

Platform Enhancement Guide

March 2013

New Trade Choices and Enhancements

- **NEW Model Sync Order Enhancement** – We have developed enhanced logic to reduce trade conflicts allowing you to manage your account with less incidence of conflict when Model Sync orders are placed and Buy/Sell orders are already pending in a subscribed Folio.

The order combination process will identify the existing order and, if it is a Buy or Sell across all the holdings in the Folio (such as an Easy Buy or a Sell-only Rebalance), it will merge the existing order with the Model Sync order, resulting in a **Buy and Rebalance** or **Sell and Rebalance** order.

The modified order will still accomplish the goal of adding or removing funds from the Folio, but will ensure that the holdings are kept in sync with the Model in the event of a change to the Target Weights.

- **NEW Just Rebalance or Synchronize** – A new Auto Trade option has been added to the **Auto Buy/Sell** page; **Just Rebalance or Synchronize** will allow you to schedule recurring rebalances of your clients' holdings to match the Target Weights of the Folio or Current Weights of the Model.

Automatic Buy/Sell:

Folio:

Amount: \$

Choose the type of Automatic Buy/Sell to create:

- ☐ **Buy Express**
Buy each security at its Folio weight at the time the order is placed.
- ☐ **Buy Dollar Cost Average**
Buy each security at the Folio or Model Target Weight.
- ☐ **Buy-Only Rebalance or Synchronize**
Buy the securities that will bring the Folio closer to its Target Weights or the Model's Current Weights at the time the order is placed, **without** selling any securities.
- ☐ **Sell Express**
Sell each security at its Folio weight at the time the order is placed.
- ☐ **Sell-Only Rebalance or Synchronize**
Sell the securities that will bring the Folio closer to its Target Weights or the Model's Current Weights at the time the order is placed, **without** buying any securities.
- ☐ **NEW Just Rebalance or Synchronize**
Buy and sell securities to bring the Folio to its Target Weights or the Model's Current Weights at the time the order is placed.

Order Day: day of each month beginning

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- **NEW Buy and Rebalance** and **Sell and Rebalance** - Allows you to add money to or remove money from a Folio while also **rebalancing**, using both buys and sells, in one Window Order. This would previously have required two separate Window Orders. You will find more detailed information on our Website.

Window Trade a Folio: Rebalance

Account: Test Individual - test folio

Select a way to Rebalance this Folio

Rebalancing this Folio will update the Folio to its Target Weights. [Learn More](#)

Add Money and Rebalance

- ☒ **Buy Only**
Add money and attempt to Rebalance to the Folio's Target Weights. [see example](#)

\$

- ☐ **NEW Buys and Sells**
Add money and Rebalance to the Folio's Target Weights. [see example](#)

\$

Remove Money and Rebalance

- ☐ **Sell Only**
Remove money and attempt to Rebalance to the Folio's Target Weights. [see example](#)

\$

- ☐ **NEW Buys and Sells**
Remove money and Rebalance to the Folio's Target Weights. [see example](#)

\$

Just Rebalance

- ☐ **Just Rebalance**
Rebalance to the Folio's Target Weights. The value of this Folio before and after rebalancing will remain roughly the same. [see example](#)

Client:	Client02, Test
Market Value:	\$1,000.00
Amounts Available To Buy: ⓘ	
Stocks and ETFs: (Includes amount below for Funds)	\$8,894.56
Most Mutual Funds:	\$8,894.56

[RETURN TO CLIENTS' ACCOUNTS](#)

[ANALYZE CHANGES](#)

[PREVIEW ORDER](#)

New Page Functionality


- NEW Transaction History – A new customizable Transaction History table allows you to add/remove, re-size and re-order columns.** We have also added additional search categories (such as Fees), subcategories to provide more specific results (such as window trades and reinvestments), and a Results Summary table to display the count and, where applicable, the dollar totals for each transaction category in order to provide a snapshot of the activity over the selected time period.

Transactions can also be downloaded into a spreadsheet or financial software using these file types: **Quicken Web Connection Files** (.QFX), **Microsoft Money OFX Files** (.OFX) and the **Personal Finance Software Files** (.QIF).

Transaction History: Test Individual

Change View to: Test Individual GO

HELPFUL INFO

View Guide  for customizable table functionality.

Filter Transaction History

Step 1: Date Range: Year-to-Date

Step 2: Select Transaction Category: All Categories

Optional Sub-Category: All Subcategories

Additional Search Criteria

Show Transactions for Tickers: Use comma for multiple tickers ...




Show Transactions within Dollar Range: From: Enter dollar amount . To: Enter dollar amount .

Show Cash Sweep Transactions: ☐

Reset Search

Results Summary							
	Deposits	Withdrawals	Buys	Sells	Distributions	Fees	Corporate Actions
Transaction Count	2	0	5	0	9	2	0
Total Amount	\$0.00	\$0.00	\$139.50	\$0.00	\$0.84	\$7.90	\$0.00

Transactions										Reset View
Date	Transaction	Transaction Type	Symbol	Name	Price	Quantity	Amount	Folio	Commission	Notes
03-05-2013	Buy	Market Order	DELL	DELL COMPUT...	\$14.06	2	\$32.07	Non-folio H...	\$3.95	
03-05-2013	Buy	Market Order	FLL	FULL HOUSE R...	\$3.33	1	\$7.28	Non-folio H...	\$3.95	
03-05-2013	Buy	Window Trade	DELL	DELL COMPUT...	\$14.05	7.11744	\$100.00	Stock+Loo...		
03-04-2013	Security Receive In	Transfer (In)	MSFT	MICROSOFT C...		0.00005		test folio		TEST SHARES
03-01-2013	Security Receive In	Transfer (In)	PRIV...	PRIVATETEST		100		test folio		TEST SHARE...
02-22-2013	Fund Dividend/Interest	Interest	FDIC...	FDIC SWEEP N...			\$0.08	Cash & Mo...		
02-22-2013	Buy	Trade	FDIC...	FDIC SWEEP N...	\$1.00	0.08	\$0.08	Cash & Mo...		
02-07-2013	Cash Dividend Rec...	Dividend	BND	VANGUARD T...		1.7205	\$0.29	Moderate R...		
02-07-2013	Cash Dividend Rec...	Dividend	LOD	ISHARES BOX		0.05488	\$0.02	Dome		

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Software Downloads Quicken Web Connect File (.QFX) GO

- **Holdings – A new customizable Holdings table allows you to add/remove, re-size and re-order columns.** A Holdings Summary table has been added to display the totals for each category. We have added the security name to the table and the ability to download your holdings information into a spreadsheet.


Account Holdings

Change View to:

Account Quick Links (Add New Folio)




- Order Status
- Transaction History
- Tax Information
- Summary
- Holdings
- Transfer Securities
- Performance
- Folio Statistics
- Backtest

HELPFUL INFO

- ▶ Select the link in the Taxable Gain column to enter cost basis for noncovered or missing (N/A) lots.
- ▶ Select the link in the Shares column to view the Folio(s) where each security is held.
- ▶ Tax FAQs
- ▶ View Guide  for customizable table functionality.

Holdings Summary						
	Securities	Market Value	Day's Gain	Day's Gain %	Taxable Gain	Taxable Gain %
Totals	49	\$1,717.83	\$6.73	0.39%	N/A	N/A

Holdings											Show Tax View	Reset View
Symbol	Name	Shares	Last Price	Price Change	Market Value	Day's Gain	Day's Gain %	Taxable Gain	Taxable Gain %	Current Weight		
AAPL	APPLE INC COM	0.00063	\$422.70	(\$18.70)	\$0.27	(\$0.01)	(4.24%)	\$0.01	3.85%	0.02%		
AGU	AGRIUM INC	0.00428	\$103.51	\$0.06	\$0.44	\$0.00	0.06%	\$0.11	32.35%	0.03%		
ALR	ALERE INC	0.01776	\$23.31	\$0.55	\$0.41	\$0.01	2.42%	\$0.03	7.69%	0.02%		
AMX	AMERICA MOVIL S A DE C V ...	0.01365	\$20.83	(\$0.06)	\$0.28	(\$0.00)	(0.28%)	(\$0.03)	(9.68%)	0.02%		
BAP	CREDICORP LTD	0.00274	\$160.09	\$10.11	\$0.44	\$0.03	6.74%	\$0.17	62.96%	0.03%		
BBBY	BED BATH & BEYOND INC	0.00478	\$58.82	\$2.07	\$0.28	\$0.01	3.65%	\$0.00	0.00%	0.02%		
BBY	BEST BUY INC	0.01798	\$18.77	\$2.36	\$0.34	\$0.04	14.38%	(\$0.07)	(17.07%)	0.02%		
BIL	SPDR BARCLAYS CAPITAL 1-...	1.93897	\$45.81	(\$0.00)	\$88.82	(\$0.01)	(0.01%)	(\$0.10)	(0.11%)	5.17%		
BND	VANGUARD TOTAL BOND MA...	1.75851	\$83.30	(\$0.43)	\$146.49	(\$0.75)	(0.51%)	\$2.75	1.91%	8.53%		
BRFS	BRF-BRASIL FOODS S A ADR	0.02017	\$22.61	\$1.02	\$0.46	\$0.02	4.70%	\$0.10	27.78%	0.03%		
BTU	PEABODY ENGR CORP	0.01325	\$21.56	\$0.00	\$0.29	\$0.00	0.00%	(\$0.17)	(36.96%)	0.02%		
CIM	CHIMERA INVT CORP COM	0.11398	\$3.10	\$0.13	\$0.35	\$0.01	4.19%	\$0.02	5.88%	0.02%		
CSCO	CISCO SYS INC	0.02043	\$21.86	\$1.00	\$0.45	\$0.02	4.82%	\$0.12	36.36%	0.03%		
DBSDY	DBS GROUP HLDGS LTD SPO...	0.00789	\$49.72	\$0.87	\$0.39	\$0.01	1.78%	\$0.09	30.00%	0.02%		

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- **NEW** A guide has been created for you to get the most out of the customizable table functionality for Transaction History and Holdings pages; along with page FAQs to help you navigate each page.

New Performance Page Enhancements

- Performance graph refreshes custom date range with on-screen click.
- Ability to set performance graph inception date for an account.

Tax Center Enhancement

- The **Statements & Tax Records** page has been redesigned to consolidate all tax documents into one convenient location under the **Tax Center** tab. All **tax documents** will be available in the Tax Center on your Statements & Tax Records page, including **Form 8949**, **.TXF Tax Software Files**, **Realized Gains/Losses** and the **Unrealized Gains/Losses** spreadsheets.

Statements & Tax Records : testFirstName
testLastName

View Reports from: 2011 - 2012

Monthly Statements Trade Confirmations Tax Center

For taxable accounts you will need Form 1099 and Form 8949 for tax filings. Select the documents below.

IRS Forms 1099, 1099-R & 5498

2012

Form 1099 (UNREAD)
Delivered: 02.28.2013

2011

Form 1099 (Corrected) (UNREAD)
Delivered: 04.02.2012

Form 1099
Delivered: 03.09.2012

Form 5498 (UNREAD)
Delivered: 05.24.2012

SELECTED IRS FORM INSTRUCTIONS

Form 1099 (2012)
Form 1099-R (2012)
Form 5498 (2012)
Form 8949 (2012)

Form 8949 & Closed Tax Lot Downloads (Realized Gains/Losses)

For each taxable account below [Name (Account #)] you can select Form 8949, a spreadsheet (.CSV format) of closed tax lots, or a .TXF file of your Realized Gains/Losses to import into your tax software (Form 8949 and .TXF not applicable for IRAs).

2012

Test Account (Account #)
 Spreadsheet
 Form 8949
 Tax Software

Test Individual (Account #)
 Spreadsheet
 Form 8949
 Tax Software

2011

Test Account (Account #)
 Spreadsheet
 Form 8949
 Tax Software

Test Individual (Account #)
 Spreadsheet
 Form 8949
 Tax Software

Unrealized Gains/Losses (Open Tax Lots)

Below are spreadsheets (.csv format) of Unrealized Gains/Losses for each account [Name (Acct #)]. For retirement accounts, individual Tax Lots are not tracked and purchase dates are reported as the current date and Average Cost methodology is used for the cost of each position.

Test Account (Account #)

Test Individual (Account #)

HELPFUL INFO

Visit the [Help Center](#) to learn more about taxes

Change the way Tax Lots are selected for sale on the [Client's Settings](#) page

View open and closed tax lots for each account on the [Tax Information](#) page

Service Updates

- **Tax documents**

We have posted to your clients' accounts:

- 2012 Form 1099-R for qualified retirement accounts
- 2013 IRA Required Minimum Distribution Notices (RMD)
- 2012 Consolidated Form 1099 for taxable accounts
- 2012 Form 8949 for taxable accounts

We will post to your clients' account by May 31st:

- 2012 Form 5498 (Reports of 2012 IRA contributions. This form is not needed to complete tax returns.)

Please feel free to contact our Customer Service Team at **1-888-485-3456** if you have any questions.