiles screen (1.3.7.2.1a) or selects ACH Profiles button or Plans and Transfers button from E-Money home when no ACH Profile currently exists.

Concept/Purpose/Objective:

Location to Edit or Add ACH Profiles for a particular account

Users:

All users with successful Login.

Global Navigation:

First Level and second level navigation same as Account Summary drawer (1.3.7). 3rd level navigation unique to E-Money section.

Sub- and Sub-Sub-navigation on bar directly below global navigation. Drop-down bar pre-populated with all other accounts grouped under this customer (default is same account).

See flowcharts and ADP documentation for specific fields required for each type (All, trades, dividend both credit and debit).

THIS STYLE SCREEN ALSO APPLIES TO EDIT TRADING SCREEN OFF OF ORDER STATUS 1.5.4a/b/c.2 WITH APPROPRIATE FIELDS PRE-FILLED IN EDIT BOXES. TRADING PASSWORD PROMPT APPEARS IF REQUIRED. PAGE TITLE UPPER RIGHT READS "EDIT TRADING ORDER".

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

System generated title → ACCOUNT 102-01311-56 (Trust)
Eric Q. Seyfried

Profile Types (see ADP documentation): All, Bookkeeping (credit and debit), Dividend(credit), Trades (credit and debit), Periodic payments (credit), periodic receive (debit)

ACH Profile Type: Periodic Receive

Brokerage Account: 9110001
Customer Bank: Chase Bank
Account Name: Adhane Charcour
Start Date: 05/01/2001
Branch: New York
Bank ABA Number: 010020023
Bank Account Number: 123456789
Account Type: Checking
Pre Note Delay: 001
Description Addendum: [Empty text area]

If Edit Trading Screen, Enter Password prompt appears, if required → Enter Trading Password: [Input field]

Sub-Nav Style → [Navigation Bar]

Sub-Sub-Nav Style → [Secondary Navigation Bar]

Page Title Style → ADD/EDIT ACH PROFILE

If action is Edit Profile, edit fields are pre-filled with text from existing profile. If action is Add, edit fields are blank by default. → [Form Fields]

How to get here:

User selects Next from Edit ACH Profile screen.

Concept/Purpose/Objective:

Generic location to confirm changes to a particular screen.

Users:

All users with successful Login.

Global Navigation:

NOTE: THIS IS A GENERIC SCREEN FOR ALL CONFIRMATION SITUATIONS. Navigation appears the same as for the screen to which this screen is a confirmation of.

Text in red is replaced for each screen by title and contents of screen to be confirmed. Form is displayed in manner as if confirmation contents were the correct contents in the screen to be confirmed.

THIS SCREEN APPLIES TO PAGES:

- 1.3.7.2.1b.1
- 1.3.7.2.3.1
- 1.3.7.2.4.1
- 1.5.4a/b/c.1 (Cancel Trading - password prompt appears)
- 1.5.4a/b/c.2.1
- 1.6.1.1.1
- 1.6.4.1.1
- 1.6.4.2.1
- 1.6.4.3.1

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

System generated title when appropriate → ACCOUNT 102-01311-56 (Trust)
Eric Q. Seyfried

Appears only on 1.6.1.1 to announce Risk Profile determination → Based on your answers, your risk profile is **AGGRESSIVE**.

If Cancel Trading Screen, Enter Password prompt appears, if required → Enter Trading Password:

Sub-Nav Style → Customers Power Search Trading Asset Allocation Contact Manager Sales Tools Research Workflow

Sub-Sub-Nav Style → ADD Branch R R Name Acct.# SSN/Tax Cust. ID SEARCH CLEAR ALL

Page Title Style → E-MONEYSM CONFIRM ACH PROFILE

This is a generic template for all Confirmation Screens. Text in Red is replaced by appropriate text for individual page. (But DO NOT DISPLAY IN RED ON ACTUAL PAGE). When confirming a form, text is displayed as page would be viewed if text were correct. For example, this confirmation for ACH Profile is displayed as if this profile existed in 1.3.7.2.1a

How to get here:

User selects Next from Confirm ACH Profile screen.

Concept/Purpose/Objective:

Generic location to acknowledge changes to a particular screen.

Users:

All users with successful Login.

Global Navigation:

NOTE: THIS IS A GENERIC SCREEN FOR ALL ACKNOWLEDGMENT SITUATIONS. Navigation appears the same as for the screen to which this screen is a acknowledgment of.

Text in red is replaced for each screen by title and contents of screen to be acknowledged. Form is displayed in manner as if acknowledgement contents were the correct contents in the screen to be acknowledged.

THIS SCREEN APPLIES TO PAGES:

- 1.3.7.2.1a.1
- 1.3.7.2.1b.2
- 1.3.7.2.2.1
- 1.3.7.2.2.2
- 1.3.7.2.3.2
- 1.3.7.2.4.2
- 1.5.4a/b/c.1.1
- 1.5.4a/b/c.2.2
- 1.6.1.1.2
- 1.6.1.2.2
- 1.6.2.1.1
- 1.6.4.1.2
- 1.6.4.2.2
- 1.6.4.3.2

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

The screenshot shows a web application interface with a navigation menu at the top containing 'Customers', 'Power Search', 'Trading', 'Asset Allocation', 'Contact Manager', 'Sales Tools', 'Research', and 'Workflow'. Below the menu are search and filter buttons like 'ADD', 'Branch', 'Name', 'Acct.#', 'SSN/Tax', 'Cust. ID', 'SEARCH', and 'CLEAR ALL'. The main content area is titled 'ACCOUNT 102-01311-56 (Trust) Eric Q. Seyfried' and 'E-MONEY ACH PROFILE ACKNOWLEDGMENT'. It contains a message: 'Update Periodic Transfer Information. Your request to setup a Periodic Transfer has been received. Your request id is: 39263. You may monitor the progress of this request from the request status screen.' Below this is a table of account details:

Brokerage Account	91100001
Name of Financial Institution	Chase Bank
Registered Name on Account	Adnane Charchour
Branch	New York
ABA Number	010020023
Account Number	123456789
Account Type	checking
Dollar amount	\$2000
Transfer Frequency	Once every month(s) on the day of the month.
Starting Date	10/31/2002

At the bottom, there are two buttons: 'Back to (Main Section)' and 'Add/Edit Another?'. The interface also features a vertical 'ALERTS' bar on the left and a 'NOTEPAD' on the right. Various callouts point to different elements: 'System generated title when appropriate' points to the account title; 'Selectable link to workflow' points to the 'Update Periodic Transfer Information' link; 'Buttons displayed as appropriate' points to the bottom buttons; 'Sub-Nav Style' points to the top navigation menu; 'Sub-Sub-Nav Style' points to the secondary navigation tabs; 'Page Title Style' points to the main title; and a large note on the right explains that red text is a generic template placeholder.

How to get here:

User selects E-Money button in sub-nav from Account Summary screen (1.3.7).

Concept/Purpose/Objective:

Entry location to search and view E-Money type plans and transfers on a particular account

Users:

All users with successful Login.

Global Navigation:

First Level and second level navigation same as Account Summary drawer (1.3.7). 3rd level navigation unique to E-Money section. 1.3.7.2.2 is the default opening screen to E-Money regardless of whether there are plans/transfers in place for that account.

Sub- and Sub-Sub-navigation on bar directly below global navigation. Drop-down bar pre-populated with all other accounts grouped under this customer (default is same account).

Summary view is default. Can switch between accounts for same customer using dropdown. Result tables are sortable by selecting column header with ascending/descending controls by arrows. Default is ascending by next transfer date.

Radio buttons next to each row enable user to select particular plan and either View detail, Edit, Remove or Add new Plan using buttons. Selecting View shows plan detail below summary table. See flowcharts and ADP documentation for specific fields required for each type (ACH regular, dividend and Trading; SWP, PIP and PPS).

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

System generated title

Table sortable by column headers and asc/desc with arrows in headers; default sort is ascending by Next Transfer Date

Selecting View shows full plan detail below. See Flowcharts and ADP documentation for full description of necessary fields for ACH (regular and dividend), PIP, SWP and PPS

ALERTS

Customers Power Search Trading Asset Allocation Contact Manager Sales Tools Research Workflow

ADD Branch R Name Acct.# SSN/Tax Cust. ID **SEARCH** **CLEAR ALL**

CUSTOMER SUMMARY **MANAGE PROFILE** **ORDER STATUS** **HISTORY** **E-MONEYSM** **E-DELIVERYSM** **ASSET ALLOCATION** **103-23568-12 IRA** **ACCOUNTS**

ACH PROFILES **PLANS & TRANSFERS** **CHECK REQUEST** **WIRE TRANSFER**

ACCOUNT 102-01311-56 (Trust)
Eric Q. Seyfried

Summary Schedule -- To see details choose plan and select View

Next Transfer Date	Type	Start Date	End Date	Frequency	Origin/Destination Bank Acct #	Symbol	Shares	Amount	ACH Type/Number	Payee	Details
<input type="radio"/> 01/31/03	SWP	12/01/01	01/31/04	Monthly - 15th	To 23987458	VISVX		\$1,000.00	Regular	Bank of NY	No Fees
<input checked="" type="radio"/> 02/01/03	ACH Periodic Payment	01/01/02	12/31/99	Monthly - 1st	Fr 23987458			\$2,500.00	Regular		
<input type="radio"/> 04/01/03	PIP	01/01/98	10/31/03	Quarterly - 1st	Fr 23987458	VNYTX		\$500.00	Regular		Div Reinv
<input type="radio"/> 04/01/03	ACH Periodic Receive	01/01/97	12/31/99	Quarterly-1st	To 3948523			\$25.64	Dividend 23958203	Citibank	

Plan Detail

ACH PERIODIC TRANSFER PAYMENT

ACH Type:	Periodic Payment
To Brokerage Account	91100001
Name of Financial Institution	Chase Bank
Registered Name on Account	Adnane Charchour
Branch	New York
ABA Number	010020023
Account Number	23987458
Account Type	checking
Dollar amount	\$2500
Withholding	None
Fee	None
Transfer Frequency	Once every 1 month(s) on the 1st day of the month.
Starting Date	01/01/2002
Ending Date	12/31/2099

NOTEPAD

Sub-Nav Style

Sub-Sub-Nav Style

Page Title Style

PRO TEMPLATES 1-012403.VSD VERSION DATE: JANUARY 24, 2003 **1.3.7.2.2 E-MONEY PLANS/TRANSF** PAGE 22 OF 53

How to get here:

User selects Check Request from E-Money home.

Concept/Purpose/Objective:

Location to create Check Requests for a particular account

Users:

All users with successful Login.

Global Navigation:

First Level and second level navigation same as Account Summary drawer (1.3.7). 3rd level navigation unique to E-Money section.

Sub- and Sub-Sub-navigation on bar directly below global navigation. Drop-down bar pre-populated with all other accounts grouped under this customer (default is same account).

See flowcharts and ADP documentation for specific fields required.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

System generated title → ACCOUNT 102-01311-56 (Trust)
Eric Q. Seyfried

See ADP documentation for field requirements → Amount, Date of Check, Approval Password 1-4, Primary Account Payee Name and Address, Third Party Name and Address, Special Instructions

Sub-Nav Style → E-MONEY, E-DELIVERY, ASSET ALLOCATION, ACCOUNT

Sub-Sub-Nav Style → ACH PROFILES, PLANS & TRANSFERS, CHECK REQUEST, WIRE TRANSFER

Page Title Style → E-MONEYSM CHECK REQUEST

How to get here:

User selects Check Request from E-Money home.

Concept/Purpose/Objective:

Location to create Wire Transfers for a particular account

Users:

All users with successful Login.

Global Navigation:

First Level and second level navigation same as Account Summary drawer (1.3.7). 3rd level navigation unique to E-Money section.

Sub- and Sub-Sub-navigation on bar directly below global navigation. Drop-down bar pre-populated with all other accounts grouped under this customer (default is same account).

See flowcharts and ADP documentation for specific fields required.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

System generated title

See ADP documentation for field requirements

The screenshot displays a web application interface for creating wire transfers. At the top, a navigation bar includes menu items: Customers, Power Search, Trading, Asset Allocation, Contact Manager, Sales Tools, Research, and Workflow. Below this is a search bar with fields for Branch, Name, Acct.#, SSN/Tax, and Cust. ID, along with SEARCH and CLEAR ALL buttons. A secondary navigation bar contains tabs for CUSTOMER SUMMARY, MANAGE PROFILE, ORDER STATUS, HISTORY, E-MONEY, E-DELIVERY, ASSET ALLOCATION, and ACCOUNT. A vertical 'ALERTS' bar is on the left and a 'NOTEPAD' bar is on the right. The main content area is titled 'ACCOUNT 102-01311-56 (Trust) Eric Q. Seyfried' and 'E-MONEY WIRE TRANSFER'. A 'NEXT' button is positioned above the form fields. The form includes input fields for Amount, Fee, four Approval Passwords, Duplicate Wire Approval, Receiving Bank ABA, Receiving Bank Name, Receiving Bank Location, Beneficiary Bank Name, Beneficiary Bank Location, 3rd Party Bank Account Number, Beneficiary Bank Account Name, Beneficiary Bank Account Number, and Beneficiary Bank Account Location. There are also text areas for 'Additional Info' and 'Reference to Beneficiary'. A vertical scrollbar is on the right side of the form area.

Sub-Nav Style
Sub-Sub-Nav Style
Page Title Style

How to get here:

User selects E-Delivery button in sub-nav from Account Summary screen (1.3.7).

Concept/Purpose/Objective:

Single location to search and view E-Delivery type documents on a particular account

Users:

All users with successful Login.

Global Navigation:

First Level and second level navigation same as Account Summary drawer (1.3.7).

Sub-navigation on bar directly below global navigation. Drop-down bar pre-populated with all other accounts grouped under this customer (default is same account).

Search functionality viewable at all times. User selects type of document to search for and search fields change accordingly. Selecting Submit shows results lower down page. Result tables are sortable by selecting column header with ascending/descending controls by arrows. Default is ascending by transaction date.

Checkboxes in result tables enable document to be attached to email from user. Email form appears as pop-up.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

System generated title

Table for Trade Confirms. Sortable by selecting column header; each column sorted ascending/descending by selecting arrows. Default sort is ascending by transaction date. Checkbox selects documents to attach to e-mail.

Table for Statements or year-end Documents. Sortable by selecting column header; each column sorted ascending/descending by selecting arrows. Default sort is ascending by transaction date. Checkbox selects documents to attach to e-mail.

Customers Power Search Trading Asset Allocation Contact Manager Sales Tools Research Workflow

ADD
Branch
R
Name
Acct.#
SSN/Tax
Cust. ID
SEARCH
CLEAR ALL

CUSTOMER SUMMARY
MANAGE PROFILE
ORDER STATUS
HISTORY
E-MONEYSM
E-DELIVERYSM
ASSET ALLOCATION
103-23568-12 IRA
ACCOUNT

ACCOUNT 102-01311-56 (Trust)
Eric Q. Seyfried

E-DELIVERYSM

Document Type: Trade Confirms Statements Year-End Documents

From Date To Date Trans Type Symbol Month Year Document Tax Year

Submit Clear

Search Results

E-Mail

Email	Date	Symbol	Transaction Type	Quantity	Price	Gross Amount	Net Amount	Commission
<input type="checkbox"/>	12/19/02	RBK	Bought	100	28.02	\$2802.00	\$2825.95	\$23.95
<input type="checkbox"/>	01/02/03	AGR.A	Sell	150	30.00	\$4500.00	\$4476.56	\$23.95

E-mail	Document Type	Date
<input type="checkbox"/>	Statement	January 2002
<input type="checkbox"/>	Statement	February 2002
<input type="checkbox"/>	1099	2001

TO:

FROM: Broker@Scivantage.com

CC:

SUBJECT:

Attachments: 1099-2002.pdf, Stmt0102.pdf, AOL01022003.pdf

Cancel Send

Sub-Nav Style

Page Title Style

Entry fields vary by Document Type selected (implement via DHTML/Java). Trade Confirms fields are From/To Date, Transaction Type and Symbol; Statement fields are Month dropdown and Year; Year-End Documents are Document dropdown and Tax-Year.

Links to individual documents. Selecting launches document as PDF in separate window as in current version of Investor.

E-Mail form (pop-up); appear when user selects "E-Mail" and has at least one document checked.

PRO TEMPLATES 1-012403.VSD

VERSION DATE: JANUARY 24, 2003

1.3.7.3 E-DELIVERY

PAGE 25 OF 53

How to get here:

User opens Search drawer or selects Search link from elsewhere in application.

Concept/Purpose/Objective:

Single location to provide search functionality.

Users:

All users with successful Login.

Global Navigation:

Search criteria section always present. After user clicks search, remainder of drawer is filled with search results. Defaults for all dropdowns are empty/none. Filling in more than one edit field assumes an additive boolean search (AND). Selecting edit on saved searches pre-fills search criteria fields with saved search information.

Description of objects/results of search criteria: Columns from Transaction Type rightwards may not be filled depending on search criteria selected. Some results are links that take user to other drawers pre-filled with that criteria: Customer takes user to Customer Summary (1.3.6). Account # & Mkt Value opens Account Summary (1.3.7). Transaction type opens History for that Account (1.3.7.1). Transfer Type opens Transfer List for that account (1.3.7.2.2.). Requests opens workflow for that account (1.10).

- 1. Branch - returns list of accounts under that branch
2. RR - returns list of accounts for that RR#
3. Account number - returns a customer name and account number (entry field accepts partial values and shows all matches).
4. Symbol - returns list of accounts with that symbol in holdings or where symbol was involved in a transaction or transfer
5. All events for date (from/to): returns list of transactions and transfers for all accounts.
6. Name - list of Accounts & Customer names sorted by last name.
7. Address - list of Accounts & Customer Names with that address.
8. Area Code - returns all Accounts & Customers with that area code associated in profile.
9. SSN/Tax - all Accounts & Customers with that SSN/Tax number
10. Customer ID - returns list of all Customers with that ID and that customer's associated Accounts.

Account Info:

- Returns list of Accounts that satisfy the following criteria:
11. Margin Calls - any account that has any type of Call.
12. Model Out of Balance - any account that has a model portfolio defined for it that is out of balance by a minimum of the requested percentage (default is 5% up or down).
13. Requests - any account that has pending requests
14. ACATS - any account that has a pending ACATS.
15. Scheduled Transfer Date - any account that has a Scheduled Transfer to occur on selected date.
16. Cash Available - any account that has cash available satisfying the requested amount.
17. Commissions - any account that has generated YTD commissions satisfying the requested amount.
18. Agreement Type - all accounts that satisfy the requested agreement type (options types, margin, short sell, etc.). Default value is blank.
19. Entitlements - all accounts that satisfy the requested entitlement type (default blank).
20. Allocation Definition - all accounts that satisfy the requested allocation definition (aggressive, balanced, etc.). Default blank.
21. Account Type - all accounts that satisfy the requested account type (Cash, Margin, IRA, etc.). Default blank.
22. Transaction Type - all accounts that had the requested transaction type (sell, bookkeeping, etc.) secondary sorted by date. Default is blank.
23. Number of Trades - all accounts that had YTD number of trades within the requested amount.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Power Search Trading Asset Allocation Contact Manager Sales Tools Research Workflow
My Saved Searches: 1. Buy Lo Sell Hi Edit Delete
2. Electronics Edit Delete
3. Gold Stocks Edit Delete
4. Margin Calls Edit Delete
5. Events of 11/23/01 Edit Delete
SEARCH CLEAR ALL
General Info: Branch RR Acct.# Symbol All Events for Dates:
Customer Info: Name Address Area Code SSN/Tax Cust. ID
Account Info: Margin Calls Model Out of Balance by at least 5% ACATS Scheduled Transfer Date Cash Available YTD Commissions Agreement Type Straddled Option Entitlements (None) Allocation Definition Aggressive Account Margin Type Sell Transaction Type Sell YTD Number of Trades
SEARCH RESULTS Save to File
Table with columns: Customer, Acct #, Branch, RR, Contact Info, SSN, ID, Mkt Value, Cash Avail, Transaction Type, Symbol, Amount, Transfer Type, Date, Requests

Links takes user to appropriate drawer pre-filled with linked event. See description for details of locations.

Table is sortable by column header and asc/desc with arrows in header. Default sort is by first column and in ascending alpha/numeric

Save Search list max 10 items

Default values for all dropdowns is (blank), but all include (None) as a separate choice.

Full Operators: <, >, =, =>, <=

Search results appear below this line when user selects Search

How to get here:

User opens Trading drawer or selects "trade" link from elsewhere in application

Concept/Purpose/Objective:

Single location to place single stock order trades.

Users:

All users with successful Login.

Global Navigation:

Edit fields and links for symbol lookup (takes user to research drawer) and search (search drawer.). Links to option chains (research drawer).

Sub-navigation on bar directly below global navigation.

For stock trading, there exists 3rd level navigation to alternate to multiple order entry. This 3rd level is graphical, not java enabled (not draggable tabs).

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

The screenshot shows a trading application interface with the following components and callouts:

- Global Nav:** A top navigation bar with tabs for Trading, Asset Allocation, Contact Manager, Sales Tools, Research, and Workflow.
- Sub-Nav Style:** A secondary navigation bar with tabs for STOCKS, OPTIONS, MUTUAL FUNDS, and ORDER STATUS.
- Page Title Style:** The main title "STOCK TRADING" is centered at the top of the main content area.
- Alerts:** A vertical red bar on the left side labeled "ALERTS".
- Order Verification:** A central box titled "ORDER VERIFICATION" containing a "BUY LIMIT TODAY 2000 IBM 81.52 12/16/2002 No Instructions" and a "REAL TIME QUOTE" table.

Symbol	Last	Change	Bid	Ask	Size	Volume	Time
IBM	81.43	+1.43	81.42	81.44	1x14	6,320,000	03:06:25 PM
- Order Received:** A box below the verification area titled "ORDER RECEIVED" with the text "PLEASE REFER TO ORDER NUMBER RI 004 -- Account 102-10334-22 Cash" and a table of order details.

Action	Quantity	Symbol	Price	Qualifiers	Timing	Instructions	Market	Date
Buy	2000	IBM	81.42	Limit	Day	None	SuperDot	12/16/2002
- Trading Password:** A field labeled "Trading Password:" with a "SUBMIT" button.
- Form Fields:** Includes "Account Number:", "Route:" (Major, Island, Archipelago, Super Dot), "Transaction:" (Buy, Sell, Sell Short, Buy to Cover Short), "Floor Instructions:", "Quantity:", "Symbol:", "Price:" (Market, Limit, Stop, Stop Limit, With or Without, Market on Close, Limit on Close), "Held:" (By Customer, By House, By Bank), "Solicited?:" (Yes, No), "Time in Force:" (Day, Good till Cancel, Good till mm/dd/yyyy, At the Open, Immediate or Cancel, Fill or Kill), "Commissions:" (Total Commission ProRated, Rate per Share, Percentage of Regular Commission), "Comfirm with Customer?:" (Yes, No), and "Notified for dynamic fills?:" (Yes, No).
- Buttons:** "TRADE" button at the bottom right, and "MODIFY" and "CANCEL" buttons near the order verification area.
- Callouts:**
 - "Clickable, but not draggable, tabs" points to the sub-navigation bar.
 - "Trading password prompt appears only if required." points to the password field.
 - "Dedicated area for Order confirm/verification. Area begins blank and sections appear at top of screen; appears after user selects 'TRADE' (1) and the 'SUBMIT'(2). Screen 2 replaces Screen 1." points to the order verification and received boxes.
 - "Defaults for all radios/edit fields/checkboxes is blank." points to various radio button options.

How to get here:

User opens Trading drawer or selects "trade" link from elsewhere in application. Then selects Multiple tab to get to multiple trading screen

Concept/Purpose/Objective:

Single location to place multiple stock order trades.

Users:

All users with successful Login.

Global Navigation:

Edit fields and links for symbol lookup (takes user to research drawer) and search (search drawer.). Links to option chains (research drawer).

Sub-navigation on bar directly below global navigation.

For stock trading, there exists 3rd level navigation to alternate to multiple order entry. This 3rd level is graphical, not java enabled (not draggable tabs).

For multiple orders, can only cancel or edit entire group as a batch, not single order.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

How to get here:

User selects Options button from Trading drawer.

Concept/Purpose/Objective:

Single location to place option trades.

Users:

All users with successful Login.

Global Navigation:

Edit fields and links for symbol lookup (takes user to research drawer) and search (search drawer.). Links to option chains (research drawer).

Sub-navigation on bar directly below global navigation.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Trading password prompt appears only if required.

Alerts
Trading Asset Allocation Contact Manager Sales Tools Research Workflow
NOTES

Symbol Lookup
Name GO
OPTIONS CHAINS
SEARCH

STOCKS
OPTIONS
MUTUAL FUNDS
ORDER STATUS

OPTION TRADING

ORDER VERIFICATION:
BUY LIMIT CALL OPEN 20 IBMHA85 1.52 12/16/2002 No Instructions

REAL TIME QUOTE:

Symbol	Last	Change	Bid	Ask	Size	Volume	Time
IBMHA85	1.51	+0.02	1.51	1.54	1x14	6,320,000	03:06:25 PM

Trading Password:

ORDER RECEIVED:
PLEASE REFER TO ORDER NUMBER RI 004 -- Account 102-10334-22 Cash

Action	Quantity	Symbol	Price	Qualifiers	Timing	Instructions	Market	Date
Buy Call Open	20	IBMHA85	1.52	Limit	Day	None	SuperDot	12/16/2002

Account Number: Transaction: Buy Call Open Buy Put Close
 Buy Call Close Sell Call Close
 Buy Put Open Sell Put Close
 Buy to Cover Short Sell Covered Call

Symbol: Contracts: Price: Market Limit Or Better Limit Price:
 Stop Stop Limit Stop Price:
 With or Without
 Market on Close
 Limit on Close

Held: By Customer By House By Bank Solicited? Yes No Time in Force: Day Good till Cancel
 Good till At the Open
 Immediate or Cancel
 Fill or Kill

Commissions: Total Commission ProRated Rate per Share Percentage of Regular Commission
 Confirm with Customer? Yes No Notified for dynamic fills? Yes No

TRADE

Customers
Power Search

Global Nav

Sub-Nav Style

Page Title Style

Dedicated area for Order confirm/ verification. Area begins blank and sections appear at top of screen; appears after user selects "TRADE" (1) and the "SUBMIT"(2). Screen 2 replaces Screen 1.

Defaults for all radios/edit fields/ checkboxes is blank.

How to get here:

User selects Mutual Funds button from Trading drawer.

Concept/Purpose/Objective:

Single location to place mutual funds purchases and sales.

Users:

All users with successful Login.

Global Navigation:

Edit fields and links for symbol lookup (takes user to research drawer) and search (search drawer.). Links to option chains (research drawer).

Sub-navigation on bar directly below global navigation.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Trading password prompt appears only if required.

ALERTS

Trading
Asset Allocation
Contact Manager
Sales Tools
Research
Workflow

NOTIFY

Symbol Lookup
Name
GO
OPTIONS CHAINS
SEARCH

STOCKS
OPTIONS
MUTUAL FUNDS
ORDER STATUS

MUTUAL FUNDS TRADING

ORDER VERIFICATION:

Transaction	Quantity	Symbol/CUSIP	Exchange To (Symbol/CUSIP)
Exchange From	1000 Dollars	VISVX	VISGX
Dividend Reinvestment:	YES		
Capital Gains Reinvestment:	YES		

REAL TIME QUOTE:

Symbol	Last	Change	Bid	Ask	Size	Volume	Time
Vanguard SMCap Value Fd	1.51	+0.02	1.51	1.51	0	6,320,000	03:06:25 PM

Trading Password:
SUBMIT

ORDER RECEIVED:

PLEASE REFER TO ORDER NUMBER RI 004 -- Account 102-10334-22 Cash

Transaction	Quantity	Symbol/CUSIP	Exchange To (Symbol/CUSIP)
Exchange From	1000 Dollars	VISVX	VISGX
Dividend Reinvestment:	YES		
Capital Gains Reinvestment:	YES		

Account Number: <input type="text"/>	Transaction: <input type="radio"/> Buy <input type="radio"/> Liquidate	Dollars: <input type="text"/>	<input type="radio"/> Up
Trade Date: <input type="text"/>	<input type="radio"/> Sell <input type="radio"/> Full Exchange	OR	<input type="radio"/> Down
3rd Party	<input type="radio"/> Partial Exchange	Shares: <input type="text"/>	<input type="radio"/> Fractional Shares
Admin. Number? <input type="text"/>	If sale, Fund Account Number: <input type="text"/>	Symbol: <input type="text"/>	
		Exchange To Symbol: <input type="text"/>	

Booking Code: <input type="text" value="Book Customer"/>	IRA Transaction Type: <input type="text" value="Prior Year Payment"/>	Special Purchase? <input type="text" value="Letter of Intent"/>
Nav Reason: <input type="text" value="Repurchase"/>	if yes, amount: <input type="text"/>	
Contingent	Date: <input type="text"/>	<input type="radio"/> New
Deferred Sales Charge? <input type="text" value="Hardship"/>		<input type="radio"/> Existing

Held: <input type="radio"/> By Customer	Dividends: <input type="radio"/> Reinvest <input type="radio"/> Cash	Long-Term Capital Gains: <input type="radio"/> Reinvest <input type="radio"/> Cash	Checkwriting: <input type="radio"/> Yes <input type="radio"/> No
<input type="radio"/> By Broker		Short-Term Capital Gains: <input type="radio"/> Reinvest <input type="radio"/> Cash	
<input type="radio"/> By Executing Broker			

Special Instructions:

Commission Override?

Broker Commission:

Broker Fee:

TRADE

Customers
Power Search

Global Nav

Sub-Nav Style

Page Title Style

Dedicated area for Order confirm/ verification. Area begins blank and sections appear at top of screen; appears after user selects "TRADE" (1) and the "SUBMIT"(2). Screen 2 replaces Screen 1.

Defaults for all radios/edit fields/ checkboxes is blank. All dropdowns included "NONE" as a choice.

SEE ADP DOCUMENTATION FOR SPECIFIC FIELD VALUES

PRO TEMPLATES 2-012403.VSD

VERSION DATE: JANUARY 24, 2003

1.5.3 MUTUAL FUNDS TRADING

PAGE 30 OF 53

How to get here:

User selects Order Status from sub-navigation of Trading Drawer, or selects link to order status from elsewhere in application

Concept/Purpose/Objective:

Single location review order status of individual accounts.

Users:

All users with successful Login.

Global Navigation:

Global and sub-navigation same as for Trading Drawer (1.5).

There exists a 3rd level navigation to alternate among security types. This 3rd level is graphical, not java enabled (not draggable tabs). Default is set to Combined. Selecting Stocks, Options or Funds filters results by those security types but resulting display is similar.

Table is sortable by clicking on column headers and then by arrow for ascending/descending. Default sorts tables by date column with most recent activity first.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

The screenshot shows the 'ORDER STATUS' page with a navigation bar at the top containing 'Trading', 'Asset Allocation', 'Contact Manager', 'Sales Tools', 'Research', and 'Workflow'. Below this is a search area with 'Symbol Lookup', 'Name', and a 'GO' button. A secondary navigation bar includes 'STOCKS', 'OPTIONS', 'MUTUAL FUNDS', and 'ORDER STATUS'. The main content area is titled 'ORDER STATUS' and includes an 'ACCOUNT:' dropdown menu with a 'GO' button and an 'UPDATE' button. Below this are four sections: 'Pending Orders', 'Executed Orders', 'Open Orders', and 'Cancelled/Rejected/Expired Orders'. Each section contains a table with columns for Transaction, Quantity, Symbol, Price, Time Limit, Security Type, Date, Order ID, and Status. Callout boxes provide details: 'Clickable, but not draggable, tabs' points to the secondary navigation; 'Combo box allows users to type in acct# and also lists last 5 accounts accessed. Search link opens Search drawer (1.4).' points to the account dropdown; 'Tables are sortable by column header and asc/desc with arrows in header. Default sort is by date column and in descending time order' points to the 'Date' column header in the 'Executed Orders' table; 'Global Nav' points to the top navigation bar; 'Sub-Nav Style' points to the secondary navigation bar; 'Page Title Style' points to the 'ORDER STATUS' title; 'Links move user down page to appropriate section' points to the section headers; 'System calculates average price for all trades that day in real time' points to the 'Average Price' column in the 'Executed Orders' table; 'If Broker acct; system allows shares to go into Aggregator (opens Allocation drawer 1.6.2)' points to the 'Allocate' link in the 'Executed Orders' table; and 'User can attempt to cancel all order types; edit link only allowed for limit orders of stocks/options' points to the 'Cancel Edit' link in the 'Open Orders' table.

How to get here:

User opens Asset Allocation drawer or selects link to Allocation Tool from elsewhere in application

Concept/Purpose/Objective:

Single location review asset allocation of individual accounts.

Users:

All users with successful Login.

Global Navigation:

Drawer has default opening page in Allocator (1.6.1). Global and sub-navigation bars In Global navigation, Settings button is customized per implementation and may not appear. In sub-navigation, search button opens Search drawer (1.4).

System generates error/warning messages if (1) there is no risk profile associated with the account; (2) the account has a risk profile but there is no model portfolio associated with the risk profile or (3) the account is out of balance with the model, defined as when any asset category is 5% above or below its target in the model (i.e. category is 18% or 28% instead of target 23%).

Table enumerates all holdings in account by asset class as well as all proposed asset classes in model portfolio. Sort of table is descending from largest asset category a cross both model and actual account to smallest asset category. Last line in table is Totals line, which should always add to 100% and total current account value.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Below this line appears after user enters account number in edit field and selects TOOL.

System generated error message if there is no (1) risk profile or (2) model portfolio associated with the account.

System generated warning message

Table enumerates each asset type with each holding in the asset type broken out separately. The asset types are sorted from largest asset percentage holding across both current and model portfolios to smallest percentage holding

Asset Allocation
Contact Manager
Sales Tools
Research
Workflow

ALLOCATOR
DISTRIBUTOR/AGGREGATOR
GLOBAL ACCT MANAGER
SETTINGS

Account #: Search
TOOL
CREATE/EDIT RISK PROFILE
ASSOCIATE MODEL
ADJUST PORTFOLIO

ALLOCATOR TOOL

ACCOUNT #102-29840-11 ERIC Q. SEYFRIED

Current Risk Profile: Aggressive Current Allocation Model: Aggressive

There is currently no model portfolio (risk profile) associated with this account. Please select button to create.

Current Asset Allocation

Model Portfolio -- Aggressive Growth

THIS PORTFOLIO IS CURRENTLY OUT OF BALANCE

Asset Type	Current Value (\$)	Current Allocation (%)	Model Value (\$)	Model Allocation (%)	Suggested Rebalance (\$)
International Equities	78,500.00	69.00	25,000.00	20.00	- 53,500.00
China.com Corp.	78,500.00	69.00			
US Small Cap Equities	0.00	0.00	45,000.00	35.00	+ 45,000.00
US Aggress Mutual Fnds	0.00	0.00	30,000.00	25.00	+ 30,000.00
.					
.					
Total	125,000.00	100.00	100.00	125,000.00	0.00

Customers
Power Search
Trading

Global Nav

Sub-Nav Style

Page Title Style

System generated title when allocation already exists

How to get here:

User opens Asset Allocation drawer and selects Risk Profiler button in Sub-Nav.

Concept/Purpose/Objective:

Single location to create Risk Profile for account's asset allocation.

Users:

All users with successful Login.

Global Navigation:

Global and sub-navigation bars In Global navigation same as 1.6.1. Settings button is customized per implementation and may not appear. In sub-navigation, search button opens Search drawer (1.4).

If Risk Profile already exists, selecting Profiler button enters edit mode, where all answers are pre-filled with existing values. If no profile exists, dropdown begin with blank values.

NOTE: ALL ANSWERS TO QUESTIONS ARE BEING SHOWN HERE TO CALCULATE LOGIC. TO SAVE SPACE, ANSWERS SHOULD BE IMPLEMENTED AS DROPDOWNS, NOT RADIO BUTTONS.

NOTE: LOGIC MUST BE CREATED TO CORRELATE QUESTION ANSWERS TO RISK PROFILE VALUES.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Below this line appears after user enters account number in edit field and selects sub-nav button.

Profile Name appears only if currently exists (edit mode), otherwise for create mode, is left blank

For purposes of template, all answers have been displayed; however answers should be implemented in list boxes to save space

ALERTS

Asset Allocation
Contact Manager
Sales Tools
Research
Workflow

NOTE

ALLOCATOR
DISTRIBUTOR/AGGREGATOR
GLOBAL ACCT MANAGER
SETTINGS

Account #: Search
TOOL
CREATE/EDIT RISK PROFILE
ASSOCIATE MODEL
ADJUST PORTFOLIO

RISK PROFILER

ACCOUNT #102-29840-11 ERIC Q. SEYFRIED

Current Risk Profile: Aggressive

The best asset allocation depends on the risk profile. By answering some questions below, we will help your to find which risk profile (and consequently which portfolio allocation) better suits you:

Amount available for investment: \$ Age:

1. When do you need to cash in your portfolio (for retirement, etc...)?
 - In less than 1 Year
 - Between 1 and 5 years
 - Between 5 and 10 years
 - Over 10 years
2. Which part of your portfolio do you plan to sell within the year (ex. to purchase a house...)?
 - 0%
 - 1% - 10%
 - 11% - 30%
 - 30% - 50%
 - 51% - 75%
 - 76% - 100%
3. Which proportion of your assets are used to cover indispensable expenses or to cover unnecessary (super fluous) expenses?
 - Exclusively indispensable expenses
 - Mostly indispensable expenses
 - Mostly unnecessary expenses
 - Exclusively unnecessary expenses
4. Which level of loss on your portfolio is for you acceptable?
 - No losses are acceptable
 - A temporary small loss
 - Not so big as the one in the stock exchange
 - A temporary huge loss is acceptable
5. How do you react if you suffer a temporary 20% loss on your investment?
 - You cannot sleep anymore
 - You are very worried
 - You find it sad
 - The future will be better
6. Which of the following scenarios would best meet your expectations?
 - Average annual return of 12% or above, with very sharp fluctuations
 - Moderate income of 2-4%, with no short-term fluctuations
 - Moderate income of 4-6%, with limited short-term fluctuations
 - Reasonable return of 7-9% with short-term fluctuations
7. You have completed a periodic review of your investment portfolio, and concluded that your investments have substantially appreciated in value over the last few weeks. Which of the following would best describe your reaction?
 - I would not take any action as long as my investment objectives have not changed
 - I would sell some of my investments to lock-in part of my profit and reduce my risk
 - I would start to worry about a market correction and consider getting out of the market
 - I would decide to take my profits and retreat to a safer investment to avoid losing all my gains

Customers
Power Search
Trading

- Global Nav
- Sub-Nav Style
- Page Title Style
- System generated title when allocation already exists

How to get here:

User opens Asset Allocation drawer and selects Associate Model from sub-nav or selects Associate Model button from Risk Profile Acknowledgement screen 1.6.1.1.2

Concept/Purpose/Objective:

Single location to create allocation model for account's Risk Profile.

Users:

All users with successful Login.

Global Navigation:

Global and sub-navigation bars In Global navigation same as 1.6.1. Settings button is customized per implementation and may not appear. In sub-navigation, search button opens Search drawer (1.4).

NOTE: TEXT IN RED IS UNIQUE FOR EACH ALLOCATION MODEL. SEE 1.6.1.2.1 FOR LISTS OF ALL MODELS AND TEXTS.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Below this line appears after user enters account number in edit field and selects sub-nav button.

Profile Name appears only if currently exists (edit mode), otherwise for create mode, is left blank

Chart is different for each allocation model.

System generated message. Text in red is unique to each allocation model (see 1.6.1.2.1 for list of all models with texts. DO NOT DISPLAY THIS TEXT IN RED.

ALERTS

Asset Allocation Contact Manager Sales Tools Research Workflow

NOTE

ALLOCATOR
DISTRIBUTOR/AGGREGATOR
GLOBAL ACCT MANAGER
SETTINGS

Account #: Search
TOOL
CREATE/EDIT RISK PROFILE
ASSOCIATE MODEL
ADJUST PORTFOLIO

ASSOCIATE MODEL

ACCOUNT #102-29840-11 ERIC Q. SEYFRIED

Current Risk Profile: Aggressive

	Money Market / short term	Bonds	Emerging Market bonds	Local Equities	Real Estate / Indirect Property	Intern. Equities	Emerging Market Equities
Series1	0%	20%	10%	30%	10%	25%	5%

Based on an **aggressive** risk profile, we recommend the following allocation model. **This portfolio is mainly exposed to stock risk but maintains a limited exposure to interest bearing instruments and is modestly exposed to emerging market risks. This portfolio aims to utilize opportunities to deliver an above average attractive return at a high level of risk.** The specific values of the model are:

Bonds (or Bond Funds)	20%
Emerging Market Bonds (or Bond Funds)	10%
US Equities	30%
Real Estate REITs or Funds	10%
International Equities	25%
Emerging Market Equities	5%

ACCEPT MODEL
OVERRIDE AND SELECT OTHER PRE-SET MODEL
CREATE CUSTOM MODEL

Customers
Power Search
Trading

Global Nav

Sub-Nav Style

Page Title Style

System generated title when allocation already exists

MAY BE IMPLEMENTED AS PIE CHART

How to get here:

User opens Asset Allocation drawer and selects override from Associate Model screen (1.6.1.2)

Concept/Purpose/Objective:

Single location to allow user to override system choice of model allocation to a n account's risk profile.

Users:

All users with successful Login.

Global Navigation:

Global and sub-navigation bars In Global navigation same as 1.6.1. Settings button is customized per implementation and may not appear. In sub-navigation, search button opens Search drawer (1.4).

NOTE: SHOULD IMPLEMENT GRAPHS AS PIE CHARTS.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Below this line appears after user enters account number in edit field and selects sub-nav button.

Profile Name appears only if currently exists (edit mode), otherwise for create mode, is left blank

ALERTS

Asset Allocation Contact Manager Sales Tools Research Workflow

NOTES

ALLOCATOR
DISTRIBUTOR/AGGREGATOR
GLOBAL ACCT MANAGER
SETTINGS

Account #:
Search
TOOL
CREATE/EDIT RISK PROFILE
ASSOCIATE MODEL
ADJUST PORTFOLIO

ACCOUNT #102-29840-11 ERIC Q. SEYFRIED


Current Risk Profile: Aggressive

You have chosen to override the model allocation associated with this Risk Profile type. Please select from the following allocation models:

< PREVIOUS
ACCEPT


Prudent

With all the assets invested in interest bearing instruments, this portfolio aims to deliver a predictable return at a very low level of risk.




Moderately Prudent

This portfolio is a bit more risky than the prudent one because: (i) it is more exposed to interest rates fluctuations (60% of bonds over one year); and (ii) it has a small exposure to the stock market. This portfolio aims to deliver an attractive return at a low level of risk.




Defensive

This portfolio aims to deliver an attractive return at a limited level of risk.



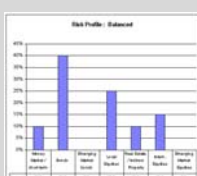
Moderately Defensive

This portfolio aims to deliver an attractive return at a moderately low level of risk.



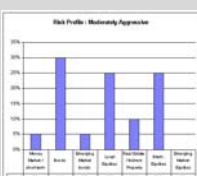
Balanced

This portfolio is equally exposed to interest bearing instruments and stocks without being exposed to emerging market risks. This portfolio aims to deliver an attractive return at a moderately low level of risk. The portfolio tries to benefit from a truly diversified portfolio, based on a mix of investments.




Moderately Aggressive

This portfolio is more exposed to stock risk than to interest bearing instruments and is modestly exposed to emerging market risks. This portfolio aims to utilize opportunities to deliver an above average attractive return a moderately high level of risk.



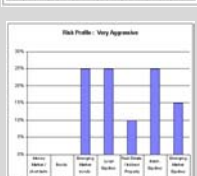
Aggressive

This portfolio is mainly exposed to stock risk but maintains a limited exposure to interest bearing instruments and is modestly exposed to emerging market risks. This portfolio aims to utilize opportunities to deliver an above average attractive return at a high level of risk.



Very Aggressive

This portfolio is only exposed to stock risk and is highly exposed to emerging market risks. This portfolio aims to utilize opportunities to deliver an above average attractive return at a very high level of risk.



Customers
Power Search
Trading

Global Nav

Sub-Nav Style

Page Title Style

System generated title when allocation already exists

Implement all graphs as pie charts

PRO TEMPLATES 2-012403.VSD

VERSION DATE: JANUARY 24, 2003

1.6.1.2.1 OVERRIDE MODEL

PAGE 35 OF 53

How to get here:

User opens Asset Allocation drawer and selects Adjust Portfolio from sub-nav. User must have valid Risk Profile and Associated Model to arrive at this screen otherwise is prompted back to appropriate screen.

Concept/Purpose/Objective:

Single location to allow user to rebalance portfolio by changing securities and adding or subtracting funds.

Users:

All users with successful Login.

Global Navigation:

Global and sub-navigation bars. In Global navigation same as 1.6.1. Settings button is customized per implementation and may not appear. In sub-navigation, search button opens Search drawer (1.4).

NOTE: PRESUMES SYSTEM HAS DATABASE TABLE CORRELATING STOCK SYMBOL TO ASSET CLASS (i.e. IBM is US LARGE CAP EQUITY).

By selecting Save and Continue System recalculates allocation and will not proceed to Implementation Plan until allocation is within model's prescribed limits.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Below this line appears after user enters account number in edit field and selects sub-nav button.

ALERTS

Asset Allocation Contact Manager Sales Tools Research Workflow

ALLOCATOR **DISTRIBUTOR/AGGREGATOR** **GLOBAL ACCT MANAGER** **SETTINGS**

Account #: Search **TOOL** CREATE/EDIT RISK PROFILE ASSOCIATE MODEL **ADJUST PORTFOLIO**

NOTICE

ADJUST PORTFOLIO

ACCOUNT #102-29840-11 ERIC Q. SEYFRIED

Current Risk Profile: Aggressive Current Allocation Model: Aggressive

You may rebalance your current portfolio as well as add or subtract funds.

Additional Investment Amount:

Withdrawal

and/or:

Select From:

Asset Class:

Search For: Name Ticker

Search Options: Begins with Contains

Internat Business Mach

Classification: **US Large Cap Equities**

Holdings Summary

Name	Type	Current Value	%
US Small Cap Equities			
<input type="checkbox"/> Vanguard Explorer Fund Inv	MF	\$3,740.00	22.00
Subtotal: (Allowable range: 17.00% - 27.00%)		\$5,000.00	29.41
International Equities			
Subtotal: (Allowable range: 13.00% - 23.00%)		\$0.00	0.00
US Large Cap Equities			
Subtotal: (Allowable range: 55.00% - 65.00%)		\$10,200.00	60.00
US Mid Cap Equities			
<input type="checkbox"/> Vitesse Semiconductor Cp	STK	\$0.00	0.00
Subtotal: (Must total: 0.00%)		\$2,000.00	11.76
Total Allocated		\$7,000.00	41.18
Balance Unallocated		\$10,000.00	58.82
Total Investment Amount		\$17,000.00	100.00

Customers Power Search Trading

Global Nav

Sub-Nav Style

Page Title Style

View profile takes user to Research drawer pre-filled for selected symbol

User can reallocate by dollar amount or percentage.

System checks rebalancing and will not advance past this screen until model is in balance. If out of balance, returns to this screen with imbalances bolded.

Checkbox selects securities to remove

How to get here:

User selects save and continue button from Adjust Portfolio Allocation screen. Presumes portfolio is correctly rebalanced.

Concept/Purpose/Objective:

Single location to show implementation plan of necessary buys, sells and money additions/subtractions to bring the portfolio back into balance with its associated model.

Users:

All users with successful Login.

Global Navigation:

Global and sub-navigation bars. In Global navigation same as 1.6.1. Settings button is customized per implementation and may not appear. In sub-navigation, search button opens Search drawer (1.4).

Selecting Trade with pre-fill trading screen (1.5.x) with securities and amounts listed in plan that have been checked by user.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Below this line appears after user enters account number in edit field and selects sub-nav button.

ALERTS

Asset Allocation Contact Manager Sales Tools Research Workflow

ALLOCATOR **DISTRIBUTOR/AGGREGATOR** **GLOBAL ACCT MANAGER** **SETTINGS**

Account #: Search **TOOL** **CREATE/EDIT RISK PROFILE** **ASSOCIATE MODEL** **ADJUST PORTFOLIO**

NOTES

IMPLEMENTATION PLAN

ACCOUNT #102-29840-11 ERIC Q. SEYFRIED

Current Risk Profile: Aggressive Current Allocation Model: Aggressive

Your request to Adjust the Portfolio has been sent. Please refer to R request ID# [45674](#) to view its status.

Implementation Plan As of 1/15/2003

This page displays the necessary buys and sells needed to modify the client's current holdings to their Recommended Portfolio. Use checkboxes to select securities to trade now, select E-Money to set up cash transfers or print or email the plan.

Buys		Sells	
Name	Amount	Name	Amount
<input type="checkbox"/> Internat Business Mach	10,200.00	<input type="checkbox"/> Vanguard Explorer Fund Inv	1,260.00
<input type="checkbox"/> Vodafone Group Plc	3,060.00	<input type="checkbox"/> Vitesse Semiconductor Cp	2,000.00
Total: \$13,260.00		Total: \$3,260.00	

Additional Investment: \$10,000.00

TRADE

PRINT

E-MAIL PLAN

E-MONEY PLAN

Customers Power Search Trading

▼

Global Nav

Sub-Nav Style

Page Title Style

How to get here:

User opens Asset Allocation drawer and selects Distributor./ Aggregator from sub-nav.

Concept/Purpose/Objective:

Single location to allow user to transfer securities between a broker's account and customer(s) account. Can target a single account or multiple accounts to transfer to or aggregate from. Can select individual securities or multiple securities via control + click. After finishing, system generates back-office transfer of securities between accounts in order to enable block trading.

Users:

All users with successful Login. Requires valid broker account number (system checks) in sub-nav entry field to begin process.

Global Navigation:

Global navigation bar same as 1.6.1. Settings button is customized per implementation and may not appear.

Destination accounts edit box begins with default value of clear. User can move (distribute or aggregate) securities back and forth with no limit until selecting Finish button to end.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Global Nav

Sub-Nav Style

Page Title Style

Holdings box begins blank

ALERTS

Asset Allocation Contact Manager Sales Tools Research Workflow

ALLOCATOR **DISTRIBUTOR/AGGREGATOR** **GLOBAL ACCT MANAGER** **SETTINGS**

Enter Valid Broker Account Number: **GO** Search

DISTRIBUTOR / AGGREGATOR

Broker Account Holdings
Select holdings to distribute
(Ctrl+click for multiple entries)

Shs	Symbol	Name
1000	IBM	Int'l Business Machi
500	RTNA	Raytheon Class A
250	X	US Steel Corp
1000	AMZN	Amazon Inc.

Destination Account(s) Holdings
Select holdings to aggregate
(Ctrl+click for multiple entries)

Add Account

Shs	Symbol	Name
<input type="checkbox"/>	102-01311-22	Eric Q. Seyfried
<input type="checkbox"/>	1000	IBM Int'l Bus Machi
<input checked="" type="checkbox"/>	500	RTNA Raytheon Cl A
<input type="checkbox"/>	250	X US Steel Cp
<input type="checkbox"/>	1000	AMZN Amazon Inc.
<input type="checkbox"/>	256-56985-41	Dave Watkins
<input type="checkbox"/>	200	IBM Int'l Bus Machi
<input type="checkbox"/>	2500	GE General Electr
<input type="checkbox"/>	1000	VIGN Vignette Cp

Shares

Percentage (will round) %

Distribute

Aggregate

Remove Account (via checkbox)

FINISH

Customers Power Search Trading

How to get here:

User opens Asset Allocation drawer and selects Global Account Manager from sub-nav.

Concept/Purpose/Objective:

Single location to allow user to rebalance all portfolios associated with a particular Model Allocation by changing the theoretical Model's values.

Users:

All users with successful Login.

Global Navigation:

Global navigation bar same as 1.6.1. Settings button is customized per implementation and may not appear.

Both dropdowns begin with default value of clear.

Selecting a risk profile changes the model dropdown to the model associated with that risk profile and vice versa.

Add New Profile and Add New Model buttons lead to Settings and may not be implemented depending on Client.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Contains list of all Risk Profiles. Selecting a profile changes Model dropdown to its associated Model. Default is blank.

The screenshot shows the 'GLOBAL ACCOUNT MANAGER' interface. At the top, there is a navigation bar with tabs for 'ALLOCATOR', 'DISTRIBUTOR/AGGREGATOR', 'GLOBAL ACCT MANAGER', and 'SETTINGS'. Below this is a header area with the title 'GLOBAL ACCOUNT MANAGER'. The main content area contains a text block explaining the tool's purpose: 'This tool allows you to select a model portfolio (or a risk profile and therefore its associated model portfolio) and adjust the allocations set for that model. As a result, all customer account portfolios that have that model as its Allocation Model, will subsequently be tracked according to the new model's allocation. By this method, for example, one can change the allocation percentages of all Aggressive Model Portfolios. After completing an adjustment, the system will notify whether any Portfolio is now out of balance with the new Model Allocation. Select a Risk Profile or a Model to adjust. Selecting a Profile will automatically select its associated model:'. Below the text are two dropdown menus: 'Risk Profile:' with 'Prudent' selected and 'associated with Model:' with 'Prudent' selected. At the bottom of the main content area are three buttons: 'ADJUST PORTFOLIO', 'ADD NEW PROFILE', and 'ADD NEW MODEL'. A footer bar contains 'Customers', 'Power Search', and 'Trading'. On the left side, there is a vertical red bar with the word 'ALERTS' and a vertical blue bar with the word 'NOTEPAD'.

Global Nav

Page Title Style

Contains list of all Allocation Models. Selecting a model changes Risk Profile dropdown to its associated profile. Default is blank.

Optional depending on implementation

How to get here:

User opens Asset Allocation drawer and selects Adjust Portfolio from Global Account Manager screen (1.6.3).

Concept/Purpose/Objective:

Single location to edit the values of the Allocation Model.

Users:

All users with successful Login.

Global Navigation:

Global navigation bar same as 1.6.1. Settings button is customized per implementation and may not appear.

Based on the idea of rebalancing a theoretical portfolio of \$10,000. Pie charts and edit fields recalculate in real time as new numbers and asset classes are entered. User has ability to add asset classes or individual securities within asset classes to the Allocation Model.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

ALERTS

Asset Allocation
Contact Manager
Sales Tools
Research
Workflow

NOTEPAD

ALLOCATOR
DISTRIBUTOR/AGGREGATOR
GLOBAL ACCT MANAGER
SETTINGS

ADJUST MODEL PORTFOLIO

Allocation Model: Aggressive

Rebalance a theoretical portfolio of \$10,000 by specifying general Asset Classes, individual securities or both. You may specify either a percentage or a dollar amount.

Choose a type:

Select From:

Asset Class:

Search For: Name Ticker

Search Options: Begins with Contains

■ US Small Cap Equities
■ US Aggressive Mutual Funds
■ International Equities
■ US Mid-Cap Equities
■ US Large Cap Equities

United States Steel Corp

Classification: **US Large Cap Equities**

Customers
Power Search
Trading

Checkbox selects securities or asset classes to remove

Global Nav

Page Title Style

Displays realtime pie chart of allocation percentages and asset class names

View profile takes user to Research drawer pre-filled for selected symbol

User can reallocate by dollar amount or percentage. System recalculates values after user enters number.

How to get here:

User selects save and continue button from Global Account Manager Adjust Portfolio Allocation screen. Presumes portfolio is correctly rebalanced.

Concept/Purpose/Objective:

Single location to show implementation plan of necessary buys, sells and money additions/subtractions to bring the portfolio back into balance with its associated model on a global basis aggregated across all accounts with that allocation model. In addition, shows beneath that a list of implementation plans for each individual account with that associated model.

Users:

All users with successful Login.

Global Navigation:

Global and sub-navigation bars In Global navigation same as 1.6.1. Settings button is customized per implementation and may not appear. In sub-navigation, search button opens Search drawer (1.4).

Selecting Trade with pre-fill trading screen (1.5.x) with securities and amounts listed in plan that have been checked by user.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Global Nav

Page Title Style

System calculates aggregate amounts of securities to buy or sell for all customers that have this allocation model assigned to it. Can buy or sell securities individually or can send multiple order via Group Buy or Group Sell buttons. System lists securities only when Allocation Model contains specific securities (will not work if Model lists only Asset Classes).

After group Plan, system lists individual implementation plans for all accounts with selected Allocation Model

Continues to list all accounts

How to get here:

User opens Asset Allocation drawer and selects Settings button. Defaults to Define Profiles.

Concept/Purpose/Objective:

Single location to create and edit Risk Profiles.

Users:

All users with successful Login.

Global Navigation:

Settings functionality implemented per client request.
Global and sub-nav and sub-sub-nav bars In Global navigation..

User chooses point values for each question and point ranges for each Risk Profile Category. User can select radio buttons and system calculates totals for all answered questions so user can see how a particular answer set correlates to a particular Risk Profile.

NOT POSSIBLE TO DELETE RISK PROFILES FOR SECURITY. TO HAVE A PROFILE NOT SHOW, SET ITS POINT VALUE RANGE TO -1.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Adding new profile adds name to profile category list with point value fields blank

Global Nav

Sub-Nav Style

Page Title Style

System recalculates as each radio button is selected

How to get here:

User selects Define Model Portfolios from Settings sub-nav of Allocation Drawer.

Concept/Purpose/Objective:

Single location to create and edit Allocation Models.

Users:

All users with successful Login.

Global Navigation:

Settings functionality implemented per client request. Global and sub-nav and sub-sub-nav bars in Global navigation.

Similar to Adjust Model Portfolio (1.6.3.1). Must create name to Add new Model.

NOT POSSIBLE TO DELETE MODELS FOR SECURITY. TO HAVE A MODEL NOT SHOW, SET ITS ASSET VALUES TO 0.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Adding new model adds name to title and creates blank list of asset classes with edit fields blank. Must enter name to create Model.

Checkbox selects securities or asset classes to remove

ALERTS

Asset Allocation Contact Manager Sales Tools Research Workflow

ALLOCATOR DISTRIBUTOR/AGGREGATOR GLOBAL ACCT MANAGER SETTINGS

DEFINE PROFILES DEFINE MODEL PORTFOLIOS DEFINE CORRELATIONS

Name: **ADD NEW MODEL** Select Model: Aggressive **GO**

NOTES

DEFINE MODEL PORTFOLIOS

Allocation Model: Aggressive Associated with Risk Profile: Aggressive

Rebalance a theoretical portfolio of \$10,000 by specifying general Asset Classes, individual securities or both. You may specify either a percentage or a dollar amount.

Choose a type:

Select From: Asset Class:

Search For: Name Ticker

Search Options: Begins with Contains

 Search

United States Steel Corp

Classification: **US Large Cap Equities** **Add** **View Profile**

Holdings Summary			
Name	Type	Current Value	%
<input type="checkbox"/> US Small Cap Equities		\$2200.00	22.00%
<input type="checkbox"/> Vanguard Explorer Fund Inv	MF	1800.00	18.00%
Subtotal: (Allowable range: [17.00% -27.00%])		\$1800.00	18.00%
<input type="checkbox"/> International Equities		\$1800.00	18.00%
<input type="checkbox"/> Vodafone Group Plc	STK	2200.00	22.00%
Subtotal: (Allowable range: [13.00% -23.00%])		\$2200.00	22.00%
<input type="checkbox"/> US Large Cap Equities		\$6000.00	60.00%
<input type="checkbox"/> Internat Business Mach	STK	6000.00	60.00%
Subtotal: (Allowable range: [55.00% -65.00%])		\$6000.00	60.00%
Total Allocated		\$10,000.00	100.00%
Balance Unallocated		\$0.00	0.00%
Total Investment Amount		\$10,000.00	100.00%

Global Nav

Sub-Nav Style

Page Title Style

Displays realtime pie chart of allocation percentages and asset class names

View profile takes user to Research drawer pre-filled for selected symbol

User can reallocate by dollar amount or percentage. System recalculates values after user enters number.

How to get here:

User selects Define Correlations from Settings sub-nav of Allocation Drawer.

Concept/Purpose/Objective:

Single location to edit correlations between Risk Profiles and Model Portfolios.

Users:

All users with successful Login.

Global Navigation:

Settings functionality implemented per client request.

Global and sub-nav and sub-sub-nav bars in Global navigation.

ALL RISK PROFILES WITH POSITIVE MATRIX VALUES IN 1.6.4.1 MUST BE ASSOCIATED WITH A PORTFOLIO FROM 1.6.4.2 WHOSE ASSET VALUE IS ABOVE \$0. PROFILES OR PORTFOLIOS THAT DO NOT MEET THIS CRITERIA SHOW BLANK DROPDOWNS AS BEING ASSOCIATED WITH THEM AND CANNOT BE ASSOCIATED WITH ANYTHING. NEWLY ADDED PROFILES OR PORTFOLIOS MUST BEGIN WITH A DEFAULT ASSOCIATION TO ANOTHER PROFILE/ PORTFOLIO AS DETERMINED BY CLIENT.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

The screenshot shows a web application interface for 'DEFINE CORRELATIONS'. At the top, there is a navigation bar with tabs: 'ALLOCATION DRAWER', 'ASSET ALLOCATION', 'CONTACT MANAGER', 'SALES TOOLS', 'RESEARCH', and 'WORKFLOW'. Below this is a sub-navigation bar with buttons: 'ALLOCATOR', 'DISTRIBUTOR/AGGREGATOR', 'GLOBAL ACCT MANAGER', and 'SETTINGS'. Under 'SETTINGS', there are three sub-buttons: 'DEFINE PROFILES', 'DEFINE MODEL PORTFOLIOS', and 'DEFINE CORRELATIONS'. The main content area is titled 'DEFINE CORRELATIONS' and contains the following text: 'Using the dropdown menus, select a Risk Profile or a Model Portfolio. The other dropdown will then populate with the currently associated Profile/Portfolio. You may then change the association by choosing another Profile or Portfolio with the other dropdown menu. To add new items to the dropdown lists, go to the Define Risk Profile or Define Model Portfolio screens.' Below the text are two dropdown menus: 'Risk Profile: Aggressive' and 'Model Portfolio: Aggressive'. At the bottom of the main area are 'SAVE' and 'CANCEL' buttons. A footer bar contains 'Customers', 'Power Search', and 'Trading'. On the right side, three callout boxes point to the 'SETTINGS' button, the 'DEFINE CORRELATIONS' button, and the main title 'DEFINE CORRELATIONS', labeled 'Global Nav', 'Sub-Nav Style', and 'Page Title Style' respectively.

How to get here:

User opens Contact Management drawer or selects link to Contact Management from elsewhere in application

Concept/Purpose/Objective:

Single location to review Customer contacts, calendaring and scheduling functionality.

Users:

All users with successful Login.

Global Navigation:

None.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Selecting Go opens search drawer filled with text from edit field.

Alphabetical Navigation through rolodex

Table sortable by column header and asc/desc with arrows in header. Default sort is by Name column and in ascending alpha order. Radio buttons select entry for edit/deletion. Selecting row brings up rolodex card for that entry. Customer summary takes user to Customer drawer (1.3.6)

Rolodex Card

Selecting Edit replaces fields with edit fields for text entry

Buttons appear for add/edit mode

Contact Manager
Sales Tools
Research
Workflow

CONTACT MANAGER

ALERTS

ROLODEX

Account Search:

Name Index:

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

Name	Account	Mkt Value	Cash	Zip	Birthday	Rating
<input type="radio"/> Seyfried, Eric	102-56865-2	24,568.23	2,568.23	10006	12/15/68	AA
<input type="radio"/> Schol, Tina	256-65975-5	45,458.23	(24.23)	10958	01/25/64	B
<input type="radio"/> Strong, Bob	785-65985-2	25,245.56	1,542.23	11217	05/02/34	A

Name: **Eric Q. Seyfried** Income: 100 - 150K

Salutation: Dude Rating: AAA

Address: 123 Happy Trails Lane Broker: 02 - Watkins, Dave
Commack, NY 11856

Phones: (516) 342-9874 (h) Ref. By:
(212) 453-5555 (w) Status: Client
(212) 453-5556 (f) Reg. Type: IRA
(917) 342-8475 (c) Last Call: 2/22/02

Gender: Male Email: eric@bony.com

Birthdate: 10/25/69 URL: www.ericsworlds.com

State of Residence: NY Communication Log:
Employer: Bank of New York Spoke with Eric by telephone, is willing to commit more capital to maintain margin requirements.

Occupation: Bond Trader

Net Worth: 50 - 100K

Exp. Retire: 12/1/2025

Marital: Single

08:00 ■ Mtg w/Bill re Acct

09:00

10:00

11:00

12:00

01:00

02:00

03:00

04:00

05:00

Rolodex and Calendar can be implemented in separate frames

Page Title Style

Ascend/Descend controls

Selecting day brings up hour list below for that day

Current Day indicator

Selecting Add or Edit overlays hour list with form. Edit pre-fills form with current values

Can type new values or select from previous entries

Activity Type: Date:

Time: Duration:

With:

Regarding:

Priority: Ring Alarm

before activity

with snooze

How to get here:

User opens Research drawer or selects link to Research from elsewhere in application

Concept/Purpose/Objective:

Single location to provide equity research and portfolio tracking.

Users:

All users with successful Login.

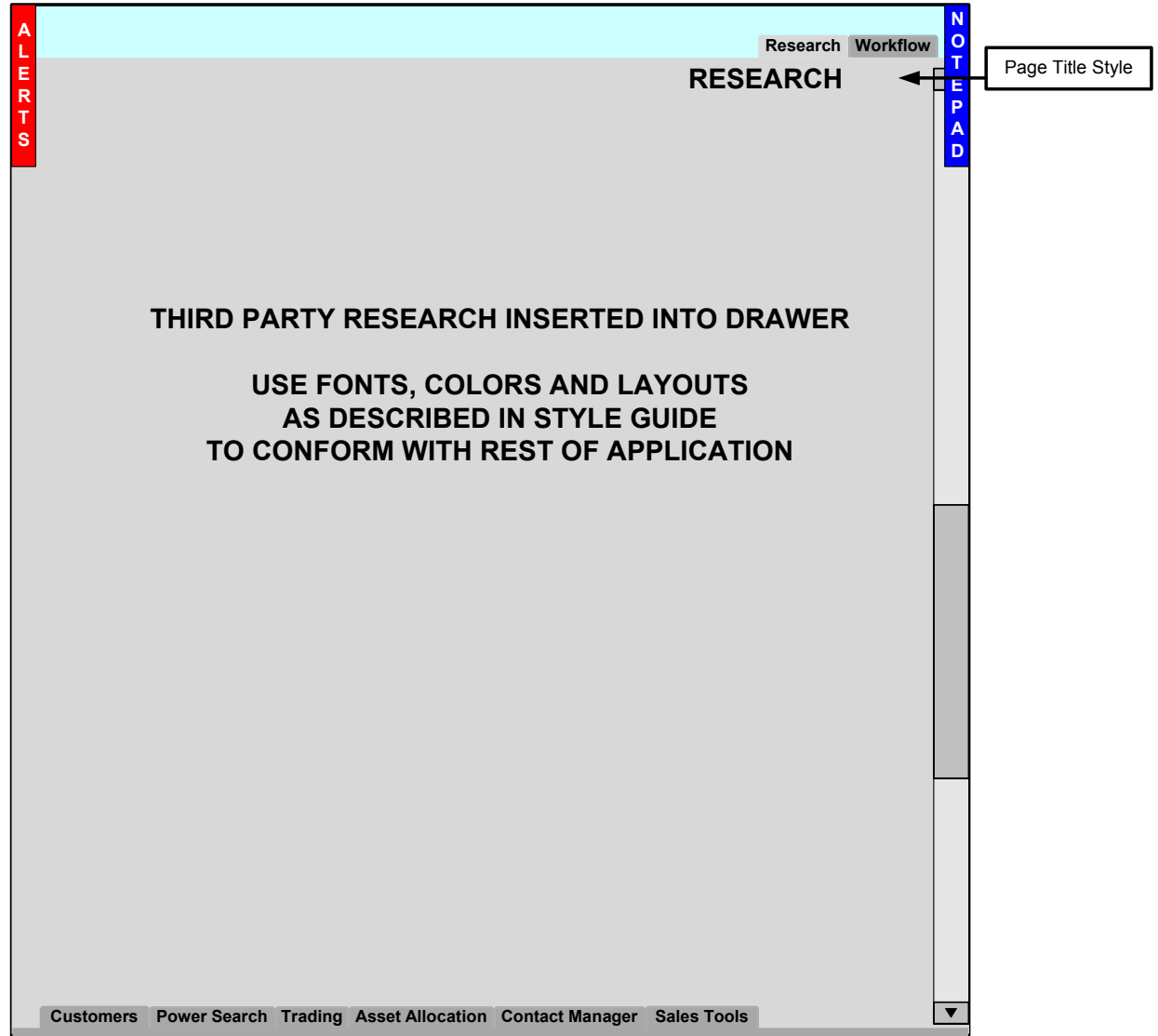
Global Navigation:

Dependent upon choice of 3rd party implementation.

Regardless of implementation, must apply colors, fonts and layouts as defined in style guide to data, so as to make application appear a seamless whole. While layout conformity may be difficult depending on content. It is imperative to use the same fonts and colors as elsewhere in the application.

Ideally all queries for information inside this drawer should return results always displayed inside this drawer (i.e. no pop-ups or transfers).

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.



How to get here:

User opens Sales Tools drawer or selects link to Sales Tools from elsewhere in application

Concept/Purpose/Objective:

Single location to provide Commission Tally and Calculator information.

Users:

All users with successful Login.

Global Navigation:

None.

Can be implemented in separate frames.

For Commission Tally: Table displays daily breakouts of commissions by Branch, RR or account, depending on criteria selected. For whatever date period selected, system returns yearly and monthly commissions and targets for the period selected (regardless of whether period was full period -- i.e. 2/7/01-2/11/01 displays all of February and 2001 and then breaks out the individual days requested. Yearly targets for each month is calculated as sum of monthly targets up to that month. Highest commissions and highest number of trades are for accounts belonging to the user who is logged into the system. List displays regardless of criteria selected above.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Displays after user selects Calculate on Calculator

ALERTS

Sales Tools Research Workflow

NOTEPAD

SALES TOOLS

COMMISSION CALCULATOR

Account # Market

#	Buy/Sell	Sym./CUSIP	Qty	Price	Disc.(%)	Add'l Comm.
1.	Buy	IBM	1000	100		
2.	Buy	T	1000	50		
3.	Sell	KO	1000	70		
4.	Buy					
5.	Buy					
6.	Buy					
7.	Buy					
8.	Buy					
9.	Buy					
10.	Buy					

Account#: 11111111 Eric Q. Seyfried

# Description	Commission	Principal	Net Amt.	Fees
Buy Totals:	315.00	150000.00	150315.00	0.00
Sell Totals:	168.75	70000.00	69828.91	2.34
1 Buy 1000.00 T, at 50.0000	146.25	50000.00	50146.25	0.00
2 Sell 1000.00 KO, at 70.0000	168.75	70000.00	69828.91	2.34
3 Buy 1000.00 IBM, at 100.0000	168.75	100000.00	100168.75	0.00

COMMISSION TALLY

Select criteria: Office: and/or RR#: and/or Account Number

From: To:

Commissions for
Branch 102 - RR 16 - Account #102-01322
From 02/01/2001 to 02/04/2001

	Commissions (\$)			Targets (\$)	
	Daily	MTD	YTD	Monthly	Yearly
2001	--	--	20,000.00	--	15,000.00
February		3,000.00	3,000.00	3,000.00	6,000.00
1	62.50	62.50	3262.50		
2	40.00	102.50	3302.50		
3	100.00	202.50	3402.50		
4	0.00	202.50	3402.50		

For time period searched:

Highest Commissions by Account (Number of Trades):

- \$2,435.53 102-13212-22/Eric Q. Seyfried (52 trades)
- \$2,156.45 323-23412-22/William Z. Wagner (89 trades)
- \$1,435.23 102-10923-23/Dorothy Strong (34 trades)
- \$987.23 102-12349-11/Agnes Beousle (13 trades)
- \$564.23 323-23985-22/Adnane Charcour (9 trades)

Highest Number of Trades by Account (Commissions):

- 52 Trades 102-13212-22/Eric Q. Seyfried (\$2,435.53)
- 43 Trades 323-23412-11/William Z. Wagner (\$2,543.23)
- 34 Trades 102-10923-23/Dorothy Strong (\$1,435.23)
- 13 Trades 102-12349-11/Agnes Beousle (\$987.23)
- 9 Trades 323-23985-22/Adnane Charcour (\$564.23)

Customers Power Search Trading Asset Allocation Contact Manager

Page Title Style

Calculator and Tally can be implemented in separate frames

From and To date default to current date

Results display below this line

Account number displays only if entered in criteria

How to get here:

User opens Workflow drawer or selects link to workflow from elsewhere in application

Concept/Purpose/Objective:

Single location to provide workflow request tracking.

Users:

All users with successful Login.

Global Navigation:

Quick search area enables search for users last 7 days worth of pending, processed and errored requests.

Also, constant area for entry of search criteria.

Below constant elements displays search results in sortable table with asc/desc buttons. Also page navigation to move through multiple entries.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Selecting nav buttons equivalent to doing search for logged-in broker ID for past 7 days for specified type of request

ALERTS

Workflow

Quick Search: My Requests (Last 7 Days)
PENDING
PROCESSED
ERRORS

WORKFLOW

Request Search

Branch Account	Request ID	Short Name	Username
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Request Type	Activity	Status	Date
<input type="text" value="All Requests"/>	<input type="text" value="All Activities"/>	<input type="text" value="All"/>	<input type="text" value="Last 3 Days"/>
Day (MM/DD/YYYY) Time (HH:MM) EST		Day (MM/DD/YYYY) Time (HH:MM) EST	
From <input type="text"/>	<input type="text"/>	To <input type="text"/>	<input type="text"/>

Request Search Results

Request					Activity				
Request ID	Name	Account	Process	Create Date	Activity	Status	Create Date	Process Date	Processed By
28676	WERWER WERW IRA	123 - 00010	Create New Account	12/17/2002 09:50	Approve	Pending	12/17/2002 09:51		BOKP
28679	WERWERWER	123 - 00018	Create New Account	12/17/2002 09:56	Initiate	Processed	12/17/2002 09:56	12/17/2002 09:56	BOKP
					Review	Pending	12/17/2002 09:56		BOKP
28680	RWTERWTRT	123 - 00020	Create New Account	12/17/2002 10:12	Initiate	Processed	12/17/2002 10:12	12/17/2002 10:12	BOKP
					Review	Pending	12/17/2002 10:12		BOKP
28681	WERWER	123 - 00022	Create New Account	12/17/2002 10:31	Initiate	Processed	12/17/2002 10:31	12/17/2002 10:31	BOKP
					Review	Pending	12/17/2002 10:31		BOKP
28683	WERGFWERGWERG	123 - 00024	Create New Account	12/17/2002 12:30	Initiate	Processed	12/17/2002 12:30	12/17/2002 12:30	BOKP
					Review	Processed	12/17/2002 12:30	12/17/2002 12:32	BOKP
					Approve	Pending	12/17/2002 12:32		BOKP

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1 2 3 4 5 6 7 8 9 10 11 ... 82
[Next ▶](#)

Customers Power Search Trading Asset Allocation Contact Manager Sales Tools Research

NOTEPAD

Global Nav

Page Title Style

Global display above this line; selecting search results table below this point.

Tables are sortable by column header and asc/desc with arrows in header. Default sort is by Request ID# column in ascending numeric order

Multiple page navigation

How to get here:

User selects individual request item from Workflow drawer search results or selects link to individual workflow request from elsewhere in application

Concept/Purpose/Objective:

Displays workflow request item with ability to approve, disapprove or cancel, when appropriate.

Users:

All users with successful Login.

Global Navigation:

Same as 1.10.

Approve/Disapprove/Cancel buttons display if user has entitlement to do such actions.

Status message with link displays after user selects approve or disapprove. Selecting 'here' link is equivalent to performing a search for that request ID.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

How to get here:

User selects Document Center from toolbar.

Concept/Purpose/Objective:

Displays single location for access to stored forms and documents.

Users:

All users with successful Login.

Global Navigation:

NOTE: THIS SCREEN IS A POP-UP.


Clicking on document link launches document in separate browser window in either HTML or PDF form.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Document subcategory titles


Link to Document


DOCUMENT CENTER Page Title Style





Please note that you will need Adobe Acrobat Reader to view and print the PDF forms. You can get Acrobat Reader here.

IRA Account Forms

 **Roth Application**
New account application for opening a Roth IRA account. Please review the Roth Agreement.
<html>
download

 **Traditional/Rollover Application**
New account application for opening a Traditional/Rollover account. Please review the Traditional/Rollover Agreement.
<html>
download

 **Account Transfer Form (ACAT)**
Complete this form in order to transfer an account from another brokerage firm, or financial institution. Note: You must include your most current account statement from your previous brokerage firm when submitting the Account Transfer Form.
download

 **IRA Distribution Form**
This form is necessary to make a withdrawal from their IRA, for either premature or mandatory distributions.
download

How to get here:

User selects Help from Toolbar

Concept/Purpose/Objective:

Displays sinlge location for access to help information.

Users:

All users regardless of login state..

Global Navigation:

NOTE: THIS SCREEN IS A POP-UP.

Text to be provided by each client.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Text provided by Client

HELP CENTER

Please click on any the topics above for detailed information on those topics.
 If you have questions related to brokerage terminology, please check our [glossary](#).
 If you have any question not answered below, please feel free to [contact us](#).

[About TradeVantage](#)
[Account Information & Services](#)
[Opening and Maintaining an Account](#)
[Account Transfers](#)

[Funding Your Account](#)
[Security Questions](#)
[Technical Questions](#)
[Trading](#)

About TradeVantage
 Q: Does TradeVantage offer any account protection?

A: TradeVantage, Inc. is a member of the Securities Investor Protection Corporation (SIPC). TradeVantage customer accounts are maintained by ABC Clearing Corp. ABC has obtained \$99,500,000 of protection per account from Asset Guaranty Insurance Company for securities (but not cash) in excess of that provided by the Securities Investor Protection Corporation (SIPC). SIPC protection is \$500,000 in assets per account, of which up to \$100,000 may be cash. Total account protection for our customers is therefore \$100,000,000 in assets per account, of which \$100,000 may be cash. This coverage applies only to customer assets actually held at ABC Clearing in customer accounts that are eligible for SIPC protection. These protections do not protect against a decline or loss in market value of the securities in your account.

Page Title Style

Links to other pop-ups

Links move user down page to answers

How to get here:

User selects Glossary from Help page.

Concept/Purpose/Objective:

Displays sinlge location for access to glossary information

Users:

All users regardless of login state..

Global Navigation:

NOTE: THIS SCREEN IS A POP-UP.

Text of policy to be provided by each client.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Alphabetical Links moves user down page

Text provided by Client

Page Title Style

Glossary **GLOSSARY**

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z
 (Click a letter to find the definition of a word or phrase.)
 Please wait for glossary page to load completely.

A

Account
 A collection of investments, either taxable or tax-deferred. Account can be real (contains investments actually owned) or model (hypothetical). Account type can be brokerage, mutual fund, or other (a mutual fund can be an account if the fund is purchased directly from fund company or it can be an investment within an account, if purchased through a broker). Legally, accounts are set up as taxable or tax deferred. The legal owner of an account can be an individual, joint , corporate, custodian, estate, or trust. See Real Taxable Accounts, Joint Accounts, and Real Tax-Deferred Accounts

. . .

How to get here:

User selects Privacy Policy from footer or from splash login page.

Concept/Purpose/Objective:

Displays single location for access to privacy policy information

Users:

All users regardless of login state..

Global Navigation:

NOTE: THIS SCREEN IS A POP-UP.

Text of policy to be provided by each client.

Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

Text provided by Client

Page Title Style