Platform Enhancement Guide

March 2013

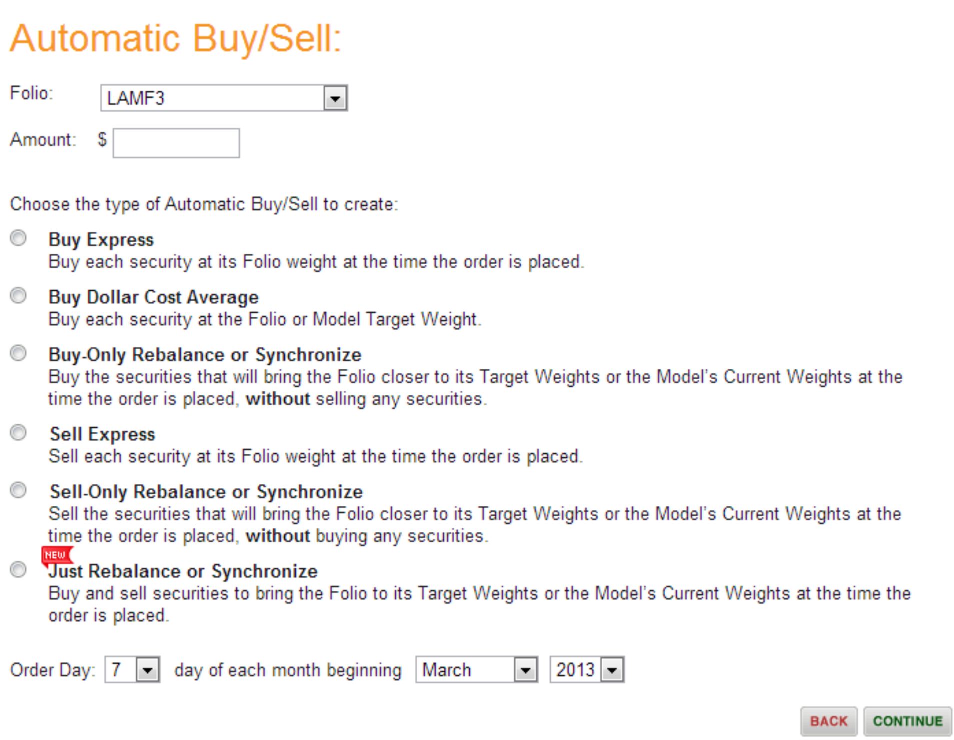
New Trade Choices and Enhancements

- 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.

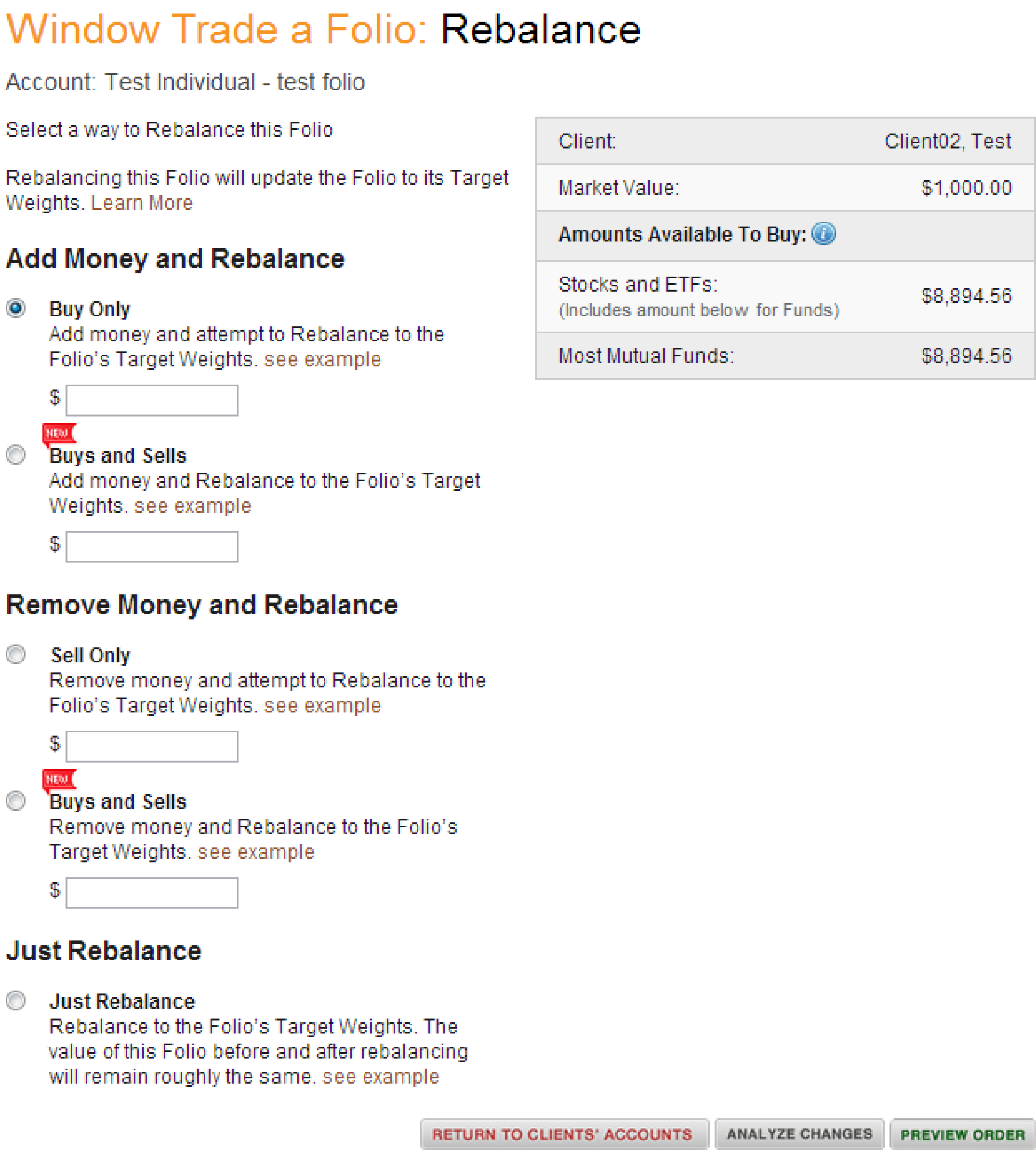
  The order combination process will identify the existing order and, if it is a Buy or Sell across all the holdings in the Folio (such as an Easy Buy or a Sell-only Rebalance), it will merge the existing order with the Model Sync order, resulting in a **Buy and Rebalance** or **Sell and Rebalance** order.

  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.



- 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

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

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

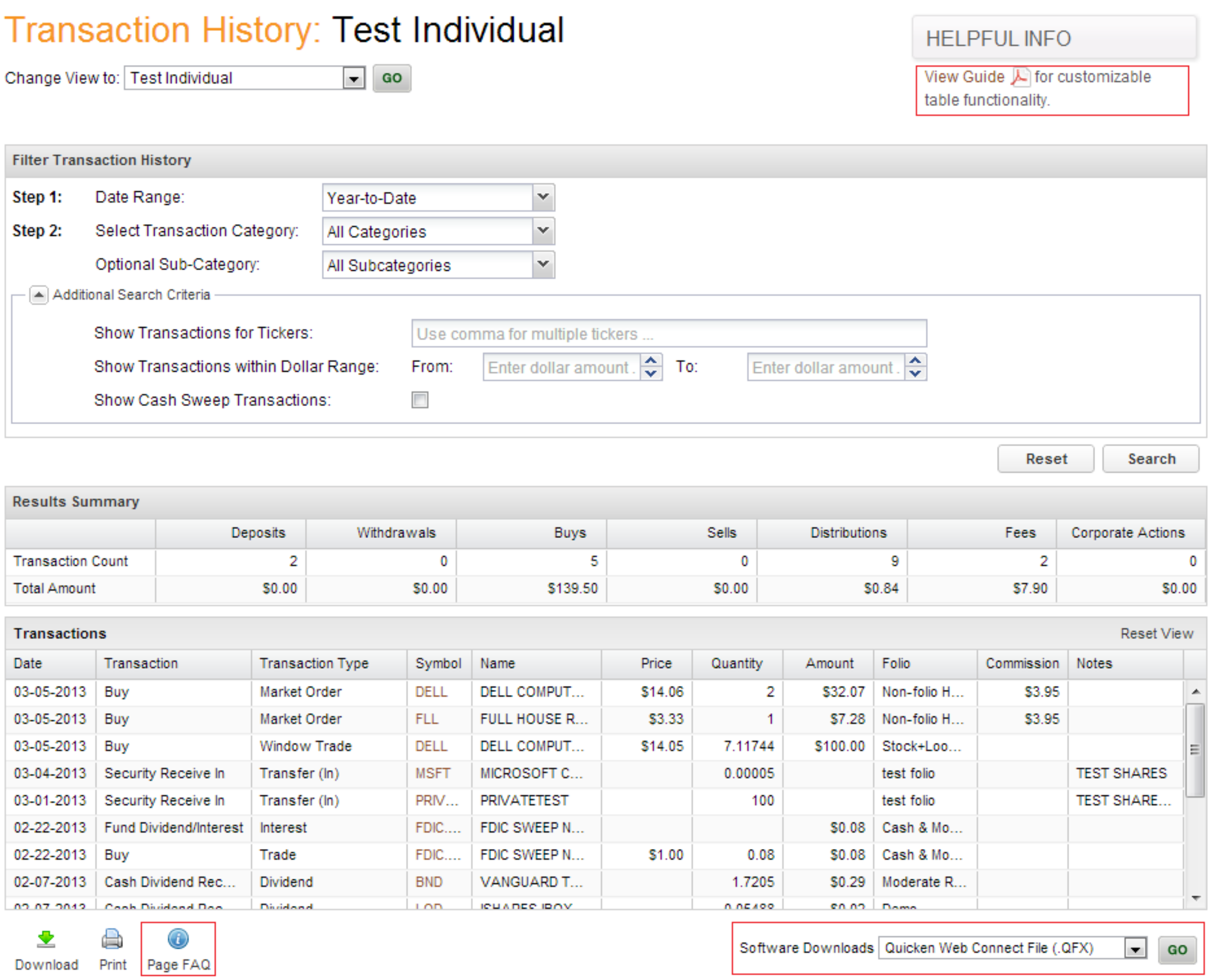
Just Rebalance
Rebalance to the Folio's Target Weights. The value of this Folio before and after rebalancing will remain roughly the same. see example

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).



- **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: Test Individual GO

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%

Download Print Page FAQ

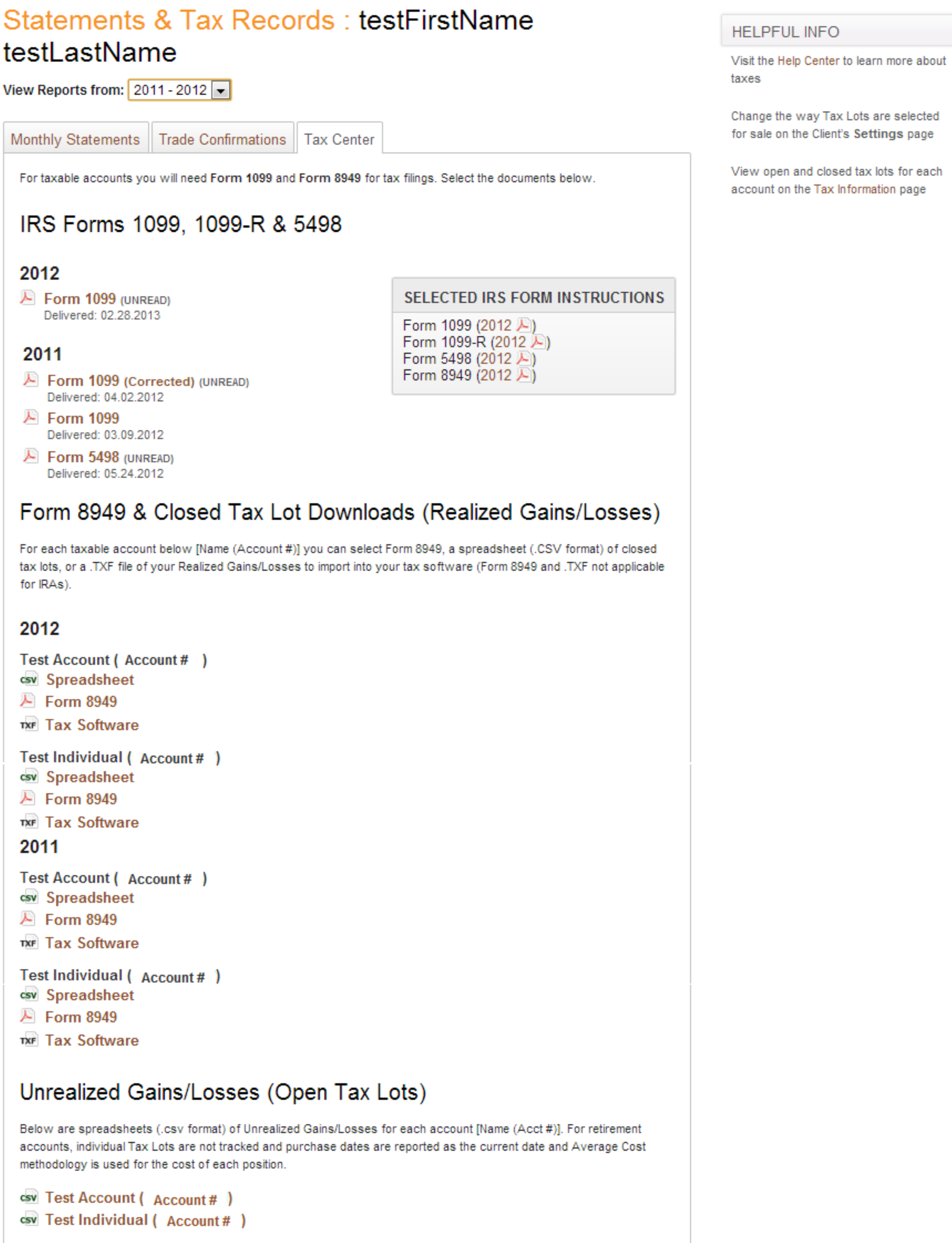
- **NEW** A guide has been created for you to get the most out of the customizable table functionality for Transaction History and Holdings pages; along with page FAQs to help you navigate each page.

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.