How to get here:
User has entered Login URL as provided by firm.

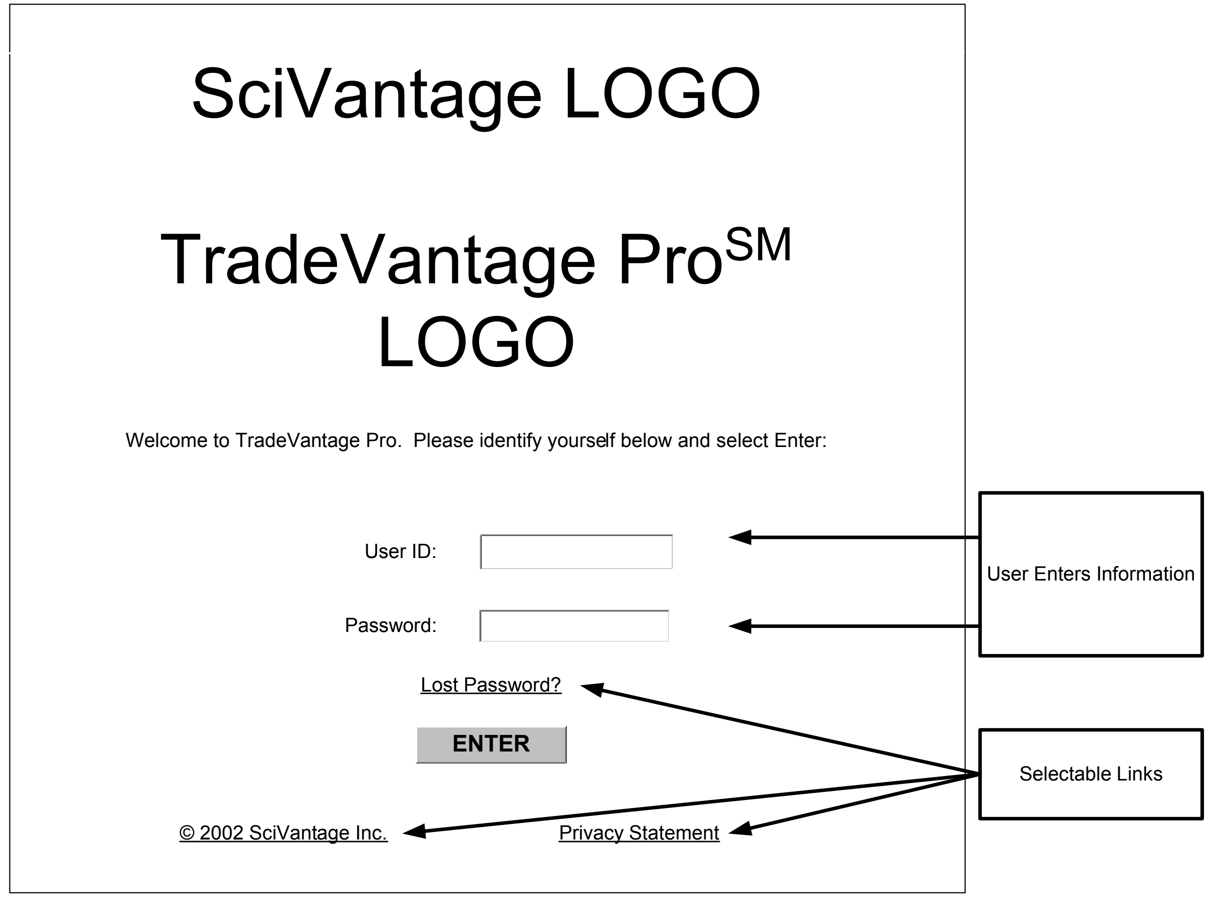
Concept/Purpose/Objective:
To provide a central point of entry for TradeVantage Pro related information and tools.

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 Pro^{SM} LOGO

Incompatible Browser

Page Title Style

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.

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.

SciVantage LOGO
TradeVantage Pro^{SM} LOGO

Passwords

Page Title Style

If you have any questions regarding passwords for the TradeVantage Pro^{SM} website, such as recovering a lost password or changing an existing password, please contact your Firm's Support Desk at 212-555-1212 or send an e-mail to support@firm.com.

Welcome to TradeVantage Pro^{SM}.

Suggested Text

Selecting e-mail address launches browser based e-mail form

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 acitvities 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 desitinations.

Wiithin 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 iscustomized per client and message is keyed to user ID.

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

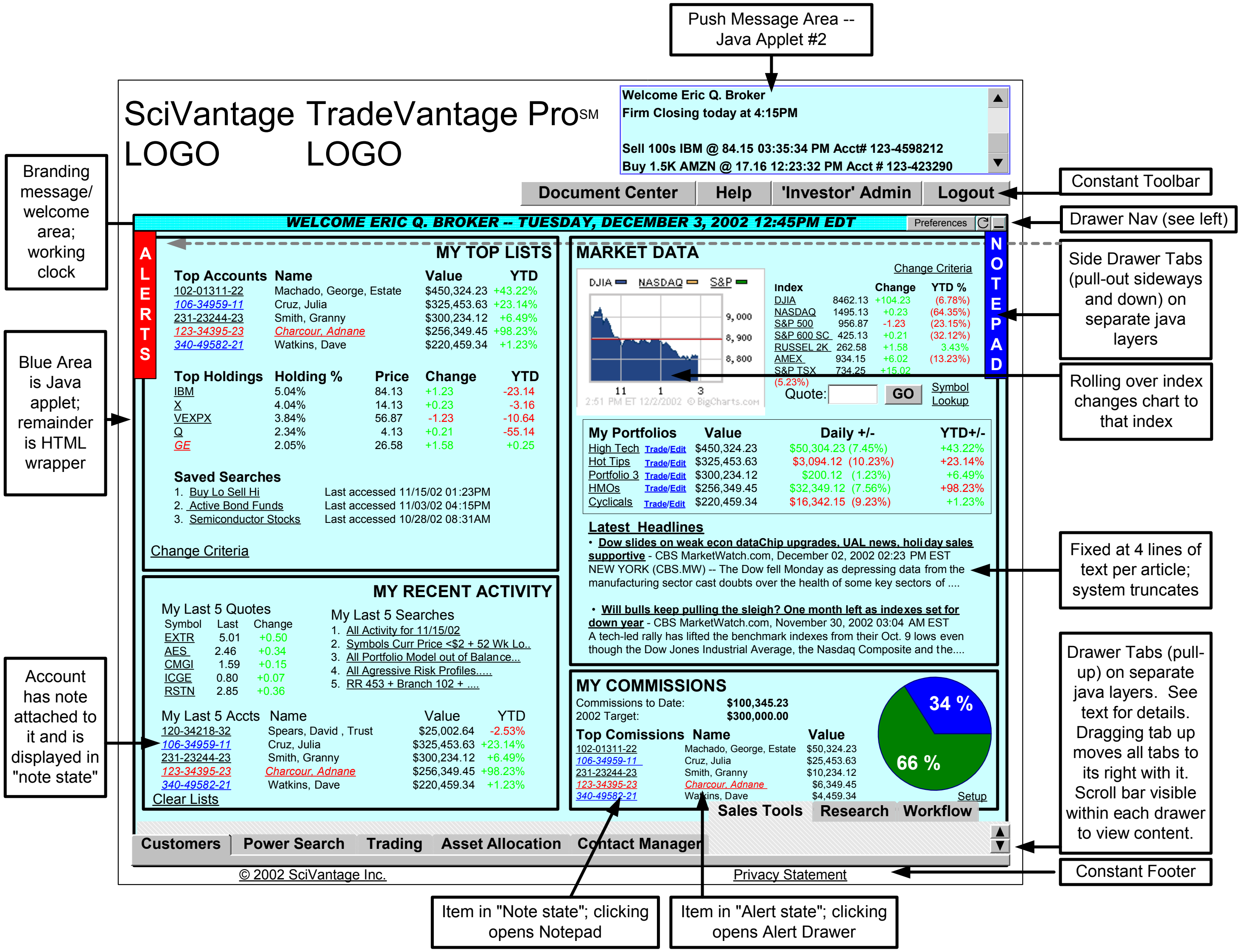
Pull-Out Drawers: in tab closed state (see individual drawer templates for drawer open/interior funcationality):

1) Alerts: Separate layer in Java applet. User selects tab and can vertically or horizontally move drawer to desired height/width with downward verticall 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 selectied 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.



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 funcationality.

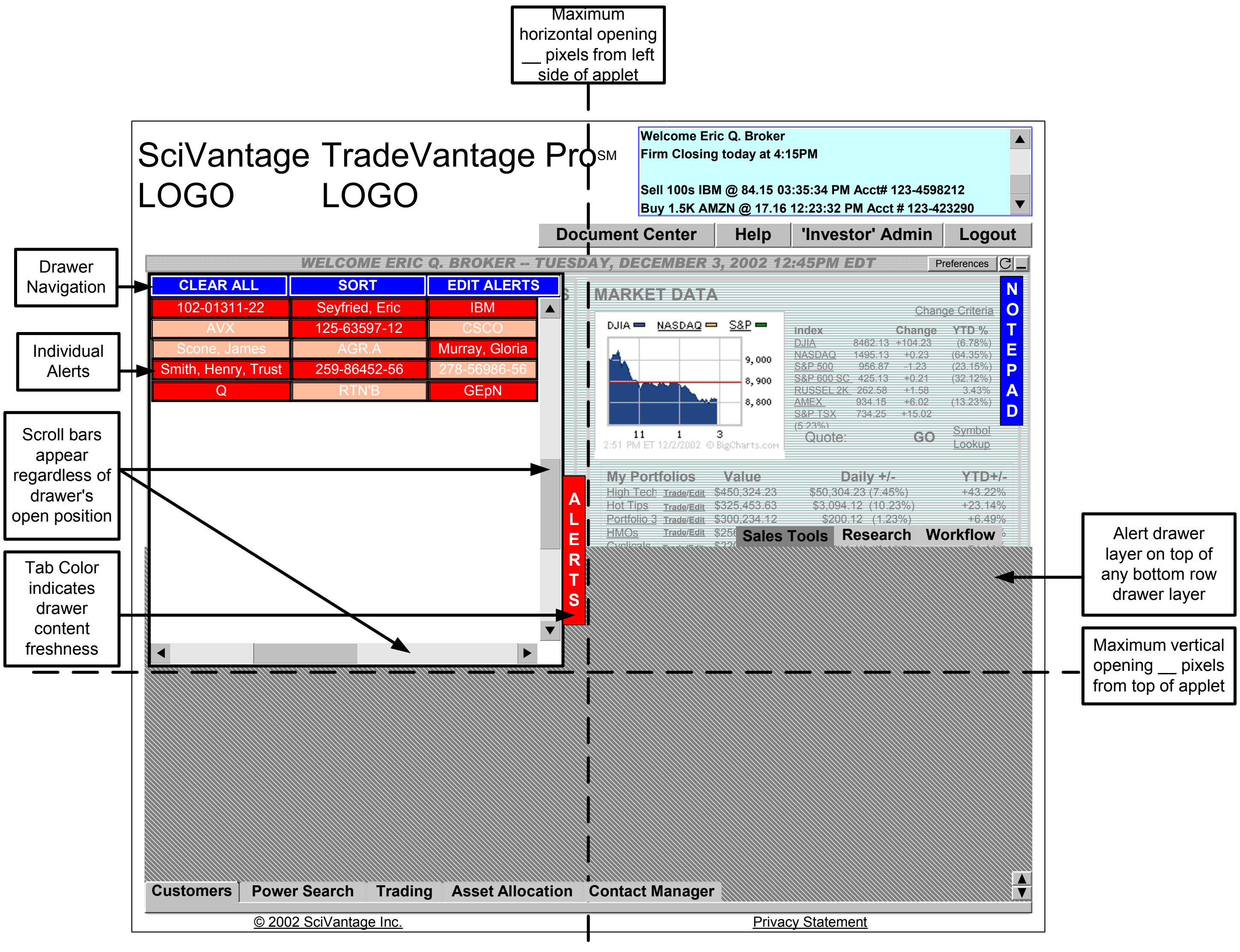
Users:
All users with successful Login.

Global Navigation:
Global Navigation within the drawer are three buttons: (a) 'clear all' empites 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 explicity deleted by user. New Alerts are added in sequencial 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 Summay, 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.



How to get here:
User selects Edit from the Alerts Drawer opening screen (1.1)

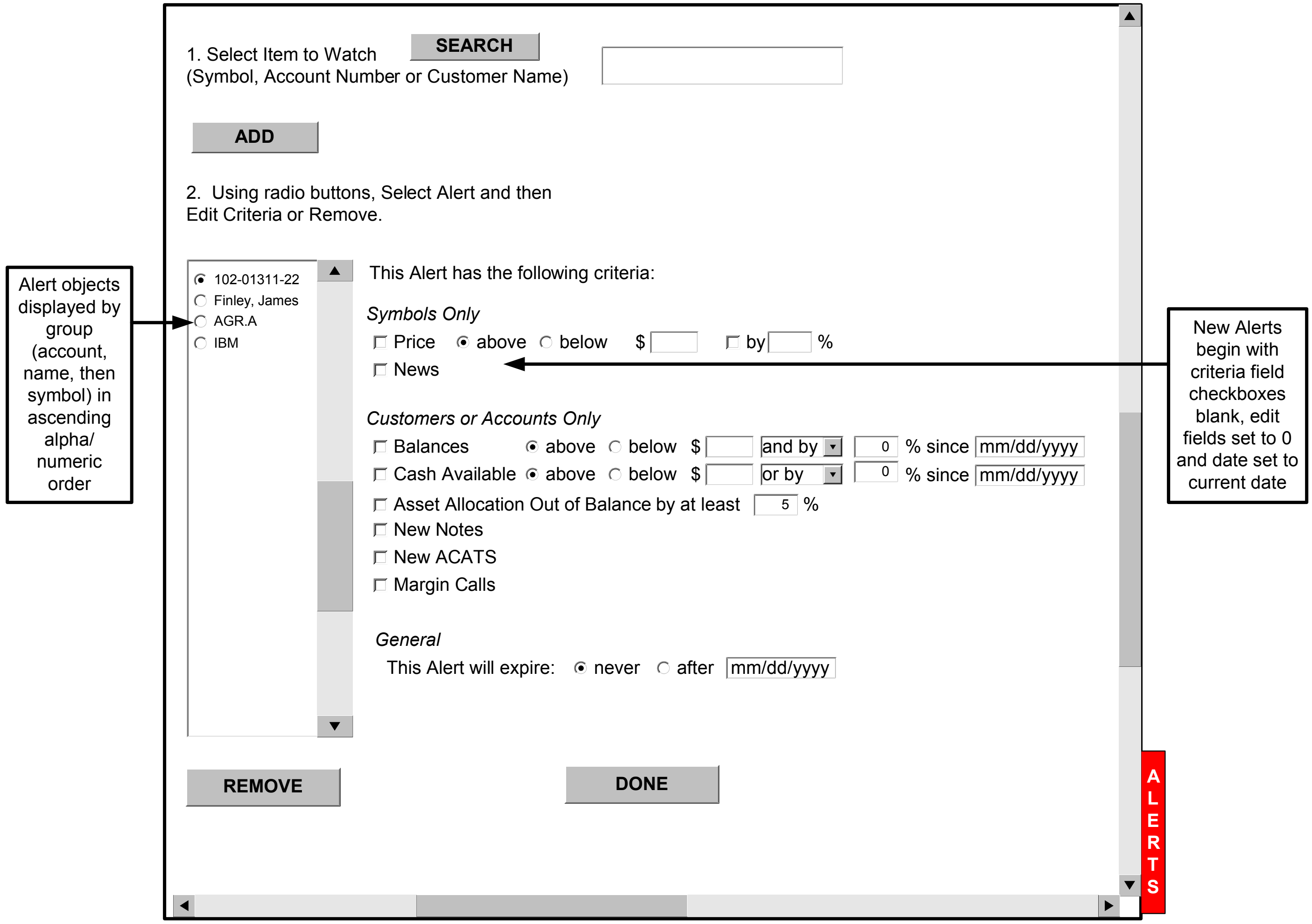
Concept/Purpose/Objective:
To allow user to set up and edit Alert objects and criteria

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.



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 funcationality.

Users:
All users with successful Login.

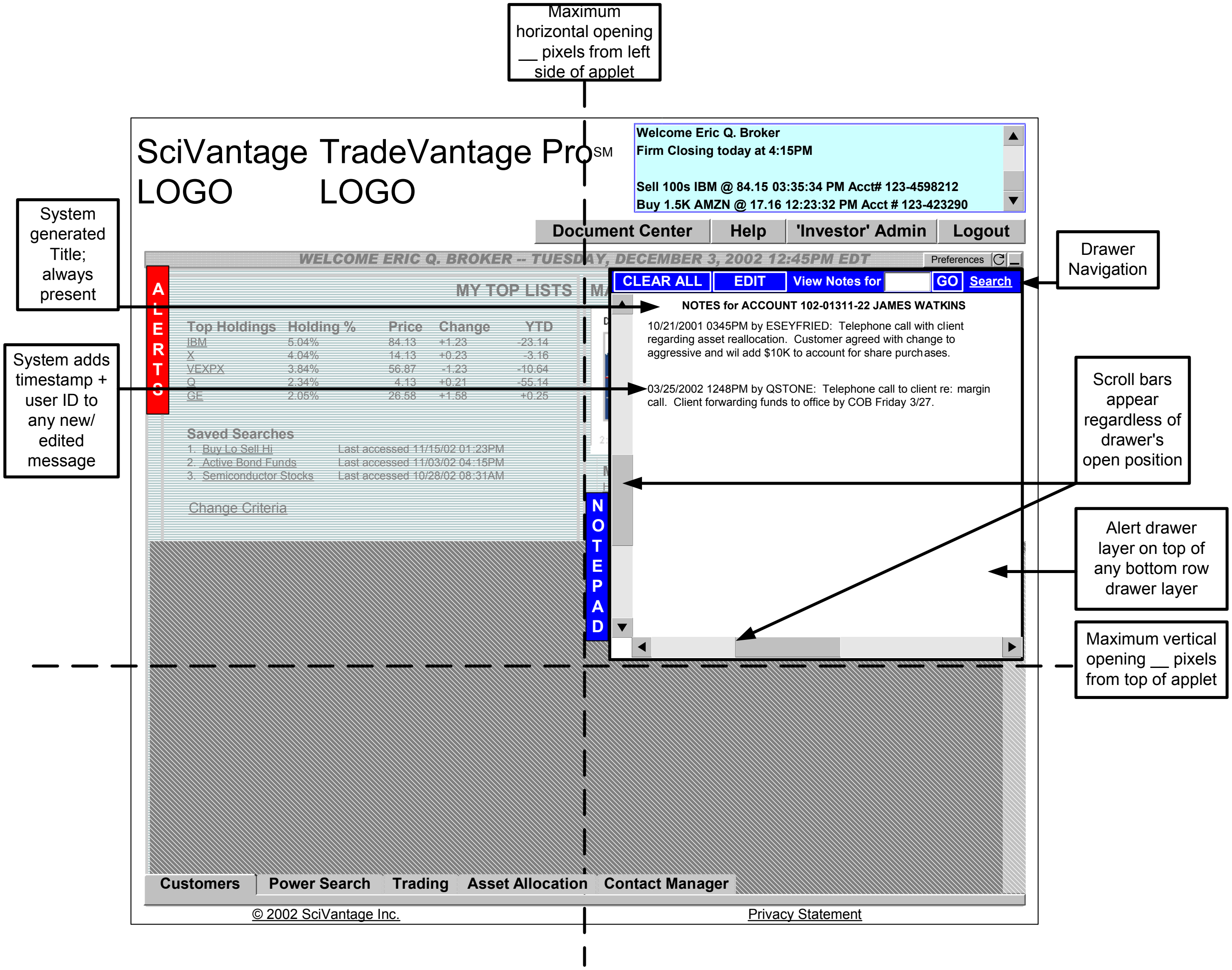
Global Navigation:
Global Navigation within the drawer are four buttons: (a) 'clear all' empites the drawer of all notes and sends notetext to note archive (viewable only by sys admin); (b) Edit replaces drawer contents with Edit Note screen (1.2.1); (c) a text entry field that allows users to enter 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 sequencial 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.



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:

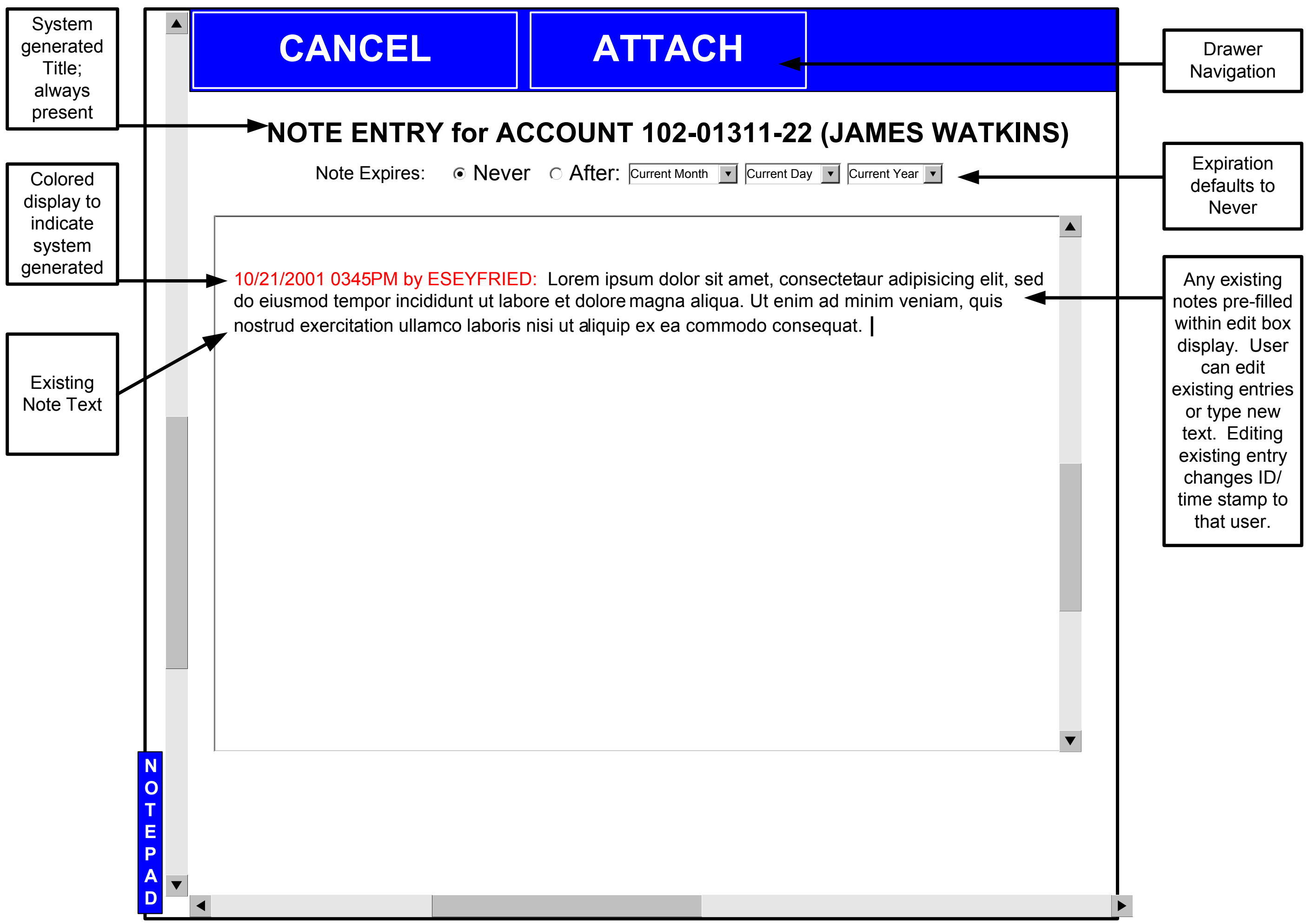
For all notes, system generates a title indicating "NOTE ENTRY FOR [OBJECT BEING EDITED] [(ALIAS OF OBJECT)]" where the alias is either the name on the account (if attaching note to an account number) or the full Company Name (if attaching note to a symbol). Attaching a note to a Customer Name has no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

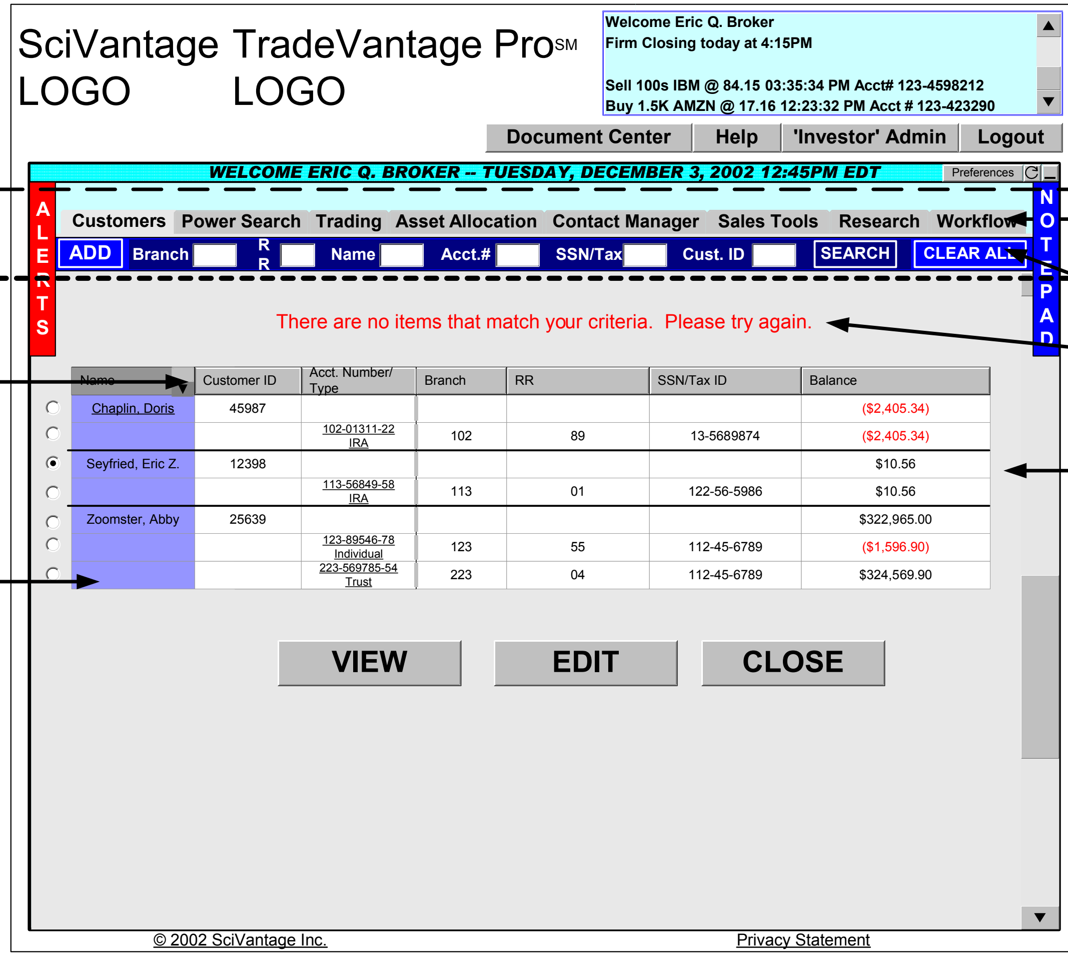
Note: Graphical elements, such as colors and button shapes, and pixel widths indicate functionality only and are not indicative of final branding choices.

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



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.

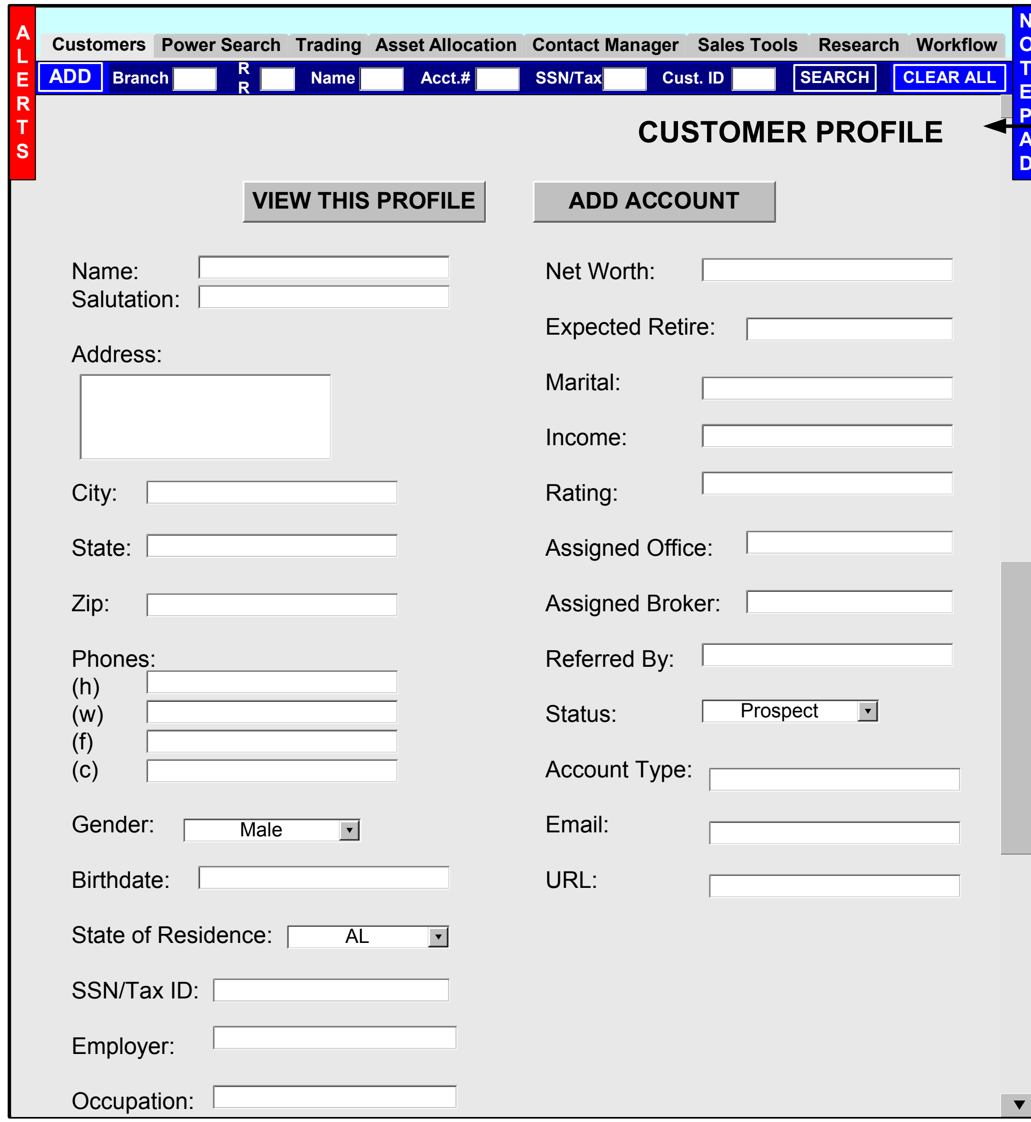
Concept/Purpose/Objective:
Single location to create new profile for prospect or new Customer.

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.



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).

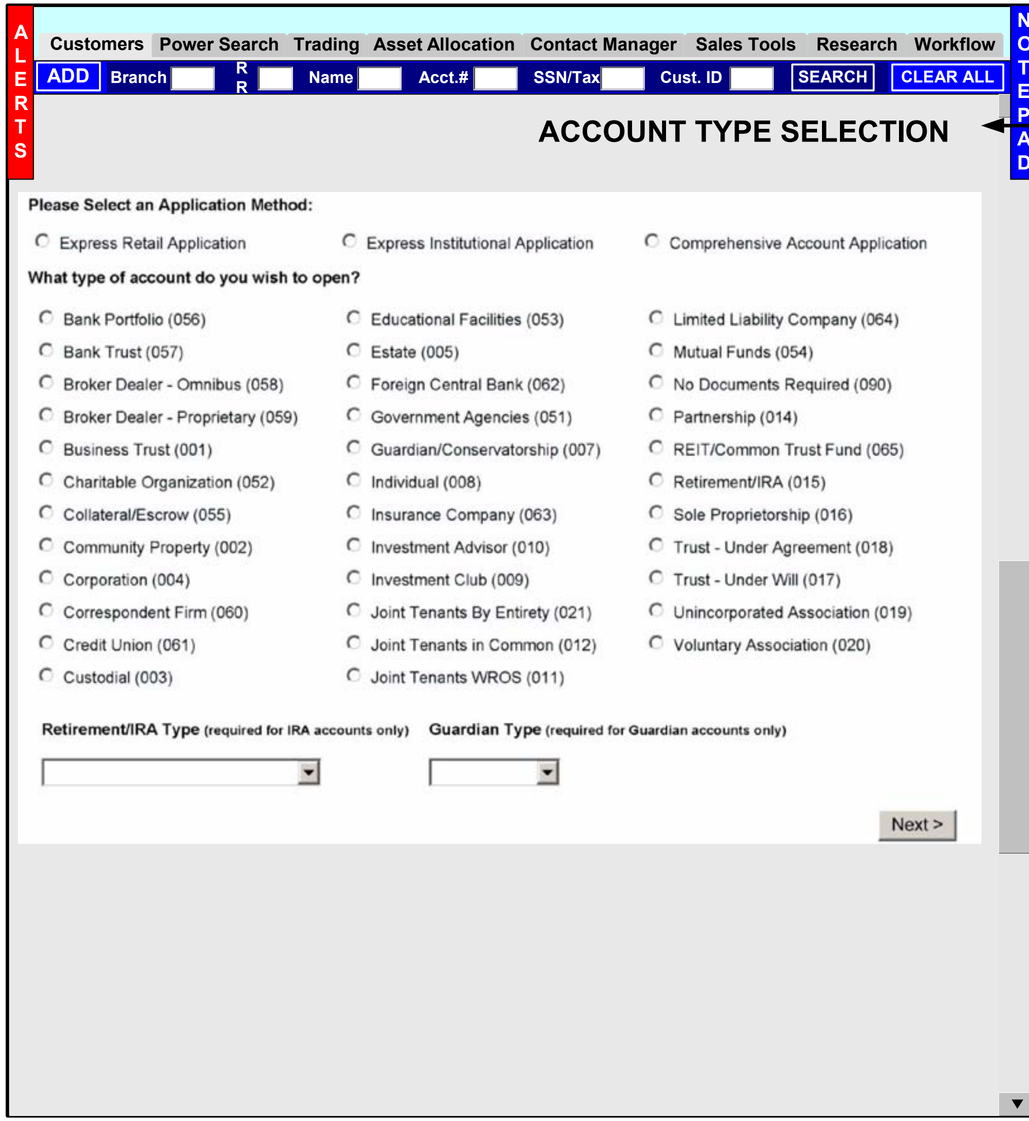
Concept/Purpose/Objective:
Selection of Account Type in order to begin the Account Opening process.

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.



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.

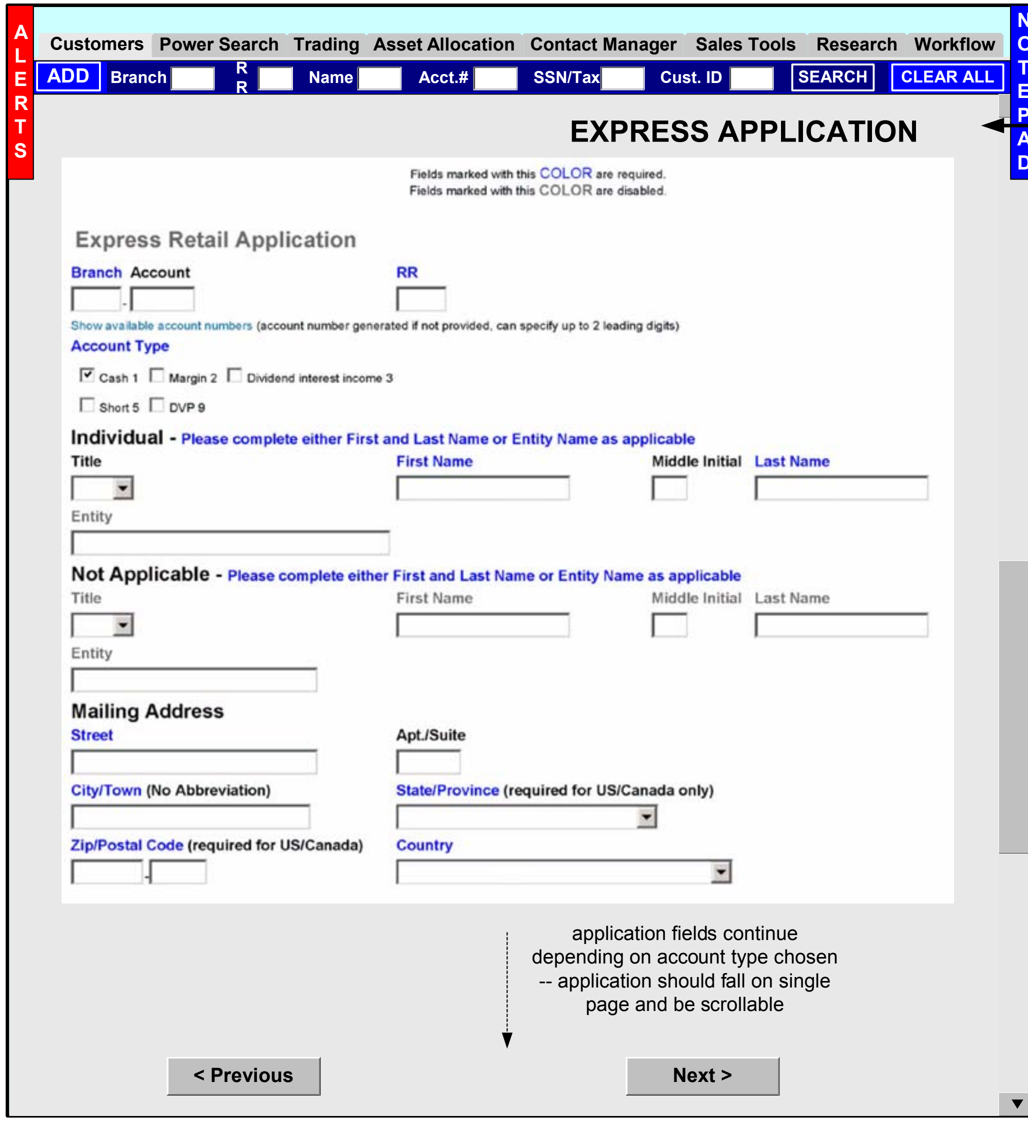
Users:
All users with successful Login.

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.



Page Title Style

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.

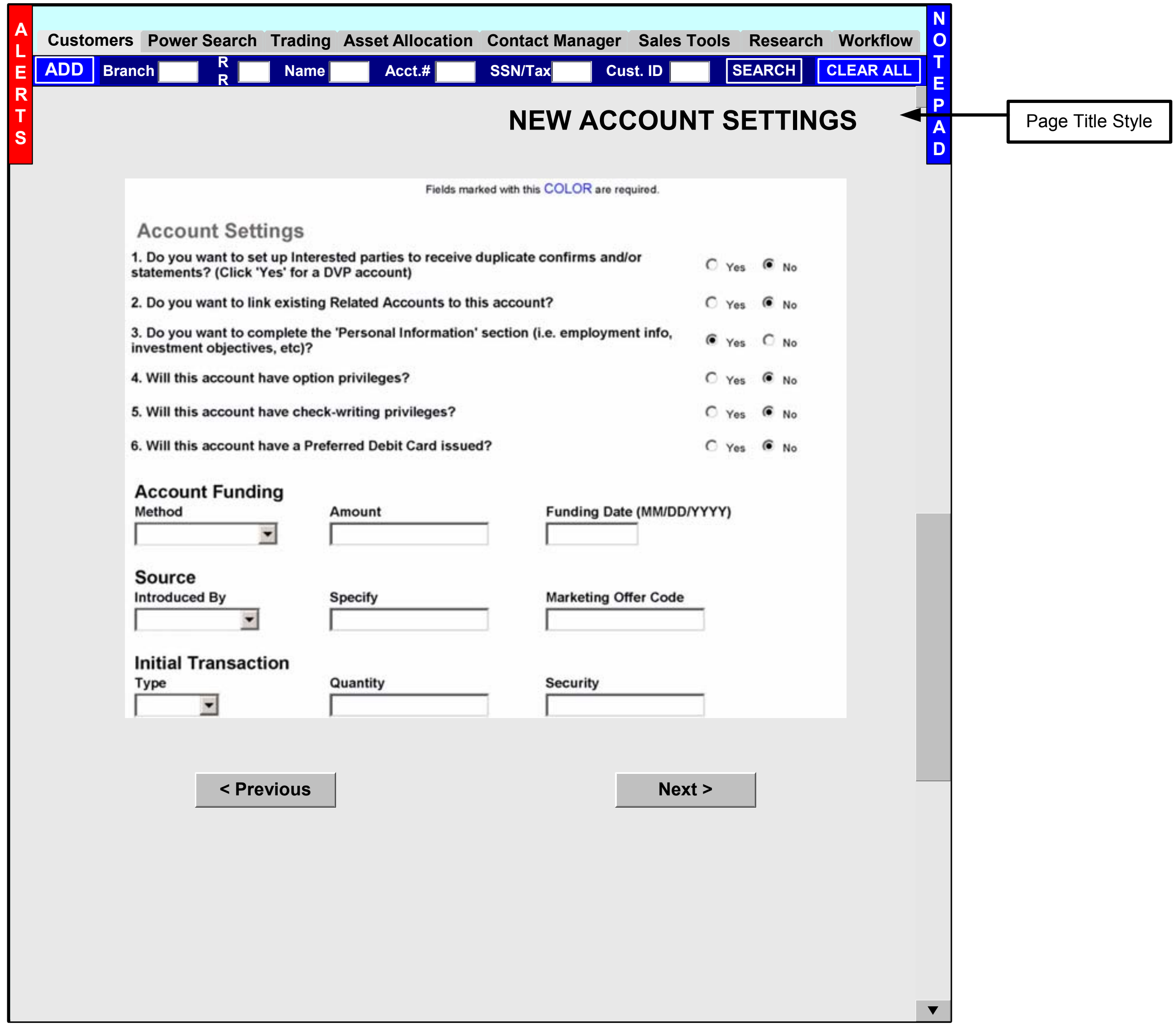
Global Navigation:
Same as Customers drawer (1.3).

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.



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. Beneficiaires -- 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.

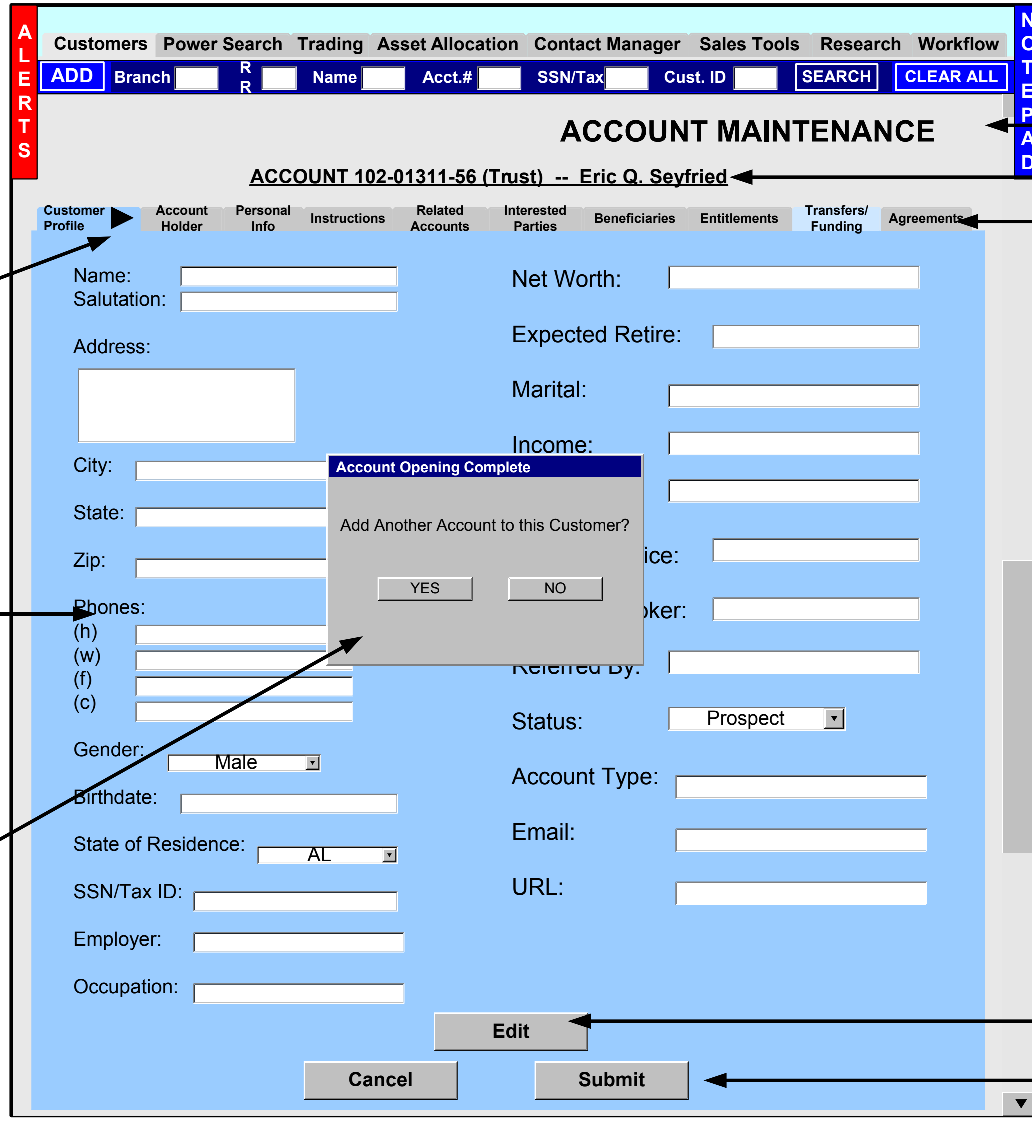
Each tab has two views: view and edit. In view mode, user can only see values and swtich between tabs, but cannot edit values. In edit mode, values are put inside edit boxes to allow user to edit. Edit mode has a special case called Add mode, where user comes to these tabs through an Add Account process (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 fileds.

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.

Links to individual Account Summaries

ALERTS

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

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

NEW ACCT. | CLOSE ACCT. | MANAGE PROFILE | VIEW STATUS

NOTEPAD

Sub-Nav Style

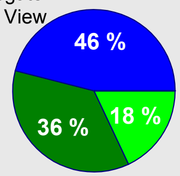
Page Title Style

CUSTOMER SUMMARY

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

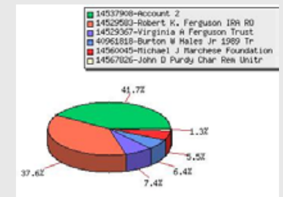
Accounts:
- 102-01311-56 (Trust)
- 102-02568-22 (Individual-Margin)
- 102-02654-11 (IRA)

Aggregate Asset View



Stocks
Cash
Bonds

Balances View



Aggregate Asset View across accounts

Balance Summary:

Acct #/Type	Branch	RR	Total Mkt Value	Money Funds	Total Funds	YTD Realized $ G/L (%)	YTD Unrealized $ G/L (%)	YTD Commissions
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. AGR'A6.5%	Trade Allocate	5. ZpA 4.3%	Trade Allocate

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

Allocate shows as option only for broker accounts

Last 5 Transactions:

Account 102-01311-22

Date	Transaction	Qty	Description	Symbol	Price	Amount	Settlement Date
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	

Repeated for each customer account

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 requests

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 cusomter accounts

Users:
All users with successful Login.

Global Navigation:
First Level navigation ame 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

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

CUSTOMER SUMMARY | MANAGE PROFILE | ORDER STATUS | HISTORY | E-MONEY SM | E-DELIVERY SM | ASSET ALLOCATION | 103-23568-12 IRA | SWITCH ACCOUNTS

NOTEPAD

Sub-Nav Style

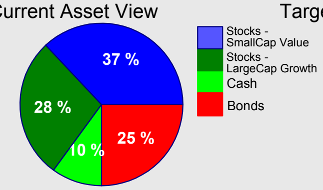
Page Title Style

ACCOUNT 102-01311-56 (Trust)

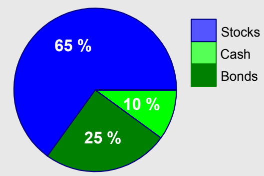
ACCOUNT SUMMARY

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

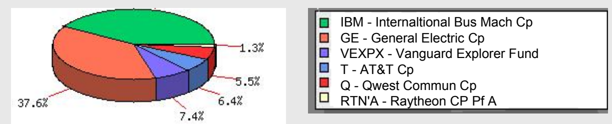


WARNING: PORTFOLIO OUT OF BALANCE

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		
Margin Percentage	33%	Available Funds:	456,456.34
Equity Buying Power	456,456.23	Funds Avaliable for Cash Trades	456,456.23
Option Buying Power	456,456.23	Funds Available for Margin Trades	1,234,345,23

Positions Detail -- Real Time



Asset Type	Quantity	Symbol	Description	Current Price	Cost Basis	Cost	Unrealized Gain/Loss	Market Value	
Money Mkt Fund	5,402.34	WBRXX	William Blair Funds Ready Reserve	1.00	1.00	5,000.00	235.50	5,402.34	Trade Allocate
Stock	100	T	AT&T CORP	10.00	20.00	2,000.00	(1,000.00)	1,000.00	Trade Allocate
Stock	400	GE	GENERAL ELECTRIC CORP	26.34	30.00	12,000.00	(500.00)	10,000.00	Trade Allocate
Stock	450	Q	QUEST COMMUNI INC	4.32	2.25	1,110.00	1,100.00	1,845.34	Trade Allocate
Stock	35	RTN'A	RAYTHEON CP CLASS A	28.45	25.00	985.00	250.00	1,545.23	Trade Allocate
Stock	1000	FNSR	FINISAR CORP	1.17	0.69	690.00	690.00	1,170.00	Trade Allocate
TOTAL						**22,450.00**	**235.42**	**24,456.04**	Trade Allocate

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

Allocate shows as option only for broker accounts

Scheduled/Recent Transfers:

Link to Plans/ Transfer Schedule

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

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 ame as Customers drawer (1.3).

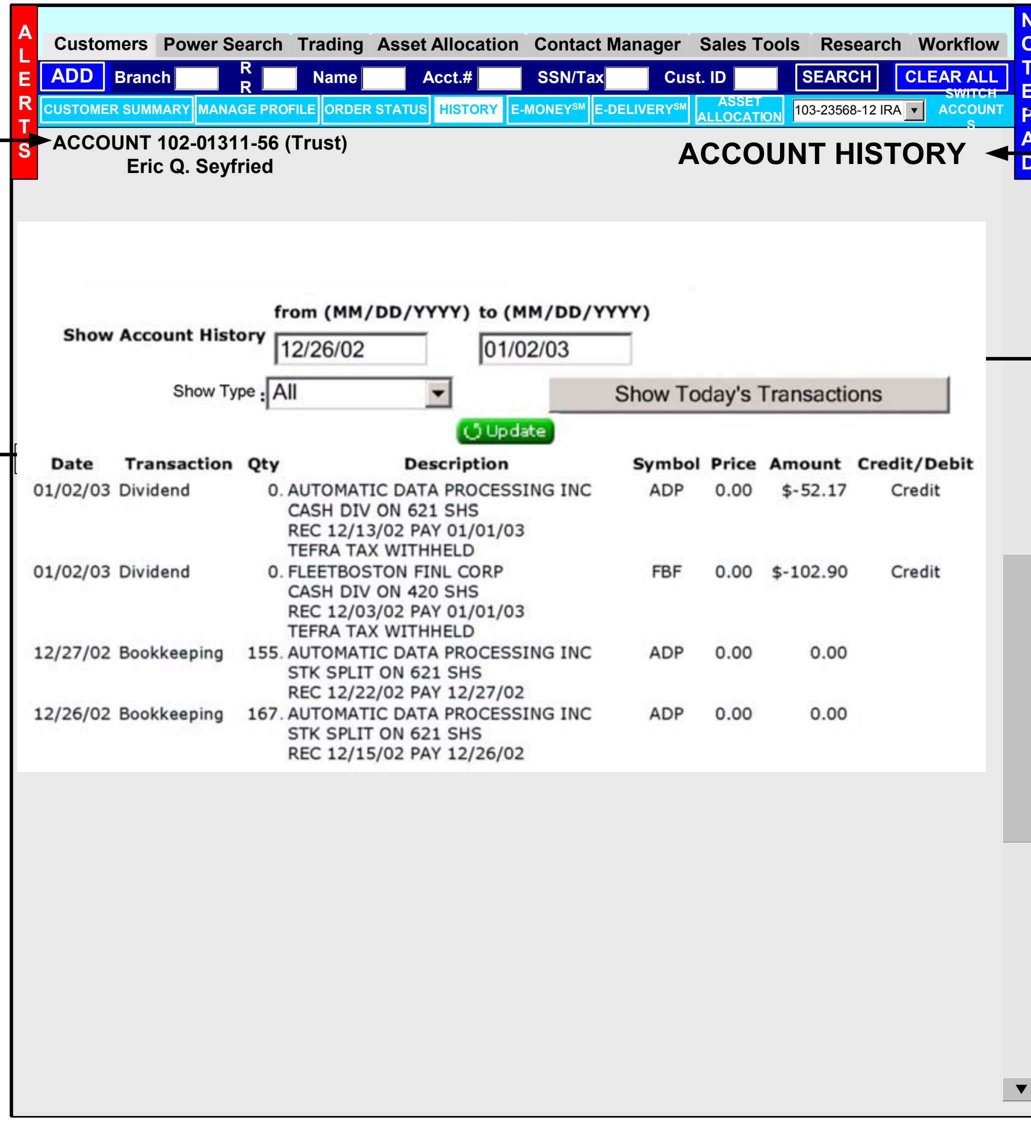
Sub-navigation on bar directly below global navigation. Drop-down bar pre-populated with all other accounts grouped under this customer (default is same account).

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.



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.

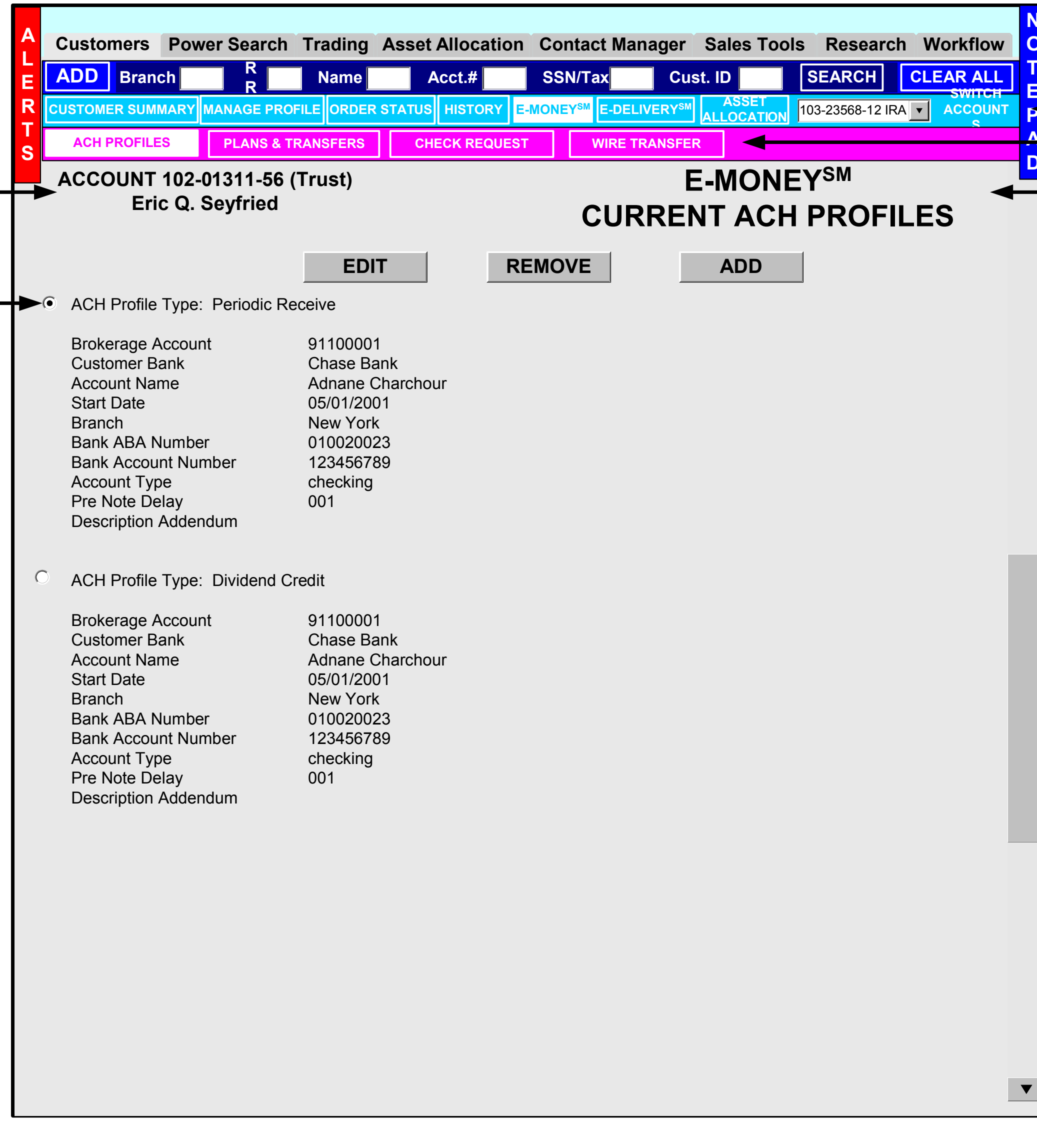
Sub- and Sub-Sub-navigation on bar directly below global navigation. Drop-down bar pre-populated with all other accounts grouped under this customer (default is same account).

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 spec ific 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.

System generated title

Use radio buttons to select profile for action



Sub-Nav Style

Sub-Sub-Nav Style

Page Title Style

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).

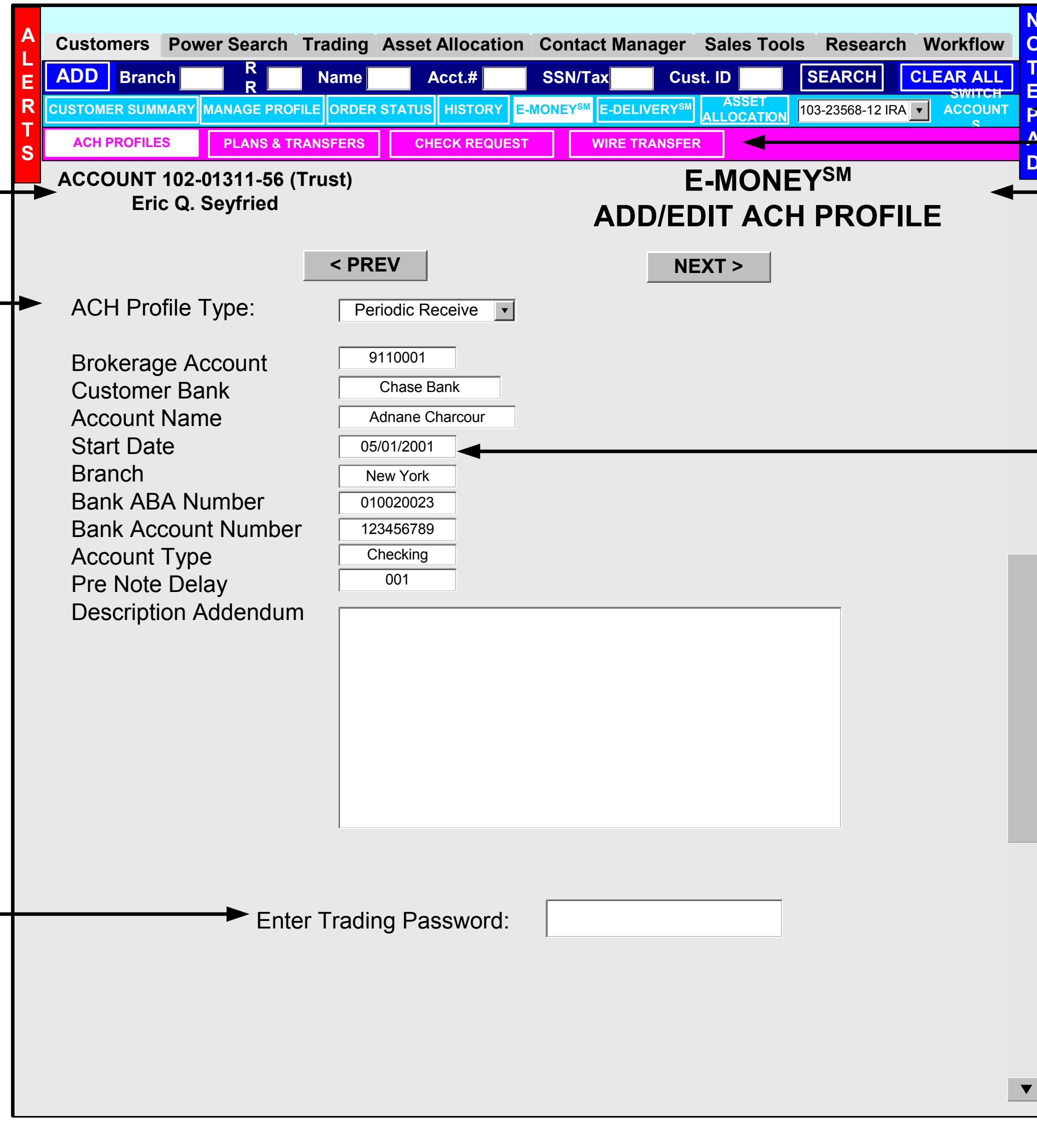
THIS STYLE SCREEN ALSO APPLIES TO EDIT TRADING SCREEN OFF OF ORDER STATUS 1.5.4a/b/c.2 WITH APPROPRIATE FIELDS PRE-FILLED IN EDIT BOXES. TRADING PASSWORD PROMPT APPEARS IF REQUIRED. PAGE TITLE UPPER RIGHT READS "EDIT TRADING ORDER".

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

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

If Edit Trading Screen, Enter Password prompt appears, if required



Sub-Nav Style

Sub-Sub-Nav Style

Page Title Style

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.

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

Appears only on 1.6.1.1 to announce Risk Profile determination

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

ALERTS

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

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

CUSTOMER SUMMARY | MANAGE PROFILE | ORDER STATUS | HISTORY | E-MONEY^{SM} | E-DELIVERY^{SM} | ASSET ALLOCATION | 103-23568-12 IRA | SWITCH ACCOUNTS

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

NOTEPAD

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

E-MONEY^{SM}
CONFIRM ACH PROFILE

Based on your answers, your risk profile is AGGRESSIVE.

Verify Periodic Transfer Information

Please confirm your Periodic Transfer information. If this is correct, click 'Next' to save it. Otherwise, click 'Prev' to edit it.

Brokerage Account	91100001
Customer Bank	Chase Bank
Account Name	Adnane Charchour
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	

Enter Trading Password:

< PREV | NEXT >

Sub-Nav Style

Sub-Sub-Nav Style

Page Title Style

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.

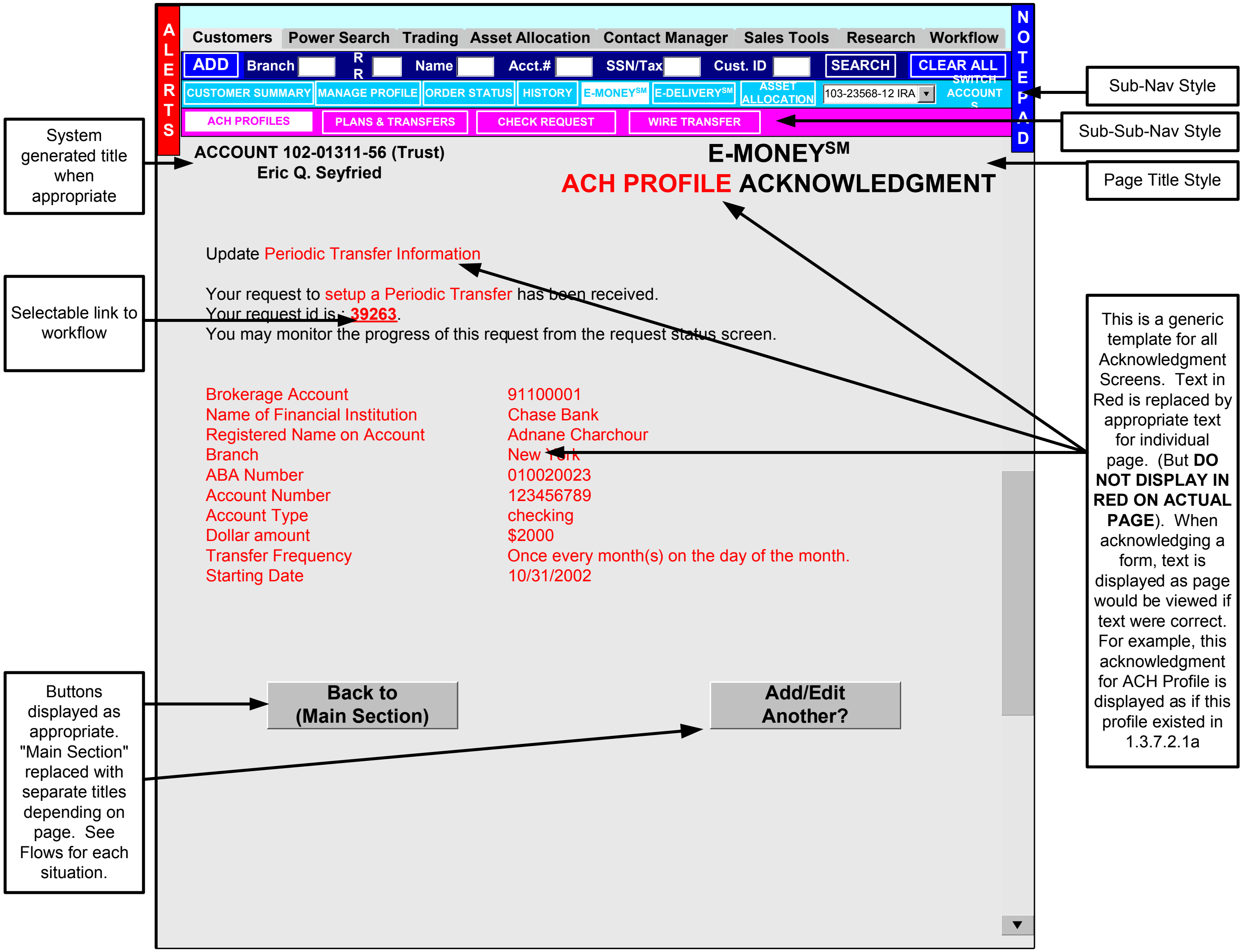
Global Navigation:

NOTE: THIS IS A GENERIC SCREEN FOR ALL ACKNOWLEDGEMENT 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
1.3.7.2.2.2.2
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.



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 spec ific 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

Sub-Nav Style

Sub-Sub-Nav Style

Page Title Style

ALERTS

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

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

CUSTOMER SUMMARY | MANAGE PROFILE | ORDER STATUS | HISTORY | E-MONEY℠ | E-DELIVERY℠ | ASSET ALLOCATION | 103-23568-12 IRA | SWITCH ACCOUNTS

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

NOTEPAD

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

E-MONEY℠ PLANS & TRANSFERS SCHEDULE

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
01/31/03	SWP	12/01/01	01/31/04	Monthly - 15th	To 23987458	VISVX		$1,000.00	Regular	Bank of NY	No Fees
02/01/03	ACH Periodic Payment	01/01/02	12/31/99	Monthly - 1st	Fr 23987458			$2,500.00	Regular		
04/01/03	PIP	01/01/98	10/31/03	Quarterly - 1st	Fr 23987458	VNYTX		$500.00	Regular		Div Reinv
04/01/03	ACH Periodic Receive	01/01/97	12/31/99	Quarterly-1st	To 3948523			$25.64	Dividend 23958203	Citibank	

VIEW | REMOVE | EDIT | ADD

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

How to get here:
User selects Check Request from E-Money home.

Concept/Purpose/Objective:
Location to create Check Requests for a particular account

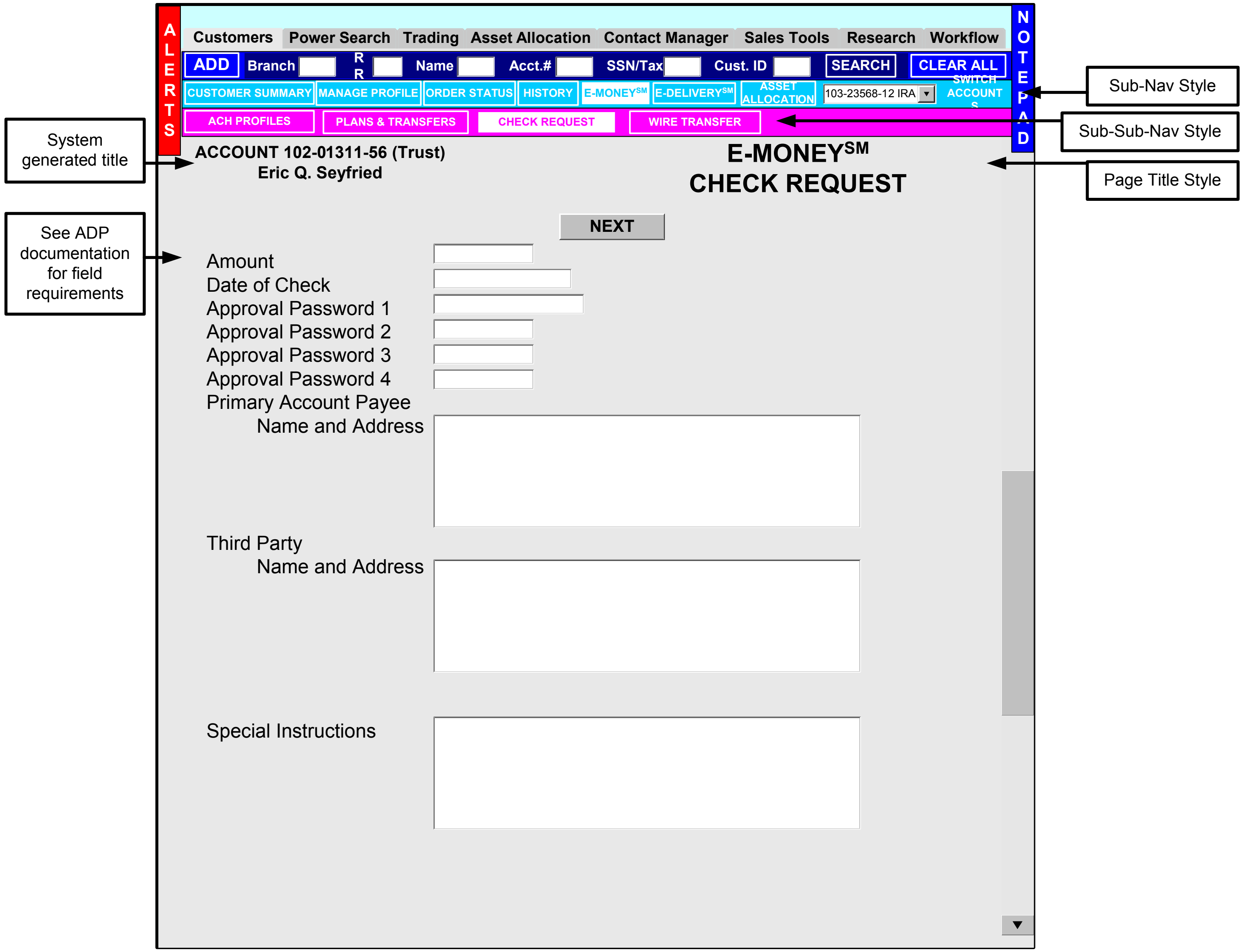
Users:
All users with successful Login.

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.



How to get here:
User selects Check Request from E-Money home.

Concept/Purpose/Objective:
Location to create Wire Transfers for a particular account

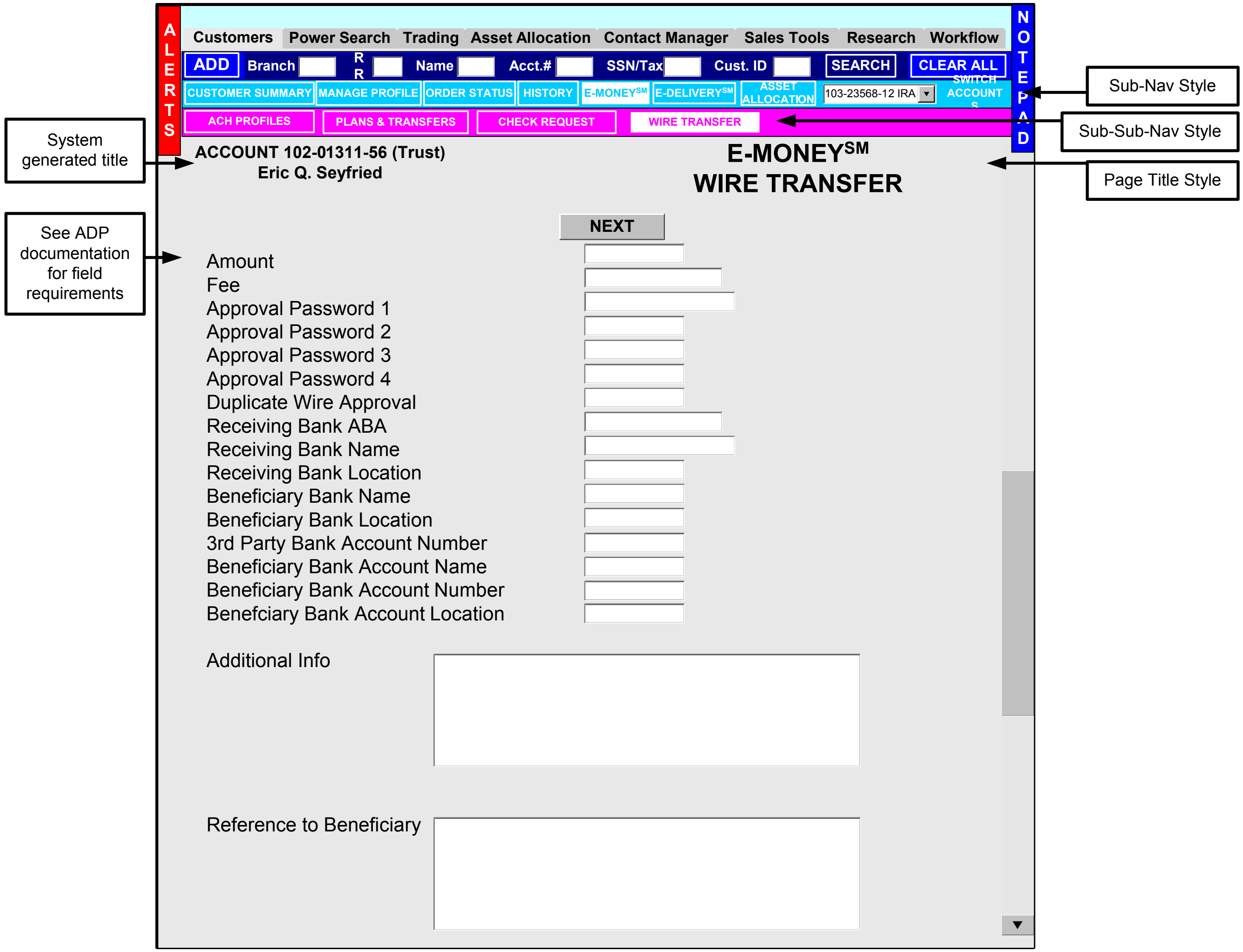
Users:
All users with successful Login.

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 spec ific fields required .

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



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 funcationality 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.

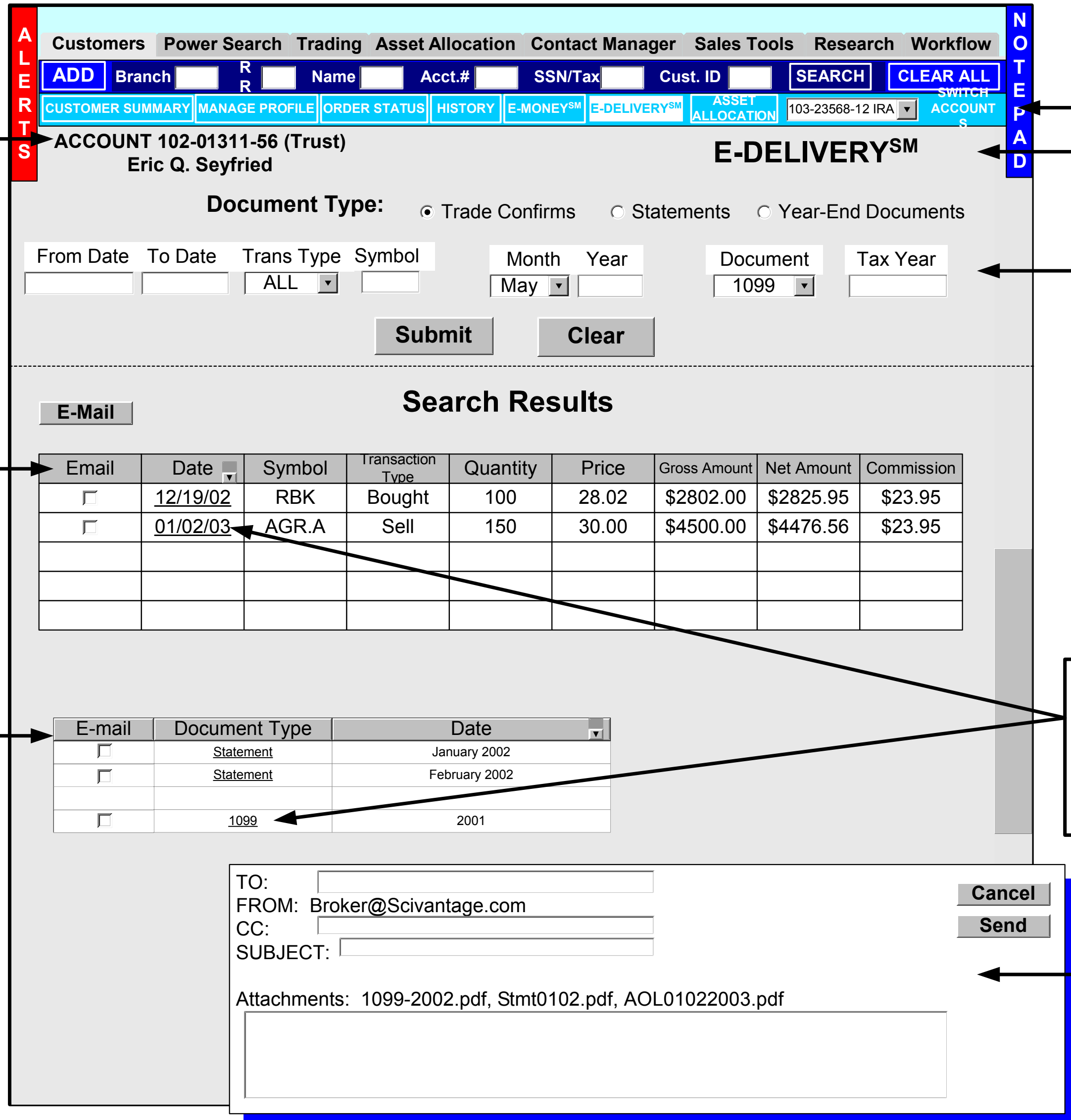
Checkboxes in result tables enable document to be attached to email from user . Email form appears as pop-up.

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.



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.

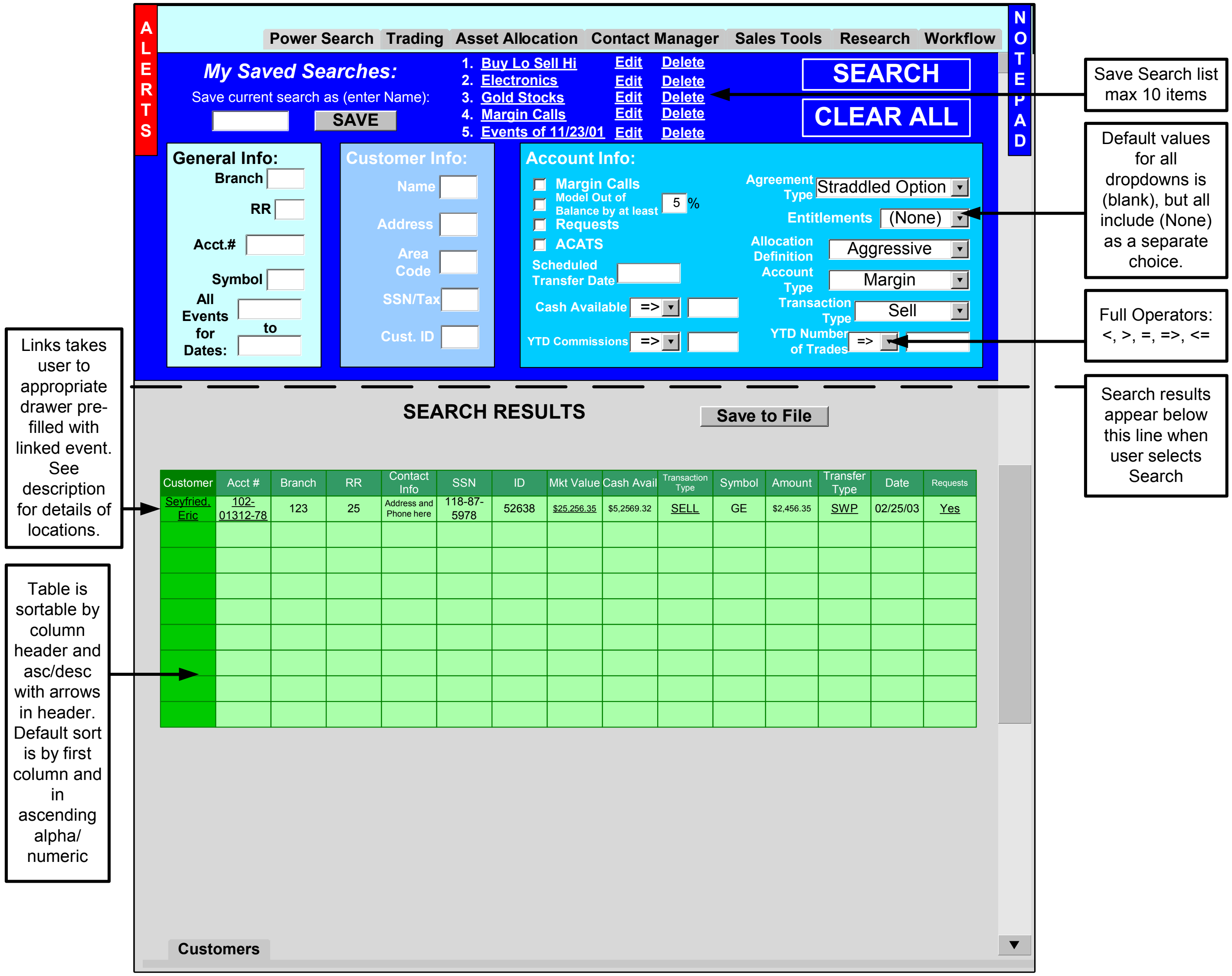
How to get here:
User opens Search drawer or selects Search link from elsewhere in application.
Concept/Purpose/Objective:
Single location to provide search functionality.
Users:
All users with successful Login.
Global Navigation:
Search criteria section always present. After user clicks search, remainder of drawer is filled with search resullts. 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 saitsfiying 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.



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.

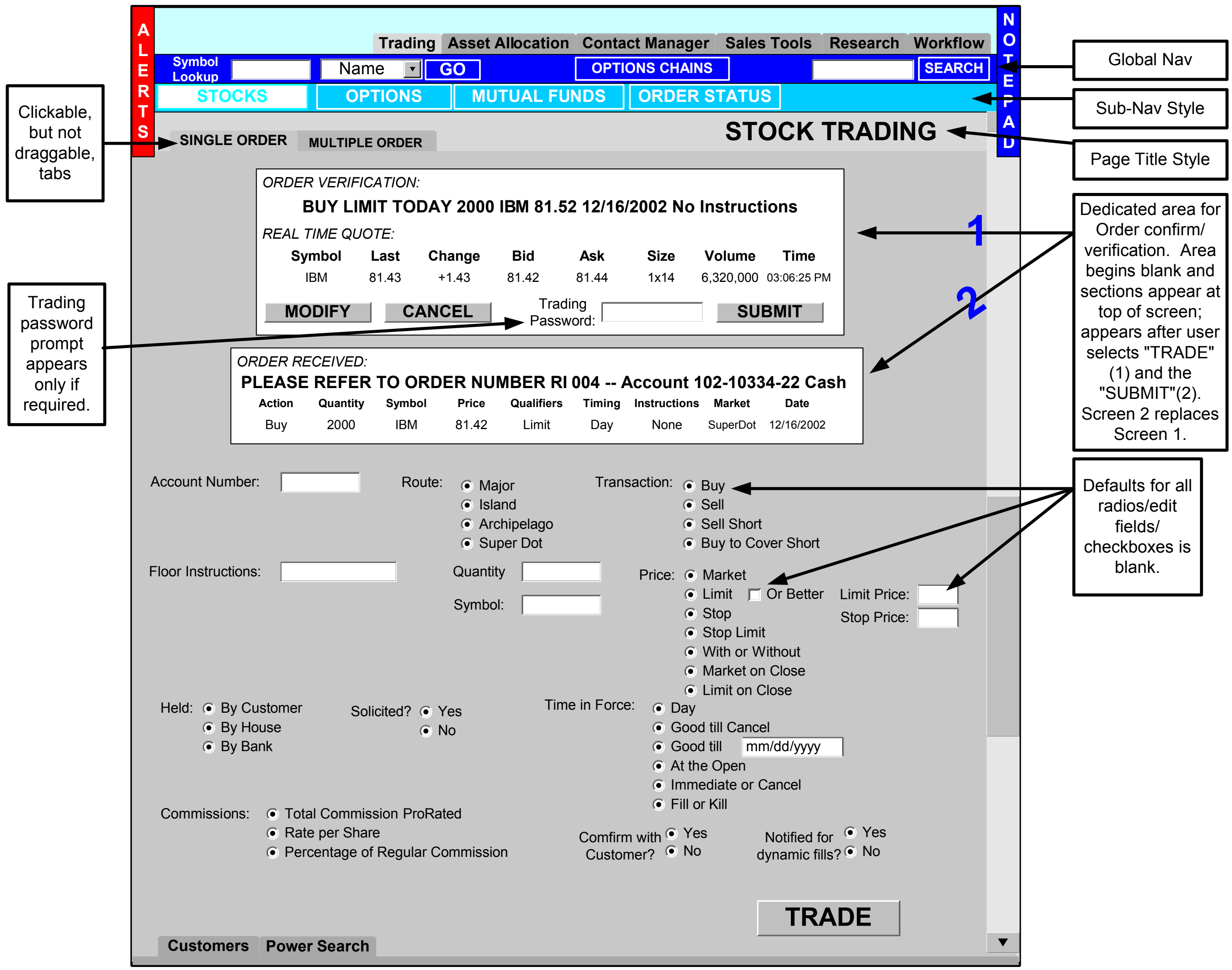
Users:
All users with successful Login.

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.



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.

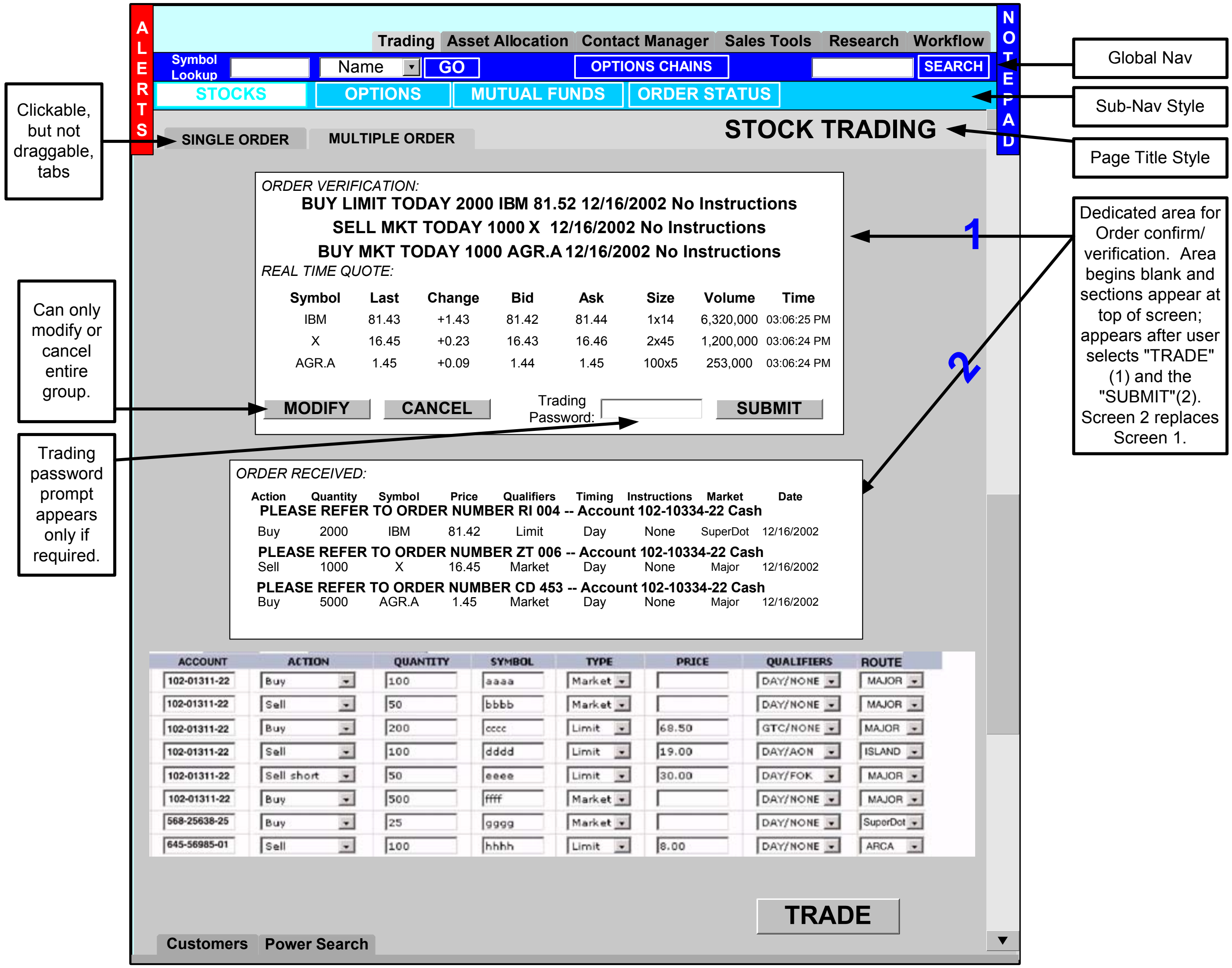
Global Navigation:
Edit fields and links for symbol lookup (takes user to research drawer) and search (search drawer.). Links to option chains (research drawer).

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.

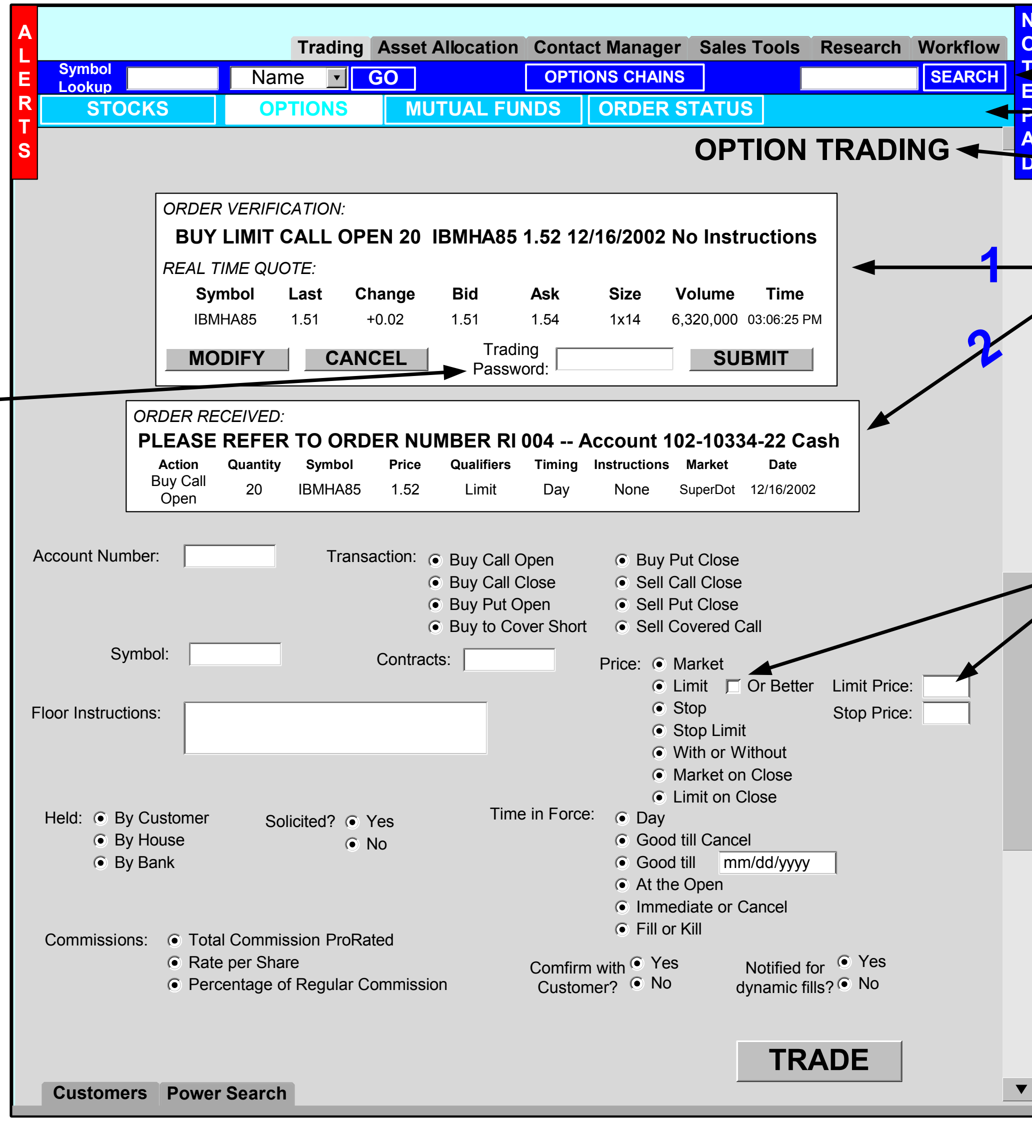
Users:
All users with successful Login.

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.



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.

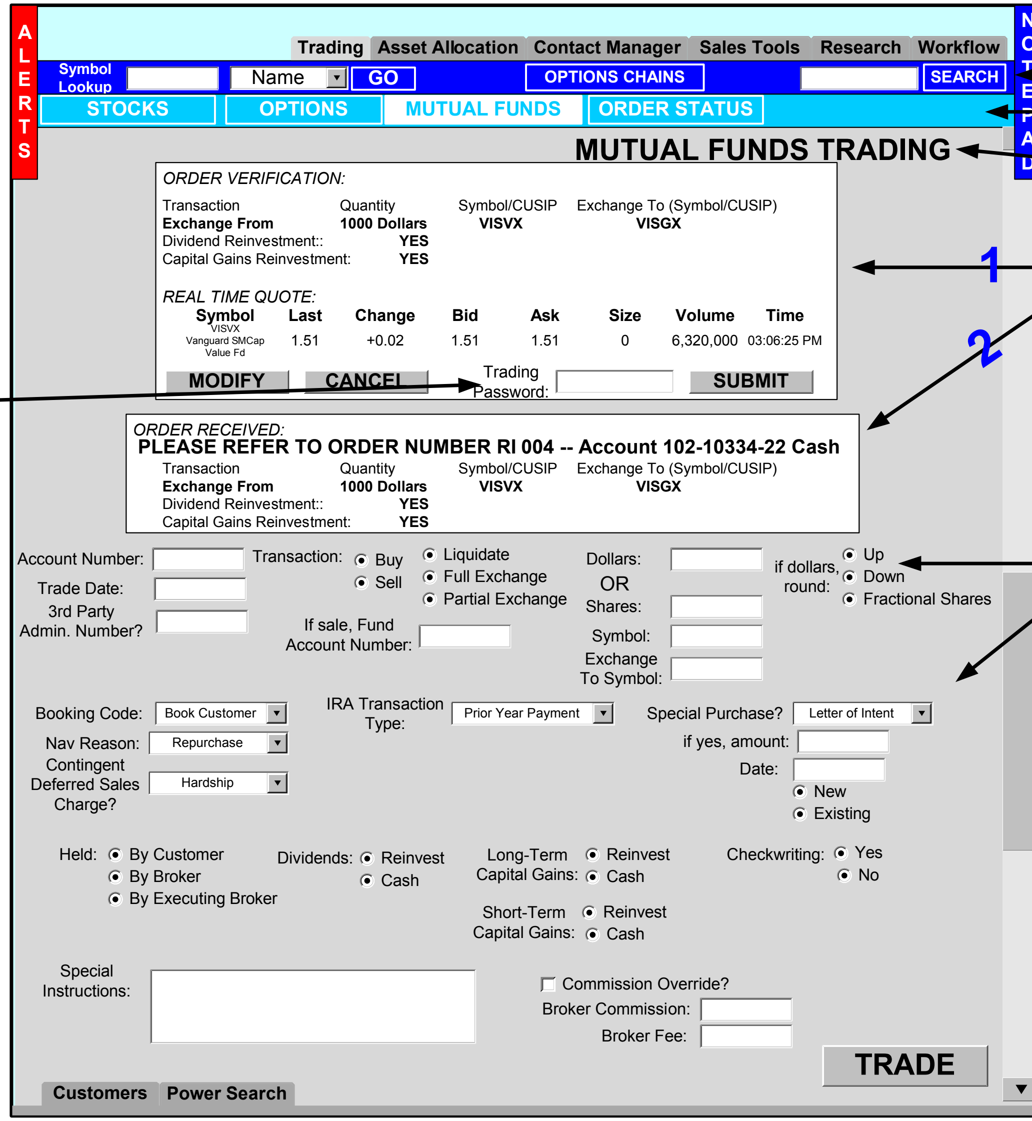
Users:
All users with successful Login.

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.



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

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.

Clickable, but not draggable, tabs

Combo box allows users to type in acct# and also lists last 5 accounts accessed. Search link opens Search drawer (1.4).

Tables are sortable by column header and asc/desc with arrows in header. Default sort is by date column and in descending time order

ALERTS

Trading | Asset Allocation | Contact Manager | Sales Tools | Research | Workflow

Symbol Lookup | Name | GO | OPTIONS CHAINS | SEARCH

STOCKS | OPTIONS | MUTUAL FUNDS | ORDER STATUS

NOTEPAD

COMBINED | STOCKS | OPTIONS | FUNDS

ORDER STATUS

ACCOUNT: GO UPDATE

Pending Executions Open Cancelled/Rejected/Expired

Pending Orders:

Transaction	Quantity	Symbol	Price	Time Limit	Security Type	Date	Order ID	Status	
Buy	200	EXTR	5.25 Limit	GTC	Stock	12/17/02 10:34:45 AM	RI 004	Open	Cancel Edit

Executed Orders:

Transaction	Quantity	Symbol	Price	Average Price	Time Limit	Security Type	Date	Order ID	Status	
Buy	200	EXTR	5.25 Limit	5.83	GTC	Stock	12/17/02 12:35:46 PM	RI 004	Executed	Allocate
										Allocate
										Allocate

Open Orders:

Transaction	Quantity	Symbol	Price	Time Limit	Security Type	Date	Order ID	Status	
Buy	200	EXTR	5.25 Limit	GTC	Stock	12/17/02 03:05:34 PM	RI 004	Open	Cancel Edit

Cancelled.Rejected/Expired Orders:

Transaction	Quantity	Symbol	Price	Time Limit	Security Type	Date	Order ID	Status
Buy	200	EXTR	5.25 Limit	Day	Stock	12/17/02 10:34:45 AM	RI 004	Expired

Customers | Power Search

Global Nav

Sub-Nav Style

Page Title Style

Links move user down page to appropriate section

System calculcates average price for all trades that day in real time

If Broker acct; system allows shares to go into Aggregator (opens Allocation drawer 1.6.2

User can attempt to cancel all order types; edit link only allowed for limit orders of stocks/options

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 assocated 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 across 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

Global Nav

Sub-Nav Style

Page Title Style

System generated title when allocation already exists

ALERTS

NOTEPAD

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

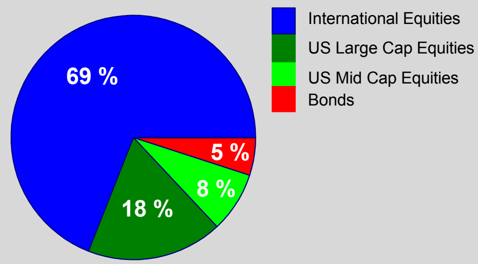
ALLOCATOR TOOL

ACCOUNT #102-29840-11 ERIC Q. SEYFRIED

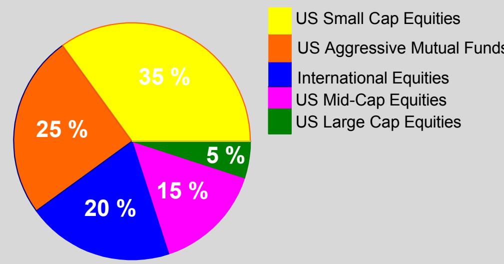
Current Risk Profile: Aggressive Current Allocation Model: Aggressive

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

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.

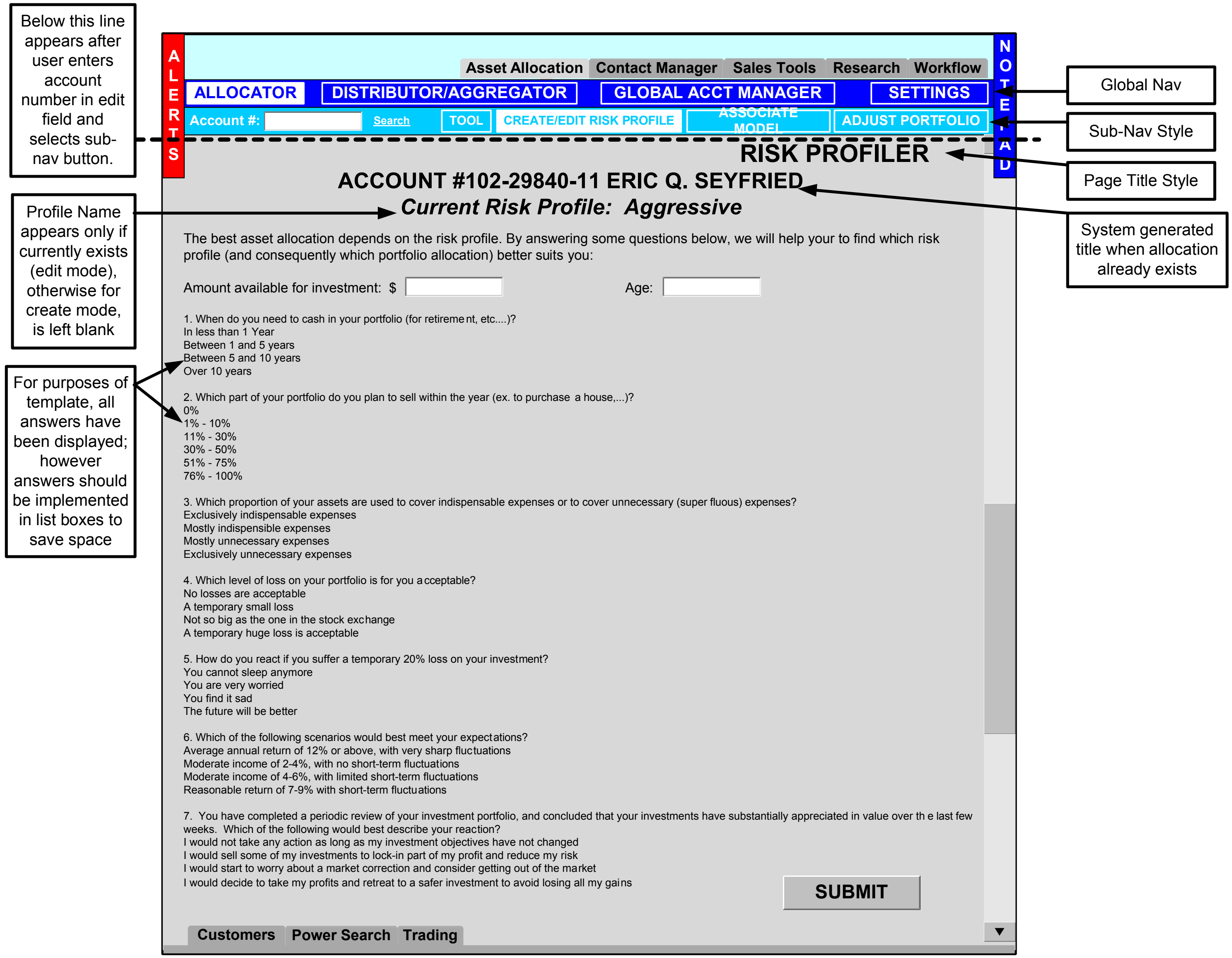
Global Navigation:
Global and sub-navigation bars In Global navigation same as 1.6.1. Settings button is customized per implementation and may not appear. In sub-navigation, search button opens Search drawer (1.4).

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.



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

ALLOCATOR | DISTRIBUTOR/AGGREGATOR | GLOBAL ACCT MANAGER | SETTINGS

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

NOTEPAD

Global Nav

Sub-Nav Style

Page Title Style

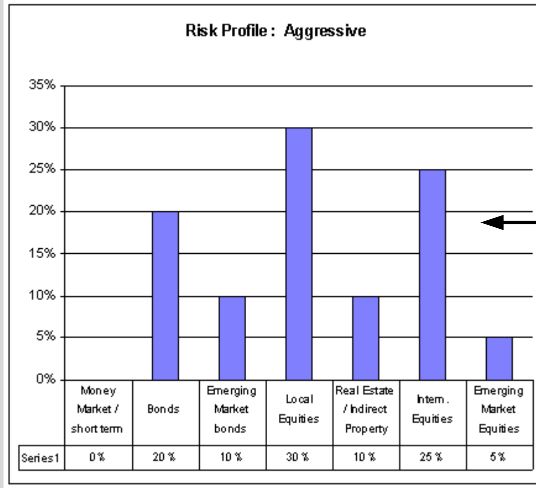
System generated title when allocation already exists

MAY BE IMPLEMENTED AS PIE CHART

ASSOCIATE MODEL

ACCOUNT #102-29840-11 ERIC Q. SEYFRIED

Current Risk Profile: Aggressive



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

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.

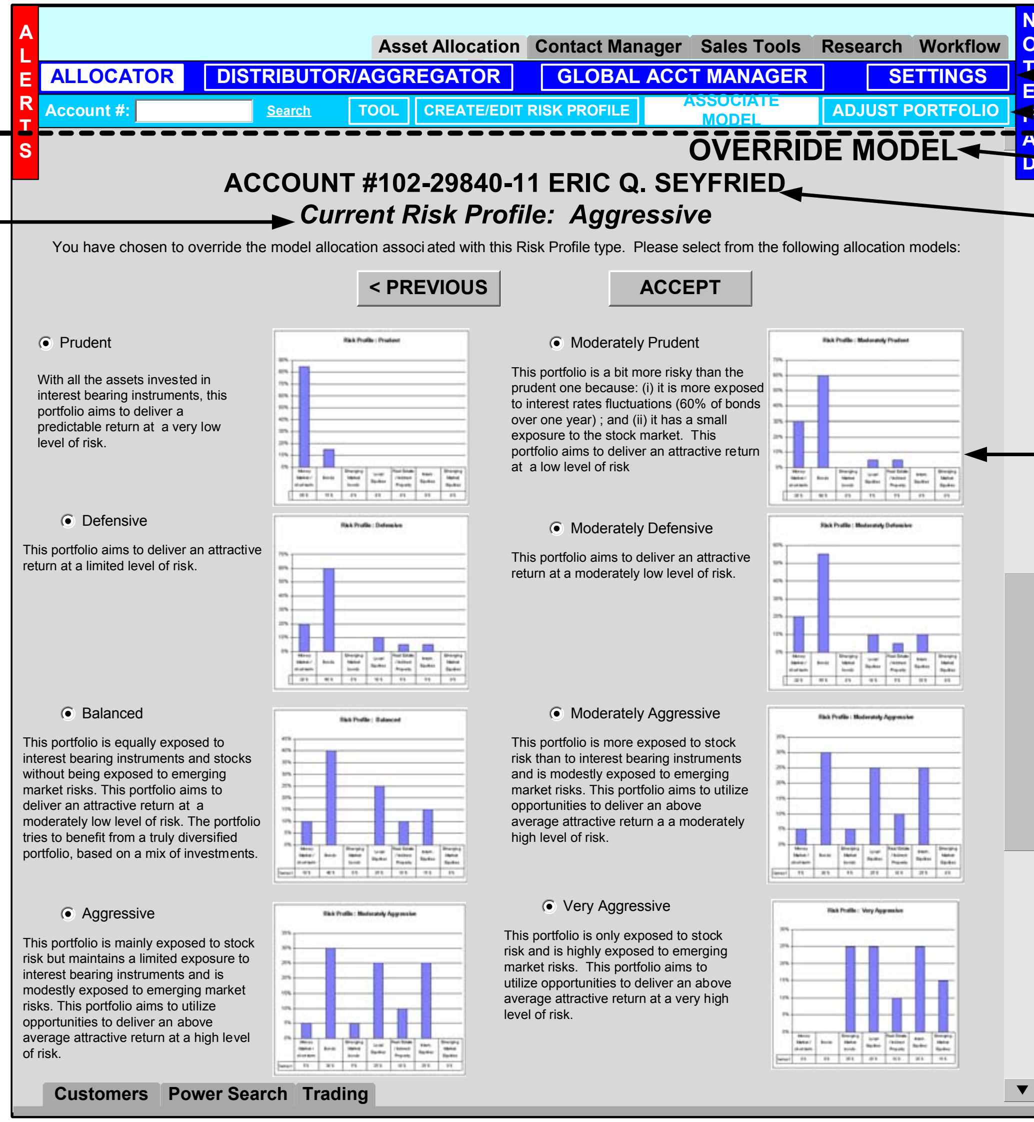
Global Navigation:
Global and sub-navigation bars In Global navigation same as 1.6.1. Settings button is customized per implementation and may not appear. In sub-navigation, search button opens Search drawer (1.4).

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



Global Nav

Sub-Nav Style

Page Title Style

System generated title when allocation already exists

Implement all graphs as pie charts

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).

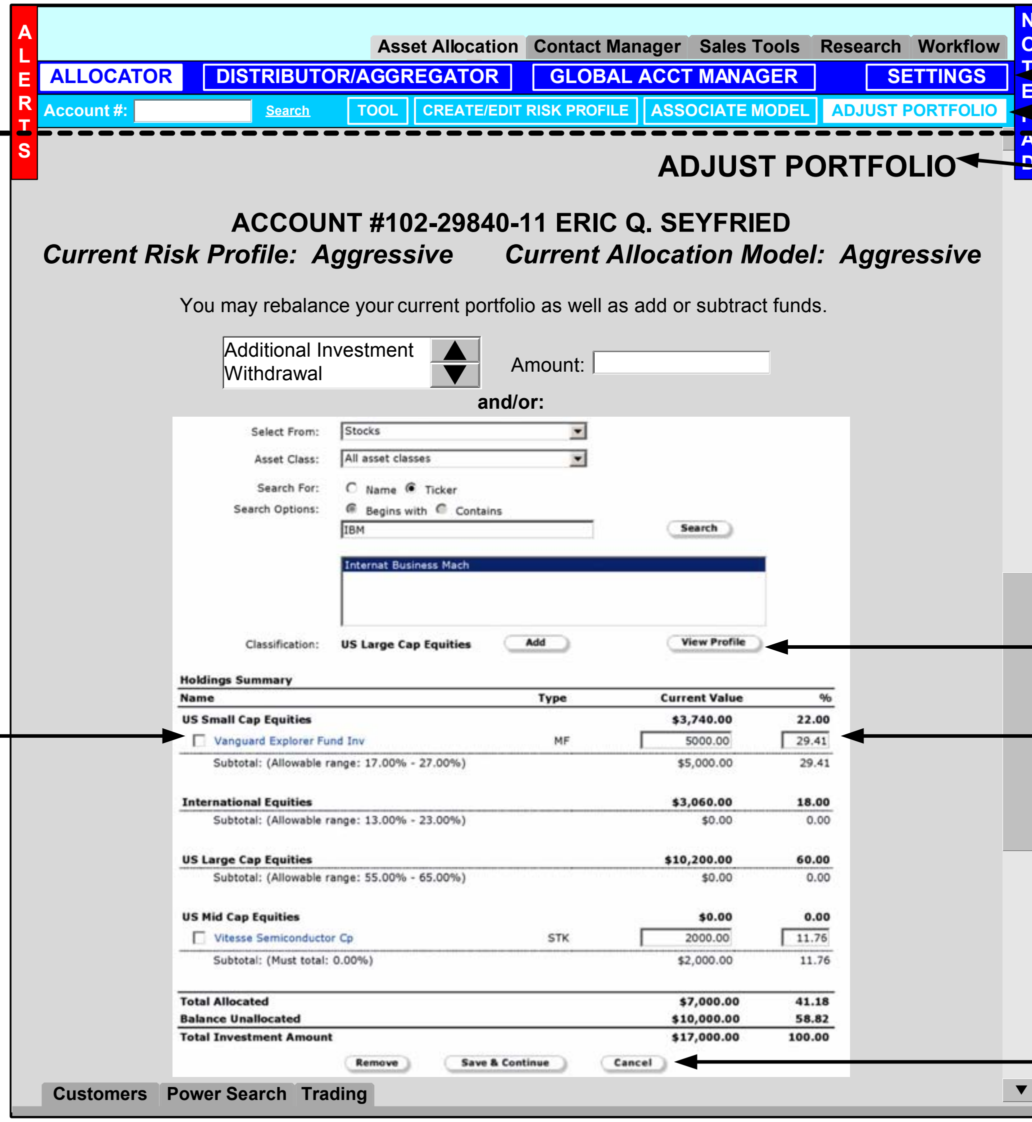
NOTE: PRESUMES SYSTEM HAS DATABASE TABLE CORRELATING STOCK SYMBOL TO ASSET CLASS (i.e. IBM is US LARGE CAP EQUITY).

By selecting Save and Continute 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.

Checkbox selects securities to remove



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.

How to get here:
User selects save and continue button from Adjust Portfolio Allocation screen. Presumes portfolio is correctly rebalanced.

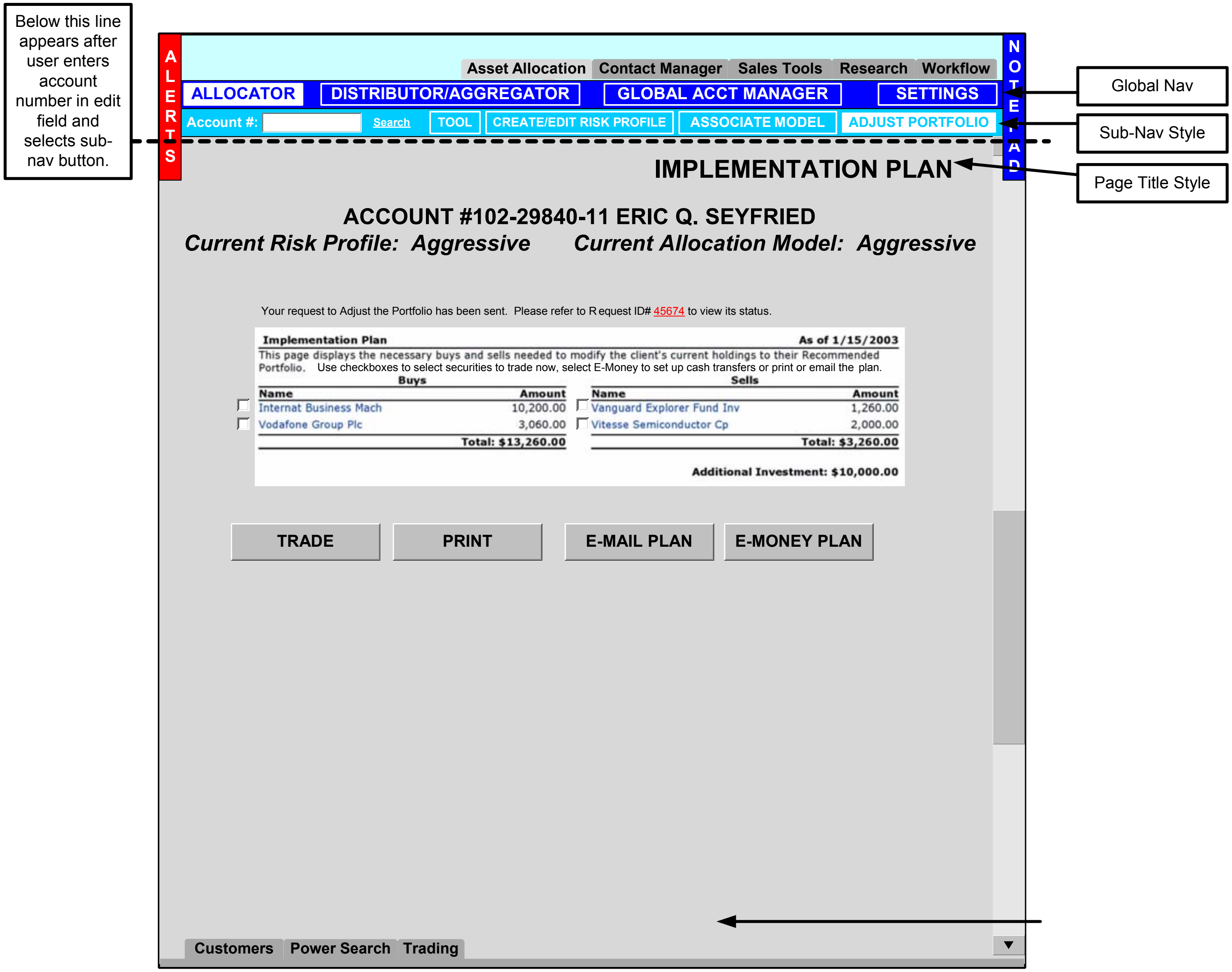
Concept/Purpose/Objective:
Single location to sho w implementation plan of necessary buys, sells and money additions/subtractions to bring the portfolio back into balance with its associated model.

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 checkboxed 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.



How to get here:
User opens Asset Allocation drawer and selects Distributor./ Aggregator from sub-nav.

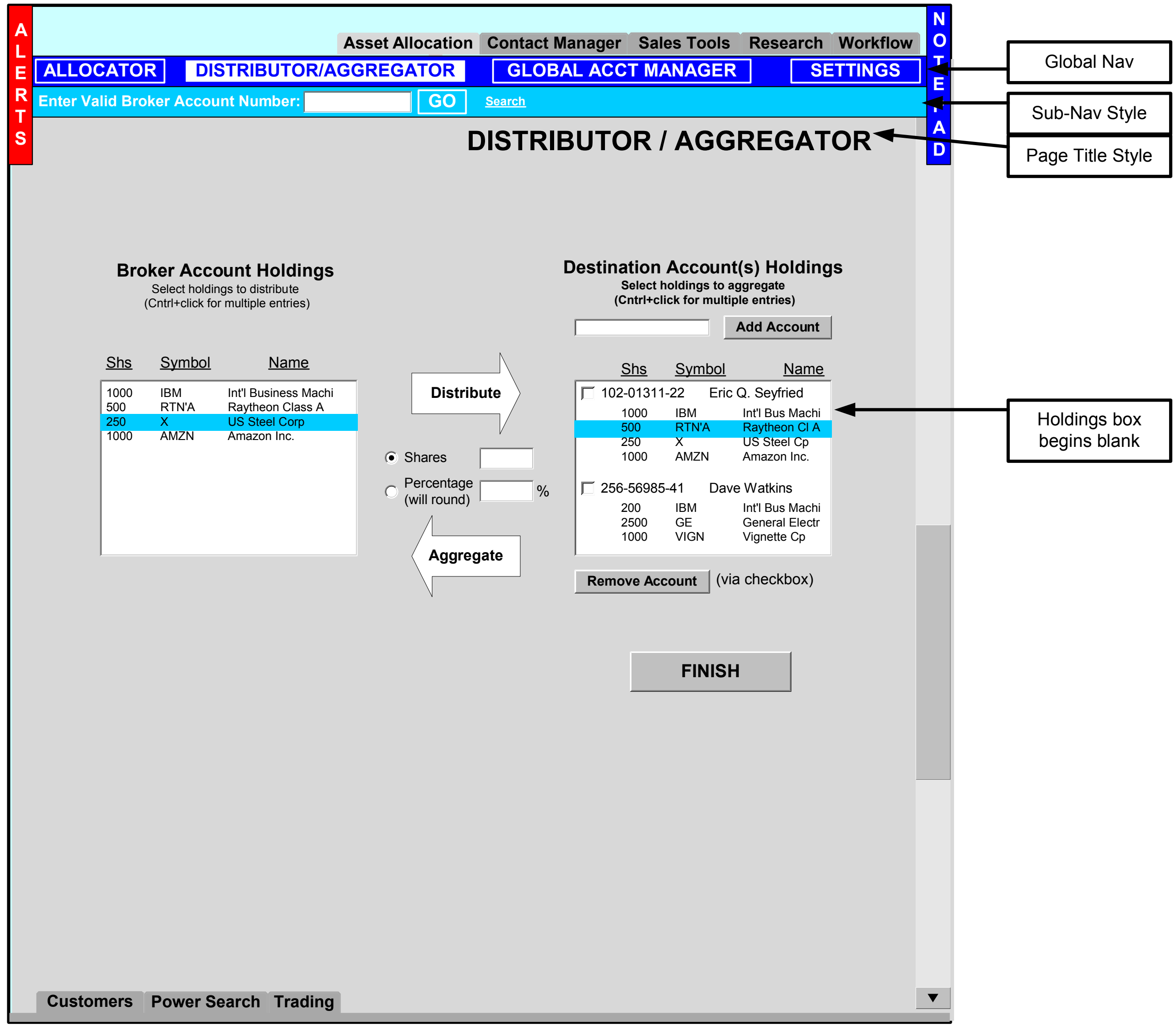
Concept/Purpose/Objective:
Single location to allow user to transfer securities between a broker's account and customer(s) account. Can target a single account or multiple accounts to transfer to or aggregate from. Can select individual securites or multiple securities via control + click. After finishing, 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.



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.

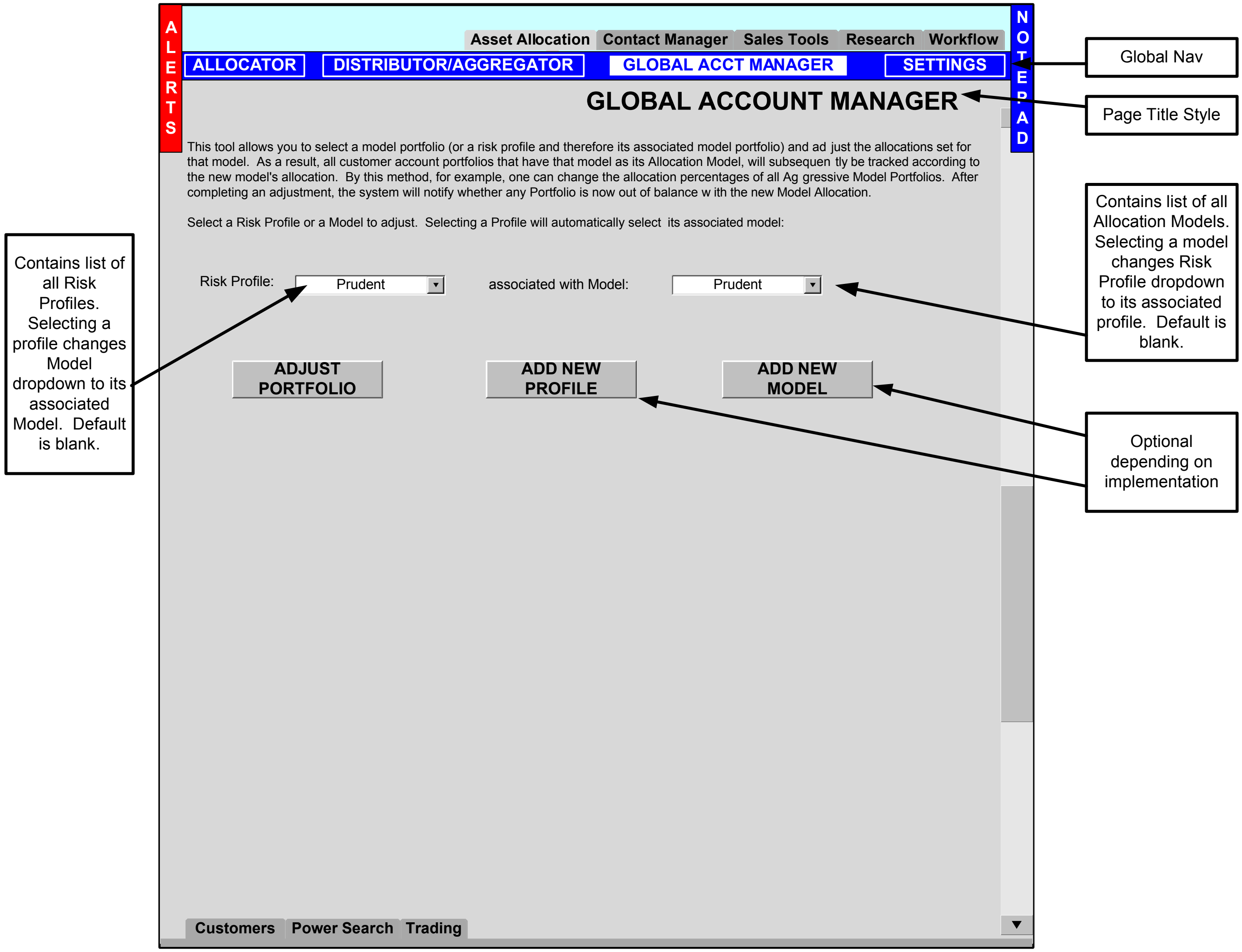
Users:
All users with successful Login.

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.



How to get here:
User opens Asset Allocation drawer and selects Adjust Portfolio from Global Account Manager screen (1.6.3).

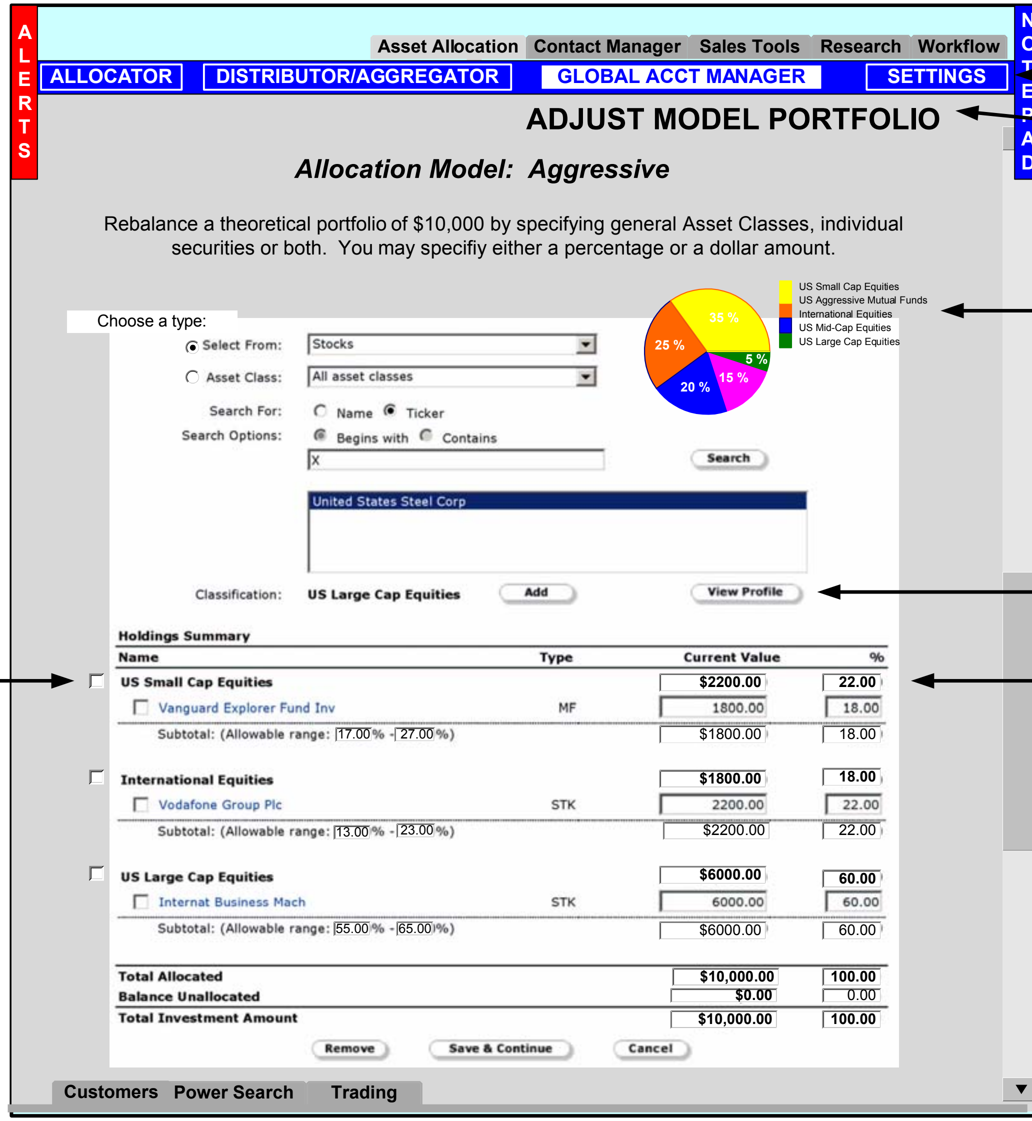
Concept/Purpose/Objective:
Single location to edit the values of the Allocation Model.

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 theorectical portfolio of $10,000. Pie charts and edit fields recalculate in real time as new numbers and asset classes are enetered. 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.



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.

Checkbox selects securities or asset classes to remove

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 assocated model.

Users:
All users with successful Login.

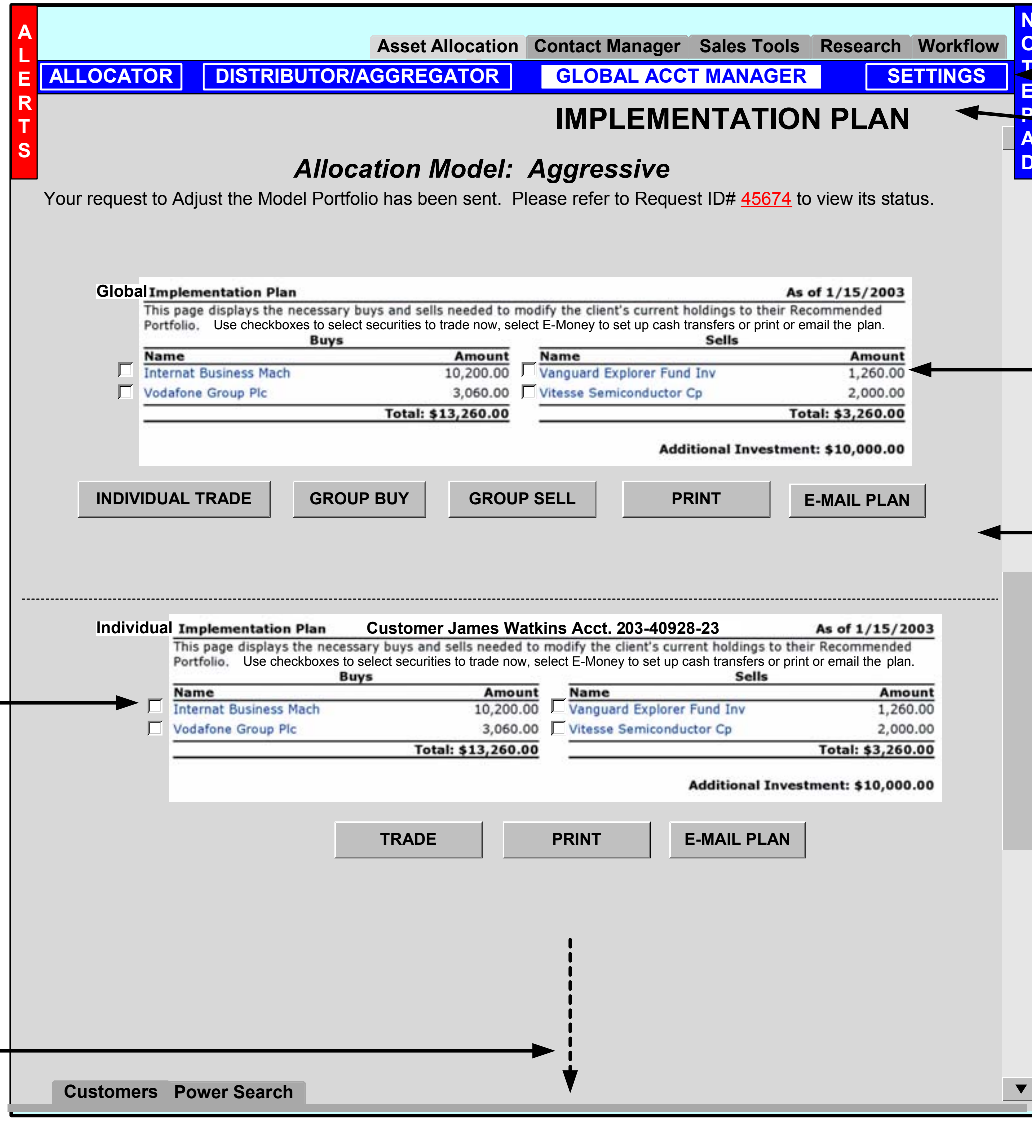
Global Navigation:
Global and sub-navigation bars In Global navigation same as 1.6.1. Settings button is customized per implementation and may not appear. In sub-navigation, search button opens Search drawer (1.4).

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

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

Continues to list all accounts



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 securites only when Allocation Model contains specific securities (will not work if Model lists only Asset Classes).

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.

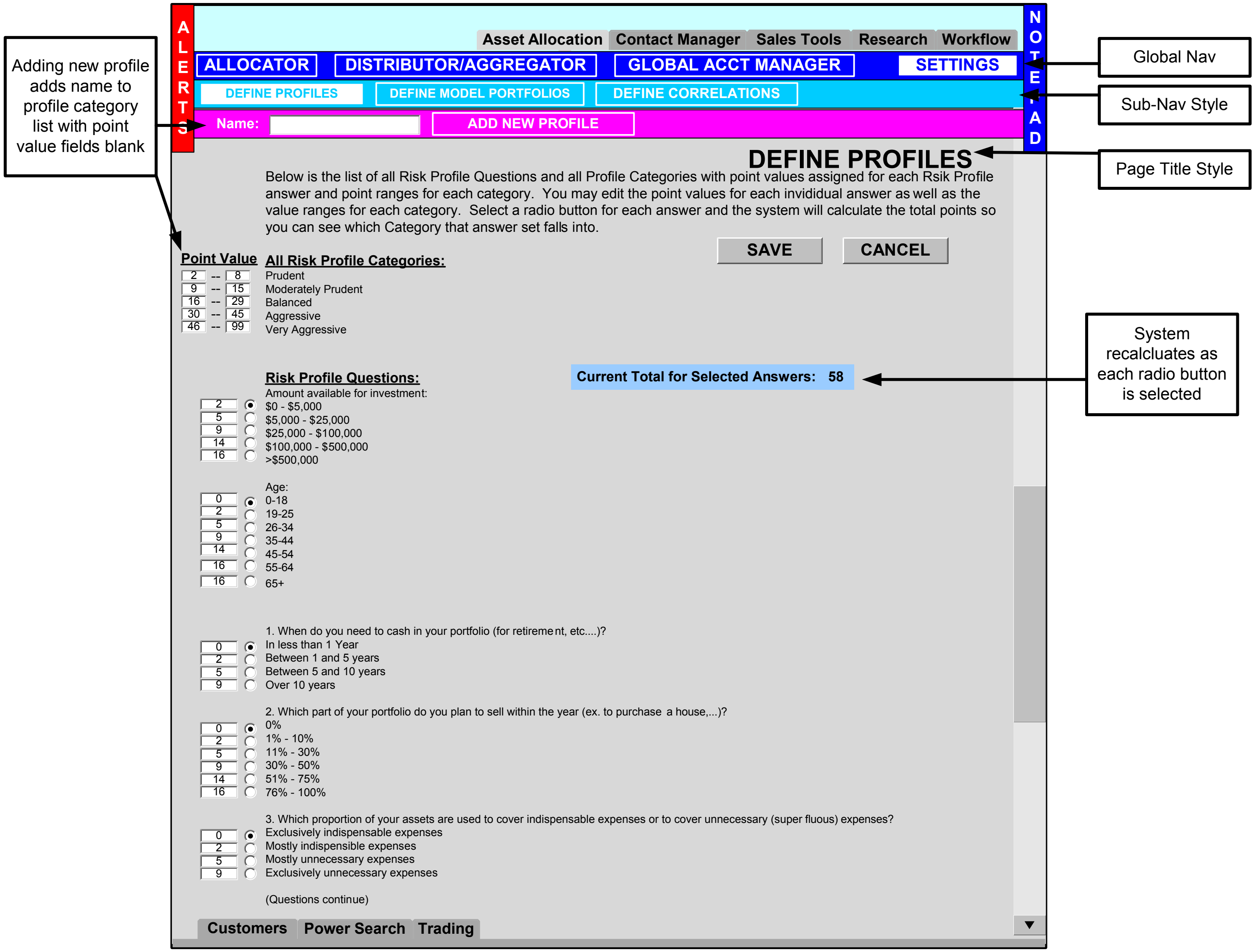
Users:
All users with successful Login.

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.



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.

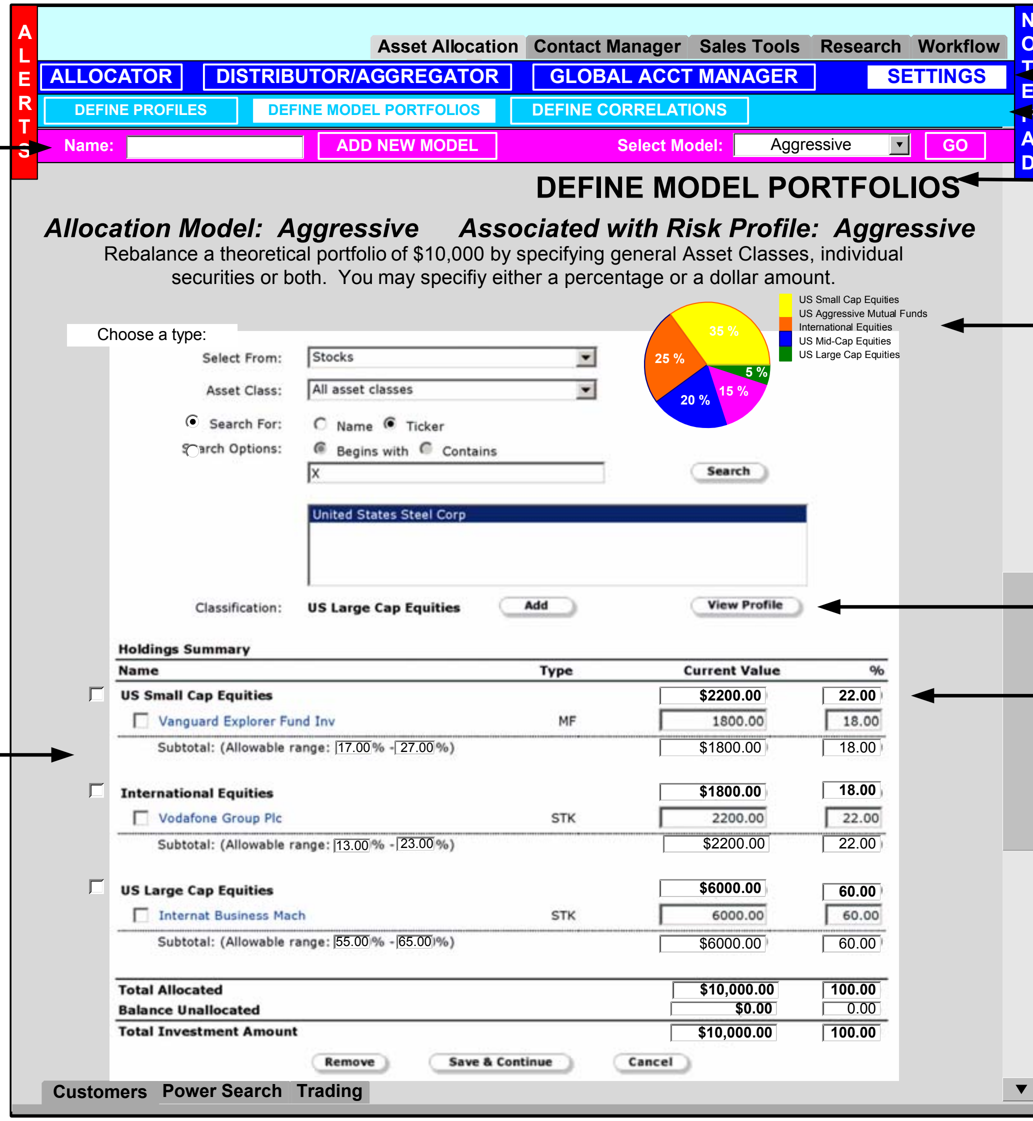
Similar to Adjust Model Portfolio (1.6.3.1). Must create name to Add new Model.

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



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.

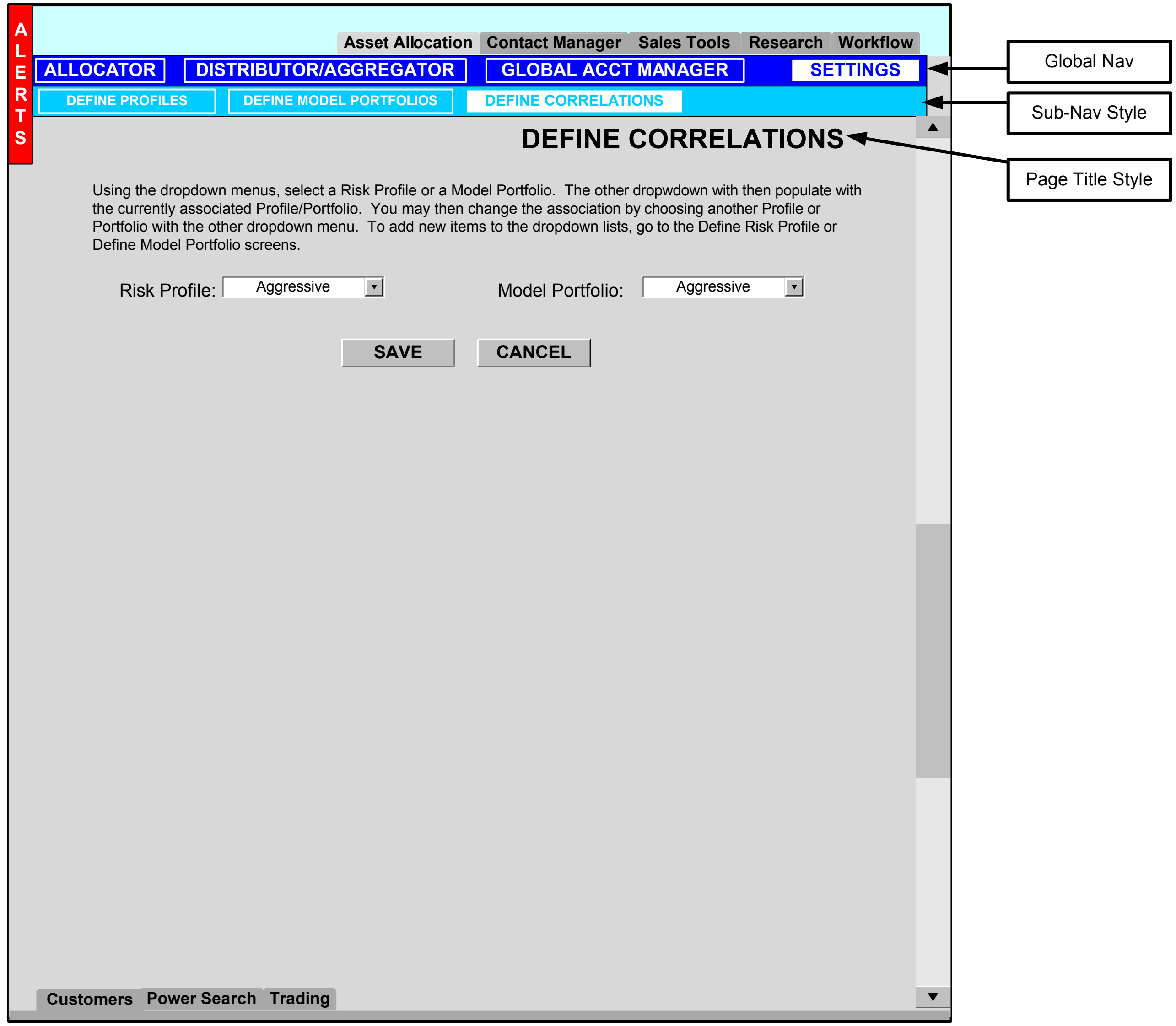
Concept/Purpose/Objective:
Single location to edit correlations between Risk Profiles and Model Portfolios.

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.



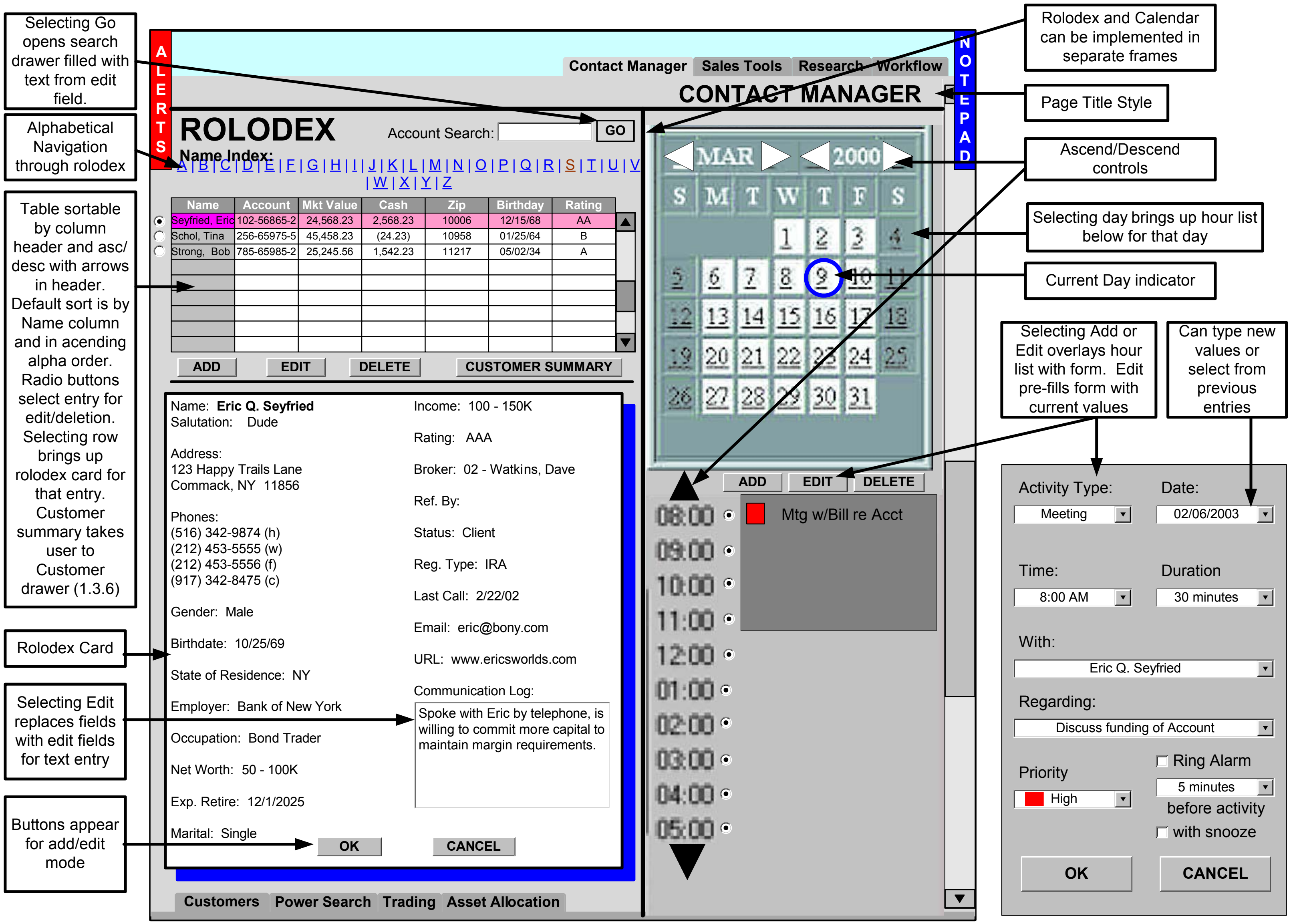
How to get here:
User opens Contact Management drawer or selects link to Contact Management from elsewhere in application

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.



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.

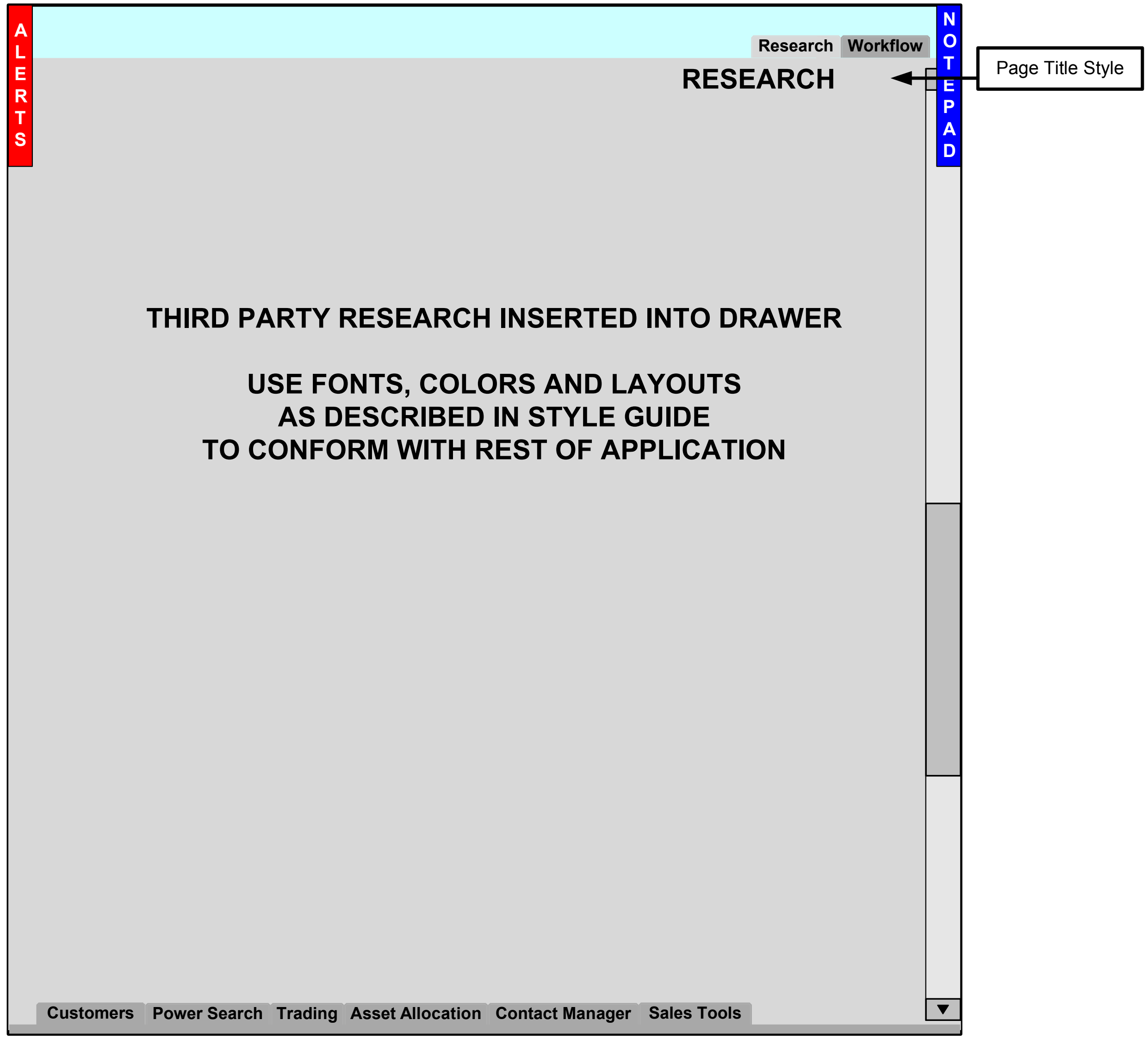
Users:
All users with successful Login.

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. I t 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.

ALERTS

Sales Tools | Research | Workflow

NOTEPAD

SALES TOOLS

Page Title Style

Calculator and Tally can be implemented in separate frames

COMMISSION CALCULATOR

Account # | Market: NYSE | Calculate

#	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#: 111111111 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

Displays after user selects Calculate on Calculator

COMMISSION TALLY

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

From: mm/dd/yyyy **To:** mm/dd/yyyy DISPLAY

From and To date default to current date

Results display below this line

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

Account number displays only if entered in criteria

	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):
1. $2,435.53 102-13212-22/Eric Q. Seyfried (52 trades)
2. $2,156.45 323-23412-22/William Z. Wagner (89 trades)
3. $1,435.23 102-10923-23/Dorothy Strong (34 trades)
4. $987.23 102-12349-11/Agnes Beousle (13 trades)
5. $564.23 323-23985-22/Adnane Charcour (9 trades)

Highest Number of Trades by Account (Commissions):
1. 52 Trades 102-13212-22/Eric Q. Seyfried ($2,435.53)
2. 43 Trades 323-23412-11/William Z. Wagner ($2,543.23)
3. 34 Trades 102-10923-23/Dorothy Strong ($1,435.23)
4. 13 Trades 102-12349-11/Agnes Beousle ($987.23)
5. 9 Trades 323-23985-22/Adnane Charcour ($564.23)

Customers | Power Search | Trading | Asset Allocation | Contact Manager

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 requiest

Global Nav

Page Title Style

Global display above this line; selecting search displays 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

ALERTS

NOTEPAD

Workflow

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

WORKFLOW

Request Search

Branch Account | Request ID | Short Name | Username

Request Type: All Requests | Activity: All Activities | Status: All | Date: Last 3 Days

Day (MM/DD/YYYY) Time (HH:MM) EST — From

Day (MM/DD/YYYY) Time (HH:MM) EST — To

Search

Request Search Results

Request					Activity				
Request ID	Name	Account	Process	Create Date	Activity	Status	Create Date	Process Date	Processed By
28676	WERWERW 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

Previous 1 2 3 4 5 6 7 8 9 10 11 . . . 82 Next

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

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

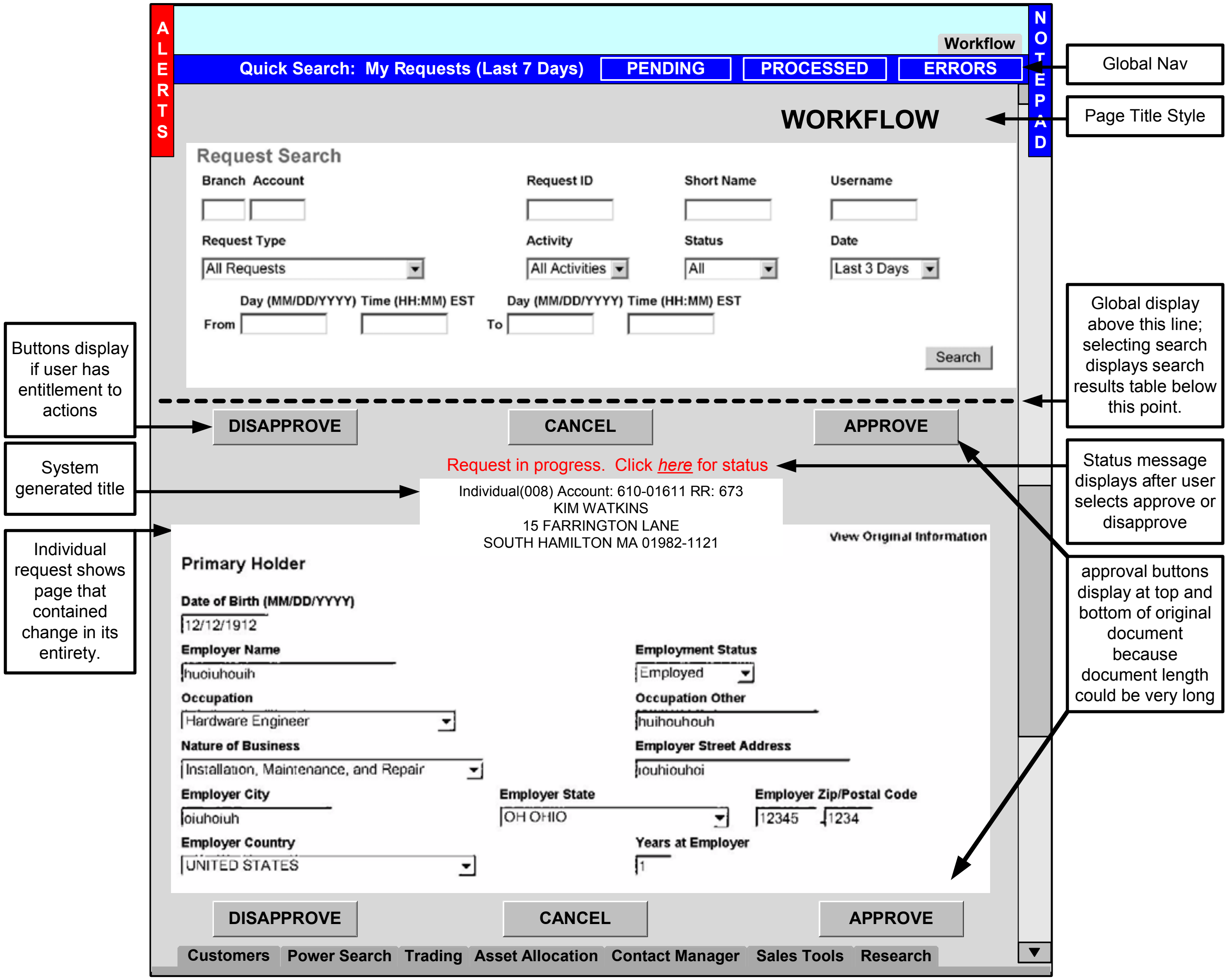
Users:
All users with successful Login.

Global Navigation:
Same as 1.10.

Approve/Disapprove/Cancel buttons disply 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 sinlge 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 winder 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.

Page Title Style

DOCUMENT CENTER

Get Acrobat Reader

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

Document subcategory titles

IRA Account Forms

<html> download

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.

Adobe PDF 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.

Link to Document

Adobe PDF download

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

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.

HELP CENTER

Page Title Style

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.

Links to other pop-ups

About TradeVantage	Funding Your Account
Account Information & Services	Security Questions
Opening and Maintaining an Account	Technical Questions
Account Transfers	Trading

Links move user down page to answers

Text provided by Client

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.

How to get here:
User selects Glossary from Help page.

Concept/Purpose/Objective:
Displays sinlge location for access to glossary information

Users:
All users regardlless 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 sinlge location for access to privacy policy information

Users:
All users regardlless 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.