



User Guide

Accessing your Citi investment accounts online

- **Citibankonline.com Investments tab**
- **Investments.citi.com**
- **NetXInvestor Mobile app**

Revised 9/19/2014

INVESTMENT AND INSURANCE PRODUCTS: NOT FDIC INSURED • NOT A BANK DEPOSIT
• NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY • NO BANK GUARANTEE
• MAY LOSE VALUE

The information provided here is solely for informational purposes. It is not an offer to buy or sell any of the securities, insurance products, investments or other products named.
If you have any questions or need assistance, please contact us at 1-800-846-5200 or TTY: 1-800-788-6775.

Citi Personal/Wealth Management is a business of Citigroup Inc., which offers investment products through Citigroup Global Markets Inc. ("CGMI"), member SIPC. Insurance products are offered through Citigroup Life Agency LLC ("CLA"). In California, CLA does business as Citigroup Life Insurance Agency, LLC (license number 0G56746). CGMI, CLA and Citibank, N.A. are affiliated companies under the common control of Citigroup Inc.

© 2015 Citigroup Inc. Citi and Citi with Arc Design are registered service marks of Citigroup Inc. or its affiliates.

Table of Contents

1.	Introduction	5
	Audience.....	5
2.	Overview.....	6
	Navigation.....	6
	Browser Requirements.....	6
	Other Information	7
3.	Access the Website	8
	First Time Login.....	8
	Subsequent Logins	8
	Logout	8
	Identity Verification Code (IVC).....	9
4.	Manage Account Settings & Preferences	11
	Change Password.....	11
	Security-Protect masked data.....	11
	Account Linking	12
	Account Nickname	12
	Account Groups.....	13
	Create a New Group.....	13
	Edit a Group	14
	Delete a Group	14
	Brokerage Alerts.....	14
	Set Up Brokerage Alert	15
	Subscribe Trade, Activity and Margin Call Alerts.....	16
	Subscribe Price Alerts	16
	Create a Watchlist.....	17
	Subscribe Watchlist Alerts	17
	Delivery Settings and Hold Alerts for Brokerage Alerts	18
5.	Electronic Delivery	19
	Add E-mail Addresses	19
	Set Up e-Delivery for an Individual Account	20

Set Up e-Delivery for Multiple Accounts using Quick Enroll.....	20
View Statements & Reports.....	21
View Trade Confirmations.....	21
View Tax Documents.....	22
View Notifications.....	22
6. Account Portfolio	24
Overview.....	24
Portfolio Changes.....	24
Quick Links.....	25
Composition of Holdings	25
Quick Trade.....	25
Open Orders & Executed Trades	25
Strong & Weak Performers.....	26
Portfolio History	26
News.....	27
Balances.....	28
Holdings.....	29
Non Dollar transactions on Non US exchanges valued at foreign currency of the exchange	30
Realized Gain/Loss.....	32
History	34
Projected Cash Flow.....	35
7. Transact.....	36
Trade Equities.....	36
Enter a Buy Equity Trade.....	36
Enter a Sell Equity Trade	37
Edit an Equity Trade	38
Order a Mutual Fund Prospectus	39
Trade Mutual Funds.....	40
Purchase a Mutual Fund.....	40
Exchange a Mutual Fund.....	41
Redeem a Mutual Fund.....	41
Trade Options	42

Buy Call or Put Option Order.....	42
Close Call or Put Option Order	43
Fixed Income Trading.....	44
Ability to SSO to BondDesk from.....	44
529 Plans.....	45
Viewing 529 plan allocations	45
View Order Status	46
Cancel an Order	47
8. Research	48
Markets	48
Quotes & News.....	48
Investing Tools.....	49
Rate board.....	50
9. Sort, Filter, Download and Print.....	51
Sort	51
Filter.....	51
Download.....	52
Generate Adobe PDF	52
Print	53
10. NetXInvestor Mobile App	54

1. Introduction

This guide will familiarize you with the capabilities and functions of

- the “Investments” tab of CitibankOnline.com
- the standalone site, investments.citi.com
- NetXInvestor Mobile App.

Audience

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

- Access the platform
- Navigate through the platform
- Manage your account preferences
- View your account portfolio
- Place trades

2. Overview

The “investments.citi.com” site is an online platform enabling you to access account information, place trades, view trade status, get quotes, and perform market research, read news and much more. You can also view your account, tax statements and trade confirmations online.

Navigation

	Enables You To:
Advisor Home	View the contact information of the financial professional for all accounts linked to your user ID. The advisor information displayed is the same as what appears on your account statement.
Portfolio	View the snapshot view of your account overview. Along with the snapshot view, you can also view: balances, holdings, unrealized gain/loss, realized gain/loss, history and projected cash flow.
Transact	Place a new equity, mutual fund, or option order. Apart from placing new orders, you can also view the order status, commission schedule.
Research	View how the market is performing today. You can also view quotes of recently visited stocks, news relating to the visited stocks, create watch lists to monitor the required stocks and much more.
Tools	Create and view watch lists, view educational resources and helpful links.
Communications	View and download statements, reports, trade confirmations, tax documents, and read through the frequently asked questions compiled by the broker-dealer. You can create new account groups, nickname your accounts, and change your password and security questions. You can also set your e-delivery preferences.

Note - Tax Documents - Citi does not provide tax or legal advice.

Browser Requirements

The **Investments** site platform supports the following browsers:

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

Other Information

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

3. Access the Website

First Time Login

1. Go to the investments site, either through the Investments tab of CitibankOnline.com or through direct login to investments.citi.com
2. If you are using the investments.citi.com site, in the **User ID** field, type **your login ID** for the standalone site and click **Continue**. **(If you are accessing the investment website through the Investments tab of Citibankonline.com please use login credentials for Citibankonline.com and disregard the login instructions below)**
3. In the **Enter Password** field, type the temporary password and click **Continue**. The **Change Password** section displays.
4. In the **Old Password** field, type the temporary password.
5. In the **New Password** and **Confirm New Password** fields, type the new password.
6. Click **Continue**. The Identity Verification Code (IVC) setup page displays.
7. Enter the Personal information details (Name, Phone Number, IVC preference) and click on **Continue**.
8. Click **Save**. The **Security Image** page displays.
9. Select a personalized security image and click **Continue**. The **Security Phrase** page displays.
10. Type your personalized security phrase and click **Continue**. The **Security Review** page displays.
11. Review your selections and click **Continue**. The Home page displays.
12. Click the **Update Preferences** button to set up your e-delivery instructions.
After setting up the e-delivery instructions, the home page displays.

Subsequent Logins

1. Go to the site, investments.citi.com
2. In the **User ID** field, type your login ID and click **Continue**.
3. Confirm that your security picture and phrase are correct.
4. In the **Enter Password** field, type your password and click **Continue**. The home page is displayed

Logout

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

Identity Verification Code (IVC)

Identity Verification Code (IVC) is the latest way of protecting users' online security.

- Whenever the system recognizes that you are using a new device to log in to the Investment website, the system will prompt you to generate an identity verification code, and to enter it to validate the user's identity.
- The code is sent you via the preferred contact method (SMS or Voice) selected and set up by you on your first login into the system. The IVC code will be valid for 5 minutes.
- Once a valid identity verification code is entered, the system will direct you to the password page.
- After the password is validated, you are able to access the website.

Unrecognized Device

It appears that you are accessing the site for the first time from this device. To protect your information we need to verify your identity by sending you a verification code.

What is this?

User ID: NX11 Not your ID?

Contact Method Send Code

I have a code

Contact (855) 804-1944 and (210) 677-3782 (toll call) if you have difficulty verifying your identity or did not receive an Identity Verification Code.

Text STOP to 76780 to cancel I Text HELP to 76780 for help or call (855) 804-1944 and (210) 677-3782 (toll call) I Message & data rates may apply: SMS Terms & Conditions AT&T Mobility, Boost, Metro PCS, Nextel, Sprint, T-Mobile, Verizon Wireless Need assistance? (855) 804-1944 and (210) 677-3782 (toll call) Internet Explorer Users: Please download updates to the browser that is ISO or higher by July 15th to ensure you continue to have an optimal website experience. If you need assistance in accessing an upgraded browser please contact us at the numbers listed below.

Need Assistance? >> Contact Web Support

Your Financial Well-Being is Important

Managing your money is about making decisions. Citi Personal Wealth Management can help you make them confidently.

This information is provided by your financial organization through Pershing LLC, member FINRA/SIPC, a subsidiary of The Bank of New York Mellon Corporation.

Asset Protection FAQs | Pershing Privacy Policy | Margin Disclosure © 2014 Pershing LLC. All Rights Reserved. Click here for terms of use. Trademarks belong to their respective owners.

CITICOM NOTICE OF BUSINESS CONTINUITY PREPAREDNESS INVESTMENT TERMS & CONDITIONS SECURITY

INVESTMENT PRODUCTS: NOT FDIC INSURED • NOT CDC INSURED • NO BANK GUARANTEE • MAY LOSE VALUE

Citi Personal Wealth Management is a business of Citigroup Inc., which offers investment products through Citigroup Global Markets Inc. (CGMI), member SIPC. Insurance products are offered through Citigroup Life Agency LLC (CLAS), in California, CLAS does business as Citigroup Life Insurance Agency, LLC (license number 0099246). CGMI, CLAS and Citibank, N.A., are affiliated companies under the common control of Citigroup Inc. Citi and Citi with Arc designs are registered service marks of Citigroup Inc. or its affiliates, and are used and registered throughout the world. Accounts carried by Pershing LLC, member FINRA, NYSE, SIPC. This page of citi.com contains information about U.S. domestic financial services offered by the Citigroup family of companies and is intended for use domestically in the U.S. Terms, conditions and fees for accounts, products, programs and services are subject to change.

This data is provided for information only and its accuracy is not guaranteed.

© Copyright 2014, Citigroup Inc. All Rights Reserved.

Citi Personal Wealth Management

Unrecognized Device

It appears that you are accessing the site for the first time from this device.

To protect your information we need to verify your identity by sending you a verification code.

What is this?

User ID: NX1 **Not your ID?**

Text[shruthi po] **Send Code**

I have a code

 Your Identity Verification Code has been sent to your selected contact device. This Identity Verification Code will expire in 5 minutes.

Once you receive your code enter it below.

***** **Verify Identity**

Contact (855) 804-1944 and (210) 677-3782 (toll call) if you have difficulty verifying your identity or did not receive an Identity Verification Code.


Text STOP to 75760 to cancel | Text HELP to 75760 for help or call (855) 804-1944 and (210) 677-3782 (toll call) | Message & data rates may apply. [SMS Terms & Conditions](#)

AT&T Mobility, Boost, Metro PCS, Nextel, Sprint, T-Mobile, Verizon Wireless

Need assistance? (855) 804-1944 and (210) 677-3782 (toll call)

Your Financial Well-Being is Important

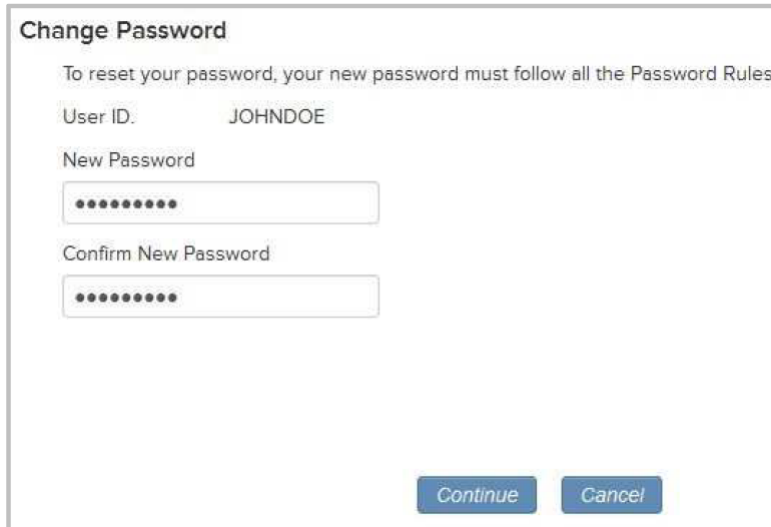
Managing your money is about making decisions. Citi Personal Wealth Management can help you make them confidently.




4. Manage Account Settings & Preferences

The site has options to manage your account settings and preferences, such as changing your password, security questions, creating an account group, or adding a nickname.

Change Password

A screenshot of a 'Change Password' form. The form has a title 'Change Password' at the top. Below the title is a message: 'To reset your password, your new password must follow all the Password Rules.' Below this message is a 'User ID' field with the value 'JOHNDOE'. There are two password fields: 'New Password' and 'Confirm New Password'. Both fields contain masked text represented by dots. At the bottom of the form are two buttons: 'Continue' and 'Cancel'.

1. On the home page, click the **Settings** icon []. The **Settings** page displays.
2. In the **Security Settings** section, click the **Edit** link in the **Password** row.
3. In the **Enter Password** field, type your current password and click **Continue**.
4. In the **New Password** and **Confirm New Password** fields, type your new password and click **Continue**. A message displays stating the password has been successfully changed.
5. Click the **OK** button to continue.

Security-Protect masked data

Please note: When logging into the site and entering an incorrect password, the refreshed screen will blank out the 'Password' field when it renders the incorrect password message.

Account Linking

Account Linking

We have detected that you have access to the following accounts. You can link any or all of these accounts to this user id.

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

Submit

Account linking enables you to link all accounts which have the same Social Security number as yours. Through account linking, you can access all your account information from one place. You can link account (s) only if you had created your user ID via online self-registration.

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

Account Nickname

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

Accounts & Groups

Prim t

52

Accounts

Groups

jdoetest - 52D000000	<input data-bbox="609 1564 625 1585" type="button" value="+"/>
52D000001	<input data-bbox="609 1606 625 1627" type="button" value="+"/>
52D000002	<input data-bbox="609 1648 625 1669" type="button" value="+"/>

Account name

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

Account Groups

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

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

Create a New Group

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

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

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

Edit a Group

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

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

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

Delete a Group

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

Brokerage Alerts

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

- Trade
- Activity
- Margin Call
- Watchlist
- Price Volume & News

Set Up Brokerage Alert

Device(s)

Email Addresses

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

Format:
☒ Plain Text ☐ HTML

Email Address 2: Re-Type Email Address 2:

Format:
☒ Plain Text ☐ HTML

Phone (Text Messages)

Service Provider: Qwest Phone number: 2010000001

Save Cancel

1. On the home page, click the **Settings** icon. The **Settings** page displays.
2. In the **Alerts Setup** section, click the **Brokerage Alerts Set-up Guide** link. A window displays the terms and conditions.
3. Read through the terms & conditions and click **I Agree**.
4. Click the **Add Device(s)** link. The **Device(s)** window displays.
5. In the **E-mail Address 1** and **Re-Type E-mail Address 1** fields, type the primary e-mail address to which you want the alert delivered, if desired.
6. Select the delivery format of the alert, **Plain Text** or **HTML**.
7. In the **E-mail Address 2** and **Re-Type E-mail Address 2** fields, type the secondary e-mail address to which you want the alert delivered, if desired.
8. Select the delivery format of the alert, **Plain Text** or **HTML**.
9. To deliver the alert to your cell phone device, select the service provider from the **Service Provider** list and type your phone number in the **Phone Number** field.
10. Click the **Save** button to save the changes.

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

Subscribe Trade, Activity and Margin Call Alerts

Subscriptions		
ALERT TYPE	SUBSCRIBED	DEVICE(S)
Trade	Subscribe	
Activity	Subscribe	
Margin Call	Subscribe	
Watchlist	Subscribe	Please note that you will be redirected to a different location of the website to subscribe to Watchlist alerts.
Price Volume & News	Subscribe	Please note that you will be redirected to a different location of the website to subscribe to Price, Volume, & News alerts.

1. On the home page, click the **Settings** Icon. The **Settings** page displays.
2. In the **Subscriptions** section, click the **Edit** link. The **Alert Subscriptions** window displays.
3. For the **Alert** you wish to subscribe, click the (+) icon to view the devices.
4. Select the required device by selecting the appropriate check box and click the **Save** button. The **Subscription** section displays the confirmation and the subscribed device.

Subscribe Price Alerts

Manage Alerts

Close

Price & Volume

News

ALERT FOR

Microsoft Corp

MSFT NASDAQ

LAST PRICE VOLUME

\$36.48 150

TODAY'S CHANGE

\$0.00 0.00%

12:00pm ET 2/3/2014

Quote delayed by at least 20 minutes.

SELECT & CONFIGURE

Price rises above X or falls below X

Notify me when...

MSFT's price falls below \$

SELECT DELIVERY LOCATION

☒ Primary E-mail Address

johnndoe@pershing.com

☐ Secondary E-mail Address

None saved on file

☐ Text Message Delivery

None saved on file

Add to Subscriptions

CURRENT SUBSCRIPTIONS

FREQUENCY PRIMARY SECONDARY TEXT MSG REMOVE

No alerts have been set.

Market alerts is located under Tools in the main navigation at the top of the page.

Close

1. On the home page, click **Research**. The **Markets Today** page displays.
2. Click **Investing Tools**. The **Investing Tools** page displays.
3. Click **Market Alerts**. A page displays the terms and conditions for the alerts.
4. Read through the terms and conditions and click the **I Agree** button to continue. The **Market Alerts** page displays.

5. In the **Set a New Alert** field, type the stock name or symbol for which you would like to set an alert.
6. From the list of matches, select the required option. The **Manage Alerts** window displays.
7. From the **Select & Configure** list, select the applicable option.
8. In the **Notify me when** section, select an option from the list and type the appropriate information in the adjacent text field.
9. From the **Select Delivery Location** options, select where the alert should be delivered.
10. Click the **Add to Subscription** button.
11. The market alert is added to the **Current Subscriptions** section. Click **Close**.

Create a Watchlist

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

Subscribe Watchlist Alerts

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

Delivery Settings and Hold Alerts for Brokerage Alerts

The screenshot shows the 'Market Alerts' page with the 'Delivery Settings & Hold/Resume Alerts' section active. The 'Send To' section includes fields for Primary E-mail Address, Secondary E-mail Address, and Cell Phone Address, each with a corresponding confirmation field. The 'Hold/Resume Market Alerts' section shows 'Market Alerts are Active' selected, with 'Please hold my Market Alerts' as an option. The 'Starting' and 'Ending' dates are set to 2/4/2014.

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

5. Electronic Delivery

You can enable electronic delivery of statements and documents to be delivered to your e-mail address(es). You can also view the statements and documents online on the website.

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

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

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

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

Add E-mail Addresses

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

The screenshot shows a web form titled "Add Email Address" with a close button (X) in the top right corner. The form is divided into two sections for adding email addresses. The first section, labeled "EMAIL ADDRESS 1:" and "CONFIRM EMAIL ADDRESS 1:", contains two text input fields, both of which have "johndoe@pershing.com" entered. The second section, labeled "EMAIL ADDRESS 2:" and "CONFIRM EMAIL ADDRESS 2:", contains two text input fields, both of which have "johndoeb@pershing.com" entered. At the bottom right of the form, there are two buttons: "Save" and "Cancel".

1. On the home page, click the **Settings** icon. The **Settings** page displays.
2. In the **E-mail Address(es)** section, click the **Add E-mail Address(es)** link. The **Add New E-mail Address** window displays.
3. In the **E-mail Address 1** and **Confirm E-mail Address 1** fields, type the primary e-mail address.
4. In the **E-mail Address 2** and **Confirm E-mail Address 2** fields, type the secondary e-mail address.
5. Click the **Save** button.

Set Up e-Delivery for an Individual Account

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

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

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

Set Up e-Delivery for Multiple Accounts using Quick Enroll

1. In the e-Delivery Preferences section, click the **Quick Enroll** (for all accounts) link. The **Document Delivery Preferences** window displays.
2. Select the box(es) next to the documents you want to opt for e-delivery.
3. From the e-mail list, select the required e-mail address to which the documents should be delivered electronically.
4. Click the **Save** button. A window displays the terms and conditions.

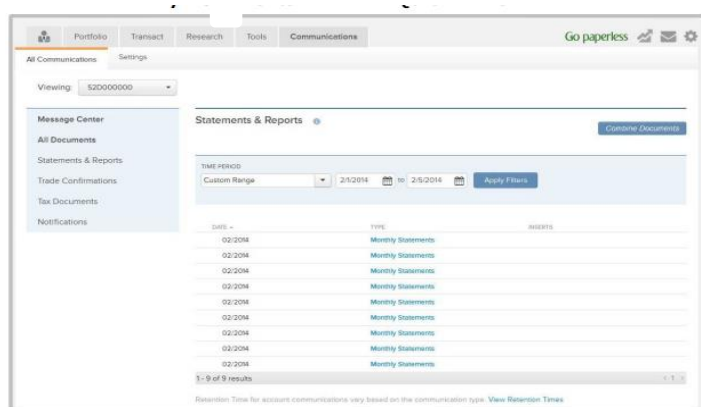
5. Read through the terms and conditions and click the **I Agree** button. A window displays stating the e-delivery preferences have been saved.
6. Click the **OK** button to continue.

View Statements & Reports

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

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

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



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

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

- Time Period
- From Date
- To Date

The information displayed can be exported to an Adobe PDF.

View Trade Confirmations

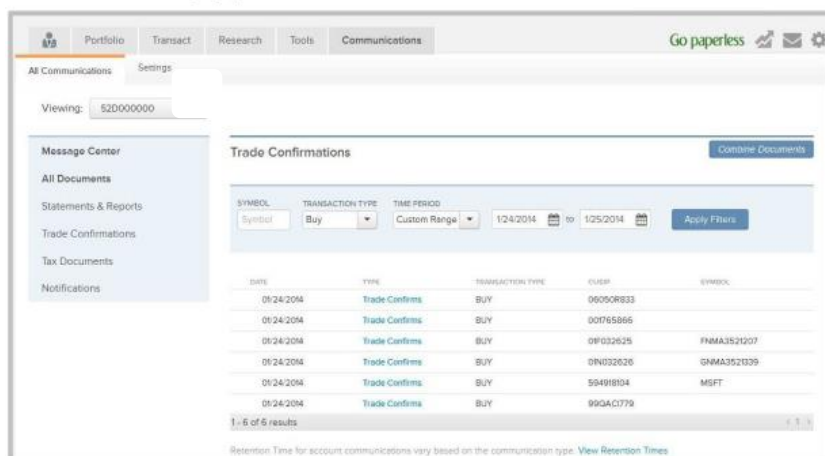
The site allows you to view and download your trade confirmations and electronically deliver these confirmations.

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

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

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

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

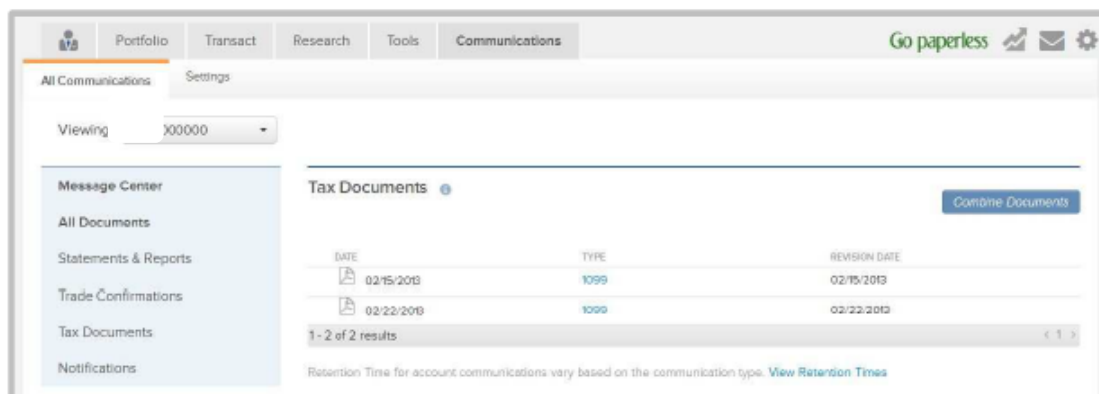


The information displayed can be exported to an Adobe PDF.

View Tax Documents

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

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



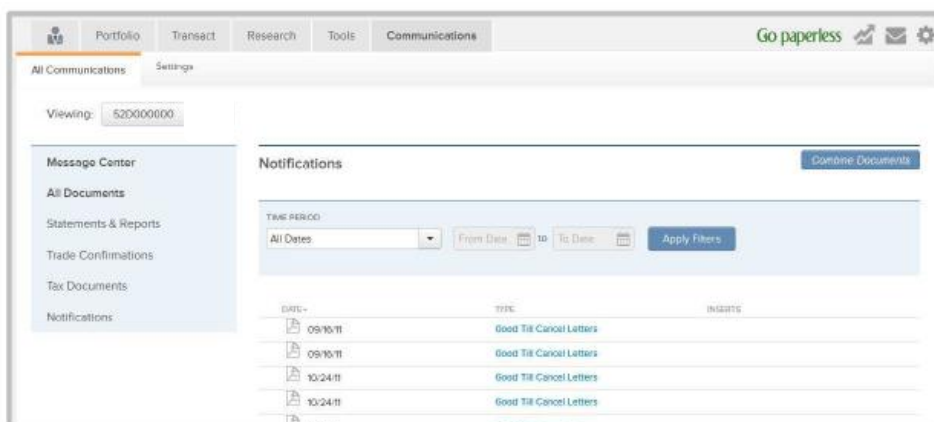
To view a tax statement, click the link in the **Type** column for the required date.

The information displayed can be exported to an Adobe PDF.

View Notifications

The site offers you the option of viewing and downloading the notifications.

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



To view a notification, click the link in the **Type** column for the required date.
The information displayed can be exported to an Adobe PDF.

6. Account Portfolio

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

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

Overview

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

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

Portfolio Changes

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

TOTAL MARKET VALUE	DAY CHANGE	UNREALIZED GAIN/LOSS
\$647,106.74	-0.01 (0.00%)	+30,457.95 (44.79%)
As of 04:07am 01/10/2014		

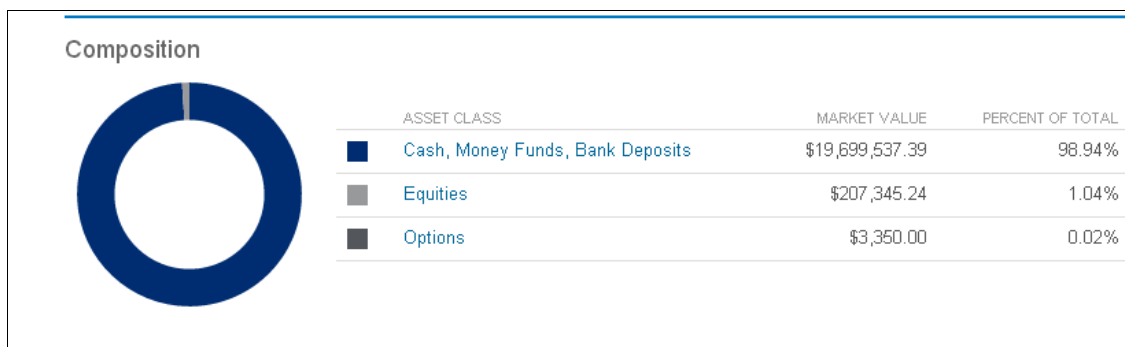
Quick Links

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



Composition of Holdings

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



Quick Trade

This section enables you to place a quick trade. Type the security name in the field and click the Quick Trade button to view the **New Order** page. The selected account will be the default account in which the trade will be placed. You can directly proceed to providing the trade instructions.

You can also click the **Go to Trading** link to navigate to the **Transact > New Order** page.



Open Orders & Executed Trades

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

Open Orders			
SYMBOL/CUSIP	CURRENT PRICE	ORDER TYPE	EXPIRATION
FIREX	\$0.00	Buy	--
BRK A	\$172,500.00	Buy	DAY
GOOG	\$1,163.70	Buy	FOK
A	\$60.85	Buy	GTC
C	\$51.85	Buy	DAY
As of 04:33am 01/22/2014			
Recently Executed Trades			
SYMBOL/CUSIP	PRICE	ORDER TYPE	QUANTITY
CDEFG	\$0.01	Buy	\$0.01 (Executed)
CDEFG	\$0.01	Buy	\$0.01 (Executed)
CDEFG	\$0.01	Buy	\$0.01 (Executed)
CDEFG	\$2.00	Redeem	\$2.00 (Executed)
CDEFG	\$2.00	Redeem	\$2.00 (Executed)
As of 04:33am 01/22/2014			

Strong & Weak Performers

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

Portfolio Movers <small>As of 12:00 AM 12/10/2014</small>			Go to Holdings	
Strongest Performers			Weakest Performers	
COMPANY	TODAY'S CHANGE (%)		COMPANY	TODAY'S CHANGE (%)
PSMI Peregrine Semiconductor Corp	5.26	<div></div>	GE General Electric Co	-1.09
AAPL Apple Inc	1.55	<div></div>	IBM International Business Machines Corp	-0.87
GOOG Google Inc	1.14	<div></div>	MSFT Microsoft Corp	-0.58
INFY Infosys Ltd	0.41	<div></div>		
A Agilent Technologies Inc	0.23	<div></div>		
<small>Portfolio Movers securities are derived from the top 20 holdings based on current market value.</small>				<small>Quotes at least 15 min delayed</small>

Portfolio History

This section displays the five most recent activities in your account. Click the **Go to History** link

to navigate to the [History](#) page.

Portfolio History Go to History			
DATE	SYMBOL/CUSIP	DESCRIPTION	NET AMOUNT
01/22/2014	FIREX	Buy 0.0000 Shares Of FIREX @ 10.22000	-\$100.00
01/21/2014	HIFS	Cash Dividend Received	\$135.00
01/21/2014	XEL	Cash Dividend Received	\$1.68
01/21/2014	USD999997	Money Fund Purchase	-\$1.68
01/21/2014	USD999997	Money Fund Purchase	-\$24.36
As of 04:33pm 01/22/2014			

News

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

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

Balances

Viewing: 000000

Key Values[†]

TOTAL ACCOUNT VALUE
\$504,066.74

Funds Available/Due[†]
FUNDS AVAILABLE FOR WITHDRAWAL^②
\$0.00

FUNDS AVAILABLE TO TRADE^③
\$0.00

DAY TRADING BUYING POWER AS OF PREVIOUS DAY^④
\$0.00

FUNDS DUE AS OF PREVIOUS DAY^⑤
\$15,371.83

As of 02/04/2014

KEY VALUE	CURRENT	DAYS CHANGE
Long Market Value ^①	\$589,438.57	\$0.00 (0.00%)
Short Market Value ^①	\$0.00	\$0.00 (0.00%)
Securities Owed ^②	\$0.00	
Cash Management Balances ^③	\$0.00	\$0.00 (0.00%)
Cash ^④	-\$15,371.83	\$0.00 (0.00%)
Net Worth ^⑤	\$504,066.74	\$0.00 (0.00%)
Total Annuity Value ^⑥	\$0.00	\$0.00 (0.00%)
Total Account Value ^⑦	\$504,066.74	\$0.00 (0.00%)

Currency Balances[†] [View Foreign Exchange Rates](#)

ACCOUNT TYPE	CURRENCY (PARTIAL)	CASH BALANCE ^①	MARKET VALUE ^②	EQUITY	EQUITY (%)
CASH	USD	-\$15,371.83	\$589,438.57	\$504,066.74	97.00

[†] Long Market Value is based on 200 contracts; Short Market Value is based on 200 contracts; Net Worth is based on 200 contracts; Cash Management Balances is based on 200 contracts; Cash is based on 200 contracts; Total Annuity Value is based on 200 contracts; Total Account Value is based on 200 contracts.

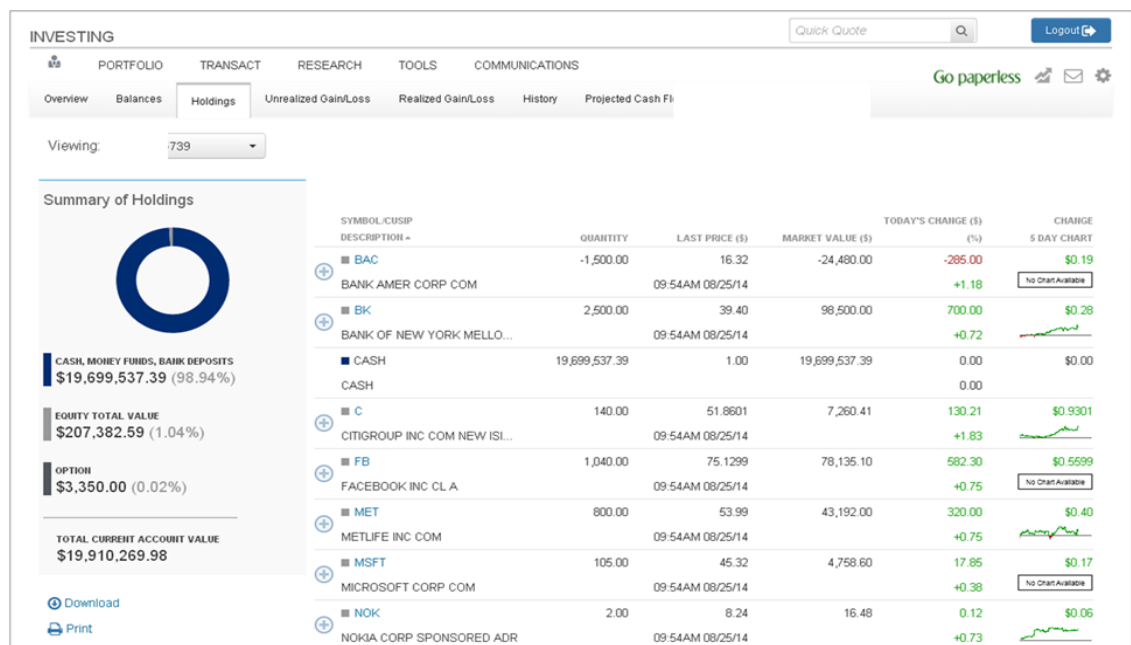
The **Balances** page displays the total account value of your account. This page also displays the information about the funds available for withdrawal, funds available to trade, and day trading power as of previous day. You can view information for an individual account, groups or the portfolio summary. The portfolio summary includes all the information of the linked accounts.

- To view the balances page, click **Portfolio** on the **site** home page and then click **Balances**.
- To view the balances for a single account, select the required account from the **Viewing list**.
- To view the balances for a group, select the required group from the **Viewing list**.

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

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

Holdings



The **Holdings** page displays all the holdings you hold in the portfolio. The page also displays the total current value of holdings. From this page, you can view the quantity of stocks, current market value, last traded price, yield, and more. You can also view more information about a stock by clicking the (+) icon next to a stock. The transactions details chart, account type information is displayed after expanding the view.

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

From this page, you can also buy, sell, and view the unrealized gain/loss information.

For information on trading equity, see [Trade Equities](#).

For information on trading mutual funds, see [Trade Mutual Funds](#). For information on trading options, see [Trade Options](#).

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

Non Dollar transactions on Non US exchanges valued at foreign currency of the exchange

All Non USD orders placed on foreign exchanges will be values in the foreign currency of the country the exchange is based in and the details can be viewed in a new tab “Traded Valuation” link on the Holdings page.

INVESTING Quick Quote Logout

PORTFOLIO TRANSACT RESEARCH TOOLS COMMUNICATIONS

Overview Balances **Holdings** Unrealized Gain/Loss Realized Gain/Loss History Projected Cash Flow M

View: :62003337

Summary of Holdings

As of 04:17am 05/23/2014

SYMBOL/CUSIP DESCRIPTION	QUANTITY	LAST PRICE (\$)	MARKET VALUE (\$)	TODAY'S CHANGE (\$) (%)	CHANGE 5 DAY CHART
+ CZO:CA	500.00	0.096	48.00	-2.45	-\$0.0049
CEAPRO INC COM		12:00AM 05/21/14		-4.86	

Traded Valuations

Upon clicking the Traded Valuations screen, the holdings for Non Dollar trade will reflect as below.

INVESTING Quick Quote Logout

PORTFOLIO TRANSACT RESEARCH TOOLS COMMUNICATIONS

Overview Balances **Holdings** Unrealized Gain/Loss Realized Gain/Loss History Projected Cash Flow M

Viewing: :337

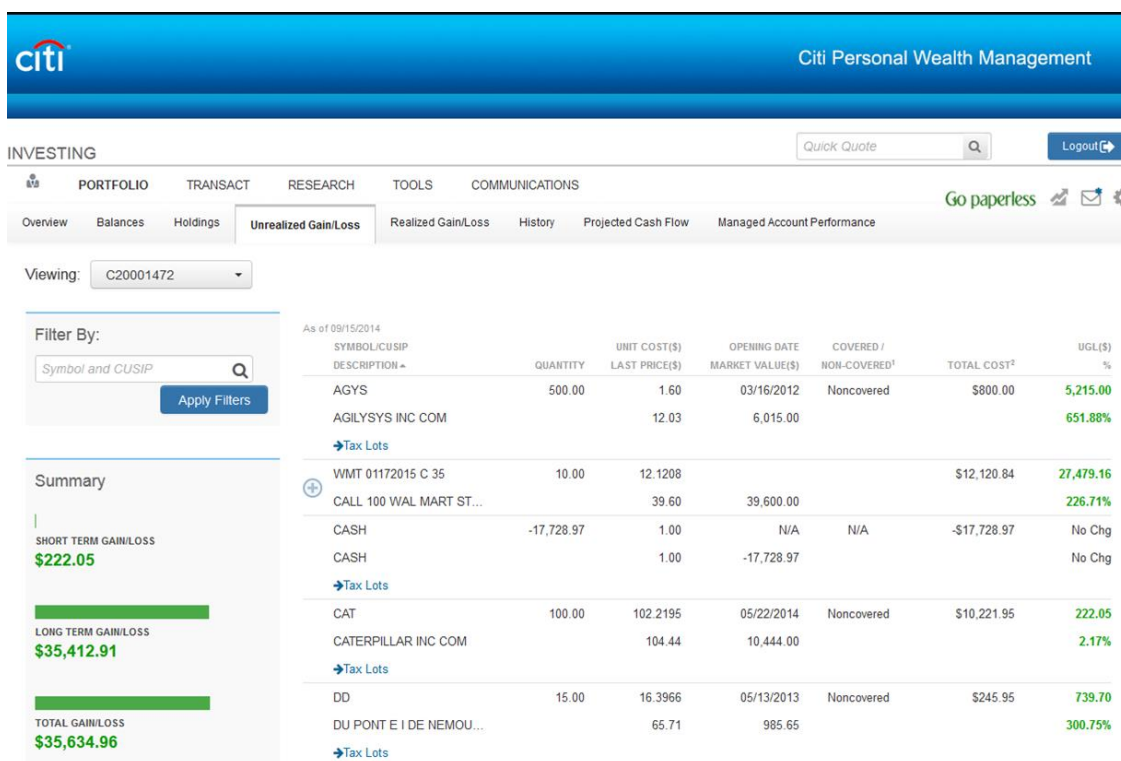
Back to Holdings

As of 04:26AM 03/05/2014

CUSIP DESCRIPTION	SYMBOL	ACCOUNT TYPE	MARKET LOCATION	MARKET CURRENCY	QUANTITY	PRICE(\$)	CHANGE(CCY) %	POSITION VALUE	USDE EQUIVALENT
149907107	CRPOF	Cash	CANADA	CAD	500.00	\$0.13	\$0.03	\$66.00	\$59.62
CEAPRO INC COM							+23.81%		

Download

Unrealized Gain/Loss



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

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

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

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

Realized Gain/Loss

The screenshot displays the 'Realized Gain/Loss' page in a financial software interface. The top navigation bar includes 'Portfolio', 'Transact', 'Research', 'Tools', and 'Communications'. The 'Portfolio' tab is active, showing a sub-menu with 'Overview', 'Balances', 'Holdings', 'Unrealized Gain/Loss', 'Realized Gain/Loss', 'History', and 'Projected Cash Flow'. The 'Realized Gain/Loss' sub-tab is selected.

On the left, there is a 'Filter By' section with a 'TIME PERIOD' dropdown set to 'Year To Date', 'From Date' and 'To Date' fields, a 'Symbol, CUSIP' input field, and a 'VIEW BY' section with radio buttons for 'Symbol' (selected) and 'Lot'. An 'Apply Filters' button is at the bottom of the filter section.

The main table displays the following data:

SYMBOL / CUSIP	DESCRIPTION	QUANTITY	OPENING DATE	CLOSING DATE	REALIZED GAIN/LOSS (\$)
EBAN0765443		25,000.00	03/18/2011	06/05/2014	-1,244.72
TAR,ETA NARANJA S A NOTES S...			25,757.03	24,512.31	-4,832.5%

Below the table, there is a 'Summary' section with a bar chart showing 'SHORT TERM GAIN/LOSS' as 'No Chg' and 'LONG TERM GAIN/LOSS' as '-\$1,244.72'. The 'TOTAL GAIN/LOSS' is also '-\$1,244.72'. A note at the bottom of the summary section states: 'Total gain/loss is not include holdings without cost basis data.'

The page also includes a 'Download by' section with options for 'Symbol', 'Tax Lot', and 'Print'. At the bottom, there is a disclaimer: 'This information is provided to your Broker/Dealer through Pershing LLC, member FINRA/SIPC, a subsidiary of The Bank of New York Mellon Corporation.' and a copyright notice: '© 2013 Pershing LLC. All Rights Reserved. Click here for terms of use. The information is not to be used for any other purpose.'

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

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

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

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

- View By

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

- Access to Citi generated information for pre-conversion accounts – Users can access pre-conversion data (history, statements, RGL) from Smith Barney by selecting the **View Pre-Conversion Realized Gain Loss**.

[View Pre-Conversion Realized Gain Loss](#)

Filter By:

TIME PERIOD

Year To Date ▼

From Date [calendar icon] to To Date [calendar icon]

Symbol, CUSIP

VIEW BY

☒ Symbol ☐ Lot

Apply Filters

SYMBOL / CUSIP	ACCOUNT	QUANTITY	OPENING DATE	CLOSING DATE	REALIZED GAIN/LOSS (\$)
DESCRIPTION			OPENING COST (\$)	CLOSING COST (\$)	DISALLOWANCE (%)
There are no records to display					
<p>*Securities acquired before 2011 are generally not subject to the new cost basis reporting rules set forth in the Internal Revenue Code of 1986, as amended ("IRC") (incorporating amendments enacted by P.L. 110343, the Emergency Economic Stabilization Act of 2008), and are therefore considered 'noncovered,' under the new cost basis reporting rules. Securities which are 'covered' under the new cost basis reporting rules are defined as securities which have been acquired on or after their 'applicable date(s)' at which they are subject to the cost basis reporting rules. The adjusted basis will be reported to the IRS on form 1099B for the applicable tax year in which the security is disposed.</p> <p>*The loss from the original closing transaction that must be added to the cost basis of the replacement or newly acquired shares of security that triggered a wash sale event.</p>					

[PORTFOLIO](#)
[TRANSACTION](#)
[RESEARCH](#)
[TOOLS](#)
[COMMUNICATIONS](#)

[Go paperless](#)
[mail icon] [help icon]

[Overview](#)
[Balances](#)
[Holdings](#)
[Unrealized Gain/Loss](#)
[Realized Gain/Loss](#)
[History](#)
[Projected Cash Flow](#)

Viewing: C25008902 ▼

Filter By:

TIME PERIOD

January-December 2008 ▼

Apply Filters

[Back to Current Realized Gain Loss](#)

SYMBOL / CUSIP	QUANTITY	OPENING DATE	CLOSING DATE	RGL \$	TERM
DESCRIPTION		OPENING COST (\$)	CLOSING COST (\$)	(%)	
KMR	0.067	03/08/2010	02/14/2011	0.57	Short
KINDER MORGAN MANAGEME...		3.75	4.32	+15.20%	
KMR	0.186	02/01/2010	02/14/2011	2.59	Long
KINDER MORGAN MANAGEME...		9.49	12.08	+27.29%	
GGAL	188.00	11/08/2010	02/14/2011	-208.38	Short
*** GRUPO FINANCIERO GALICI...		3,008.02	2,799.64	-6.92%	
RDY	90.00	02/01/2010	02/11/2011	812.88	Long
*** DOCTOR REDDYS LABORAT...		2,152.62	2,965.50	+37.76%	
GVDNY	96.00	03/08/2010	02/10/2011	24.08	Short
*** GIVAUDAN SA-CHF		1,774.76	1,798.84	+1.35%	
GVDNY	111.00	02/01/2010	02/10/2011	231.76	Long
*** GIVAUDAN SA-CHF		1,848.15	2,079.91	+12.54%	
WYNMY	256.00	10/06/2010	02/10/2011	1,041.40	Short

Summary

SHORT TERM GAIN/LOSS
\$4,702.56

LONG TERM GAIN/LOSS
\$3,870.03

TOTAL GAIN/LOSS
\$8,572.59

History

Viewing: 520000000

Filter By:

Symbol, Name, CUSIP or ISIN

TIME PERIOD

Last 90 Days

From Date: [] To Date: []

TRANSACTION

All

Apply Filters

As of 06:05AM 04/02/2018

[View Foreign Exchange Rates](#)

DATE	ACCOUNT TYPE	SYMBOL/CUSIP	ACTIVITY	NET AMOUNT CURRENCY	NET AMOUNT (USD)
01/08/2014	CASH	IBM	CASH DIVIDEND RECEIVED	\$2,821.50	\$2,821.50
01/08/2014	CASH	IBM	CASH DIVIDEND ADJUSTMENT	USD	
01/06/2014	CASH	IBM	CASH DIVIDEND RECEIVED	\$2,227.50	\$2,227.50
12/10/2013	CASH	IBM	CASH DIVIDEND RECEIVED	\$2,821.50	\$2,821.50
12/02/2013	CASH	443527AT3	SECURITY REDEEMED ~ 443527AT3	\$1,000.00	\$1,000.00

Data is available for a maximum of 2 years.

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

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

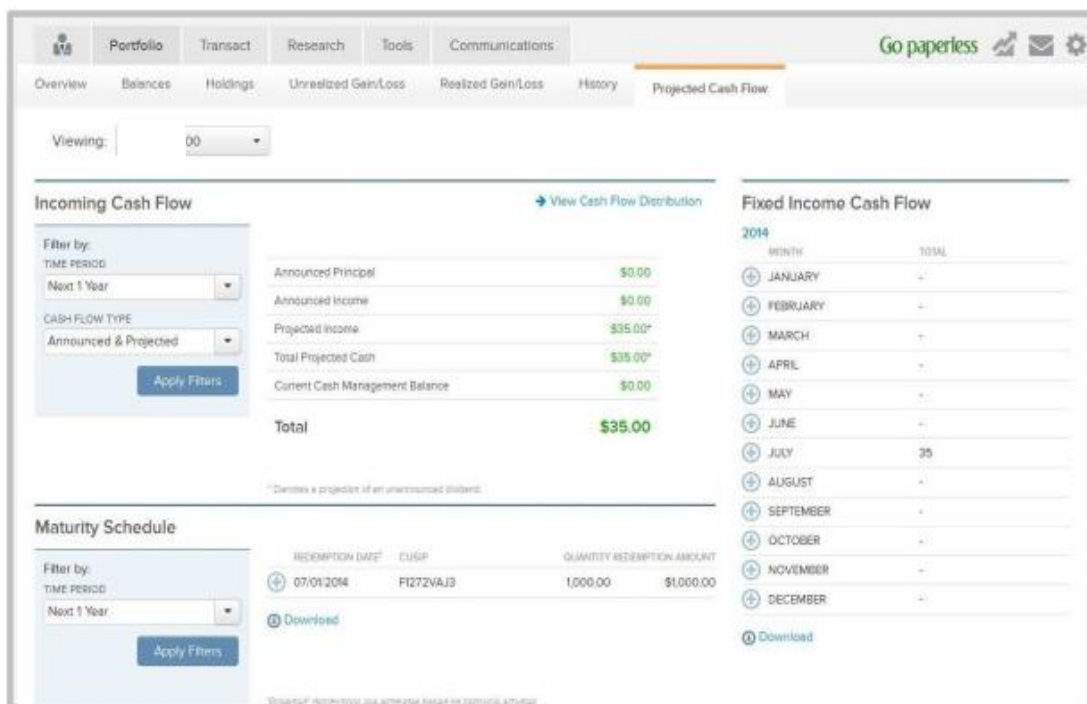
You can filter and view the information displayed in the page according to your requirements. To filter the information, provide information in one or all of the following filters and click the **Apply Filters** button.

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

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

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

Projected Cash Flow



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

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

The page is divided into the following sections:

- **Incoming Cash Flow**—This section displays the announced and projected cash flow information. To view the cash flow distribution, click the View Cash Flow Distribution link.
- **Fixed Income Cash Flow**—This section displays the incoming cash flow from the fixed income securities.
- **Maturity Schedule**—This section displays the dates and amounts of redemption for an issuance.

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

7. Transact

The **Transact** tab enables you to place:

- Equity Trades
- Mutual Fund Trades
- Option Trades
- Fixed Income Trades
- 529 Plan allocation

In addition to placing trades, the tab also enables you to view order status, view commission schedule, and pay bills.

The Transact screens include a new donut chart that displays the following information:

- Before selecting an account to trade, the donut chart displays the number of trade eligible accounts linked to the user ID.
- After selecting an account to trade, the donut chart displays the percentage of the account's funds available to trade in relation to the total funds available to trade in all the trade eligible accounts.

Trade Equities

Enter a Buy Equity Trade

The screenshot shows the 'Transact' tab in a web application. The 'New Order' page is active, with 'Equity' selected in the 'Trade' dropdown. The main section displays information for Google Inc. (GOOG), including the last price of \$1220, a 0% change, and a bid/ask of 1223.2 / 1. A 'FINANCIAL STRENGTH INDICATOR' shows the company is 'Normal'. A line chart shows the stock price from 10am to 4pm. On the right, there's a section to 'Select an account to trade from' with a dropdown showing '5200'. Below this, the 'FUND' is \$1,256,089.31 and the 'TRADE IN ACCOUNT' is \$1,256,089.31. The 'Define Trade Instructions' section includes fields for Transaction (Buy), Order Type (Market), Duration (Day), Account Type (Cash), Quantity (100), Limit Price, and Stop Price. A checkbox is checked, indicating the order was recommended by a financial advisor. 'Review Order' and 'Cancel Order' buttons are at the bottom right.

1. On the home page, click **Transact**. The **New Order** page displays.
2. From the **Trade** list, select **Equity**.
3. In the **Select an Asset to Trade** section, type the name of the equity you wish to buy. You can also click the **Select From Current Holdings** button to select an equity stock from your holdings.

4. In the **Select Account to Trade From** section, select an account from the list.
5. In the **Define Trade Instructions** section, provide the following information.
 - **Transaction**—From this list, select **Buy**.
 - **Order Type**—From this list, select the required order type.
 - **Duration**—From this list, select the required duration.
 - **Account Type**—This field will populate the actual Account Type (Cash/Margin)
 - **Quantity**—In this field, type the quantity to be bought.
 - **Limit Price**—In this field, type the limit price. This field will be available only if the **Order Type** is **Stop--Limit**.
 - **Stop Price**—In this field, type the stop price. **Order Type** is **Stop-Limit**.
6. Select the check box if the order was recommended by your financial advisor or representative.
7. Click the **Review Order** button. The **Review Order Ticket** window displays.
8. Review the information and click the **Submit** button.

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

Enter a Sell Equity Trade

The screenshot shows the 'New Order' page for IBM stock. The page is divided into several sections:

- Top Navigation:** Portfolio, Transact, Research, Tools, Communications. A 'Go paperless' link is also present.
- Order Entry Tabs:** New Order, Order Status, Pay Bills.
- Trade Selection:** A dropdown menu shows 'Equity' selected.
- IBM Stock Details:**
 - Company:** International Business Machines Corp.
 - Last Price:** \$185.17
 - Today's Change:** 0 (0%)
 - BID / ASK:** 183.36 / 1
 - ASK / BID:** 184.08 / 1
 - Financial Strength Indicator:** Not Bankrupt/Not Below Continuing Listing Standards/Not Late Filing.
 - As of 3:37PM 03/03/2014.**
 - Last Price:** represents the trade at which the last trade occurred.
 - Chart:** A line chart showing price movement from 10am to 4pm.
- Account Selection:** A dropdown menu shows 'Select an account to trade from' with a list of accounts.
- Funds Available:** FUNDS AVAILABLE TO TRADE IN ACCOUNT: -\$15,371.83
- Shares Held:** SHARES HELD OF IBM: 2,970
- Define Trade Instructions:**
 - Transaction:** Sell from Portfolio
 - Order Type:** Market
 - Duration:** Day
 - Account Type:** Cash
 - Quantity:** 10
 - Tax Lots:** Select
 - Limit Price:** Enter Limit Price
 - Stop Price:** Enter Stop Price
- Checkboxes:**
 - ☒ Yes, this order was recommended by my financial advisor/rep.
- Buttons:** Review Order, Cancel Order
- Footnote:** Funds Available to trade considers the previous day's sweep account balance, any pending credit or debit balance, and open buy orders. This figure does not include the commission to be assessed on a new buy order.

1. On the home page, click **Transact**. The **New Order** page displays.
2. From the **Trade** list, select **Equity**.
3. In the **Select an Asset to Trade** section, type the name of the equity you wish to sell. You

can also click the **Select From Current Holdings** button to select an equity stock from your holdings.

4. In the **Select Account to Trade From** section, select an account from the list.
5. In the **Define Trade Instructions** section, provide the following information.
 - **Transaction**—From this list, select **Sell from Portfolio**.
 - **Order Type**—From this list, select the required order type.
 - **Duration**—From this list, select the required duration.
 - **Account Type**— This field will populate the actual Account Type (Cash/Margin)
 - **Quantity**—In this field, type the quantity to be sold.
 - **Limit Price**—In this field, type the limit price. This field will be available only if the **Order Type** is **Stop-Limit**.
 - **Stop Price**—In this field, type the stop price. **Order Type** is **Stop-Limit**.
6. Select the check box if the order was recommended by your financial advisor or representative.
7. Click the **Review Order** button. The **Review Order Ticket** window displays
8. Review the information and click the **Submit** button.

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

Edit an Equity Trade

An equity trade can be edited only if the order is in the following statuses: Open, Part Executed, and Part Mixed.

The order with tax lot selections will remove its original selection and revert to the default disposition method.

To edit an equity trade:

1. On the home page, click **Transact**. The **New Order** page displays.
2. Click the **Order Status** tab.
3. From the **Viewing** list, select the account for which you wish to view the orders.
4. For the trade you wish to edit, click the **Expand** icon (+) to view the trade details. The trade details expand to display the details.
5. Click **Edit**. The **Trading—Order Entry** window displays.
6. Edit the required information. You can only edit the following details:
 - Quantity
 - Order Type
 - Price (unavailable for edit if **Order Type** is **Market**.)
 - Duration (unavailable for edit if **Order Type** is **Market**.)
 - Stop Price and Limit Price (available for edit if **Order Type** is **Stop-Limit**.)
7. Select the check box if the order was recommended by your financial advisor or representative.

8. Click the **Review Order** button. The **Review Order Ticket** window displays.
9. Review the information and click the **Submit** button.

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

Order a Mutual Fund Prospectus

1. Click **Transact**. The **Trading: Order Entry** window displays.
2. From the **Account** list, select the account in which the order will be placed.
3. In the **Symbol** field, type the symbol of the mutual fund or double-click the required mutual fund from the **My Holdings** section. The fund information displays.

Note: As you type the symbol, results, symbol or company name, display matching the entered characters. Select the required security from the list.

4. Towards the end of the fund information, click the **Order Prospectus** link. The **Order Prospectus** window displays.
5. In the screen, provide appropriate information in the following fields:
 - First Name
 - Last Name
 - Address
 - City
 - State
 - ZIP
 - Day Phone
 - Evening Phone
6. After providing the required information, click **Request Prospectus**. A window displays the confirmation message that the prospectus will be mailed within three business days. In the window, click **Close**.

Trade Mutual Funds

Purchase a Mutual Fund

All purchase orders for load funds will attract applicable transaction fees. To purchase a mutual fund:

1. On the home page, click **Transact**. The **New Order** page displays.
2. From the **Trade** list, select **Mutual Fund**.
3. In the **Select an Asset to Trade** section, type the name of the fund you wish to buy. You can also click the **Select From Current Holdings** button to select a fund from your holdings.
4. In the **Select Account to Trade From** section, select an account from the list.
5. In the **Define Trade Instructions** section, provide the following information.
 - **Transaction**—From this list, select **Buy**.
 - **Quantity to Buy**—From this list, select USD (\$) or # of Shares option and provide the required information in the text field below.
 - **Dividends, Income and Capital Gains**—From this list, select how you want to reinvest dividends, income and capital gains.
6. Select the check box to confirm you have read, understand and accept the terms outlined in the prospectus.
7. Select the check box if the order was recommended by your financial advisor or representative.
8. Click **Review Order**. The **Review Order Ticket** window displays.
9. Review the information and click **Submit**.

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

Exchange a Mutual Fund

All exchange orders for load funds will attract applicable transaction fees. A Mutual Fund Exchange order can be placed only if:

- There are no other unexecuted orders for the fund.
- If the daily cutoff time has passed, the next day's business price will be used.

To exchange a mutual fund:

1. On the home page, click **Transact**. The **New Order** page displays.
2. From the **Trade** list, select **Mutual Fund**.
3. In the **Select an Asset to Trade** section, type the name of the fund. You can also click the **Select From Current Holdings** button to select a fund from your holdings.
4. In the **Select Account to Trade From** section, select an account from the list.
5. In the **Define Trade Instructions** section, provide the following information.
 - **Transaction—From** this list, select **Exchange**.
 - **Exchange For—From** this list, select the required fund.
 - **Quantity to Exchange—From** this list, select USD (\$) or # of Shares option and provide the required information in the text field below. To exchange the entire quantity, select the **Exchange All** check box.
 - **Exchange All**—Select this check if you want to exchange the entire quantity.
 - **Dividends, Income and Capital Gains**—From this list, select how you want to reinvest dividends, income and capital gains.

Note: The dollar amount cannot exceed 80% of the market value; you can opt to exchange "all" or type a lesser amount.

Select the check box to confirm you have read, understand and accept the terms outlined in the prospectus.

6. Select the check box if the order was recommended by your financial advisor or representative.
7. Click Review Order. The Review Order Ticket window displays.
8. Review the information and click Submit.

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

Redeem a Mutual Fund

All redeem orders for load funds will attract applicable transaction fees. To redeem a mutual fund:

1. On the home page, click **Transact**. The **New Order** page displays.
2. From the **Trade** list, select **Mutual Fund**.
3. In the **Select an Asset to Trade** section, type the name of the fund. You can also click the **Select from Current Holdings** button to select a fund from your holdings.
4. In the **Select Account to Trade From** section, select an account from the list.
5. In the **Define Trade Instructions** section, provide the following information.

- **Transaction**—from this list, select **Redeem**.
- **Quantity to Redeem**—from this list, select USD (\$) or # of Shares option and provide the required information in the text field below. To redeem the entire quantity, select the **Redeem All** check box.

Note: The dollar amount cannot exceed 80% of the market value; you can opt to redeem "all" or type a lesser amount.

- **Redeem All**—Select this check if you want to redeem the entire quantity.
 - **Dividends, Income and Capital Gains**—from this list, select how you want to reinvest dividends, income and capital gains.
6. Select the check box to confirm you have read, understand and accept the terms outlined in the prospectus.
 7. Select the check box if the order was recommended by your financial advisor or representative.
 8. Click **Review Order**. The **Review Order Ticket** window displays.
 9. Review the information and click **Submit**.

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

Trade Options

Buy Call or Put Option Order

The screenshot shows the 'New Order' page for buying a call option on Microsoft Corp. (MSFT). The page is divided into several sections:

- Trade:** A dropdown menu set to 'Option'.
- MSFT Details:**
 - Symbol: MSFT, Company: MICROSOFT CORP COM
 - Option: 03222014 MSFT Mar 22 2014 \$35 Call C
 - Quantity: 35.000
 - Last Price: \$2.7, Today's Change: 0.02 (0.75%)
 - BD / SIZE: 2.68 / 0, ASK / SIZE: 2.7 / 0
- FINANCIAL STRENGTH INDICATOR:** A line chart showing the price of the option over time, with a peak at 3pm and a drop at 4pm.
- Define Trade Instructions:**
 - Transaction: Buy Call
 - Order Type: Market
 - Duration: Day
 - Account Type: Margin
 - Quantity: 10
 - Limit Price: Enter Limit Price
 - Stop Price: Enter Stop Price
 - Check box: Yes, this order was recommended by my financial advisor/rep.
- Buttons:** Review Order, Cancel Order

1. On the home page, click **Transact**. The **New Order** page displays.
2. From the **Trade** list, select **Option**.

3. In the **Select an Asset to Trade** section, type the symbol or name of the security. You can also click the **Select from Current Holdings** button to select a security from your holdings. The **Select an Option to Trade** window displays all option contracts and associated quotes.
4. Select the required contract, from the **Call** and **Puts** section. To trade the contract, click the link in the **Symbol** column or click **Get Real-Time Quotes** button to view the real-time information for the contract.
5. In the **Select Account to Trade From** section, select an account from the list.
6. In the **Define Trade Instructions** section, provide the following information.
 - **Transaction**—from this list, select **Buy Call** or **Buy Put**.
 - **Order Type**—from this list, select the required order type.
 - **Duration**—from this list, select the required duration.
 - **Account Type** — This field will populate the actual Account Type (Cash/Margin)
 - **Quantity**—in this field, type the number of contract to buy. One option contract usually has 100 shares of a stock, unless the option contract is **Mini**, which has 10 shares of a stock.
7. Select the check box if the order was recommended by your financial advisor or representative.
8. Click the **Review Order** button. The **Review Order Ticket** window displays.
9. Review the information and click the **Submit** button.

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

Close Call or Put Option Order

The screenshot shows the 'New Order' page for trading Microsoft Corp. Call options. The page is divided into several sections:

- Trade:** A dropdown menu set to 'Option'.
- MSFT MICROSOFT CORP COM:** Details for the selected security, including the symbol 'MSFT', the contract 'MSFT Mar 22 2014 \$35 Call C', and the quantity '35,000'.
- LAST PRICE:** \$2.7
- TODAY'S CHANGE:** 0.02 (0.75%)
- BID / ASK:** 2.68 / 0
- ASK / BID:** 2.7 / 0
- FINANCIAL STRENGTH INDICATOR:** A line chart showing the price movement of the stock from 10am to 4pm. The y-axis ranges from \$2.64 to \$2.68. The chart shows a sharp decline in price around 3pm.
- As of 8:14PM 02/26/2014:** Last Price represents the trade at which the last trade occurred.
- Select an account to trade from:** A dropdown menu set to '520'.
- FUNDS AVAILABLE TO TRADE IN ACCOUNT:** \$1,310,087,576.21
- Define Trade Instructions:**
 - Transaction:** Close Call
 - Order Type:** Select Order Type
 - Duration:** Select Duration
 - Account Type:** Select Account Type
 - Quantity:** Enter Quantity
 - Limit Price:** Enter Limit Price
 - Stop Price:** Enter Stop Price
 - ☒ Yes, this order was recommended by my financial advisor/rep.
- Buttons:** Review Order, Cancel Order

1. On the home page, click **Transact**. The **New Order** page displays.

2. From the **Trade** list, select **Option**.
3. In the **Select an Asset to Trade** section, type the symbol or name of the security. You can also click the **Select from Current Holdings** button to select a security from your holdings. The **Select an Option to Trade** window displays all option contracts and associated quotes.
4. Select the required contract, from the **Call** and **Puts** section. To trade the contract, click the link in the Symbol column or click **Get Real-Time Quotes** button to view the real-time information for the contract.
5. In the **Select Account to Trade From** section, select an account from the list.
6. In the **Define Trade Instructions** section, provide the following information.
 - **Transaction** — from this list, select **Close Call** or **Close Put**.
 - **Order Type** — from this list, select the required order type.
 - **Duration** — from this list, select the required duration.
 - **Account Type** — This field will populate the actual Account Type (Cash/Margin)
 - **Quantity** — in this field, type the number of contract to close.
7. Select the check box if the order was recommended by your financial advisor or representative.
8. Click the **Review Order** button. The **Review Order Ticket** window displays.
9. Review the information and click the **Submit** button.

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

Fixed Income Trading

Ability to SSO to BondDesk from

For Fixed Income research, users will be able to SSO to BondDesk platform by clicking the Launch Fixed Income Inventory Search link. Users will be prompted with a disclaimer to access the BondDesk search page, upon acceptance; users will be navigated to the Fixed Income search page.

INVESTING Quick Quote

PORTFOLIO **TRANSACT** RESEARCH TOOLS COMMUNICATIONS

New Order Order Status Pay Bills 529 Plan Allocation **Fixed Income Search**

Fixed Income Search

To view fixed income inventory, please click the link below. Please note that a new window will open and you will be brought to a third party site, where you will be able to search and filter across a broad selection of fixed income bonds. Please contact your advisor to execute fixed income trades.

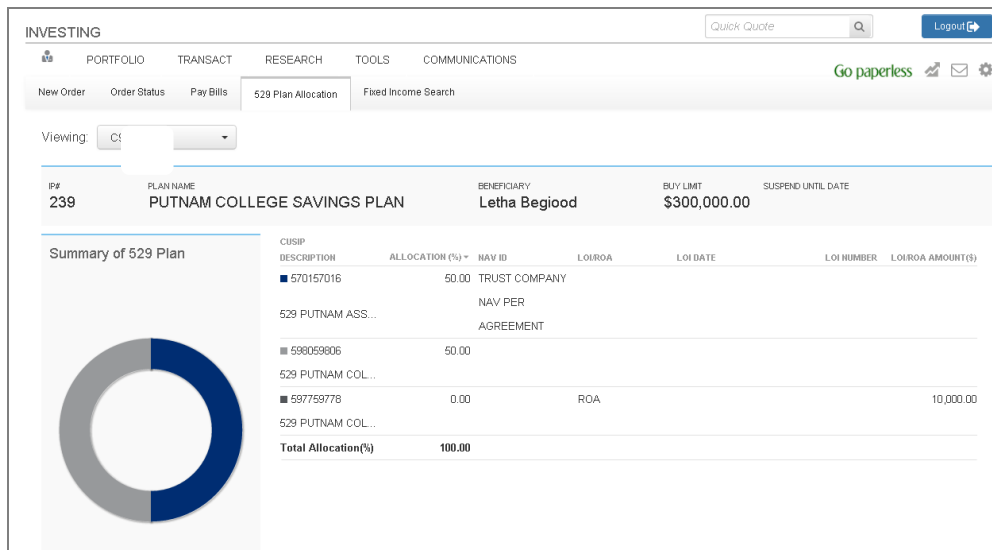
[Launch Fixed Income Inventory Search](#)

This link will bring you to BondWorks, a site which is provided by third party as a convenience to you. BondWorks is outside the control of Pershing. The provision of the link is not an endorsement of BondWorks, its content or services, or its sponsoring organization. ANY REFERENCES TO A SECURITY IN BONDWORKS IS NOT A RECOMMENDATION BY PERSHING TO BUY, SELL, OR HOLD THAT, OR ANY OTHER SECURITY. Pershing does not take responsibility for the suitability of BondWorks, its content or services. No judgment or warranty is made with respect to the accuracy, timeliness or suitability of the BondWorks, its content or services.

529 Plans

Viewing 529 plan allocations

Users can view their 529 plan allocations linked to their brokerage account on Investments site by accessing the 529 Plan Allocation option under the Transact tab. Users will be able to view the details of their 529 plans with the allocation breakup across different funds the investments are made in.



View Order Status

The screenshot shows the 'View Order Status' page. At the top, there are tabs for Portfolio, Transact, Research, Tools, and Communications. Below these are sub-tabs for New Order, Order Status, Commission Schedule, and Pay Bills. The 'Order Status' tab is active. On the left, there is a 'Filter By' section with a text input for 'Symbol, name, CUSIP or ISIN' and a dropdown for 'TRADE STATUS' set to 'All'. An 'Apply Filters' button is below. The main area displays a table of orders. The table has columns: DATE, TRANSACTION TYPE, SYMBOL/CUSIP, QUANTITY, TYPE, PRICE (\$), DURATION, and STATUS. The table shows several orders, including 'Sell call to open' and 'Buy' orders for symbols like ACN, SM, ASAX, and GOOG. A 'Cancel Order' button is visible next to one of the orders.

The **Order Status** page displays the following:

- Day duration order is shown until the end of the day.
- Good Till Cancelled order is shown until the order is executed or cancelled manually. If the order is not cancelled manually, the order will get cancelled automatically after 90 days.

From this page, you can view the details like, quantity, symbol, status etc. From this page, you can also edit or cancel an order. You can view the order status information for an individual account, groups or all linked accounts.

- To view the orders page, click **Transact** on the **Investments** home page and then click **Order Status**.
- To view the orders for a single account, select the required account from the **Viewing list**.
- To view the orders for a group, select the required group from the **Viewing list**.
- To view the orders for all account, select **All Accounts** from the **Viewing list**.

You can filter the information to display according to your requirements.

Provide information in one or all of the following filters and click the **Apply Filters** button.

- Symbol/Name/CUSIP or ISIN
- Trade Status

To view the order details, click the **Expand (+)** button. To hide the order details, click the **Collapse (-)** button.

You can [download](#) the information displayed in the page to a **Microsoft Excel** file or view the history of all activities, click the [History](#) link.

Cancel an Order

An order can be cancelled if the trade has not been executed. The various scenarios during which an order can be cancelled are provided in the table below. A confirmation message, after submission, does not imply the order has been cancelled, but only a request to cancel an order has been placed. The status of cancellation request can be viewed on the [Order Status](#) page.

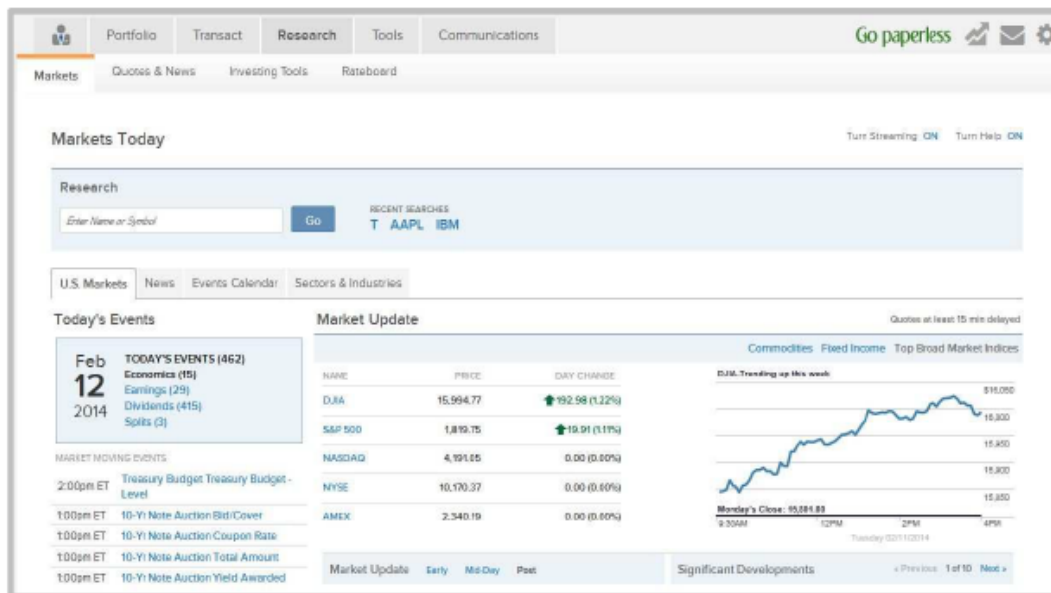
Order Status	Stocks	Options	Mutual Funds
Open	X	X	X
Pending	X	X	X
Part Executed	X	X	
Part Mixed	X	X	

1. On the home page, click **Transact**. The **New Order** page displays.
2. Click the **Order Status** tab.
3. From the **Viewing** list, select the account for which you wish to view the orders.
4. For the trade you wish to edit, click the **Expand** icon (+) to view the trade details. The trade details expand to display the details.
5. Click **Cancel Order**. The **Trading: Cancel Order** window displays.
6. Click **Submit Order Cancellation**. A confirmation message displays.

8. Research

Markets

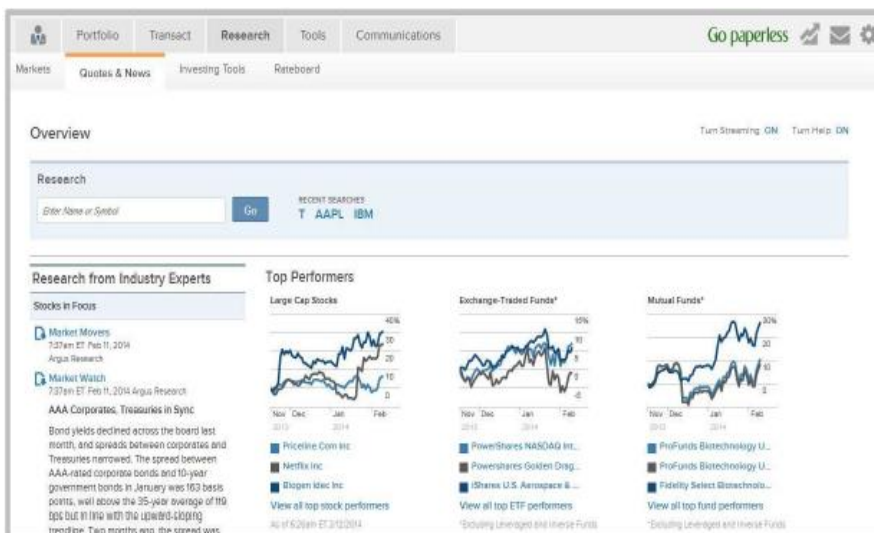
The **Markets** tab enables you to view stock market updates, market movers, Advancers/decliners, access to real-time market news and events.



Quotes & News

The **Quotes & News** tab enables you to view full quote and perform research of a security. From this tab, you can view the following:

- Research from industry sources
- Market headlines



Investing Tools

The **Investing** Tools tab enables you to view predefined stock, ETF and mutual fund screeners; compare stocks and funds for profile, performance, risk, and much more. Upon clicking any of the links, the user will be redirected to the websites. A warning message would be rendered each time a user is being navigated to the 3rd party website.

The screenshot displays the 'Investing Tools' section of a financial platform. At the top, there's a navigation bar with tabs: Portfolio, Transact, Research, Tools, and Communications. Below this, a sub-bar includes Markets, Quotes & News, Investing Tools (highlighted), and Rateboard. The main content area is titled 'Investing Tools' and includes a 'Research' section with a search bar and a 'Go' button. Recent searches for 'AAPL' and 'IBM' are listed. Below the search bar are tabs for Overview, Screeners, Multi-Quote Compare, My Watchlists, and Market Alerts. The 'Screeners' tab is active, showing 'Research from Industry Experts'. It features two main sections: 'Stocks in Focus' and 'Funds in Focus'. The 'Stocks in Focus' section lists 'Market Movers', 'Market Watch', and 'Portfolio Selector'. The 'Funds in Focus' section lists 'ETF Weekly'. To the right, there are 'STOCK SCREENER EXAMPLES' and 'ETF SCREENER EXAMPLES' with links to 'View Matches'.

Redirect Confirmation

⚠ Please Note: By clicking on Continue, you will leave this site and enter another web site created, operated, and maintained by a different company, and subject to different disclosures, policies and practices. You should review the new information carefully before using the site.

Continue

Close

Rate board

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

Money Market Product Rates		7 day Yield as of 02/11/2014	
PERSHING CREDIT INTEREST		0.00%	
CA MUNI CASH TRUST CASH SERIES		0.00%	
FEDERATED CAPITAL RESERVES		10.83%	
CT MUNI CASH TRUST CASH SERIES		0.00%	
FL MUNI CASH TRUST CASH SERIES		0.00%	
FEDERATED GOVERNMENT RESERVES		10.83%	
FEDERATED MUNICIPAL TRUST		0.00%	
NJ MUNI CASH TRUST CASH SERIES		0.00%	
NY MUNI CASH TRUST CASH SERIES		0.00%	
VA MUNI CASH TRUST CASH SERIES		0.00%	
TREASURY CASH SERIES		0.00%	
		Back To Top	
Currency Rates		As of 02/11/2014	
United States Dollar(per US dollar)		1.000000	
Australian Dollar (per US dollar)		1.107419	
Brazilian Real (per US dollar)		2.410900	
British Pound (per US dollar)		0.606722	
Chinese Renminbi (per US dollar)		6.090900	
Interest Rates		Current Yield as of 02/11/2014	
30 year Treasury bond		3.58%	
1 year Treasury bill		0.16%	
90 day Treasury bill		0.08%	
		Back To Top	
Stock & Option Indices		As of 02/11/2014	
Dow Jones Industrial Average (DJIA)	14910.34	No Chg	
NASDAQ Composite (COMP)	3376.22	No Chg	
S&P 500 Index (SPX)	1603.26	No Chg	
S&P 100 Index (OEX)	721.04	No Chg	
Major Market Index (MMI)	1528.07	No Chg	
		Back To Top	
Commodities		As of 02/11/2014	
Gold (London spot, troy oz.)	\$1,225.10	No Chg	
Silver (London spot, troy oz.)	\$18.52	No Chg	
Oil (W. Tx. Int. crude), barrel	\$95.48	No Chg	
		Back To Top	

9. Sort, Filter, Download and Print

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

Sort

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

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

Filter

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

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

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

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

Download

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

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

INVESTING

Quick Quote [Search] Logout [User Icon]

PORTFOLIO TRANSACT RESEARCH TOOLS COMMUNICATIONS

Go paperless [Paper Plane Icon] [Email Icon] [Settings Icon]

Overview Balances Holdings Unrealized Gain/Loss Realized Gain/Loss **History** Projected Cash Flow Managed Account Performance

Viewing: All Accounts

Filter By:

GOOG

TIME PERIOD: Last 90 Days

From Date [Calendar Icon] to To Date [Calendar Icon]

TRANSACTION: Security Transactions

Apply Filters

As of 02:55pm 04/11/2014

[View Foreign Exchange Rates](#) [View Pre-Conversion Transactions](#)

DATE	ACCOUNT	ACCOUNT TYPE	SYMBOL/CUSIP	ACTIVITY	NET AMOUNT CURRENCY	NET AMOUNT (USDE)
03/21/2014	C92910261	CASH	GOOG	STOCK SPIN-OFF RECEIVED ** GOOG	\$0.00	\$0.00
					USD	
03/21/2014	:90003655	CASH	GOOG	STOCK SPIN-OFF RECEIVED ** GOOG	\$0.00	\$0.00
					USD	
03/21/2014	:54377764	CASH	GOOG	STOCK SPIN-OFF RECEIVED ** GOOG	\$0.00	\$0.00
					USD	

Data is available sum of 2 years.

Download

Generate Adobe PDF

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

- Statements and Reports
- Trade Confirmations
- Tax Documents
- Notifications

To generate a PDF:

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

Statements & Reports

Combine Documents




TIME PERIOD: Last 12 Months

From Date [Calendar Icon] to To Date [Calendar Icon]

Apply Filters

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

The screenshot shows a web interface titled "Statements & Reports". At the top right are two buttons: "Generate PDF" and "Cancel". Below the title is a "TIME PERIOD" section with a dropdown menu set to "Last 12 Months", "From Date" and "To Date" date pickers, and an "Apply Filters" button. Below this is a table with three columns: "DATE", "TYPE", and "INSERTS". The table contains three rows, each with a checked checkbox, a document icon, the date "02/2014", the type "Monthly Statements", and the insert links "Insert 1, Insert 2, Insert 3".

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

Print

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

10. NetXInvestor Mobile App



If you have user credentials for the investments standalone site (investments.citi.com) you can access the Net X Investor Mobile app on either an iPad or iPhone.

The App will offer:

- Balances
- Holdings
- History
- Order Status
- e-Documents
- Quotes
- News and Markets Data
- Trading

Frequently Asked Questions:

1. Who is the Pershing NetXInvestor app intended for?

Any Citi client with an investment account who owns an iPad or iPhone.

2. Is there a charge for the app?

No, the app is free from the App store using either iPad or iPhone.

3. Can I use the app with an Android device?

No, at this time the app is only available for Apple devices- we plan to support Android devices in the future.

4. How do I get the app?

The app is available from the App store using your normal Apple credentials

5. There is another Pershing app in the store, “NetX Client”; can I use that one?

Download the NetXInvestor app- it's the latest version and is intended to be the companion app to the NetXInvestor web site that launched in July 2014

6. Once downloaded, how do I sign into the app?

Log in with the usual user name and password for the investments site (investments.citi.com), plus the Identity Verification Code (IVC). Users will also need to populate the Financial Organization Code which is C01 or the first 3 digits of your account number.

7. What can I do if I do not have login credentials for the investments site?

Visit www.investments.citi.com and click on the 'Register' button on the login page-anyone who is not able to self-register online can call the support number listed for assistance.



8. Can I trade on the mobile app?

You may do any of the trading activities that you can normally do on the web, based on your profile.

9. Can I customize my experience on the app such as create account nicknames, custom account groups, etc.?

No, these types of personalization should be done through a PC login to www.investments.citi.com. The customized names and groups will then appear on the mobile app as well.

10. How do I get support for the mobile app?

Support is through calling the support numbers appearing on the website or app

11. Why does the app not contain Citi branding?

The app is currently released in an unbranded version without Citi customization we intend to have a branded offering in the future.

12. How is this app different from the Citi Mobile app?

The app for investments is intended to support the needs of investment account holders and has trading capabilities- the mobile app from Citi is bank account focused and shows only high level investment account balances.

13. Why are there multiple apps- will there be a consolidated experience in the future?

Each app offers distinct features- we intend to offer an integrated mobile app experience for both banking and investments in the future

14. Can I transfer funds on the Pershing NetXInvestor Mobile app?

No, this feature is not available on the mobile app at this time

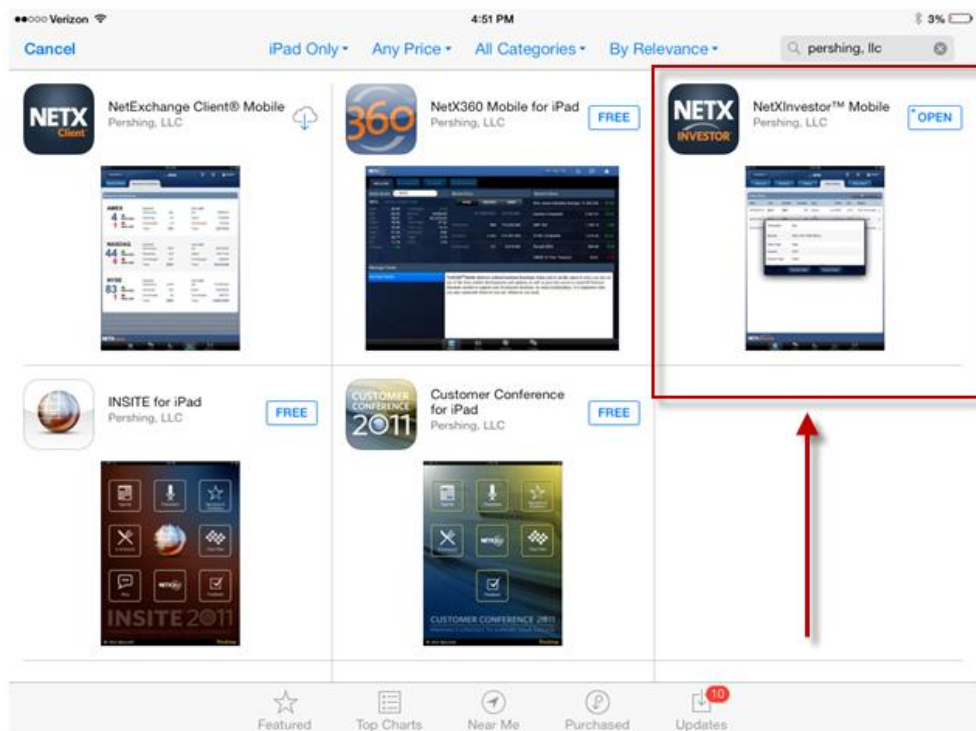
15. Is the Pershing mobile app secure?

The app contains all of the same multi-factor authentication features as the web based experience, including IVC (Identity Verification Code)

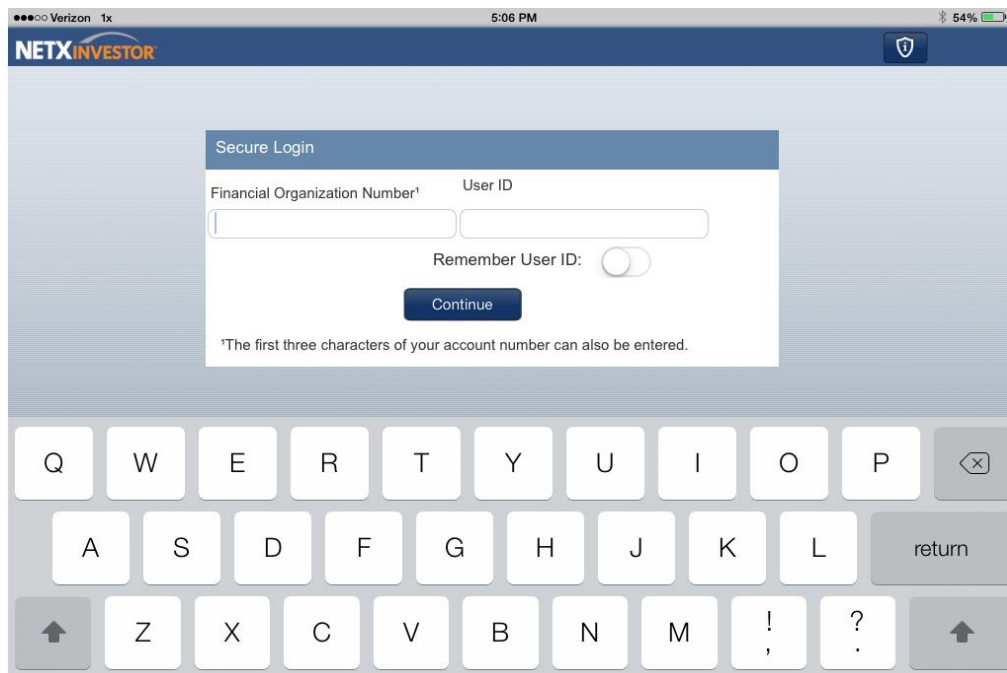
16. What does the app look like?

The screenshots below show the various pages of the app

App store search



Login page of app:



Identity Verification Code screen:

NETXINVESTOR XAT

4:51 PM 3%

Your device was not recognized

User ID: **Cititestxtat1**

Enter your **identity verification code**

Verify Identity

You should receive your **identity verification code** promptly. Once you receive your code, enter it above.

If you did not receive a code, **Try Again**

Contact Client Support at (855) 804-1944 or (210) 677-3782 (toll call) if you have difficulty verifying your identity or did not receive an identity verification code.

Accounts View—All Accounts, Groups, or individual account

NETXINVESTOR XAT

4:58 PM 1%

GROUPS

.....0000

.....2838

.....3454

.....2499

.....9000

	Previous Close(\$)	Current(\$)	Change(\$)	Change(%)
	\$135.72	\$134.06	\$-1.66	-1.22%
	\$0.00	\$0.00	\$0.00	0.00%
	\$0.00	\$0.00	\$0.00	0.00%
	\$0.00	\$0.00	\$0.00	0.00%
	\$514,114.08	\$514,114.08	\$0.00	0.00%
Net Worth	\$514,249.80	\$514,248.14	\$-1.66	0.00%
Total Annuity Value*	\$61,831,079.90	N/A	\$0.00	0.00%
Total Account Value	\$62,345,329.70	\$62,345,328.04	\$-1.66	0.00%

Funds Available / Due

\$514,114.08	Withdrawal	\$449,892.64	Trade*	\$0.00	Due*
--------------	------------	--------------	--------	--------	------

NETXINVESTOR XAT

As of 04/04/2014

Accounts Trading Quotes Market Info MSG Center

Holdings View

Verizon 4:58 PM 1%

GROUPS0000

Balances Holdings History Order Status eDocument

Intraday Market Value Real Time* OFF

\$-3.24 Change \$62,345,331.28 Previous \$62,345,328.04 Current

Equities

Symbol/CUSIP	Quantity	Last Price ¹	Chg(\$)	Chg(%)	Market Value
BMJ	2.0	49.89	-1.96	-1.93	99.78
BRISTOL MYERS SQUIBB CO COM					
TE	2.0	17.14	0.30	0.88	34.28
TECO ENERGY INC COM					
Total			\$-1.66	-1.21%	\$134.06

Cash, Money Funds, and Bank Deposits

Description	Acct Type	Chg(\$)	Market Value
CASH		0.00	514,114.08

NETXINVESTOR XAT As of 04/04/2014 16:58:11 ET

Accounts Trades Quotes Market Info MSG Center

History Page

Verizon 5:00 PM 2%

GROUPS CAROLINE TEST

Balances Holdings History Order Status

History All Last 90 Days

Date	Account #	Description	Amount
04/01/2014	C24043454	CASH DIVIDEND RECEIVEDISIN# US1912161007...	3.66
03/28/2014	C24043454	SECURITY REDEEMED ** 3130A0A42ISIN# US3130A0A428...	191.00
03/28/2014	C24043454	BOND INTEREST RECEIVED 3130A0A42ISIN# US3130A0A428...	0.10
03/20/2014	C01002838	YOUR ASSET TRANSFERRED...	21.00
03/17/2014	C24043454	MUTUAL FUND 12B-1 FEE...	0.15
02/28/2014	C24043454	BOND INTEREST RECEIVED FNMA4037950ISIN# US3136G1SS99...	4.17
02/27/2014	C24043454	MUTUAL FUND 12B-1 FEE...	0.17
02/11/2014	C24043454	CASH DIVIDEND CHARGEDISIN# US03879N1019...	-2.06

NETXINVESTOR XAT

Accounts Trades Quotes Market Info MSG Center