

Trading

Introduction.....	1
Accessing Trading Functions.....	2
Selecting Accounts	2
Using Order Lists	3
Entering an Equity Order.....	5
Optional Fields on the Equity Order Ticket.....	7
Entering a Mutual Fund Order.....	13
Optional Fields on the Mutual Fund Order Ticket.....	15
Mutual Fund Breakpoints	18
Calculating Sales Charge and Using Breakpoint Overrides	19
Other Breakpoint Pricing Resources	20
Entering an Options Order.....	29
Optional Fields on the Options Order Ticket.....	31
Options Lookup.....	34
Accessing BondTraderPro® (Trade Fixed Income Menu Option).....	36
Entering an ECN Extended Hours Order	37
Electronic Trading Rules for Entering ECN Extended Hours Orders	37
Optional Fields on the ECN Order Ticket.....	40
Choosing Specific Shares	43
Manually Entering Tax Lots.....	46
Verifying and Submitting an Order	49
Warnings	52
Checking Order Status.....	53
Canceling an Order	55
Canceling and Replacing an Order	57
Updating an Order	59
Using Commission Calculator	62
Using Margin Calculator	64
Descriptions of Margin Calculator Output Fields	68
Using Order Manager.....	71
Accessing Order Manager	73
Displaying Current Day Orders	74
Displaying Order Event History for a Past Date	77
Displaying Order Details	80

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Introduction

Using Streetscape®, you can electronically trade securities held in a brokerage account by:

- Completing the online order ticket
- Verifying the order detail
- Submitting the order

Additionally, you can use Order Manager to help manage orders across your book of business.

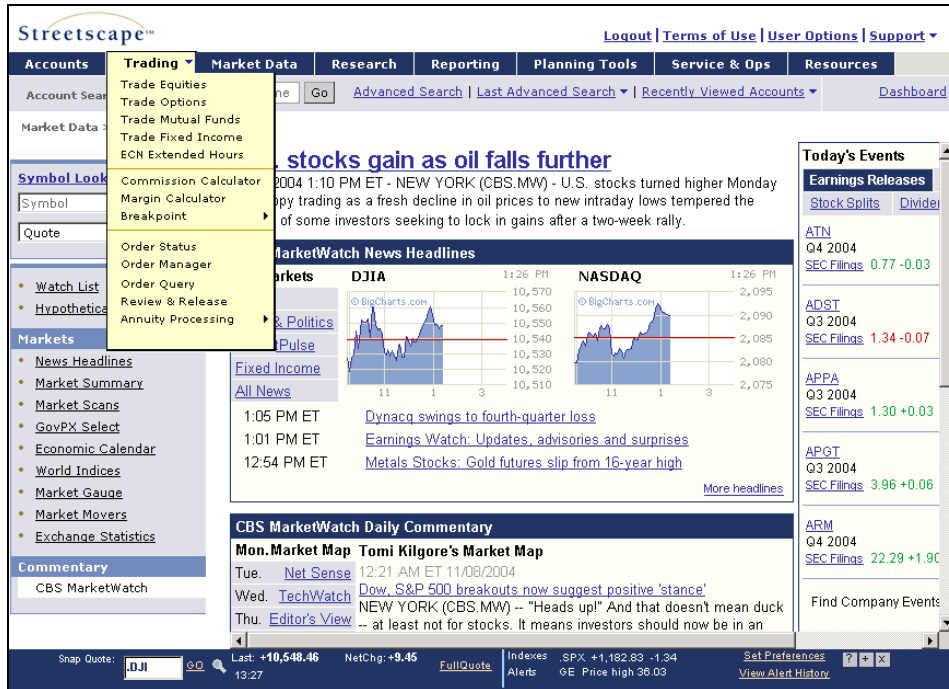
This guide describes most of the trading functions that you can access from the Trading menu in Streetscape.

<p>Trading ▼</p> <ul style="list-style-type: none"> Trade Equities Trade Options Trade Mutual Funds Trade Fixed Income ECN Extended Hours <hr/> <ul style="list-style-type: none"> Commission Calculator Margin Calculator Breakpoint ▶ <hr/> <ul style="list-style-type: none"> Order Status Order Manager Order Query Review & Release Annuity Processing ▶ 	<ul style="list-style-type: none"> ▪ Trade Equities ▪ Trade Options ▪ Trade Mutual Funds ▪ Trade Fixed Income ▪ ECN Extended Hours ▪ Commission Calculator ▪ Margin Calculator ▪ Breakpoint ▪ Order Status ▪ Order Manager ▪ Order Query (not covered in this guide) ▪ Review & Release (not covered in this guide) ▪ Annuity Processing (not covered in this guide)
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Accessing Trading Functions

- ▶ To access trading functions:
 - On the main Streetscape window, click the **Trading** tab.

The Trading menu displays. The content of your Trading menu is determined by the implementation of Streetscape at your site and by the entitlements associated with your user ID.



Note
 When you display the Trading menu, trade-related functions become available, enabling you to place orders, review order statuses, and so forth.

Selecting Accounts

Before you can begin entering orders, you must first enter, or search for and select, an account. To do this, use the Account Search options located under the menu bar. For more information on using the Account Search options, see Online Help or the *Site Basics Guide*.



Using Order Lists

In addition to being able to fill out an order ticket and submit the ticket for execution, you can use an order list to hold a number of orders so that you can submit them as a group. The following example shows an order list with three equity orders for two different accounts:

Order List - 3 Orders Added											
Important: Up to 10 orders can be added. Orders on this list have not been sent and are only compiled/saved during your login session. When your session ends, any unsent orders are cleared.											
Account	Action	Order Quantity	Symbol/CUSIP	Price	TIF	Account Type	Order Condition	Special Conditions	Commission Amount	Selected	
033-005762 (JONES)	Sell	200	CSCO	Market	Day	Cash	Unsolicited	None	\$67.50	<input checked="" type="checkbox"/>	Edit Delete
033-000914 (CASEY)	Sell	200	APC	Market	Day	Cash	Unsolicited	None		<input checked="" type="checkbox"/>	Edit Delete
033-000914 (CASEY)	Sell	100	ADBE	Market	Day	Cash	Unsolicited	None		<input checked="" type="checkbox"/>	Edit Delete
<input type="button" value="Clear"/>										<input type="button" value="Verify 3 Selected"/>	
View Important Trading Information											

You can add up to 10 orders to your order list before sending them to the market for execution. Although the list can include orders for multiple accounts to which you are authorized, it cannot include orders for multiple security types (such as one equity order and one mutual fund order.) Once added to the list, an order's estimated commission amount displays (as long as you did not enter a sales credit.)

Orders are added in descending order by time. The last order entered displays at the top of the list. As long as an order remains on the list, it has not been placed. You can continue to add orders to the list during your current session. Once your session ends, remaining orders are cleared.

From the list you can edit an order, delete an order, and verify/place orders.

Editing an Order on the Order List

You can change any characteristic of an order before sending it to the market for execution. The selected order displays in the order ticket, where you can enter changes. When you add the order back to the order list, it returns to the same position in the list as when originally added to the list.

Orders that failed verification remain in the list until either edited and resubmitted or deleted. Streetscape also displays the error messages received so you can refer to the messages while entering corrections.

Note

If you have already added an order to the order list, but then decide to submit the order as a single order or to select specific shares, you must delete the order from the order list and re-enter it as a single order.

► To edit an order on the order list:

1. Click the order's **Edit** link to return its entries to the order ticket.

2. Enter changes and click the **Update Order** button to add the order back to the order list. For example:

The screenshot shows the 'Trading' interface. At the top, there are various input fields for order details: Acct Rep (JFS), Price Type (Market), Special Cond (None), Misc Fee, Action (Sell), Price, Commission, Misc Desc, Quantity (200), Time in Force (Day), Override Type (No Override), Order Rcpt Date (mm/dd/yyyy), Symbol/EUSIP (CSCO), Acct Type (Cash), Order Cond (Unsolicited), Order Rcpt Time (hh:mm:ss), and a 'Calculate' button. Below these fields are checkboxes for 'Principal Net Trade' and 'Sales Credit', and a 'Skip Order Verification' checkbox. A red circle highlights the 'Update Order' button. Below the form is the 'Order List - 3 Orders Added' section, which includes an important note and a table of orders. An annotation points to the first row of the table.

Order List - 3 Orders Added

Important: Up to 10 orders can be added. Orders on this list have not been sent and are only compiled/saved during your login session. When your session ends, any unsent orders are cleared.

Account	Action	Order Quantity	Symbol/EUSIP	Price	TIF	Account Type	Order Condition	Special Conditions	Commission Amount	Selected	
033-005762 (JONES)	Sell	200	CSCO	Market	Day	Cash	Unsolicited	None	\$67.50	<input checked="" type="checkbox"/>	Edit Delete
033-000914 (CASEY)	Sell	200	APC	Market	Day	Cash	Unsolicited	None		<input checked="" type="checkbox"/>	Edit Delete
033-000914 (CASEY)	Sell	100	ADBE	Market	Day	Cash	Unsolicited	None		<input checked="" type="checkbox"/>	Edit Delete

Buttons: Clear, Verify

Deleting an Order from the Order List

Once you delete an order from the order list, it cannot be retrieved. To delete an order from the order list, click the order's **Delete** link.

Verifying and Placing Orders from the Order List

You can verify/place all orders on the order list or a subset of them.

► **To verify/place orders on the order list:**

1. Ensure that the **Selected** check box for each order that you want to verify/place contains a check mark. (If an order's selected check box is not checked, the order will not be verified/placed, but it will remain on the order list.)
2. Click **Verify Selected** to display the Verification window or **Place Selected** to display the Confirmation window.

Entering an Equity Order

You can enter brokerage account orders for listed and over the counter equity securities. Valid orders include day limit short sales, which require that an existing margin agreement be on file. Streetscape obtains the required stock loan approval at order verification. If shares are unavailable, the order will not be verified.

You can also attempt to sell shares not held in the account. To do this, you mark the order as a long sale or short sale exempt.

If your user access entitles you to, you can enter up to 10 orders in a single window before placing the orders. Although your list of orders can include multiple accounts to which you are authorized, it cannot include multiple security types.

Note

Orders are executed only during market hours. All orders may be held for review. Held orders will not be submitted to the market for execution until approved and released during business hours. Held orders can be viewed on the Order Status window, and if rejected will be your only notification.

► To enter an equity order:

1. Specify the appropriate account.
2. Select the **Trading tab** and then select **Trade Equities** to open its order ticket window.

Tip

*While entering an order, click **Account Info** to link to additional information specific to the current account.*

Trade Equities

033-005762 - JONES Joint with Survivorship Acct Net Worth : \$505,267.87 [Margin Calculator](#) | [Account Info](#) ▾

Acpt Rep	Price Type: <input type="text" value="Market"/>	Special Cond: <input type="text" value="None"/>	Misc Fee: <input type="text"/>
Action: <input type="text" value="- Select -"/>	Price: <input type="text"/>	Commission: <input type="text"/>	Misc Desc: <input type="text"/>
Quantity: <input type="text"/>	Time in Force: <input type="text" value="Day"/>	Override Type: <input type="text" value="No Override"/>	Order Rcpt Date: <input type="text" value="mm/dd/yyyy"/>
Symbol/CUSIP: <input type="text"/> Get ▾	Acct Type: <input type="text" value="Cash"/>	Override Amt: <input type="text"/>	Order Rcpt Time: <input type="text" value="hh:mm:ss"/>
Symbol Lookup	Order Cond: <input type="text" value="Unsolicited"/>	<input type="button" value="Calculate"/>	Vs. Purchase Date: <input type="text" value="mm/dd/yyyy"/>
<input type="checkbox"/> Principal Net Trade	Sales Credit: <input type="text"/>		<input type="checkbox"/> Specify Shares
			<input checked="" type="checkbox"/> Average Price

 Skip Order Verification

Order List - 0 Orders Added

Important: Up to 10 orders can be added. Orders on this list have not been sent and are only compiled/saved during your login session. When your session ends, any unsent orders are cleared.

Account	Action	Order Quantity	Symbol/CUSIP	Price	TIF	Account Type	Order Condition	Special Conditions	Commission Amount	Selected
<input type="button" value="Clear"/> Commission Total \$0.00 <input type="button" value="Verify"/>										

[View Important Trading Information](#)

3. Complete the following required fields:

Field	Description						
Acpt Rep	The code of the investment professional who accepted the order. If no code displays, enter the appropriate three-character rep code. This value remains the default for your order ticket until you enter a different code or end your online session.						
Action	<p>Select the action to perform:</p> <p>Buy</p> <p>Sell</p> <p>Buy to Cover</p> <p>Sell Short</p> <p>Sell (Deliver by S/D) Sell a position the account holder owns, but that is not in the brokerage account. The position will be delivered by settlement date.</p> <p>Sell (Deliver post S/D) Sell a position the account holder owns, but that is not in the brokerage account. The position will <i>not</i> be delivered by settlement date, but will be delivered within a reasonable time frame thereafter.</p> <p>Notes <i>The stock loan approval process for short sales is automated in Streetscape. The approval process verifies that shares have been located at the time of order entry and have been assigned a tag number.</i></p> <p><i>If you select Sell Short, Acct Type automatically displays Short and Time in Force displays Day.</i></p>						
Quantity	Enter the number of shares for the order as a whole number greater than zero. Do not enter fractional share amounts. When selling a position that has a fractional share, the fractional share is settled automatically.						
Symbol/CUSIP	<p>Enter or look up the security's market symbol or CUSIP number. To quickly view a symbol's quote or headline news, click the Get link.</p> <p>To enter a preferred stock symbol, use these guidelines:</p> <table border="0" data-bbox="560 1396 1299 1648"> <thead> <tr> <th data-bbox="560 1396 779 1428">For a</th> <th data-bbox="779 1396 1299 1428">Enter this</th> </tr> </thead> <tbody> <tr> <td data-bbox="560 1449 779 1543">Preferred stock</td> <td data-bbox="779 1449 1299 1543">The stock symbol without the slash and include <i>PR</i> after the stock symbol, such as <i>IBMPR</i>.</td> </tr> <tr> <td data-bbox="560 1564 779 1648">Preferred stock with class</td> <td data-bbox="779 1564 1299 1648">The stock symbol without the slash, and include <i>PR</i> and the class symbol after the stock symbol, such as <i>CHLPRC</i>.</td> </tr> </tbody> </table> <p>Do not include a slash in the symbol (the order will fail.)</p>	For a	Enter this	Preferred stock	The stock symbol without the slash and include <i>PR</i> after the stock symbol, such as <i>IBMPR</i> .	Preferred stock with class	The stock symbol without the slash, and include <i>PR</i> and the class symbol after the stock symbol, such as <i>CHLPRC</i> .
For a	Enter this						
Preferred stock	The stock symbol without the slash and include <i>PR</i> after the stock symbol, such as <i>IBMPR</i> .						
Preferred stock with class	The stock symbol without the slash, and include <i>PR</i> and the class symbol after the stock symbol, such as <i>CHLPRC</i> .						

4. Enter any optional information necessary to complete the order. For information on optional fields, see "Optional Fields on the Equity Order Ticket," next.

5. Do one of the following:
 - To verify a single order, click the **Verify Now** button.
 - To skip verification on a single order (if you selected Skip Order Verification), click the **Place Now** button.
 - To specify which open share lots to trade (if you selected Specify Shares), click the **Continue** button.
 - To add the order to your order list, click the **Add to Order List** button. Order entries are moved from the order ticket to the list. From the list, do one of the following:

To	Do This
Enter another order for the same account	Repeat from step 2 above
Enter an order for another account	Repeat from step 1 above
Verify/place orders from the order list	See "Verifying and Placing Orders from the Order List" within this guide.

Optional Fields on the Equity Order Ticket

The table below provides information about the optional fields on the equity order ticket.

The screenshot shows an equity order ticket form with the following fields and options:

- Price Type:** Market (dropdown)
- Price:** [Text input]
- Time in Force:** Day (dropdown)
- Acct Type:** Cash (dropdown)
- Order Cond:** Unsolicited (dropdown)
- Special Cond:** None (dropdown)
- Commission:** [Text input]
- Override Type:** No Override (dropdown)
- Override Amt:** [Text input]
- Calculate:** [Button]
- Misc Fee:** [Text input]
- Misc Desc:** [Text input]
- Order Rcpt Date:** mm/dd/yyyy (calendar icon)
- Order Rcpt Time:** hh:mm:ss
- Vs. Purchase Date:** mm/dd/yyyy (calendar icon)
- Principal Net Trade
- Sales Credit [Text input]
- Specify Shares
- Average Price

Buttons at the bottom: Add to Order List, Verify Now, Clear, Skip Order Verification

Optional Fields on the Equity Order Ticket	
Field	Description
Price Type	<p>Select one of the following options:</p> <p>Market Order will be filled at the available market price. Do not enter a price.</p> <p>Limit Order will be filled only at the price you enter or better (at price or less for a buy order; at price or greater for a sell order.)</p> <p>Stop Loss Order will be filled only at the price you enter (above the current market price for buy orders; below the current price for sell orders.)</p> <p>Stop Limit Order will be filled at the price you enter or better, but only after reaching or exceeding the specified stop price.</p>
Price	<p>If you select Price Type <i>Limit</i>, <i>Stop Loss</i>, or <i>Stop Limit</i>, enter a price.</p> <p>If you select Price Type <i>Market</i>, leave this field blank.</p> <p>If you select <i>Principal Net Trade</i>, enter the net price in this field.</p> <p>Note <i>The price cannot be more than 30% away from the current market price. Prices can include up to four decimal places (.0001) if the security is eligible to trade in that way.</i></p>

Optional Fields on the Equity Order Ticket	
Field	Description
Time in Force	<p>Select the time requirements to place on the order:</p> <p>Day Order is to be canceled if not executed on the trading day entered.</p> <p>Good Till Canceled (120 days) Order is to remain in effect until executed, canceled, or expired (after 120 days.) Good Till Canceled (GTC) limit orders that are not close to the current market may be automatically canceled. Monitor open orders regularly to make sure they represent your customer's investment needs.</p> <p>Good Till Crossing Limit order is eligible for execution at NYSE and AMEX closing prices during the crossing session (4:15 P.M. to 5:00 P.M. ET.) If the order does not execute during the session, it returns to the original position in the specialist's book as a Good Till Canceled order for up to 119 market sessions.</p> <p>Fill or Kill Order is to be executed immediately in its entirety on the trading day entered. No partial executions allowed.</p> <p>Immediate or Cancel Order is to be executed immediately either in its entirety or partially on the trading day entered. Any portion not immediately executed is canceled.</p> <p>At the Open Order is to be executed at the specified price when the market opens. If the trade cannot occur at the price, the order is canceled. At the Open orders can be entered from 4:15 P.M. to 9:15 A.M. ET.</p> <p>At the Close Order is to be executed within the final 30 seconds of trading. Selection of this option is not a guarantee of the closing price, and is not valid for limit or odd lot orders. If you select this option, you must enter the order before 3:40 P.M. ET.</p>
Acct Type	<p>Select the account type for this order: Cash, Margin or Short, if available. You must have a valid margin agreement on file to place orders on margin or to sell short.</p> <p>Note <i>If the account is set up for Deliver vs. Payment, this field defaults to DVP/RVP and cannot be changed.</i></p>

Optional Fields on the Equity Order Ticket	
Field	Description
Order Cond	<p>Select the option that applies:</p> <p>Unsolicited The customer requested the order.</p> <p>Solicited The investment professional suggested the order.</p> <p>Discretionary The investment professional exercised discretion in entering the order.</p> <p>Note <i>You will be prevented from exercising discretion on an order entered for a non-discretionary account. Select Discretionary only for those accounts already designated as Discretionary.</i></p>
Principal Net Trade	<p>Select this check box to designate the equity order as a principal net trade, which enables you to send sales credit instructions to BRASS.</p> <p>If you select <i>Principal Net Trade</i>, enter the net price in the Price field.</p>
Sales Credit	<p>If you select <i>Principal Net Trade</i>, enter the sales credit amount per share that you want for this principal net trade. The amount can be from \$0.01 to \$9.99.</p>
Special Cond	<p>If desired, select a special condition to add to the order. Special conditions are not common, are not required, and may decrease the order's chances for being filled.</p> <p>None (default) Attach no special conditions to the order.</p> <p>All or None (AON) Execute the order in one transaction. This option is only valid for orders of 200 shares or more.</p> <p>Do Not Reduce (DNR) Do not reduce the quantity of the order in the event of a stock dividend or stock split. This option is only valid for <i>Good Till Canceled</i> or <i>Good Till Crossing</i> buy limit orders or sell stop orders.</p> <p>AON/DNR (All or None/Do Not Reduce) Execute the order in one transaction and do not reduce the quantity of the order in the event of a stock dividend or stock split.</p> <p>Do Not Increase (DNI) Do not increase the quantity of the order in the event of a stock dividend or stock split. This option is only valid for <i>Good Till Canceled</i> or <i>Good Till Crossing</i> buy limit orders or sell stop orders.</p> <p>AON/DNI (All or None/Do Not Increase) Execute the order in one transaction and do not increase the quantity of the order in the event of a stock dividend or stock split.</p> <p>Not Held The market has some discretion with the price and timing for filling the order. This option is only valid for market orders of at least 2,000 shares.</p>

Optional Fields on the Equity Order Ticket	
Field	Description
Commission	<p>To calculate base commission, select No Override from the Override Type drop-down and leave Override Amt blank. Then click Calculate.</p> <p><i>or</i></p> <p>To calculate override commission, select an Override Type:</p> <p>¢ per share \$ Amount % Discount</p> <p>Enter the Override Amt that represents the override fee and then click Calculate.</p> <p>Note <i>If you select Principal Net Trade, Override Type and Override Amt become unavailable since commissions do not apply to principal net trades.</i></p>
(If entitled) Skip Order Verification	<p>To skip the verification step that occurs prior to sending orders for execution, select this check box. A Skip Order Preview Consent pop-up displays. Click OK to acknowledge consent.</p> <p>Note <i>Skipping verification eliminates the opportunity to review your orders before they are sent for execution. However, it does not preclude orders from being held for review prior to being sent to market.</i></p>
Misc Fee	Enter the dollar amount of any miscellaneous fee you want to specify for the order.
Misc Desc	Enter free-form text you want to record about the order, up to 74 characters. This text displays on the customer's order confirmation.
Order Rcpt Date	<p>Enter the actual date the order was accepted from the customer in MM/DD/YYYY format. Click the Calendar icon to select the date.</p> <p>Note <i>Order Rcpt Date is not applicable for Discretionary orders, or for accounts designated as block trading accounts (Class Code 40 or Class Code 80.)</i></p>
Order Rcpt Time	<p>If you enter a date, then you must also enter the actual time the order was accepted from the customer in HH:MM:SS format.</p> <p>Note <i>Times are represented in Eastern Time (ET) regardless of where the investment professional is located. If you are not located in the ET zone, you must adjust your order entry times accordingly.</i></p> <p>Note <i>Order Rcpt Time is not applicable for Discretionary orders, or for accounts designated as block trading accounts (Class Code 40 or Class Code 80.)</i></p>
Vs. Purchase Date	<p><i>For accounts using Metavante to track cost basis.</i></p> <p>Enter the versus purchase date, which is the date of the specific share lot you are closing. Click the Calendar icon to select the date.</p>

Optional Fields on the Equity Order Ticket	
Field	Description
Specify Shares	<p>If you select <i>Sell</i> or <i>Buy to Cover</i>, you can select specific shares. Select the Specify Shares check box to specify shares to trade for tax purposes.</p> <p>Note <i>This feature is only available for TLA-eligible (Tax Lot Accounting system) accounts and when you select a valid action for the order (Sell or Buy to Cover.) Also, lots purchased intra-day are not available for specific share sale.</i></p>
Average Price	<p>Select this check box to request that if multiple executions result for the order, then one <i>average price</i> should display on Order Status, and on customer confirmations and statements.</p>

Entering a Mutual Fund Order

You can enter brokerage account orders for listed mutual fund securities.

Note

Orders submitted after market hours or when a mutual fund has closed will be executed the following market day. All orders may be held for review. Held orders will not be submitted to the market for execution until approved and released. Held orders can be viewed on the Order Status window, and if rejected, will be your only notification.

► **To enter a mutual fund order:**

1. Specify the appropriate account.
2. Select the **Trading** tab and then select **Trade Mutual Funds** to open its order ticket window.

Tip

While entering an order, use the **Account Info** link to access additional information specific to the current account.

Trade Mutual Funds

033-005762 - JONES Joint with Survivorship Acct Net Worth : \$509,215.86 [Trading Tools](#) | [Account Info](#)

Acpt Rep <input type="text"/>	Price Type <input type="text" value="Standard POP"/>	CDSC Waiver <input type="text" value="No Waiver"/>	Order Rcpt Date <input type="text" value="mm/dd/yyyy"/>
Action <input type="text" value="- Select -"/>	<input type="button" value="View Sales Charge"/>	S/F Comm <input type="text"/>	Order Rcpt Time <input type="text" value="hh:mm:ss"/>
Quantity <input type="text"/> <input type="text" value="Dollars"/>	Acct Type <input type="text" value="Cash"/>	Misc Fee <input type="text"/>	Vs. Purchase Date <input type="text" value="mm/dd/yyyy"/>
Symbol/CUSIP <input type="text"/> <input type="button" value="Get"/>	Order Cond <input type="text" value="Unsolicited"/>	Misc Desc <input type="text"/>	<input type="checkbox"/> Specify Shares

[Symbol Lookup](#)

Skip Order Verification

Order List - 0 Orders Added

Important: Up to 10 orders can be added. Orders on this list have not been sent and are only compiled/saved during your login session. When your session ends, any unsent orders are cleared.

Account	Action	Order Quantity	Symbol/CUSIP	Account Type	Price Type	Order Condition	CDSC Waiver	S/F Comm	Selected
<input type="button" value="Clear"/> <input type="button" value="Verify"/>									

3. Complete the following required fields:

Field	Description
Acpt Rep	The code of the investment professional who accepted the order. If no code displays, enter the appropriate three-character rep code.
Action	Select the action to perform: Buy Sell Exchange

Field	Description
Quantity	<p>Enter the dollar amount (up to two decimal places) or number of shares (up to three decimal places) of the order. This amount must be greater than zero.</p> <p>Note these exceptions:</p> <ul style="list-style-type: none"> ▪ When selling ALL shares, leave this blank. ▪ When buying shares, enter a dollar amount (buying in shares is not allowed.) <p>Next, select the type of Quantity entered:</p> <p>Dollars</p> <p>Shares</p> <p>All (For full liquidation of all shares.)</p> <p>Net Proceeds (For selling a certain dollar amount of a B-share fund to calculate the estimated amount received after deducting all fees and transaction costs, including any CDSC fees.)</p>
Symbol/CUSIP	<p>Enter or look up the mutual fund's market symbol or CUSIP number. To quickly view a symbol's quote or headline news, click the Get link.</p> <p>When exchanging, enter the symbol of the mutual fund you are exchanging out of (for example, selling) in the Symbol/CUSIP From box and enter the symbol of the mutual fund you are exchanging into (for example, buying) in the Symbol/CUSIP To box.</p> <p>Exchanges must occur within the same fund family and fund class.</p>

4. Enter any optional information necessary to complete the order. For information on optional fields, see "Optional fields on the Mutual Fund Order Ticket," next.
5. Do one of the following:
 - To verify a single order, click the **Verify Now** button.
 - To skip verification on a single order (if you selected *Skip Order Verification*), click the **Place Now** button.
 - To specify which open share lots to trade (if you selected *Specify Shares*), click the **Continue** button.
 - To add the order to your order list, click the **Add to Order List** button. Order entries are moved from the order ticket to the list. From the list, do one of the following:
 - To enter another order for the same account, repeat from step 2 above.
 - To enter an order for another account, repeat from step 1 above.
 - To verify/place orders from the Order List, see "Verifying and Placing Orders from the Order List."

Optional Fields on the Mutual Fund Order Ticket

The table below provides information about the optional fields on the mutual fund order ticket.

Price Type	Standard POP	CDSC Waiver	No Waiver	Order Rcpt Date	mm/dd/yyyy
	<input type="button" value="View Sales Charge"/>	S/F Comm		Order Rcpt Time	hh:mm:ss
Acct Type	Cash	Misc Fee		Vs. Purchase Date	mm/dd/yyyy
Order Cond	Unsolicited	Misc Desc			<input type="checkbox"/> Specify Shares
<input type="button" value="Add to Order List"/> <input type="button" value="Verify Now"/> <input type="button" value="Clear"/> <input type="checkbox"/> Skip Order Verification					

Optional Fields on the Mutual Fund Order Ticket	
Field	Description
Price Type	<ul style="list-style-type: none"> To purchase shares at the Public Offering Price (POP), select Standard POP. For front-end loaded funds, you may be entitled to purchase the fund at a reduced sales charge. If entitled to calculate sales charge, first select Buy as the order Action and enter the Quantity and Symbol. To calculate the sales charge based on assets known by NFS at the time of order entry, select Standard POP (Public Offering Price) and click View Sales Charge. (To override the system-calculated Full Sales Charge, see the Breakpoint field.) For information on breakpoints, see "Mutual Fund Breakpoints" and "Calculating Sales Charge and Using Breakpoint Overrides" following this topic. To purchase shares at Net Asset Value (NAV), select the reason why the load is being waived: <ul style="list-style-type: none"> NAV(0) – Other A reason other than one of the options below. NAV(1) – Exchange You are exchanging funds that are not within the same fund family or fund class that the Fund Company is sponsoring as part of a promotional program. NAV(2) - Buy Back You are buying back shares that were sold out of the brokerage account within the last 90 days. NAV(3) - Employee You are an employee of a brokerage firm and may be entitled to not pay the load or pay a reduced load. NAV(4) - Restricted Acct The account is restricted. NAV(5) - Managed Acct You are purchasing funds for a separately managed account (if allowed by the fund's prospectus.)

Optional Fields on the Mutual Fund Order Ticket	
Field	Description
Breakpoint	<p>The Breakpoint field displays only after you click the View Sales Charge button. This field includes the entry <i>No Override</i> by default along with a list of possible overrides. If you want to override the system-calculated breakpoint, select one of the override choices from the drop-down list.</p> <p>If you select a Breakpoint override that is more advantageous than the system-calculated breakpoint, be aware that it is your responsibility to ensure that the sales charge is accurate and consistent with the mutual fund prospectus.</p> <p>For more information on breakpoints, see "Mutual Fund Breakpoints" and "Calculating Sales Charge and Using Breakpoint Overrides" in this guide.</p>
Acct Type	<p>Select the account type for this order: Cash or Margin. You must have a valid margin agreement on file to place orders on margin.</p> <p>Note <i>Buy orders must be placed using account type Cash, and are not marginable for 30 days.</i></p>
Order Cond	<p>Select the option that applies:</p> <p>Unsolicited The customer requested the order.</p> <p>Solicited The investment professional suggested the order.</p> <p>Discretionary The investment professional exercised discretion in entering the order.</p> <p>Note <i>You will be prevented from exercising discretion on an order entered for a non-discretionary account. Select Discretionary only for those accounts already designated as Discretionary.</i></p>
Specify Shares	<p>If you select <i>Sell</i>, you can select specific shares. Select the Specify Shares check box to specify shares to trade for tax purposes.</p> <p>Note <i>This feature is only available for TLA-eligible (Tax Lot Accounting system) accounts and when you select a valid action for the order (Sell.) Also, lots purchased intra-day are not available for specific share sale.</i></p>

Optional Fields on the Mutual Fund Order Ticket	
Field	Description
CDSC Waiver	<p>Select to waive the CDSC fees for one of the following conditions:</p> <ul style="list-style-type: none"> N No Waiver (default) 5 Death 6 Disability 7 Mandatory Distribution 8 Systematic Withdrawal 9 Defined Contribution A Hardship B No Commission Paid <p>All fee waivers are calculated by and subject to the Fund Company's approval and can be rejected.</p>
S/F (Commission)	<p>This field is for no-load mutual funds only.</p> <p>Enter the dollar amount of an additional service fee that applies to the order (such as to override a commission from the schedule, or to apply a commission when there is no schedule for no-load fund orders.)</p>
Misc Fee	Enter the dollar amount of any miscellaneous fee you want to specify for the order.
Misc Desc	Enter free-form text that you want to record about the order, up to 74 characters. This text displays on the customer's order confirmation.
Skip Order Verification	<p>To skip the verification step that occurs prior to sending an order for execution, select this check box. A Skip Order Preview Consent pop-up displays. Click OK to acknowledge consent.</p> <p>Note <i>Skipping verification eliminates the opportunity to review your orders before they are sent for execution. However, it does not preclude orders from being held for review prior to being sent to market.</i></p>
Order Rcpt Date	<p>Enter the actual date the order was accepted from the customer in MM/DD/YYYY format. Click the Calendar icon to select the date.</p> <p>Note <i>Order Rcpt Date is not applicable for Discretionary orders.</i></p>
Order Rcpt Time	<p>If you enter a date, then you must also enter the actual time the order was accepted from the customer in HH:MM:SS format.</p> <p>Note <i>Times are represented in Eastern Time (ET) regardless of where the investment professional is located. If you are not located in the ET zone, you must adjust your order entry times accordingly.</i></p> <p>Note <i>Order Rcpt Time is not applicable for Discretionary orders.</i></p>

Optional Fields on the Mutual Fund Order Ticket	
Field	Description
Vs. Purchase Date	<p>For accounts using Metavante to track cost basis.</p> <p>Enter the versus purchase date, which is the date of the specific share lot you are closing. Click the Calendar icon to select the date.</p>

Mutual Fund Breakpoints

Some mutual funds offer discounts on front-end sales charges or loads for investors that make larger investments. The investment levels at which the discounts become available are called **breakpoints**.

Streetscape provides two methods for specifying breakpoints to help investment professionals ensure that their customers receive appropriate breakpoint discounts.

System-calculated breakpoint

Streetscape calculates a breakpoint based on information defined in FBSI when the order is entered in the mutual fund order ticket. This system-calculated breakpoint is based on the fund family rules, the customer's eligible aggregated assets, and the order currently specified. The investment professional can accept this system-calculated breakpoint.

Acpt Rep: jfs Price Type: Standard POP

Action: Buy View Sales Charge

Quantity: 100,000 Dollars 3.75% \$100,000.00 - 249,999.99

Symbol/CUSIP: GBEMX Breakpoint: No Override

Acct Type: Cash Order Cond: Unsolicited

System calculated breakpoint

Breakpoint overrides

In addition to the system-calculated breakpoint, Streetscape offers a list of breakpoint overrides in the mutual fund order ticket. An investment professional (if entitled) can select one of these to override the system-calculated breakpoint. For example, an override might be appropriate in the case of assets held away since those assets may not be counted in system calculations.

Acpt Rep: jfs Price Type: Standard POP

Action: Buy View Sales Charge

Quantity: 100,000 Dollars 3.75% \$100,000.00 - 249,999.99

Symbol/CUSIP: GBEMX Breakpoint: No Override

Acct Type: Cash Order Cond: Unsolicited

2.75% \$250,000.00 - 499,999.99

2.00% \$500,000.00 - 999,999.99

0.00% \$1,000,000.00 and over

Add to Order List Verify Now Clear

Breakpoint overrides

For more information, see "Other Breakpoint Pricing Resources" in this guide.

Calculating Sales Charge and Using Breakpoint Overrides

If you are entitled to calculate sales charge and use overrides, you can do so while filling out the mutual fund order ticket. For a description of how Streetscape handles breakpoints, see "Mutual Fund Breakpoints" above.

► **To calculate the sales charge for a front-end loaded mutual fund purchase:**

1. In the mutual fund order ticket, select **Buy** as the action and enter the Quantity and Symbol.
2. Select **Standard POP** (Public Offering Price) as the Price Type. For example:

Acpt Rep	jfs	Price Type	Standard POP
Action	Buy	View Sales Charge	
Quantity	100,000	Dollars	Acct Type
Symbol/ CUSIP	GBEMX	Get	Order Cond
			Unsolicited

3. Click the **View Sales Charge** button.

Streetscape calculates the breakpoint based on assets known by NFS at the time of order entry.

Acpt Rep	jfs	Price Type	Standard POP
Action	Buy	View Sales Charge	
Quantity	100,000	Dollars	3.75% \$100,000.00 - 249,999.99
Symbol/ CUSIP	GBEMX	Get	Breakpoint
		Symbol Lookup	No Override
			Acct Type
			Cash
			Order Cond
			Unsolicited

← Calculated
breakpoint and
sales charge rate

- **To accept the system-calculated sales charge rate**, leave the default setting of the Breakpoint override field at *No Override*.

Acpt Rep	jfs	Price Type	Standard POP
Action	Buy	View Sales Charge	
Quantity	100,000	Dollars	3.75% \$100,000.00 - 249,999.99
Symbol/ CUSIP	GBEMX	Get	Breakpoint
		Symbol Lookup	No Override
			Acct Type
			Cash
			Order Cond
			Unsolicited

- **To override the system calculated sales charge rate**, select an override from the Breakpoint drop-down list. You need to do this when, for example, you need to more accurately reflect the account's aggregated assets to include eligible mutual funds not known to NFS.

Be responsible with breakpoint overrides

If you enter a breakpoint override that is more advantageous than the system-calculated one, it is your responsibility to ensure that the sales charge is accurate and consistent with the mutual fund prospectus.

The following example shows some override choices. If the investment professional knows that the aggregated assets include another \$200,000 not known to NFS, the investment professional selects **2.75% \$250,000- 499,999.99** as the appropriate override.

Acpt Rep	jfs	Price Type	Standard POP
Action	Buy	View Sales Charge	
Quantity	100,000 Dollars	3.75% \$100,000.00 - 249,999.99	
Symbol/ CUSIP	GBEMX Get	Breakpoint	No Override
Symbol Lookup		Acct Type	2.75% \$250,000.00 - 499,999.99
		Order Cond	2.00% \$500,000.00 - 999,999.99
			0.00% \$1,000,000.00 and over

For more help in determining the appropriate breakpoint discount, you can use the breakpoint tools available from the Trading Tools menu.

Other Breakpoint Pricing Resources

Streetscape provides a suite of breakpoint tools that enable you to view a front-end loaded mutual fund's breakpoint information as determined for its fund family by the issuing mutual fund company, and provided to NFS. A mutual fund company sets the breakpoint investment schedule for purchases in front end loaded funds and the product rules regarding eligibility for reduced sales charges.

Some mutual fund companies also offer Rights of Accumulation (ROA), which enable breakpoint pricing based on all monies invested within the fund family that have paid a sales charge. Companies may also allow customers to take advantage of breakpoint pricing by aggregating assets across several accounts, based on the fund family's product rules. This approach is referred to as ROA Householding.

The mutual fund order ticket includes a set of resources called **Trading Tools**:

The screenshot shows the 'Trade Mutual Funds' order ticket for account 033-111111. The 'Trading Tools' menu is open, showing options like Commission Calculator, Breakpoint Evaluator, Aggregated Asset Summary, Product Rules Lookup, Breakpoint Schedule Lookup, and Breakpoint Checklist. The background shows order details such as Acct Rep (jfs), Price Type (Standard POP), and Quantity (100,000 Dollars).

Five of these tools are additional resources for using breakpoints:

- Breakpoint Evaluator
- Aggregated Asset Viewer
- Product Rules Lookup
- Breakpoint Schedule Lookup
- Breakpoint Checklist

Breakpoint Evaluator

The Breakpoint Evaluator allows you to enter a hypothetical order and determine the breakpoint you will receive based on the mutual fund family rules, the order, and any eligible aggregated assets.

You can enter:

- **Order quantity and up to five front-end load mutual fund symbols**

Streetscape estimates the hypothetical breakpoint met by the order quantity for each symbol entered.

- **Order quantity and account number**

Streetscape demonstrates the hypothetical breakpoint met using the account's existing aggregated assets plus the order quantity — for each fund family in the account's ROA household.

- **Order quantity, up to five front-end load mutual fund symbols, and account number**

Streetscape demonstrates the hypothetical breakpoint met using the existing aggregated assets plus the order quantity — for each symbol entered.

If the current account is linked to more than one ROA household, information for both households displays.

Note

Aggregated assets are based on the prior business day's valuation and household information.

► To use Breakpoint Evaluator:

1. On the Breakpoint Evaluator tab, enter the dollar amount of the hypothetical order quantity in the Enter Quantity in Dollars box. The value must be a whole number greater than zero.

Breakpoint [Print This Page](#)

Breakpoint Evaluator | Aggregated Asset Summary | Product Rules Lookup | Breakpoint Schedule Lookup

Evaluate breakpoints based on current holdings or hypothetical orders.

1. Enter Quantity in Dollars

2. Enter Symbol/CUSIP

[Symbol Lookup](#) [Symbol Lookup](#) [Symbol Lookup](#) [Symbol Lookup](#) [Symbol Lookup](#)

Include assets held in ROA Household related to account: 033-111111

*Required

[View Important Breakpoint Information](#)

2. Do at least one of the following to define your request:

- To specify one or more front-end loaded mutual fund symbols (up to five), enter each symbol or nine-digit CUSIP in a separate Enter Symbol/CUSIP box. (If you do not know a symbol, click the **Symbol Lookup** link corresponding to the box you want to populate with the symbol to lookup the symbol.)

- To include the *current account's aggregated assets in the calculation, select the **Include assets held in ROA Household related to account** check box. Notice that the current account displays in the check box label. (To exclude the account from the results, un-select the check box to remove the check mark.)

* Current account refers to the account you last selected using the Advanced Search features, which remains in context as you navigate through the site until you select another account or end your online session.

- Click the **Evaluate** button to estimate breakpoint.
- Do any of the following:

- Print the results

Click the **Print This Page** button (upper right corner) to open a Print dialog box. Click **Print** to print the contents to your local or network printer.

- Evaluate using other criteria

Click the **Clear** button and repeat from step 1 above.

- View aggregated assets for a listed Fund Family

Click its **Asset Details** link in the View column.

- View product rules for a listed Fund Family

Click its **Product Rules** link in the View column.

The following example shows Breakpoint Evaluator results for \$10,000 with the *Include assets held in ROA Household* checkbox selected.

Breakpoint [Print This Page](#)

Breakpoint Evaluator
Aggregated Asset Summary
Product Rules Lookup
Breakpoint Schedule Lookup

Evaluate breakpoints based on current holdings or hypothetical orders.

1. Enter Quantity in Dollars*

2. Enter Symbol/CUSIP

[Symbol Lookup](#)
[Symbol Lookup](#)
[Symbol Lookup](#)
[Symbol Lookup](#)
[Symbol Lookup](#)

Include assets held in ROA Household related to account: 033-111111

*Required

Evaluator Results Results show Fund Families with lowest Breakpoint

Fund Family	Aggregated Assets	Aggregated Assets w/Order	Breakpoint Met	Next Breakpoint	View
ROA Household 033013650					
ACM AMERICAN INCOME CLASS A	\$1,019.38	\$11,019.38	4.00% \$0.00-99,999.99	3.00% \$100,000.00-249,999.99	Asset Details Product Rules
ACM AMERICAN INCOME CLASS C	\$2,492.99	\$12,492.99	0.00% \$0.00-999,999,999.99	0.00% \$999,999,999.99-999,999,999.99	Asset Details Product Rules
AIM	\$35,066.44	\$45,066.44	1.00% \$0.00-99,999.99	0.75% \$100,000.00-249,999.99	Asset Details Product Rules
BURNHAM	\$8,621.83	\$18,621.83	5.00% \$0.00-49,999.99	4.50% \$50,000.00-99,999.99	Asset Details Product Rules
FIDELITY ADVISOR	\$105,282.08	\$115,282.08	1.50% \$0.00-499,999.99	1.00% \$500,000.00-999,999.99	Asset Details Product Rules
PUTNAM	\$887,968.21	\$897,968.21	0.00% \$500,000.00-999,999,999.99	0.00% \$999,999,999.99-999,999,999.99	Asset Details Product Rules

The following example shows Breakpoint Evaluator results for \$10,000 and the symbol QDQKQ.

Breakpoint [Print This Page](#)

Breakpoint Evaluator [Aggregated Asset Summary](#) [Product Rules Lookup](#) [Breakpoint Schedule Lookup](#)

Evaluate breakpoints based on current holdings or hypothetical orders.

1. Enter Quantity in Dollars*

2. Enter Symbol/CUSIP

[Symbol Lookup](#) [Symbol Lookup](#) [Symbol Lookup](#) [Symbol Lookup](#) [Symbol Lookup](#)

Include assets held in ROA Household related to account: 033-013650

*Required

Evaluator Results Results do not reflect assets held in ROA Household

Fund Family	Symbol/Cusip	Value with Order	Breakpoint Met	Next Breakpoint	View	Action
ACM AMERICAN INCOME CLASS A	QDQKQ	\$10,000.00	4.00% \$0.00- 99,999.99	3.00% \$100,000.00- 249,999.99	Product Rules Breakpoint Schedule	

[View Important Breakpoint Information](#)

Aggregated Asset Viewer

The Aggregated Asset Viewer provides a way to view positions eligible to contribute to a breakpoint in a particular fund in all the accounts and related accounts (which must be identified in FBSI as related.) For an account's ROA household, you can view aggregated assets in alphabetical order by fund family. This lets you quickly see assets already accumulated toward the next breakpoint. You can then drill down to view the individual accounts (to which you are authorized) in the household with existing holdings in the fund family.

For the purpose of aggregating assets, accounts are linked into ROA households. Before you can discuss one holder's account data with another holder associated with the household, consent must be granted. A message will display above those accounts in the household with positions that you cannot discuss or disclose to the owner of the current account.

Note

Aggregated Asset Viewer does not display non consent accounts in environments other than Streetscape (for example, myStreetscape® and customer brokerage sites.)

Note

Aggregated assets are based on the prior business day's valuation and household information.

► To use the Aggregated Asset viewer:

1. On the Aggregated Asset tab, do any of the following:
 - Print the summary

Click the **Print This Page** link (upper right corner) to open a Print dialog box. Click **Print** to print the contents to your local or network printer.

- View the individual accounts with holdings in the fund family

Click the **Asset Details** link. When finished, click the **View Aggregated Asset Summary** link to return to the Summary.

- View a fund family's product rules

Click the **Product Rules** link.

The following example shows the Aggregated Asset Summary for the current account and the ROA Household to which the account belongs.

Breakpoint Print This Page					
Breakpoint Evaluator		Aggregated Asset Summary		Product Rules Lookup	
033-111111 DAVIS J			Total Eligible ROA Assets: \$1,040,450.93		
ROA Household 033111111					
Fund Family	Rollup Level	Valuation Method	Price Type	Aggregated Assets	View
ACM AMERICAN INCOME CLASS A	Default Rules in Effect	Market Value	POP	\$1,019.38	Asset Details Product Rules
ACM AMERICAN INCOME CLASS C	Default Rules in Effect	Market Value	POP	\$2,492.99	Asset Details Product Rules
AIM	Family	Market Value	POP	\$35,066.44	Asset Details Product Rules
BURNHAM	Class	Market Value	NAV	\$8,621.83	Asset Details Product Rules
FIDELITY ADVISOR	Family	Market Value	NAV	\$105,282.08	Asset Details Product Rules
PUTNAM	Family	Market Value	POP	\$887,968.21	Asset Details Product Rules

The following example shows the Asset Details information for Fidelity Advisor (accessed via the Asset Details link next to FIDELITY ADVISOR in the above example.)

Breakpoint Print This Page							
Breakpoint Evaluator		Aggregated Asset Summary		Product Rules Lookup		Breakpoint Schedule Lookup	
033-111111 DAVIS J			Total Eligible ROA Assets: \$1,040,450.93				
FIDELITY ADVISOR Asset Details							
Summary							View Aggregated Asset Summary
Fund Family	Rollup Level	Valuation Method	Price Type	Aggregated Assets	View		
FIDELITY ADVISOR	Family	Market Value	NAV	\$105,282.08	Product Rules		
Details							
Accounts	Short Name	Reg Type	Symbol/CUSIP	Fund Descriptions	Valuation Type	Value	View
033-111111	DAVIS J	I	FAGOX	FIDELITY ADVISOR GROWTH OPP CLASS T	Market Value	\$5,999.03	Breakpoint Schedule
			FCLCX	FIDELITY ADVISOR CYCLICAL INDUS CL C	Market Value	\$48,835.36	Breakpoint Schedule
			FCSDX	FIDELITY ADVISOR DIVIDEND & INC CL C	Market Value	\$50,447.69	Breakpoint Schedule
Held Away Assets						\$0.00	
Additional Assets						\$0.00	
Aggregated Assets						\$105,282.08	

Product Rules Lookup

The **Product Rules Lookup** link on the Trading Tools menu displays a window with the breakpoint rules for the mutual fund currently specified in the Symbol/CUSIP field (either on the order ticket or in this window.)

You can use Product Rules Lookup to look up a fund family's policies for breakpoint pricing, which includes the following components:

- Rights of Accumulation (ROA)

Provides details on how a reduced sales charge may be applied relative to the aggregation of assets within a fund family. Also displays rollup or aggregated assets rules, whether ROA Householding is permitted, relationships eligible for ROA Householding, and whether assets held away may be counted toward aggregation. You can also view a list of funds within the Family that do not qualify for ROA.

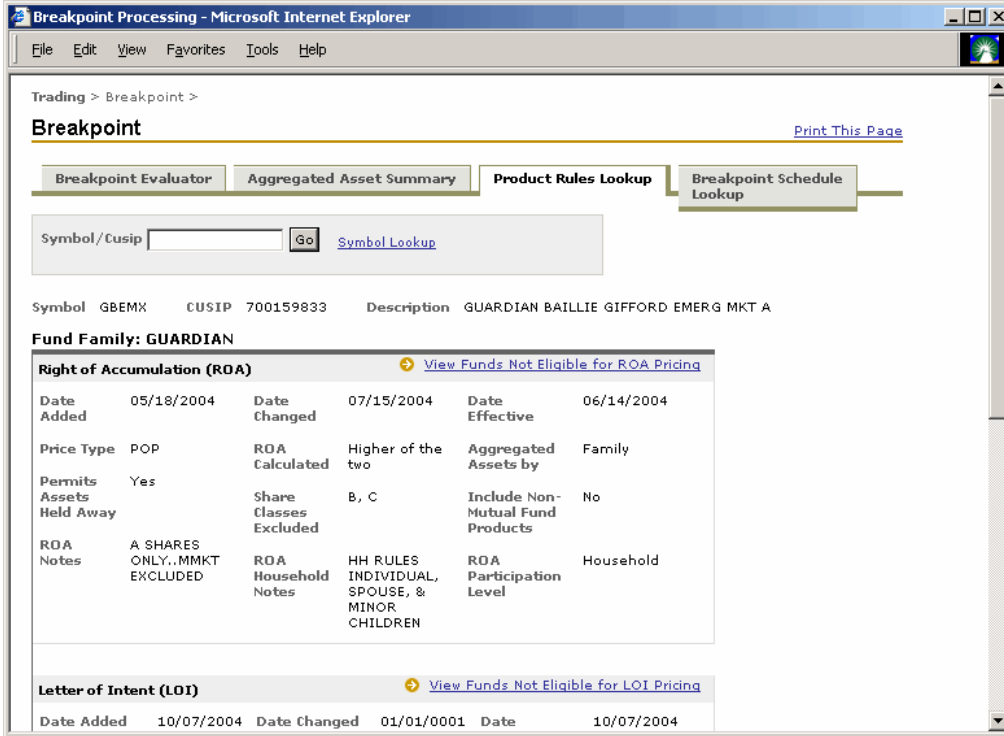
- Letters of Intent (LOI)

Provides details on the minimum amount a customer must promise to invest within a specific time frame of an initial purchase to qualify for a reduced sales load — as though a lump sum investment was made. Also indicates whether reinvested dividends may be credited toward calculating LOI and whether escrow must be held. You can also view a list of funds within the Family that do not qualify for LOI.

- Reinstatement (REIN)

Provides details on whether the fund allows the redemption of shares and reinvestment of the proceeds, without paying a sales load, when purchasing the same share class of that fund or another fund within the same fund family. Also defines the length of time during which shares are eligible for reinstatement.

The following example shows the product rules for the symbol GBEMX:



► **To use Product Rules Lookup:**

1. On the Product Rules Lookup tab, enter a front-end loaded mutual fund symbol or its nine-digit CUSIP in the Symbol/Cusip box. If you do not know the symbol, click the **Symbol Lookup** link.
2. Click the **Go** button.
3. Do any of the following:

- Print the product rules

Click the **Print This Page** link (upper right corner) to open a Print dialog box. Click **Print** to print the contents to your local or network printer.

- View breakpoint pricing for another front-end loaded mutual fund
Enter its symbol or CUSIP in the Symbol/Cusip box and click **Go**.

- View mutual funds within the Family not eligible for ROA breakpoint pricing (if applicable)

Click the **View Funds Not Eligible for ROA Pricing** link. When finished, click the **View Product Rules** link to return to Product Rules Lookup.

- View mutual funds within the Family not eligible for LOI breakpoint pricing (if applicable)

Click the **View Funds Not Eligible for LOI Pricing** link. When finished, click the **View Product Rules** link to return to Product Rules Lookup.

Breakpoint Schedule Lookup

The **Breakpoint Schedule Lookup** link on the Trading Tools menu displays a window with the breakpoint schedule for the mutual fund currently specified in the Symbol/CUSIP field (either on the order ticket or in this window.) The following example shows the schedule for the symbol GBEMX:

Trading > Breakpoint >

Breakpoint [Print This Page](#)

Breakpoint Evaluator Aggregated Asset Summary Product Rules Lookup **Breakpoint Schedule Lookup**

Symbol/Cusip [Symbol Lookup](#)

Symbol GBEMX CUSIP 700159833 Fund Family GUARDIAN

Fund: GUARDIAN BAILLIE GIFFORD EMERG MKT A

Sales Charge	Dealer Concession	Investment Level
4.50%	4.50%	\$0.00-99,999.99
3.75%	3.50%	\$100,000.00-249,999.99
2.75%	2.50%	\$250,000.00-499,999.99
2.00%	1.80%	\$500,000.00-999,999.99
0.00%	1.00%	\$1,000,000.00 and over

[View Important Breakpoint Information](#)

Breakpoint Checklist

The **Breakpoint Checklist** link on the Trading Tools menu displays the breakpoint checklist (a worksheet and instructions.) This can help you determine whether a customer's front-end load mutual fund purchase qualifies for a breakpoint discount.

The checklist helps you retrieve from the customer the information necessary to compute the Rights of Accumulation (ROA) amount. Once a certain dollar amount is purchased, the ROA enables an investor to buy further shares at a lower sales charge or load.

► To view the mutual fund breakpoint checklist:

- Select **Breakpoint Checklist** on the Mutual Fund order ticket Trading Tools menu or select the **Accounts** tab and then select **Account Programs>Breakpoint Checklist**.

The Mutual Fund Breakpoint Checklist opens in a separate window.

2. Do one of the following:

- Print the checklist now.

Click the **Print** button on the window's toolbar to open a Print dialog box. Click **OK** to print the checklist to your local or network printer.

- Save the checklist to print later.

Click the **Save a copy** button on the window's toolbar to open the Save a Copy dialog box. Specify the directory you want and click the **Save** button.

Entering an Options Order

Use the Trade Options order ticket to enter brokerage account orders for options securities.

You must have an endorsed and approved Option Agreement on file with the Home Office before attempting this type of order. There are special risks associated with uncovered option writing that expose an investor to potentially significant losses. Therefore, this type of strategy may not be suitable for the investor, even if approved for options transactions.

It is expected that you have read the booklet entitled *Characteristics and Risks of Standardized Options*, which is available from the Home Office. NFS recommends, in particular, the chapter entitled "Principal Risks of Options Positions."

Note

Orders are executed only during market hours. All orders may be held for review. Held orders will not be submitted to the market for execution until approved and released during business hours. Held orders can be viewed on the Order Status window, and if rejected, will be your only notification.

► To enter an options order:

1. Specify the appropriate account.
2. Select the **Trading** tab and then select **Trade Options** to open its order ticket window.

Tip

*While entering an order, click **Account Info** to link to additional information specific to the current account.*

Trade Options			
033-005762 - JONES		Joint with Survivorship	Acct Net Worth : \$509,232.82
		Commission Calculator Account Info	
Acpt Rep	Price Type	Special Cond	Misc Fee
Action	Price	<input type="checkbox"/> All or None	Misc Desc
Quantity	Time in Force	Override Type	Order Rcpt Date
Symbol/ CUSIP	Acct Type	Override Amt	Order Rcpt Time
Symbol Lookup	Order Cond		Vs. Purchase Date
			<input type="checkbox"/> Specify Contracts
			<input checked="" type="checkbox"/> Average Price
<input type="button" value="Verify Now"/> <input type="button" value="Clear"/> <input type="checkbox"/> Skip Order Verification			

3. Complete the following required fields:

Field	Description
Acpt Rep	The code of the investment professional who accepted the order. If no code displays, enter the appropriate three-character rep code.
Action	Select the action to perform: Buy calls to open Buy calls to close Buy puts to open Buy puts to close Sell calls to open Sell calls to close Sell puts to open Sell puts to close
Quantity	Enter the number of option contracts for the order as a whole number greater than 0, up to a maximum of 24. Do not enter fractional contracts.
Symbol/CUSIP	<ul style="list-style-type: none"> ▪ Enter the option's market symbol, <i>not</i> that of the underlying security <li style="text-align: center;"><i>or</i> ▪ Click the Symbol Lookup link and complete the following to lookup a security's option symbols: <ol style="list-style-type: none"> 1. Enter a security symbol in the Symbol box and click GO. Available options for the security display. 2. Click an option symbol link to copy it back to the Symbol/CUSIP field on the order ticket window. For more information see "Options Lookup" in this guide.

4. Enter any optional information necessary to complete the order. For information on optional fields, see “Optional Fields on the Options Order Ticket,” next.

5. Do one of the following:

- To verify the order, click the **Verify Now** button.
- To send the order immediately without verification (if you selected *Skip Order Verification*), click the **Place Now** button.
- To specify which open share lots to trade (if you selected *Specify Contracts*), click the **Continue** button.

Optional Fields on the Options Order Ticket

The table below provides information about the optional fields on the options order ticket.

Price Type	Market	Special Cond	<input type="checkbox"/> All or None	Misc Fee	
Price		Override Type	No Override	Misc Desc	
Time in Force	Day	Override Amt		Order Rcpt Date	mm/dd/yyyy
Acct Type	Cash			Order Rcpt Time	hh:mm:ss
Order Cond	Unsolicited			Vs. Purchase Date	mm/dd/yyyy
				<input type="checkbox"/> Specify Contracts	
				<input checked="" type="checkbox"/> Average Price	
<input type="button" value="Verify Now"/> <input type="button" value="Clear"/> <input type="checkbox"/> Skip Order Verification					

Optional Fields on the Options Order Ticket	
Field	Description
Price Type	Select one of the following options: Market (default) Order will be filled at the available market price. Do not enter a price. Limit Order will be filled only at the price you enter or better (at price or less for a buy order; at price or greater for a sell order.)
Price	If you selected Price Type <i>Limit</i> , enter a price. If you selected Price Type <i>Market</i> , leave this field blank. Note <i>The price cannot be more than 30% from the current market price.</i>

Optional Fields on the Options Order Ticket	
Field	Description
Time in Force	<p>Select the time requirements to place on the order:</p> <p>Day (default) Order is to be canceled if not executed on the trading day entered.</p> <p>Good Till Canceled (120 days) Order is to remain in effect until executed, canceled, or expired (after 120 days.) GTC limit orders that are not close to the current market may be automatically canceled. Monitor open orders regularly to ensure they represent current investment needs.</p> <p>Fill or Kill Order is to be executed immediately in its entirety on the trading day entered. No partial executions allowed.</p> <p>Immediate or Cancel Order is to be executed immediately either in its entirety or partially, on the trading day entered. Any portion not immediately executed is canceled.</p> <p>At the Close Order is to be executed within the final 30 seconds of trading. Selection of this option is not a guarantee of the closing price, and it is not valid for limit or odd lot orders. If you select this option, you must enter the order before 3:40 P.M. ET.</p> <p>At the Open Order is to be executed in whole or in part during the opening round or not at all. Any portion not so executed is canceled. You can enter these orders from 4:15 P.M. to 9:15 A.M. ET.</p>
Acct Type	<p>Select the account type for this order: Cash, Margin, or Short. You must have a valid margin agreement on file to place orders on margin.</p> <p>Note <i>If the account is set up for Delivery vs. Payment, this field defaults to DVP/RVP and cannot be changed.</i></p>
Order Cond	<p>Select the option that applies</p> <p>Unsolicited The customer requested the order.</p> <p>Solicited The investment professional suggested the order.</p> <p>Discretionary The investment professional exercised discretion in entering the order.</p> <p>Note <i>You will be prevented from exercising discretion on an order entered for a non-discretionary account. Select Discretionary only for those accounts already designated as Discretionary.</i></p>
Special Cond	<p>Select the check box to add the All or None condition to the order. It may decrease the order's chances for being filled. <i>All or None</i> means execute the order in one transaction (for example, no partial executions.)</p>

Optional Fields on the Options Order Ticket	
Field	Description
Override Type & Override Amt	<p>To accept the standard commission, leave the Override Amt field blank and accept the Override default (<i>No Override</i>), or</p> <p>To override the standard commission, select the method to use from the Override Type drop-down list:</p> <p>\$ Amount</p> <p>% Discount</p> <p>Then enter the dollar amount or percentage that represents the override fee in the Override Amt field.</p>
Skip Order Verification	<p>To skip the verification step that occurs prior to sending an order for execution, select this check box. A Skip Order Preview Consent pop-up displays. Click OK to acknowledge consent.</p> <p>Note <i>Skipping verification eliminates the opportunity to review your orders before they are sent for execution. However, it does not preclude orders from being held for review prior to being sent to market.</i></p>
Misc Fee	Enter the dollar amount of any miscellaneous fee you want to specify for the order.
Misc Desc	Enter free-form text that you want to record about the order, up to 74 characters. This text displays on the customer's order confirmation.
Order Rcpt Date	<p>Enter the actual date the order was accepted from the customer in MM/DD/YYYY format.</p> <p>Note <i>Order Rcpt Date is not applicable for Discretionary orders, or for accounts designated as block trading accounts (Class Code 40 or Class Code 80.)</i></p>
Order Rcpt Time	<p>If you enter a date, then you must also enter the actual time the order was accepted from the customer in HH:MM:SS format.</p> <p>Note <i>Times are represented in Eastern Time (ET) regardless of where the investment professional is located. If you are not located in the ET zone, you must adjust your order entry times accordingly.</i></p> <p>Note <i>Order Rcpt Time is not applicable for Discretionary orders, or for accounts designated as block trading accounts (Class Code 40 or Class Code 80.)</i></p>
Vs. Purchase Date	<p><i>For accounts using Metavante to track cost basis.</i></p> <p>Enter the versus purchase date, which is the date of the specific contract lot you are closing. Click the Calendar icon to select the date.</p>

Optional Fields on the Options Order Ticket	
Field	Description
Specify Contracts	<p>If you select <i>Sell to close</i> or <i>Buy to close</i>, you can select specific contracts. Select the Specify Contracts check box to specify contracts to trade for tax purposes.</p> <p>Note <i>This feature is only available for TLA-eligible (Tax Lot Accounting system) accounts and when you select a valid action for the order. Also, lots purchased intra-day are not available for specific contract sale.</i></p>
Average Price	<p>Select this check box to request that if multiple executions result for the order, then one <i>average price</i> should display on Order Status, and on customer confirmations and statements.</p>

Options Lookup

The Options lookup feature enables you to search for the available puts and calls associated with an equity or index symbol.

Note

Access to Option Lookup is available only from the Options order ticket. Once you locate the symbol you want, you can copy it back to the order ticket.

► To search for an option symbol:

1. On the Options order ticket window, click the **Symbol Lookup** link to open the Option Lookup window.
2. Enter the security's underlying symbol in the Symbol box.

Note

Some characters cannot be used as part of a symbol. If you attempt to use these characters, a validation error displays that includes a list of characters to avoid.

Click the **Go** button to display matches in ascending *Exp Date* order, from the earliest to the latest. Calls display on the left side and Puts display on the right. The short quote for the underlying security displays at the top of the window.

The following example shows information for IBM:

Option Lookup - Microsoft Internet Explorer

Symbol:

IBM INTL BUSINESS MACH
 CUSIP: 459200101 Primary Exch: N Currency: USD Trade Time: 12:44:28

Symbol	Last	Change	Bid	Ask	Volume
IBM	▲ 94.727(N)	-1.193			2,942,800

The above information is accurate only as of 13:04 on Nov 16, 2004.

Call Symbol	Exp Date	Strike	Put Symbol	Exp Date	Strike
-IBZKH	20 Nov 2004	40.0	-IBZWH	20 Nov 2004	40.0
-IBZKI	20 Nov 2004	45.0	-IBZWI	20 Nov 2004	45.0
-IBZKJ	20 Nov 2004	50.0	-IBZWJ	20 Nov 2004	50.0
-IBMKK	20 Nov 2004	55.0	-IBMWK	20 Nov 2004	55.0
-IBMKL	20 Nov 2004	60.0	-IBMWL	20 Nov 2004	60.0
-IBMKM	20 Nov 2004	65.0	-IBMWL	20 Nov 2004	65.0
-IBMKN	20 Nov 2004	70.0	-IBMWN	20 Nov 2004	70.0
-IBMKO	20 Nov 2004	75.0	-IBMWO	20 Nov 2004	75.0
-IBMKP	20 Nov 2004	80.0	-IBMWP	20 Nov 2004	80.0
-IBMKQ	20 Nov 2004	85.0	-IBMWQ	20 Nov 2004	85.0
-IBMKR	20 Nov 2004	90.0	-IBMWR	20 Nov 2004	90.0
-IBMKS	20 Nov 2004	95.0	-IBMWS	20 Nov 2004	95.0
-IBMKT	20 Nov 2004	100.0	-IBMWT	20 Nov 2004	100.0
-IBMKA	20 Nov 2004	105.0	-IBMWA	20 Nov 2004	105.0
-IBMKB	20 Nov 2004	110.0	-IBMWB	20 Nov 2004	110.0
-IBMKC	20 Nov 2004	115.0	-IBMWC	20 Nov 2004	115.0
-IBMKD	20 Nov 2004	120.0	-IBMWD	20 Nov 2004	120.0
-IBMKE	20 Nov 2004	125.0	-IBMWE	20 Nov 2004	125.0
-IBZLI	18 Dec 2004	45.0	-IBZLI	18 Dec 2004	45.0

- To view an option's full quote, click on its Call Symbol or Put Symbol link to display the quote in the Quote window.
- Close the Quote window to return to the order ticket where the selected symbol now populates the Symbol/CUSIP box.

Accessing BondTraderPro® (Trade Fixed Income Menu Option)

Directly from Streetscape, you can launch BondTraderPro®, a Web-based application that enables you to search a broad range of current fixed income offerings to locate securities that best meet your customers' investment needs.

Offerings are grouped by categories, and include:

- Certificates of deposit
- Government agencies
- Government treasuries
- Government treasury auctions
- Mortgage backed securities
- Municipals
- Investment grade corporates
- High yield corporates
- Split rate corporates
- Preferred stock and fixed rate capital securities
- Unit investment trusts

Fixed income trading is generally available from 8:00 A.M. to 6:30 P.M., ET, Monday through Friday.

► **To start BondTraderPro:**

1. Select the **Trading** tab and then select **Trade Fixed Income**.

Fixed Income

033-005762 - JONES Joint with Survivorship Acct Net Worth : \$506,350.45

For your convenience, Streetscape will launch BondTraderPro in a separate browser window. Please note that the Home Office and our clearing firm National Financial Services LLC (NFC) are unaffiliated with and have not been involved in the preparation, review or design of the content, trading or other functionality available through or supplied at the unaffiliated site and do not guarantee or assume any responsibility for its content or use.

Fixed income trading is generally available from 8 AM to 6:30 PM, ET, Monday through Friday.

Please note that there may be differences between fixed income orders on the Order Status displays of BondTraderPro and Streetscape. These differences reflect the fact that you are viewing information residing in two different systems and in no way impacts the processing of your orders.

2. Click the **Start BondTraderPro** button.

BondTraderPro opens in a secondary browser window. For further assistance with BondTraderPro, refer to the Online Help that accompanies that application.

Entering an ECN Extended Hours Order

Use this order ticket to enter day limit brokerage account orders during premarket and after-hours trading sessions for all listed and NASDAQ equity securities. Valid orders include attempting to sell shares not held in the account, contingent upon delivery of the shares at settlement.

If your user access entitles you to, you can enter up to 10 orders in a single window prior to submitting the orders. Although your list of orders can include multiple accounts to which you are authorized, it cannot include multiple security types.

Electronic Trading Rules for Entering ECN Extended Hours Orders

As you enter ECN extended hours orders, you must comply with the following electronic trading rules:

- The ECN Order Entry Page provides access to both premarket and after-hours trading sessions. After-hours trading is available to all users of the ECN order entry page.

Note

Not all users have access to premarket trading. Please contact the home office for additional information.

- Order Quantities are 100 share increments with a 100 share minimum and a 5,000 share maximum.
- All orders may be held for review. Held orders will not be submitted to the exchange for execution until they are approved and released. If a Held order is rejected, you will not be notified electronically.
- Due to the nature of the extended hours trading market, trading extended hours through an ECN may pose certain risks which are greater than those present during normal market hours.
- These risks, including lack of liquidity, greater price volatility, limited access to other markets and market information, price variance from normal market hours, the time and price prioritization of orders, and communication delays, may prevent your order from being executed, in whole or in part, or from receiving as favorable a price as you might receive during normal market hours. These risks, as well as the terms and conditions of placing orders in the extended hours session, are detailed in "Important Information about Extended Hours Trading" (item # 1.787069.)
- Should your firm provide you with access to the premarket session, ECN orders in the premarket session can be placed from 7:30 A.M. to 9:15 A.M. ET. ECN orders can only be executed after 8:00 A.M. ET for the premarket session. The Home Office and NFS shall send orders to the ECN in the order in which the Home Office and NFS receives them until 9:15 A.M. ET unless trading is halted prior to 9:15 A.M.
- ECN orders in the after-hours session can be placed from 4:00 P.M. to 8:00 P.M. ET. ECN orders can only be executed after 4:00 P.M. ET for the after-hours session. The Home Office and NFS shall send orders to the ECN in the order in which the Home Office and NFS receives them until 8:00 P.M. ET unless trading is halted prior to 8:00 P.M.

- In the event that an ECN becomes unavailable during an extended hours session, NFS may submit orders to another eligible and available ECN to maintain order flow. Thus, your order may be presented in any one of several eligible ECN's.
- Please be advised that the duplicate order feature only searches for possible duplicate orders entered within the last 30 minutes. Therefore, prior to entering any order, refer to the Order Status window to avoid possible duplicate orders.
- If premarket trading is available, orders not filled during the ECN premarket session are automatically canceled if they are not filled by the end of the session (i.e., 9:15 A.M. ET unless trading is halted prior to 9:15 A.M.) during which they were placed.
- Orders not filled during the ECN after hours session are automatically canceled if they are not filled by the end of the session (i.e., 8:00 P.M. ET unless trading is halted prior to 8:00 P.M.) during which they were placed.
- NFS recommends you always request a quote before placing an order. Any unsent orders in your ECN order list are removed once the ECN session expires.

Note

Trading through the ECN Extended Hours session is subject to the terms and conditions (“Terms”), and policies as disclosed on the “ECN Extended Hours Agreement,” and are subject to change without notice.

To use the ECN Extended Hours trading feature, click the **Accept** button to indicate that you acknowledge your understanding of the risks and agree to the Terms set forth in the ECN Extended Hours Agreement.

If this agreement is not acceptable to you, click the **Do Not Accept** button to refrain from using the ECN Extended Hours trading feature.

► **To enter an ECN Extended Hours order:**

1. Specify the appropriate account.
2. Select the **Trading** tab and then select **ECN Extended Hours** to open its order ticket window.

Tip

While entering an order, click **Account Info** to link to additional information specific to the current account.

3. Complete the following required fields:

Field	Description						
Acpt Rep	The code of the investment professional who accepted the order. If no code displays, enter the appropriate three-character rep code.						
Action	Select the action to perform: Buy Sell Sell (Deliver Shares)						
Quantity	Enter the number of shares for the order as a whole number greater than zero (minimum 100/maximum 5,000.) Do not enter fractional share amounts. When selling a position that has a fractional share, the fractional share is settled automatically.						
Symbol/CUSIP	Enter or look up the security's market symbol or CUSIP number. To quickly view a symbol's quote or headline news, click the Get link. To enter a preferred stock symbol, use these guidelines: <table border="1" data-bbox="662 863 1414 1129"> <thead> <tr> <th>For a</th> <th>Enter this</th> </tr> </thead> <tbody> <tr> <td>Preferred stock</td> <td>The stock symbol without the slash and include <i>PR</i> after the stock symbol, such as <i>IBM^{PR}</i>.</td> </tr> <tr> <td>Preferred stock with class</td> <td>The stock symbol without the slash, and include <i>PR</i> and the class symbol after the stock symbol, such as <i>CHL^{PR}PC</i>.</td> </tr> </tbody> </table> Do not include a slash in the symbol (the order will fail.)	For a	Enter this	Preferred stock	The stock symbol without the slash and include <i>PR</i> after the stock symbol, such as <i>IBM^{PR}</i> .	Preferred stock with class	The stock symbol without the slash, and include <i>PR</i> and the class symbol after the stock symbol, such as <i>CHL^{PR}PC</i> .
For a	Enter this						
Preferred stock	The stock symbol without the slash and include <i>PR</i> after the stock symbol, such as <i>IBM^{PR}</i> .						
Preferred stock with class	The stock symbol without the slash, and include <i>PR</i> and the class symbol after the stock symbol, such as <i>CHL^{PR}PC</i> .						
Price	Enter the specified price or better at which the Home Office should buy or sell, but only after the security has traded at that price. The price cannot be more than 30% away from the current market price.						
Price Type	<i>You cannot change this value.</i> Displays the price requirements on your ECN Extended Hours order: <i>Limit</i> Order will be filled only at the price you enter or better (at price or less for buy orders; at price or greater for sell orders.)						
Time in Force	<i>You cannot change this value.</i> Displays the time requirements on your ECN Extended Hours order: <i>Day</i> Order is to be canceled if not executed on the trading day entered.						

4. Enter any optional information necessary to complete the order. For information on optional fields, see "Optional Fields on the ECN Order Ticket," next.

5. Do one of the following:
- To verify a single order, click the **Verify Now** button.
 - To skip verification on a single order (if you selected *Skip Order Verification*), click the **Place Now** button.
 - To specify which open share lots to trade (if you selected *Specify Shares*), click the **Continue** button.
 - To add the order to your order list, click the **Add to Order List** button. Order entries are moved from the order ticket to the list. From the list, do one of the following:

To	Do This
Enter another order for the same account	Repeat from step 2 above
Enter an order for another account	Repeat from step 1 above
Verify/place orders from the order list	See "Verifying and Placing Orders from the Order List" in this guide.

Optional Fields on the ECN Order Ticket

The table below provides information about the optional fields on the ECN order ticket.

The screenshot shows the ECN Order Ticket form with the following fields and controls:

- Price Type:** Limit
- Price:** [Text Input]
- Time in Force:** Day
- Acct Type:** Cash [Dropdown]
- Order Cond:** Unsolicited [Dropdown]
- Commission:**
 - Override Type: No Override [Dropdown]
 - Override Amt: [Text Input]
 - Calculate [Button]
- Misc Fee:** [Text Input]
- Misc Desc:** [Text Input]
- Order Rcpt Date:** mm/dd/yyyy [Calendar Icon]
- Order Rcpt Time:** hh:mm:ss
- Vs. Purchase Date:** mm/dd/yyyy [Calendar Icon]
- Specify Shares
- Average Price

Buttons at the bottom: Add to Order List, Verify Now, Clear, Skip Order Verification

Optional Fields on the ECN Order Ticket	
Field	Description
Acct Type	Select the account type for this order: Cash or Margin . Note that you must have a valid margin agreement on file to place orders on margin.

Optional Fields on the ECN Order Ticket	
Field	Description
Order Cond	<p>Select the option that applies:</p> <p>Unsolicited The customer requested the order.</p> <p>Solicited The investment professional suggested the order.</p> <p>Discretionary The investment professional exercised discretion in entering the order.</p> <p>Note <i>You will be prevented from exercising discretion on an order entered for a non-discretionary account. Select Discretionary only for those accounts already designated as Discretionary.</i></p>
Commission	<ul style="list-style-type: none"> ▪ To calculate base commission, select No Override from the Override Type drop-down list and leave Override Amt blank. Then click Calculate. <p style="text-align: center;"><i>OR</i></p> <ul style="list-style-type: none"> ▪ To calculate override commission select an Override Type: ¢ per share \$ Amount % Discount <p>Enter the Override Amt that represents the override fee and then click Calculate.</p>
(If entitled) Skip Order Verification	<p>To skip the verification step that occurs prior to sending an order for execution, select this check box. A Skip Order Preview Consent pop-up displays. Click OK to acknowledge consent.</p> <p>Note <i>Skipping verification eliminates the opportunity to review your orders before they are sent for execution. However, it does not preclude orders from being held for review prior to being sent to market.</i></p>
Misc Fee	Enter the dollar amount of any miscellaneous fee you want to specify for the order.
Misc Desc	Enter free-form text you want to record about the order, up to 74 characters. This text displays on the customer's order confirmation.
Order Rcpt Date	<p>Enter the actual date the order was accepted from the customer in MM/DD/YYYY format. Click the Calendar icon to select the date.</p> <p>Note <i>Order Rcpt Date is not applicable for Discretionary orders, or for accounts designated as block trading accounts (Class Code 40 or Class Code 80.)</i></p>

Optional Fields on the ECN Order Ticket	
Field	Description
Order Rcpt Time	<p>If you enter a date, then you must also enter the actual time the order was accepted from the customer in HH:MM:SS format.</p> <p>Note <i>Times are represented in Eastern Time (ET) regardless of where the investment professional is located. If you are not located in the ET zone, you must adjust your order entry times accordingly.</i></p> <p>Note <i>Order Rcpt Time is not applicable for Discretionary orders, or for accounts designated as block trading accounts (Class Code 40 or Class Code 80.)</i></p>
Vs. Purchase Date	<p><i>For accounts using Metavante to track cost basis.</i></p> <p>Enter the versus purchase date, which is the date of the specific share lot you are closing. Click the Calendar icon to select the date.</p>
Specify Shares	<p>If you select <i>Sell</i> or <i>Sell (Deliver Shares)</i>, you can select specific shares. Select the Specify Shares check box to specify shares to trade for tax purposes.</p> <p>Note <i>This feature is only available for TLA-eligible (Tax Lot Accounting system) accounts and when you select a valid action for the order (Sell and Sell (Deliver Shares).) Also, lots purchased intra-day are not available for specific share sale.</i></p>
Average Price	<p>Select this check box to request that if multiple executions result for the order, then one <i>average price</i> should display on Order Status, and on customer confirmations and statements.</p>

Choosing Specific Shares

You can specify which open tax lot shares to trade so the customer can control the lots sold for tax purposes. Before specifying tax lots, you can sort open lots for the current trade. The system automatically pre-fills the Specific Shares window according to your selections.

Note

This feature is only available for TLA (Tax Lot Accounting) system-eligible accounts and when you select a valid action for the order. Also, lots purchased intraday are not available for specific share sale.

► To specify shares:

1. Select the **Specify Shares** check box on the order ticket window and then click the **Continue** button.

The screenshot shows the 'Trade Equities' window for account 033-002194 - HEMMINGWA. The account is an Individual with a net worth of \$1,972,668.46. The order details include: Acpt Rep: jfs, Action: Sell, Quantity: 1,500, Symbol/CUSIP: KKD, Price Type: Market, Time in Force: Day, Acct Type: Cash, Order Cond: Unsolicited, Special Cond: None, Commission: No Override, and Order Cond: Unsolicited. The 'Specify Shares' checkbox is checked and circled in red. The 'Continue' button is also circled in red. Other fields include Misc Fee, Misc Desc, Order Rcpt Date, Order Rcpt Time, Vs. Purchase Date, and Average Price.

The Sort Lots window opens. Use this window to sort tax lots by term and cost to help expedite order entry and optimize a tax strategy.

Note

The Sort Lots window displays only if the account's TLA position is in good order (IGO) and cost basis is fully or partially known. If partially known, only known basis lots display.

The following sample Sort Lots window specifies a Primary Sort by Short Term share lots and a Secondary Sort by Minimizing Gain/Loss.

Trade Equities: Sort Lots

033-002194 - HEMMINGWA Individual Acct Net Worth : \$1,972,668.46

Action	Sell
Symbol/CUSIP	KKD
Quantity	1,500 Shares Specified

Select & Sort Lots

View and sort available lots by Term and by Cost.

Primary Sort by Term

View/Sort by Short-term Shares

View/Sort by Long-term Shares

No Preference

Secondary Sort by Cost

Sort/Pre-fill by Highest Cost

Sort/Pre-fill by Lowest Cost

Sort/Pre-fill by Minimizing Gain/Loss*

No Preference

* An attempt will be made to offset unrealized capital gains with unrealized capital losses or the reverse. There is no guarantee that gains or losses will be offset, in whole or in part. Results will vary.

2. To sort tax lots purchased on different dates, select an option from Primary Sort by Term:
 - **View/Sort by Short Term Shares**
Show mutual fund shares held less than the minimum holding period as defined in the fund's prospectus first. (These shares may be subject to redemption (short-term trading) fees. See the fund's prospectus for more information.)
 - **View/Sort by Long Term Shares**
Show mutual fund shares held longer than the minimum holding period as defined in the fund's prospectus first. (These shares may not be subject to redemption—short-term trading—fees. See the fund's prospectus for more information.)
3. To sort tax lots purchased at different prices (within the Primary Sort you just selected), select an option from Secondary Sort by Cost:
 - **Sort/Pre-fill by Highest Cost**
Fill tax lots with the highest cost basis per share information first.
 - **Sort/Pre-fill by Lowest Cost**
Fill tax lots with the lowest cost basis per share information first.
 - **Sort/Pre-fill by Minimizing Gain/Loss**
Attempt to identify high cost basis and low cost basis per share. (There is no guarantee that gains or losses will be offset, in whole or in part. Results can vary.)

4. Click the **Continue** button to sort the tax lots based on your selections:

- If the position is *NIGO* (Not In Good Order) or *Unknown*, the Enter Lots window opens. You must manually enter lot depletion for the order. See “Manually Entering Tax Lots,” next.
- If the position's cost basis is fully or partially known to the Tax Lot Accounting System, the Specify Shares window opens:

Trade Equities: Specify shares

033-002194 - HEMMINGWA Individual Acct Net Worth : \$1,972,668.46

The open lots for **KKD** according to our records are displayed below.

- To change any pre-selected shares, type over the quantity in the Specified Shares column.
- Lots are sorted and preselected in the order you specified

9 Open Lots - KKD (KRISPY KREME DOUGHNUTS INC)

Primary Sort: Short Term		Secondary Sort: Minimize Gain/Loss				Change Sort	
Shares Specified	Shares Available	Date Acquired	Cost Basis/Share	Lot Basis	Unrealized Gain/Loss	Holding Period	Cost Basis Source
<input type="text" value="1000.0000"/>	1000.0000	01/20/2004	\$35.44	\$35,440.00	-\$14,105.00	Short	NFS
<input type="text" value="100.0000"/>	100.0000	06/09/2003	\$35.83	\$3,583.00	-\$1,449.00	Short	NFS
<input type="text" value="400.0000"/>	1000.0000	08/07/2003	\$43.06	\$43,060.00	-\$21,717.00	Short	NFS
<input type="text"/>	333.0000	08/07/2003	\$43.21	\$14,388.93	-\$7,281.48	Short	NFS
<input type="text"/>	100.0000	06/26/2002	\$37.51	*\$3,751.00	-\$1,617.10	Long	NFS
<input type="text"/>	100.0000	06/27/2002	\$34.05	\$3,405.00	-\$1,271.00	Long	NFS
<input type="text"/>	100.0000	07/11/2002	\$33.78	\$3,378.00	-\$1,244.00	Long	NFS
<input type="text"/>	100.0000	11/05/2002	\$35.13	\$3,513.00	-\$1,379.00	Long	NFS
<input type="text"/>	100.0000	11/19/2002	\$37.32	\$3,732.00	-\$1,598.00	Long	NFS
1500.0000 Shares Specified							
0.0000 Unspecified Shares to be Sold as First In/First Out (FIFO)							
1500.0000 Total Shares in Order							

* Indicates basis adjustment from Wash Sale

If cost basis is unavailable or inconsistent with the account holder's own records, you can [Enter the Lots Manually](#).

Note

Entries follow the trade process through end-to-end; depleted lots print on the customer's confirm.

- Review the information on the Specify Shares window for accuracy, and do one of the following:

To	Do this
Verify the order as it displays in the window	Click Continue .
Modify the pre-filled tax lots that display and then verify	Highlight and then enter the number of shares you want to deplete from a particular tax lot in its corresponding Shares Specified box. When completed, click Continue .
Enter tax lots manually	Click the Enter the Lots Manually link. The Enter Lots window displays. (Refer to "Manually Entering Tax Lots," next.)
Return to the previous window	Click the Back to Sort Lots button.

The Specify Shares Verification window displays to verify your entries which include Specific Lots Associated with this order. Additionally, you can view the specific share activity online in TLA and on the customer's statement.

Trading >

Trade Equities : Specify Shares Verification

To place your orders, click Place Verified Order(s). A confirmation number will appear to confirm the placement of your order. If a confirmation number does not appear, contact the Home Office to confirm the status of the order.

033-002194 Sell 1,500 Shares of KKD (KRISPY KREME DOUGHNUTS INC) ! Note: If you submit this order, it will not be Held.							
Accepting Rep	JFS	Price	Market	Comm Override	None	Misc Fee	---
Short Name	HEMMINGWA	TIF	Day	Principal Net Trade	No	Order Receipt Date	---
Reg Type	Individual	Account Type	Cash	Sales Credit	---	Order Receipt Time	---
Action	Sell	Order Condition	None	Average Price	Yes		06/08/2004 16:02:09
Quantity	1,500 Shares	Special Conditions	No Conditions				
Symbol / CUSIP	KKD/501014104						
Misc Description:	---						

Total Estimated Value at the bid price (Not including any Commissions or Fees) \$30,825.00

Specific Shares Allocated With This Order

Shares Quantity	Date Acquired	Cost Basis /Share
1,000.000	01/20/2004	\$35.44
100.000	06/09/2003	\$35.83
400.000	08/07/2003	\$43.06

To place your orders, click Place Verified Order(s). A confirmation number will appear to confirm the placement of your order. If a confirmation number does not appear, contact the Home Office to confirm the status of the order.

- Do one of the following:
 - Click the **Place Verified Order** button to place the order.
 - Click the **Edit Order** button to go back and make changes.

Manually Entering Tax Lots

You can manually enter the number of shares for each open lot from which you want to sell shares for the current order. Any cost basis information entered for the position is reflected on the trade confirmation; however, the system cannot track the information for future reference. Subsequently, any resulting gain/loss on this order will be recorded in the Tax Lot Accounting (TLA) system as first in/first out (FIFO.)

Use the Manual Lots window for *Unknown Basis*, *Out of Balance cost basis*, or for accounts that manually track cost basis in another system and do not use the TLA system.

Note

The manual lots that are depleted are listed on the confirmation but do not update the TLA system.

The following example shows the Enter Lots Manually window, which displays when you click the **Enter the Lots Manually** link at the bottom of the Specify Shares window. It includes two entries created by typing the values in the fields.

Trade Equities: Enter Lots Manually

033-002194 - HEMMINGWA Individual Acct Net Worth : \$1,992,548.67

Enter the number of shares to sell from each lot

[Instructions on Entering Lots](#)

KKD - (KRISPY KREME DOUGHNUTS INC)

Shares Quantity	Date Acquired	Cost Basis / Share	Go Back
1000.0000	01/20/2004	35.44	
500.0000	08/07/2003	43.06	
<input type="text"/>	mm/dd/yyyy	<input type="text"/>	
<input type="text"/>	mm/dd/yyyy	<input type="text"/>	
<input type="text"/>	mm/dd/yyyy	<input type="text"/>	

1500.0000 Shares Specified
0.0000 Unspecified Shares to be Sold as First In/First Out (FIFO)
1,500.0000 Total Shares in Order

Any cost basis will be reflected on the trade confirmation. However, we will not be able to track the information for future reference. Subsequently, any resulting gain/loss will be recorded within the cost basis system as FIFO.

► **To enter tax lots manually:**

1. Enter the number of shares you want to deplete from a particular tax lot in the table's first available Shares Quantity box.

Running totals display below the table. The Shares Specified (in the table) cannot be greater than the Total Shares in Order. If the total specified shares are less than the total for the order, the remaining Unspecified Shares will be sold using FIFO.

2. Enter the date on which the shares were added to the account in the corresponding Date Acquired box using the MM/DD/YYYY format.

- Enter the price per share at which the shares in the lot were purchased in the Cost Basis/Share box.

Note

If shares purchased were over multiple dates or at different prices, you may split the lot into multiple lots. For example, if the quantity with unknown cost basis is 200 shares, which represent two separate purchases of 100 shares each, enter cost basis for the first 100 shares, then enter cost basis for the remaining 100 shares in the next row. NFS provides cost basis and associated realized gain/loss information as a courtesy service. Such information may not reflect all adjustments necessary for tax reporting purposes. To enter another lot for the position, repeat steps beginning with Step 1.

- Click the **Continue** button to verify your entries on the Specify Shares Verification window.

Trade Equities : Specify Shares Verification

To place your orders, click Place Verified Order(s). A confirmation number will appear to confirm the placement of your order. If a confirmation number does not appear, contact the Home Office to confirm the status of the order.

033-002194 Sell 1,500 Shares of KKD (KRISPY KREME DOUGHNUTS INC) ! **Note:** If you submit this order, it will not be Held.

Accepting Rep	JFS	Price	Limit at \$23.00	Comm Override	None	Misc Fee	---	Last	21.73
Short Name	HEMMINGWA	TIF	Day	Principal Net Trade	No	Order Receipt Date	---	Bid	21.66
Reg Type	Individual	Account Type	Cash	Sales Credit	---	Order Receipt Time	---	Ask	21.73
Action	Sell	Order Condition	None	Average Price	Yes				06/09/2004 13:32:49
Quantity	1,500 Shares	Special Conditions	No Conditions						
Symbol/CUSIP	KKD/501014104								
Misc Description:	---								

Total Estimated Value at the limit price (Not including any Commissions or Fees) \$34,500.00

Specific Shares Allocated With This Order

Shares Quantity	Date Acquired	Cost Basis/Share
1,000,000	01/20/2004	\$35.44
500,000	08/07/2003	\$43.06

To place your orders, click Place Verified Order(s). A confirmation number will appear to confirm the placement of your order. If a confirmation number does not appear, contact the Home Office to confirm the status of the order.

- Do one of the following:
 - Click the **Place Verified Order** button to place the order.
 - Click the **Edit Order** button to go back and make changes.

Verifying and Submitting an Order

You must validate any order before submitting it to the Home Office. Streetscape performs the validation of your entries and then presents the outcome to you on the Verification window. Warnings and rejection type errors must be addressed before further processing can occur. For more information, see "Warnings" next.

Important

Always read all displayed text before continuing so that you are aware of any implications associated with placing the order. If you have any questions contact your Home Office or Risk/Compliance Officer.

► **To verify the order:**

1. When verifying an order, one of the following can occur:
 - If the order cannot be processed as entered, a message displays the reason (for example, "The security that you are attempting to sell is not in your cash account.") Select the **Edit Order** check box and fix the order.
 - If similar orders already exist for the account, this message displays: "An order similar to the one listed below was recently placed." To prevent sending duplicate orders, indicate whether the order is correct by clicking its **Order OK** check box. Then click the **Continue to Verification** button.
 - If the order is attempting to sell shares purchased earlier in the same day, this message displays: "The security that you are attempting to sell was purchased today." To continue with the order, select the **Order OK** check box and then click the **Continue to Verification** button.
 - If the order entries are valid, a Verification window displays.

Trade Equity Verification							
To place your orders, click Place Verified Order(s). A confirmation number will appear to confirm the placement of your order. If a confirmation number does not appear, contact the Home Office to confirm the status of the order.							
033-005762 Buy 500 Shares of MSFT (MICROSOFT CORP)				Note: If you submit this order, it will not be Held.			
Accepting Rep	JFS	Price	Limit at	Comm Override	None	Misc Fee	---
Short Name	JONES		\$25.00	Principal Net Trade	No	Order Receipt Date	---
Reg Type	Joint with Survivorship	TIF	Good Till Canceled	Sales Credit	---	Order Receipt Time	---
Action	Buy	Account Type	Cash	Average Price	Yes	Vs Purchase Date	---
Quantity	500 Shares	Order Condition	Unsolicited				11/16/2004 16:00:03
Symbol/CUSIP	MSFT/594918104	Special Conditions	No Conditions				
Misc Description (Prints on Confirm) ---							
Total Estimated Value at the limit price (Not including any Commissions or Fees) \$12,500.00							
< Edit Order(s)				Place Verified Order(s) >			
To place your orders, click Place Verified Order(s). A confirmation number will appear to confirm the placement of your order. If a confirmation number does not appear, contact the Home Office to confirm the status of the order.							

2. Do either of the following:

To	Do this
Enter changes	Click the Edit Order button. You return to the order ticket window.
Submit the order to the Home Office	Click the Place Verified Order button. The Confirmation window displays the Confirmation number.

The following example shows a Confirmation window.

Trade Equity Confirmation [Print This Page](#)

Your order has been placed. Print this screen for a record of your order.

033-005762 Buy 500 Shares of MSFT (MICROSOFT CORP) ⓘ Note: This order will not be Held.								
Accepting Rep	JFS	Price	Limit at \$25.00	Comm Override	None	Misc Fee	---	Confirmation Number
Short Name	JONES	TIF	Good Till Canceled	Principal Net Trade	No	Order Receipt Date	---	322J4036
Reg Type	Joint with Survivorship	Account Type	Cash	Sales Credit	---	Order Receipt Time	---	Order Entered
Action	Buy	Order Condition	Unsolicited	Average Price	Yes	Vs Purchase Date	---	11/17/04 08:43 AM ET
Quantity	500 Shares	Special Conditions	No Conditions					
Symbol/CUSIP	MSFT/594918104							

Misc Description (Prints on Confirm) --- [Check Order Status](#)

► **To print the confirmation for your records:**

- Click the **Print** link available in the upper right corner of the Confirmation window.

► **To enter another order:**

- Click the **Place Another Order** button to return to the order ticket window.

► **To access the Order Status window:**

- Use the **Check Order Status** link available in the lower right corner of the Confirmation window.

Order Status 11/17/2004 8:44 AM ET [Refresh](#)

033-005762 - JONES Joint with Survivorship **Acct Net Worth : \$509,142.60**

Number of orders: 1
 Information current as of the last refresh of this screen;11/17/2004 08:44:02 .
 This page is not automatically updated. [Update Status](#) ECN indicates an ECN Extended Hours trade

Order Number	Account Type	Order	Date	Status	Attempt Action
04322BBBLW	Cash	Buy 500 shares MSFT at 25 Limit GTC	11/17/04	Open	Cancel Cancel & Replace Update Order

▪ ECN Extended Hour Orders will be automatically canceled if they are not Filled by the end of the ECN trading session. The ECN Premarket trading session ends at 12:00 P.M. Eastern Time. The ECN After Hours trading session ends at 6:00 P.M. Eastern Time.

The following table describes the fields on the Order Status window.

Field	Description
Order Number	<p>A number that uniquely identifies an electronically placed brokerage order.</p> <p>Note <i>The Order Number is assigned once the order is approved by the Home Office.</i></p>
Account Type	<p>One of the various account types, the most common of which are:</p> <p>Cash Margin Short DVP/RVP</p>
Order	<p>A description of the action.</p>
Date	<p>The date and time that the order was entered.</p>
Status	<p>The current status of the order, which can be:</p> <p>Canceled Expired Filled Held Marketplace Reject Open Partially Filled Pending Canceled Pending Expired Rejected Verified Canceled</p>
Attempt Action	<p>The possible actions you can attempt to perform with the order, such as:</p> <p>Cancel Cancel & Replace Update</p> <p>When no order attempt actions display in this column, no further actions are possible.</p>

Warnings

When applicable, Streetscape displays warnings as part of the verification process. Four of these warnings display in separate pages and are described in the following table.

Note

For class code 80 accounts, Streetscape does not display these warnings.

Warning	Description
Same Day Sell	<p>Notifies you that the order being verified is selling something that was bought today.</p> <p>Streetscape displays this warning when a sell order is entered for a security that was purchased that same trading day in the same account.</p>
Position Not Held	<p>Notifies you that the order being verified specifies selling something that is not in the account.</p> <p>Streetscape displays this warning when a sell order is entered for a security and there is no position in the security in the account.</p> <p>If the account has a smaller position in the security than that specified on the order, Streetscape rejects the order.</p>
Breakpoint	<p>Notifies you that the order being verified specifies a fund that is eligible for a breakpoint, but the order did not receive and did not request a breakpoint.</p> <p>Streetscape displays this warning when the following conditions are met:</p> <ul style="list-style-type: none"> ▪ The mutual fund is a front end loaded fund. ▪ The system did not calculate a reduced load for the order. ▪ You did not select a Breakpoint Override on the order ticket.
Duplicate Order	<p>Notifies you that the order being verified matches another order for the security.</p> <p>Streetscape displays this warning when an order is entered that matches another open, held, or filled order. The new order and the previous order (including GTC) must match in side (buy or sell), account number, and symbol.</p>

Checking Order Status

From the Order Status window you can:

- View order detail
- Attempt to cancel an Open or Partially Filled order
- Attempt to cancel and replace an Open or Held order
- Attempt to update an Open, Filled, or Partially Filled order

► **To view Order Status:**

1. Select the **Trading** tab and then select **Order Status** to open its window.

Note

Order Status can also be accessed using the Accounts menu.

Order Status						11/17/2004 9:11 AM ET Refresh
033-005762 - JONES Joint with Survivorship Acct Net Worth : \$509,142.60						
Number of orders: 2 Information current as of the last refresh of this screen;11/17/2004 09:11:12 . This page is not automatically updated. Update Status ECN indicates an ECN Extended Hours trade						
Order Number	Account Type	Order	Date	Status	Attempt Action	
04322BBBLW	Cash	Buy 500 shares MSFT at 25 Limit GTC	11/17/04	Open	Cancel Cancel & Replace Update Order	
04322BBBMH	Cash	Buy 1,000 shares GE at 34 Limit GTC	11/17/04	Open	Cancel Cancel & Replace Update Order	
<ul style="list-style-type: none"> ▪ ECN Extended Hour Orders will be automatically canceled if they are not Filled by the end of the ECN trading session. The ECN Premarket trading session ends at 12:00 P.M. Eastern Time. The ECN After Hours trading session ends at 6:00 P.M. Eastern Time. 						

The following table describes the fields on this window:

Field	Description
Order Number	A number that uniquely identifies an electronically placed brokerage order. The Order Number is assigned once the order is approved by the Home Office.
Account Type	Each account contains different account types. There is only one account type per position: Cash, Margin, or Short.
Order	A description of the action.
Date	The date and time the order was entered.

Field	Description
Status	<p>The current status of the order:</p> <p>Canceled</p> <p>Expired</p> <p>Filled</p> <p>Held</p> <p>Open</p> <p>Marketplace Reject</p> <p>Partially Filled</p> <p>Pending Canceled</p> <p>Pending Expired</p> <p>Verified Canceled</p> <p>Note <i>The status Expired displays only on the day after a GTC order expires.</i></p>
Attempt Action	<p>The possible next steps you can perform with the order:</p> <p>Cancel</p> <p>Cancel & Replace</p> <p>Update Order</p> <p>When no order attempt actions display in this column, no further actions are possible.</p>

Canceling an Order

Note

Order cancellations are performed on a best efforts basis. There is no guarantee that an open order can be canceled, in whole or in part.

You can attempt to cancel a brokerage account order with a status of:

- Open
- Partially Filled

► To attempt to cancel an order:

1. In the Attempt Action column of the Order Status window, click the **Cancel** link for the Open or Partially Filled order you want to cancel.

Note

The **Cancel** and the **Cancel and Replace** links display next to an order that can be cancelled. If these links do not display, you cannot cancel the order.

A window displays showing the details of the order you want to cancel.

Cancel Order: Equity

033-005762 - JONES Joint with Survivorship **Acct Net Worth : \$509,142.60**

Information current as of the last refresh of this screen; 11/17/2004 08:44:02.

Attempt to Cancel

Accepting Rep	Action	Quantity	Symbol/ CUSIP	Order Type	Order Price	Account Type	Status
JFS	Buy	500	MSFT	Limit	25	Cash	Open

Time in Force: Good Till Canceled Special Conditions: None Order Condition: None

Cancel Receipt Date (mm/dd/yyyy) Cancel Receipt Time (hh:mm:ss) Cancel Order Condition: Unsolicited

2. Do one of the following:

To	Do This
Abandon or void the Attempt to Cancel request	Click the Void button to return to the Order Status window.
Continue processing the Attempt to Cancel request	Click the Attempt to Cancel Order button. A Confirmation window verifies that your cancel order has been placed with the Home Office and shows the assigned order number.

3. To print the confirmation for your records, click the **Print** button on your browser's toolbar.

Note

The status of the order is changed to Pending Canceled on the Order Status window. If the order has not already been filled at the market place, its status eventually becomes Verified Canceled.

Canceling and Replacing an Order

Note

Order cancellations are performed on a best efforts basis. There is no guarantee that an open order can be canceled in whole or in part. A single order for a large quantity of shares can be filled through multiple executions. To verify if the order has been filled in its entirety, contact your Home Office.

If you want to maintain the original order’s place in the specialist’s book at the market, you can attempt to cancel and immediately replace a brokerage account order with statuses of:

- Open
- Held

When attempting to cancel and replace an order, you cannot change the original order’s account number, market symbol/CUSIP number, or order action. To do so, you should attempt to cancel the order (using the previous procedure), and then enter a new order.

► **To attempt to cancel and replace an order:**

1. In the Attempt Action column of the Order Status window, click the **Cancel & Replace** link for the Open or Held order you want to cancel.

Note

The Cancel and the Cancel and Replace links display next to an order that can be canceled. If these links do not display, you cannot cancel the order.

The Cancel and Replace Order window shows the original order you want to Attempt to Cancel, which you cannot modify. Below that, it shows an Attempt to Replace order with pre-filled fields you can modify.

Cancel and Replace Order: Equity
033-005762 - JONES Joint with Survivorship **Acct Net Worth : \$509,142.60**
 Information current as of the last refresh of this screen; 11/17/2004 08:47:38.

Attempt to Cancel

Accepting Rep	Action	Quantity	Symbol/ CUSIP	Order Type	Order Price	Account Type	Status
JFS	Buy	500	MSFT	Limit	25	Cash	Open
Time in Force			Special Conditions		Order Condition		
Good Till Canceled			None		None		

Attempt to Replace

Accepting Rep	Action	Quantity	Symbol/ CUSIP	Order Type	Order Price	Account Type
JFS	Buy	500	MSFT	Limit	25	Cash
Time in Force			Special Conditions		Order Condition	
Good Till Canceled (120 days)			<input type="checkbox"/> All or None <input type="checkbox"/> Do Not Reduce <input type="checkbox"/> Do Not Increase		Replace Order Condition	
Replace Receipt Date (mm/dd/yyyy)			Replace Receipt Time (hh:mm:ss)		Replace Order Condition	
					Unsolicted	

Attempt to Cancel & Replace Order Void

All orders may be held for review. Held orders will not be submitted to the market for execution until they are approved and released during business hours. Held orders can be viewed on order status. If an order is rejected, checking order status will be your only notification.

2. Enter changes to any of the following fields:

Accepting Rep

Quantity

Order Type

Order Price

Time in Force

Special Conditions

Receipt Date

Receipt Time

Order Condition

3. Do one of the following:

To	Do This
Abandon or void the Attempt to Cancel & Replace request	Click the Void button to return to the Order Status window.
Continue processing the Attempt to Cancel & Replace request	<p>Click the Attempt to Cancel & Replace Order button. A Verification window displays a description of the order to cancel.</p> <p>Click the Attempt to Cancel & Replace Order button to continue. A Confirmation window verifies whether your cancel order and replace order have been placed with the Home Office and shows the assigned Cancel and Replace Order Number.</p>

4. To print the confirmation for your records, click the **Print** button on your browser's toolbar.

Updating an Order

Note

Updates are performed on a best efforts basis. There is no guarantee that an order can be corrected in whole or part. Updates do not cancel or replace the original order. Orders are available for update up until the end of day processing begins. An update only modifies non-marketplace order information.

For a brokerage account order you submitted, you can attempt to update its non-marketplace data. *Non-marketplace data* refers to order information that does not impact an order's performance at the marketplace. You can update equity, option, and mutual fund orders with any of the following statuses:

- Open
- Filled
- Partially Filled

This feature is not available for fixed income orders and can be performed only by the user who originally entered the order, as determined by that user's Streetscape user ID.

► To attempt to update an order:

1. In the Attempt Action column of the Order Status window, click the **Update Order** link for the order you want to update.

An Update Order window displays showing the original Order Information. Below that, it shows Attempt to Update information with pre-filled fields you can update. For example:

Update Order: Equity

033-005762 - JONES Joint with Survivorship Acct Net Worth : \$509,142.60

Information current as of the last refresh of this screen; 11/17/2004 08:48:56 . Required Fields *

Order Information							
Accepting Rep	Action	Quantity	Symbol/ CUSIP	Order Type	Order Price	Account Type	Status
JFS	Buy	500	MSFT	Limit	25	Cash	Open
Time in Force	Special Conditions	Order Condition	Commission	Override			
Good Till Canceled	None	None		No Override			
Miscellaneous Description							
Attempt to Update							
Accepting Rep	Order Condition	Commission	Override	Miscellaneous Description (Printed on customer confirmation)			
JFS *	Unsolicited		No Override				

Return to [Order Status](#)

Updates are performed on a "best efforts" basis. There is no guarantee that an order can be corrected in whole or part. Updates do not cancel nor replace the original order. Any open, filled or partially filled order can be corrected the same day it was entered. Orders are available for Update up until end of day processing begins. A Update will only modify the non-marketplace order details, which includes Commission Override, Order Condition, Accepting Rep, and Miscellaneous Description.

Fields you can update

2. Enter updates to any of the following fields:

Field	Description
Accepting Rep	The code of the investment professional who accepted the order.
Order Condition	<p>Indicate whether this order was solicited by the representative:</p> <p>Unsolicited The customer requested the order.</p> <p>Solicited The investment professional suggested the order.</p> <p>Discretionary The investment professional exercised discretion in entering the order.</p> <p>Note <i>You will be prevented from exercising discretion on an order entered for a non-discretionary account. Select Discretionary only for those accounts already designated as Discretionary.</i></p>
Comm Override	<p><i>For equity and option orders only.</i></p> <p>To override the standard commission, enter the dollar amount that represents the override fee in the first Commission Override box and then select the method:</p> <p>No Override (Default.)</p> <p>¢ per share</p> <p>\$ Amount</p> <p>% Discount</p> <p>Note <i>If this is a Principal Net Trade, Commission Override is not available since commissions do not apply to principal net trading.</i></p>
S/F Commission	<p><i>For no-load mutual fund orders only.</i></p> <p>The dollar amount that represents an additional service fee or commission.</p>
Misc Desc	Free-form text about the order, up to 74 characters. This text displays on the customer's order confirmation.

3. Click the **Submit Update** button.

If the update was successful, the Order Information re-displays with the updated non-marketplace data and a message that confirms the order was changed.

If the update was not successful and Order Information does not display the updated data, click the **Update Again** button to return to the Update Order window and attempt the update again.

4. Once successful, do either of the following:
 - To print this page for your records, click the **Print** button on your browser's toolbar. For best results, select a layout orientation of *Landscape* from your browser's Page Setup window.
 - To return to Order Status, click the **Order Status** link.

Using Commission Calculator

You can use Commission Calculator to estimate the commission fee for placing a buy or sell order. Based on your entries, results show the estimated net cost for the order and discounted commission fee.

The calculations are estimated based on a predetermined schedule. Commissions are subject to change without notice. Depending on the security you are trading, your firm may or may not have an additional fee or charge. If you have questions, please contact the Home Office.

Note

Required fields in the window (the minimum information needed to estimate commission) are indicated by a red asterisk (*).

► To use Commission Calculator:

1. Select the **Trading** tab and then select **Commission Calculator** to open its window.

2. Select the Action to perform: **Buy** or **Sell**.
3. Enter the Share Quantity of the order. This should be a whole number greater than zero.
4. Select the Security Type:

Listed Stock

OTC Stock

Fidelity MF

Non-Fidelity MF

Option

5. If you selected a mutual fund security type, select the optional security Sub-type:

Load

No-Load

Money Market

6. Enter the Share Price. Fraction and decimal amounts are accepted.

7. To indicate a market order, select the **Market Order** check box.
8. To indicate a foreign security, select the **Foreign Security** check box.
9. To use a commission schedule not assigned to the account, enter the two-character Commission Code (if available) that represents the schedule you want to use to calculate commission.
10. To override the base-level commission by a specific percentage, enter the % Discount, up to 100. Do not enter 5, 10, and 15 as the system automatically calculates these percentages.
11. Click the **Calculate** button to calculate the results.

The following example shows the use of Commission Calculator to calculate commission for **1,000** shares of a stock with a Share Price of **50**. The % Discount field includes a specified value of **25**, which means that Commission Calculator is to calculate for the default values (5%, 10%, and 15%) plus the specified value of 25%.

Trading > **Commission Calculator** As of 06/02/2004 9:54 AM ET

CH8-083836 - LYNCH SEP IRA Acct Net Worth : \$19,469.44 [Trade](#) ▾

Action* Share Price*

Share Quantity* Market Order

Security Type* Foreign Security

Sub-type

Commission Code

% Discount (5, 10 & 15% Discounts are calculated automatically.)

* Required

Discount Schedule

	Commission	Estimated Net Cost
Base Level	\$520.00	\$50,520.00
5.00% Discount	\$494.00	\$50,494.00
10.00% Discount	\$468.00	\$50,468.00
15.00% Discount	\$442.00	\$50,442.00
25.00% Discount	\$390.00	\$50,390.00

Actual Calculation

Principal Amount	\$50,000.00
Estimated Net Cost	\$50,390.00
Base Level Commission	\$520.00
25.00% Discounted Commission	\$390.00

[View Important Commission Calculator Information](#)

Using Margin Calculator

You can use Margin Calculator to estimate the impact of hypothetical equity securities trades on an account's margin balances and buying power against NFS's current margin requirements. Your hypothetical trade inputs can then become actual inputs via a link to the equity order ticket from the calculator that pre-fills the ticket with your inputs.

Because the Margin Calculator relies on current market information, it is only available between 6 A.M. and 11 P.M. ET.

Note

Margin Calculator is provided only as a tool to help you determine your margin requirements based on NFS's current margin requirements. Margin requirements and concentration levels are subject to change at any time, and current requirements may not be updated in the calculator real-time. NFS is not responsible for any inconsistencies between the margin requirements presented here and the margin requirements actually applied to the trade.

► To use Margin Calculator:

1. Select the **Trading** tab and then select **Margin Calculator** to open its window.

Margin Calculator

033-005762 - JONES Joint with Survivorship Acct Net Worth : \$506,535.82 [Trade](#) ▼

Action

Quantity (shares)

Symbol [search](#)

Price Type

Price

Time In Force

Account Type

Commission Override %

Page last updated: 10:07 Apr 8, 2004.

2. Do the following to enter your trade scenario:

Note

The descriptions below attempt to address most margin trade scenarios. Be aware that some values only display based on the account's eligible account types.

Field	Description
Action	Select the action to perform: Buy Sell Buy to Cover Sell Short Note <i>If you select Buy to Cover, Account Type automatically displays Short. If you select Sell Short, Account Type automatically displays Short and Time in Force displays Day.</i>
Quantity	Enter the number of shares to be traded. This should be a whole number greater than zero, up to eight digits.
Symbol	Enter the market symbol of the order, or click the Search link to look one up.
Price Type	Select the price requirements: Note <i>To calculate margin and commission estimates, a price must be entered for all Price Types, including Market.</i> Market Order will be filled at the available market price. Limit Order will be filled only at the price you enter or better (at price or less for a buy order; at price or greater for a sell order.) Stop Loss Order will be filled only at the price you enter (above the current market price for buy orders, below the current price for sell orders.) Stop Limit Order will be filled at the price you enter or better, but only after reaching or exceeding the specified stop price.
Price	Enter the price or better at which the trade should be executed, but only after the security has traded at that price. Fraction and decimal amounts are accepted.

Field	Description
Time in Force	<p>(Optional) Select the time-in-force requirements:</p> <p>At the Close Order to be executed within the final 30 seconds of trading.</p> <p>Day Order will be canceled if not executed on the trading day entered.</p> <p>Fill or Kill Order to be executed immediately in its entirety on the trading day entered.</p> <p>Good Till Canceled (120 days) Order will remain in effect until executed, canceled, or expired (after 120 days.)</p> <p>Immediate or Cancel Bid or offer order to be entered immediately at the limit price specified. All or only a portion of the order can be executed. Any portion not immediately completed is canceled.</p>
Account Type	<p>Select the account type for this order:</p> <p>Cash</p> <p>Margin</p> <p>Short</p>
Commission Override	<p>(Optional) Enter the percent by which you want to override the standard commission fee, between zero and 100.</p>

3. Click the **Calculate** button to view results, including the current quote for the symbol entered.

At this point you can edit inputs and create the order using the **Edit** and **Create Order** buttons.

The following example shows a sample calculation.

Margin Calculator

033-005762 - JONES Joint with Survivorship Acct Net Worth : \$506,535.82

Action:	Buy	INTL BUSINESS MACH			
Quantity (shares):	1,000	Tick/Last ▼	Change	Bid	Ask
Symbol:	IBM	94.0700 (N)	+0.9900	94.0600 (N)	94.0800 (N)
Price Type:	Market	The above information is accurate only as of 10:01 on Apr 8, 2004.			
Price:	\$92.00				Volume
Time In Force:	Day				639,800
Account Type:	Cash				
Commission Override:	0%				

Page last updated: 10:01 Apr 8, 2004.

Account Network	506,535.82	Account Position Totals	Dollars	Shares
Cash Account Market Value	5,429.96	Transaction Amount	\$92,000.00	1,000
Margin Account Market Value	0.00	Trade Date Amount	\$0.00	0
Short Account Market Value	-9,418.00	Totals	\$92,000.00	1,000
Purchase Securities		Commissions & Fees		
<i>Cash Available</i>	497,809.56	Commission (#10003620)		\$54.00
<i>Margin Available</i>	2,619.00	Misc Fees		\$2.00
Net Value of Held and Open Orders	25,500.00			
		Buying Power		
		Funds Available	\$497,809.56	
		Funds Required (Released)	\$-92,056.00	
		Net Funds	\$405,753.56	

Open Orders are not included in calculation

Account Balances shown in *bold italics* are updated intraday as of the time noted as "Page last updated" to reflect trade executions and non-trade activity, but do not reflect intraday changes in value. Account Balances shown in regular type are based on the prior night's close, and are not updated to reflect today's trade executions, non-trading activity, or intraday changes in value. The margin calculation fields are calculated using intraday Account Balances current as of the time noted as "Page last updated". Balances shown in *RED* indicate deficit values.

The Margin Calculator is provided only as a tool to help you determine your margin requirements based on NFS' current margin requirements. Margin requirements and concentration levels are subject to change at any time, and current requirements may not be updated in the calculator real-time. NFS is not responsible for any inconsistencies between the margin requirements presented here, and the margin requirements actually applied to the trade.

Descriptions of Margin Calculator Output Fields

The following table describes the fields you see in the Margin Calculator window.

Note

Some field definitions only display based on the account type: cash, margin, or short.

Margin Calculator Output Fields	
Field Name	Description
Account Net Worth	<p>The total value (total assets – total liabilities) of an account as of the previous business day's close, including the U.S. dollar value of any foreign security positions. This amount also includes the net market value of all long and short positions less any outstanding debit balances and any amount required to cover short option positions that are in-the-money.</p> <p>Cash Account Market Value The total market value of positions held in the cash account, not including the core account value. This amount does include the value of non-core money market mutual fund positions.</p> <p>Margin Account Market Value The market value for all positions held in the margin account using the previous business day's closing price.</p> <p>Short Account Market Value The total market value of positions held in the short account.</p>
Purchase Securities	<p>Cash Available The dollar amount in the cash account type available to purchase securities.</p> <p>Margin Available The dollar amount available to purchase marginable stock securities without adding money to the account.</p> <p>Cash & Borrow The total dollar amount of marginable securities that can be purchased.</p> <p>Non-Marginable The total dollar amount of non-marginable securities that can be purchased using available cash and/or buying power.</p> <p>Margin Equity The value of all margin positions in the account less any margin debit balance plus any margin credit balance.</p> <p>Margin Equity Percent The equity percentage of the margin market value of the account. (The margin equity divided by the total margin market value.)</p>

Margin Calculator Output Fields	
Field Name	Description
Fed Call OR SMA	<p>Fed Call The amount by which the account's equity does not cover 50% of the cost of an initial margin purchase.</p> <p>SMA (Special Memorandum Account) The amount by which the account's equity is greater than the amount needed to meet the Federal Reserve Board's 50% minimum requirement for a trade.</p>
House Call/Surplus	The margin amount available to borrow in the account that is above or below the house requirement for accounts that borrow against margin.
NYSE Call/Surplus	The margin amount available to borrow in the account that is above or below the New York Stock Exchange (NYSE) minimum requirement for accounts that borrow against margin.
Corporate Bond Buying Power	The dollar amount available to purchase marginable corporate bond securities without adding money to the account.
Municipal Bond Buying Power	The dollar amount available to purchase marginable municipal bond securities without adding money to the account.
Government Bond Buying Power	The dollar amount available to purchase marginable government bond securities without adding money to the account.
Net Value of Held and Open Orders	The estimated net value of all unexecuted held and open orders currently submitted to NFS, even if they weren't submitted using this system.
Account Position Totals	<p>Transaction Amount Total dollar (Price * Quantity), share (Quantity), and standard requirement (Quantity * Standard Margin Rqmt) amounts of your order using this calculator. Sell amounts are preceded by a minus sign (-).</p> <p>Trade Date Amount Total dollars, shares, and standard requirement for this position, including any current day transactions.</p>

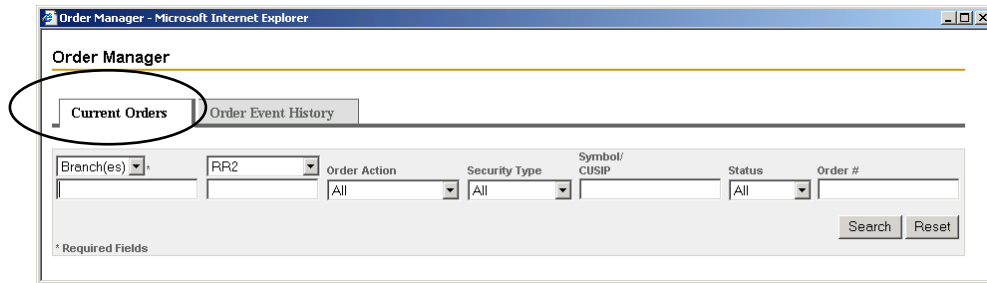
Margin Calculator Output Fields	
Field Name	Description
Position Margin Requirements	<p>Standard Margin Rqmt The sum of Transaction Amount + Trade Date Amount for the security, multiplied by the house margin requirements. (House margin requirements refer to NFS's ongoing margin requirements, which require customers to maintain a certain level of equity in their margin accounts.)</p> <p>Position Concentration Level The security concentration percentage of account market value for the security in the hypothetical trade.</p> <p>Concentrated Position Margin Rqmt The potential increase in margin requirement as a result of the hypothetical trade's Position Concentration Level.</p> <p>Additional Margin Required Additional margin requirement/release as a result of the hypothetical trade.</p>
Commissions & Fees	<p>Commission Estimated commission fee that would be charged to execute this trade.</p> <p>Misc Fees Estimated miscellaneous fee that would be charged to execute this trade.</p>
Funds Available	The account's current Buying Power and/or Call prior to placing this hypothetical trade.
Funds Required	The Buying Power and/or Call funds required in the account as a result of placing this hypothetical trade.
Net Funds	The net effect on the account's Buying Power and/or Call as a result of placing this hypothetical trade.

Using Order Manager

Order Manager is a tool in Streetscape designed to help investment professionals manage the status of orders across their books of business.

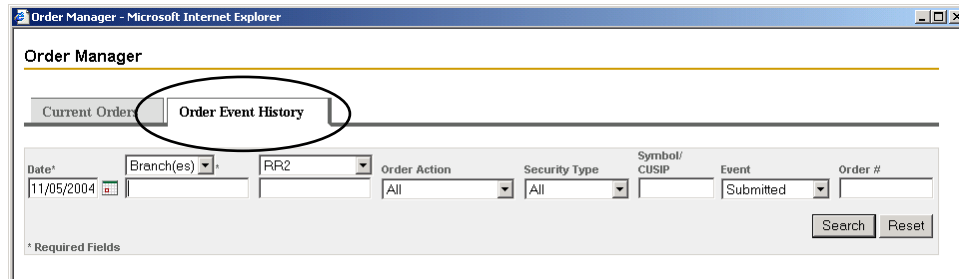
The Order Manager window includes two tabs:

- The **Current Orders** tab lets you specify criteria to search selectively for open orders, as well as for orders with current day activity (Executed, Canceled, Expired, etc.)



The screenshot shows the 'Order Manager' window in Microsoft Internet Explorer. The 'Current Orders' tab is selected and circled in red. Below the tabs is a search form with the following fields: Branch(es), RR2, Order Action, Security Type, Symbol/CUSIP, Status, and Order #. The 'All' option is selected for Order Action, Security Type, and Status. Search and Reset buttons are located at the bottom right of the form. A note at the bottom left indicates '* Required Fields'.

- The **Order Event History** tab lets you specify criteria to search selectively for orders that include events associated with a specified date in the past (up to 180 calendar days.)



The screenshot shows the 'Order Manager' window in Microsoft Internet Explorer. The 'Order Event History' tab is selected and circled in red. Below the tabs is a search form with the following fields: Date*, Branch(es), RR2, Order Action, Security Type, Symbol/CUSIP, Event, and Order #. The date '11/05/2004' is entered in the Date* field, and 'Submitted' is selected for the Event field. Search and Reset buttons are located at the bottom right of the form. A note at the bottom left indicates '* Required Fields'.

The following example shows what the Order Manager Current Orders tab looks like with retrieved order information. Search specifications include **Branch 033, Buy, Open** orders. The order numbers in the Order # column are links to other windows. When you click an order number, a drop-down list displays actions appropriate to the order. You can select from these actions to view details about and manage the order.

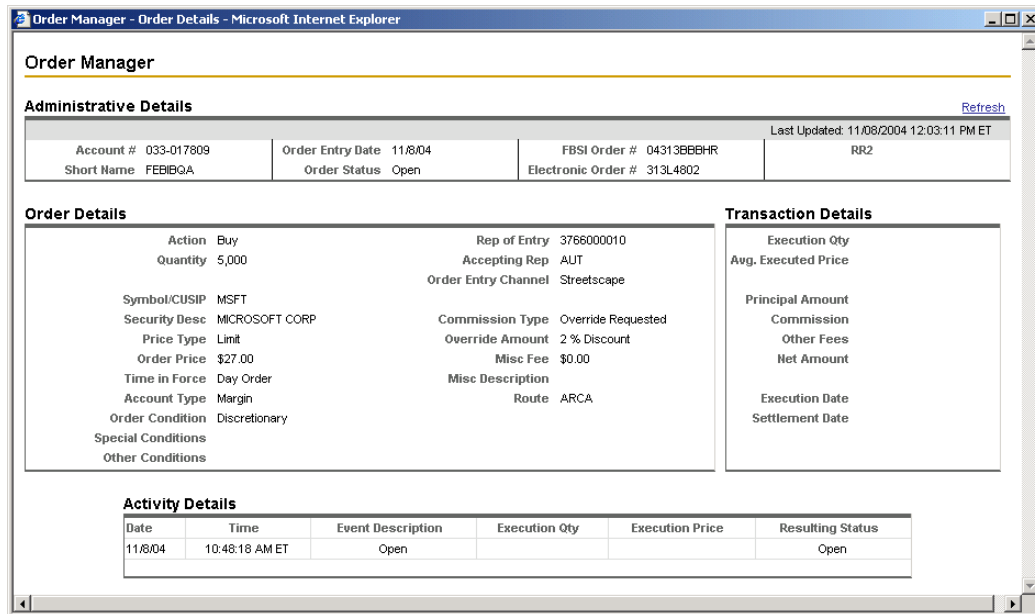
The screenshot shows the Order Manager interface with the following search filters:

- Branch(es): 033
- Order Action: Buy
- Status: Open

The search results table contains the following data:

Order Entry Date/Time	Account # Short Name	Order Action	Order Qty	Symbol/ CUSIP	Order Price	Time in Force	Status	Executed Quantity	Avg. Executed Price	RR2	Order #
11:19:55 AM ET	033-015423 AFEBIBQA	Buy	100	IBM 459200101	LMT \$90.00	Day	Open				04313BBBJD
10:49:03 AM ET	033-017809 FEBIBQA	Buy	300	SUNW 866810104	LMT \$4.10	Day	Open				04313BBBHS
10:48:18 AM ET	033-017809 FEBIBQA	Buy	5,000	MSET 594918104	LMT \$27.00	Day	Open				04313BBBHR
10:47:28 AM ET	033-017809 FEBIBQA	Buy	200	IBM 459200101	LMT \$86.00	Day	Open				04313BBBHT
10:46:38 AM ET	033-017809 FEBIBQA	Buy	100	IBM 459200101	LMT \$86.00	Day	Open				04313BBBHC
10:40:03 AM ET	033-017809 FEBIBQA	Buy	\$100.00	RYTPX 783554421	NAV	Day	Open				04313BBBHX
10:36:59 AM ET	033-017809 FEBIBQA	Buy	\$100.00	FSCSX 316390822	NAV	Day	Open				04313BBBGX
10:32:24 AM ET	033-017809 FEBIBQA	Buy	\$10.00	EDEGX 316200203	NAV	Day	Open				04313BBBGB
7:25:46 AM ET	033-003220 SMITH	Buy	\$2.00	AMCPX 023375108	NAV	Day	Open			001	04313BBBFX
7:24:31 AM ET	033-003220 SMITH	Buy	\$1.00	AMCPX 023375108	POP	Day	Open			001	04311BBBCF
12:22:08 AM ET	033-042889 REV	Buy	\$10,000.00	SOBAX 786430705	POP	Day	Open				04311BBBCG
11:16:04	033-042889	Buy	\$10,000.00	SLGRX	NAV	Day	Open				04311BBBCG

The following window is an example of the Order Manager Details window. Order Manager displays this window when you click an Order number and select **Order Details** from the drop-down list.

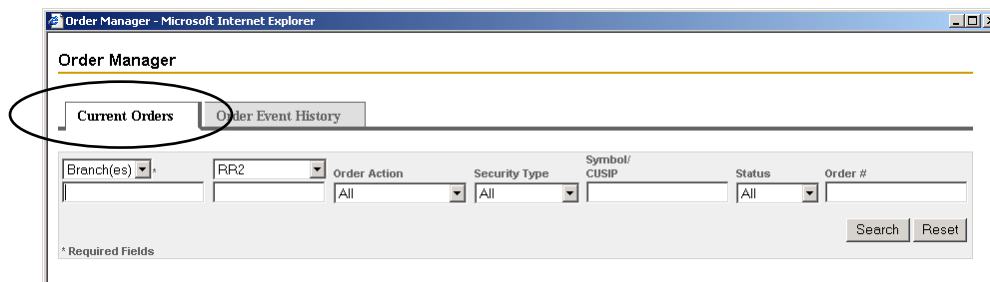


Accessing Order Manager

► **To access Order Manager:**

1. On the main Streetscape window, click the **Trading** tab to display the Trading menu.
2. Select **Order Manager**.

Order Manager displays in its own window, with the Current Orders tab on top:



Displaying Current Day Orders

To submit a search on the Current Orders tab of the Order Manager window, you must specify either one to five branches (comma separated) or a single account number.

You can also specify other optional criteria to limit the orders displayed, including:

- Accepting Rep (Order Ticket) or Rep of Entry (user ID)
- Order Action
- Security Type
- Symbol/CUSIP
- Status
- Order #

The following example shows orders for Branch **033** with an Order Action of **Buy** and a Status of **Open**. The links in the drop-down list in the Order # column let you:

- View order details
- Cancel, cancel and replace, and update orders

The screenshot shows the Order Manager interface with search criteria: Branch(es) 033, RR2, Order Action Buy, Security Type All, and Status Open. Below the search criteria is a table of search results with 136 orders found. The table columns include Order Entry Date/Time, Account # Short #, Order Action, Order Qty, Symbol/CUSIP, Order Price, Time in Force, Status, Executed Quantity, Avg. Executed Price, RR2, and Order #. A dropdown menu is open for the Order # 04313BBBHR, showing options: Order Details, Cancel, and Cancel & Replace.

Order Entry Date/Time	Account # Short #	Order Action	Order Qty	Symbol/CUSIP	Order Price	Time in Force	Status	Executed Quantity	Avg. Executed Price	RR2	Order #
11/8/04 11:19:55 AM ET	033-015423 AFEBIBQA	Buy	100	IBM 459200101	LMT \$90.00	Day	Open				04313BBBJD
11/8/04 10:49:03 AM ET	033-017809 FEBIBQA	Buy	300	SUNWV 866810104	LMT \$4.10	Day	Open				04313BBBHS
11/8/04 10:48:18 AM ET	033-017809 FEBIBQA	Buy	5,000	MSET 594918104	LMT \$27.00	Day	Open				04313BBBHR
11/8/04 10:47:28 AM ET	033-017809 FEBIBQA	Buy	200	IBM 459200101	LMT \$86.00	Day	Open				04313BBBHT
11/8/04 10:46:38 AM ET	033-017809 FEBIBQA	Buy	100	IBM 459200101	LMT \$86.00	Day	Open				04313BBBHJ
11/8/04 10:40:03 AM ET	033-017809 FEBIBQA	Buy	\$100.00	RYTPX 783554421	NAV	Day	Open				04313BBBHI
11/8/04 10:36:59 AM ET	033-017809 FEBIBQA	Buy	\$100.00	FSCSX 316390822	NAV	Day	Open				04313BBBHC
11/8/04 10:32:24 AM ET	033-017809 FEBIBQA	Buy	\$10.00	EDEGX 316200203	NAV	Day	Open				04313BBBGX
11/8/04 7:25:46 AM ET	033-003220 SMITH	Buy	\$2.00	AMCPX 023375108	NAV	Day	Open			001	04313BBBGB
11/8/04 7:24:31 AM ET	033-003220 SMITH	Buy	\$1.00	AMCPX 023375108	POP	Day	Open			001	04313BBBFX
11/6/04 12:22:08 AM ET	033-042889 REV	Buy	\$10,000.00	SOBAX 786430705	POP	Day	Open				04311BBBCF
11/6/04	033-042889	Buy	\$10,000.00	SLGRY	NAV	Day	Open				04311BBBCG

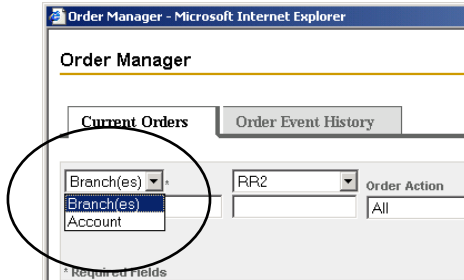
► **To display a set of current day orders:**

1. In the main Streetscape window, select the **Trading** tab and then select **Order Manager**.

Order Manager displays in a window with the Current Orders tab on top.

2. (Required) Specify either Branch(es) or Account.

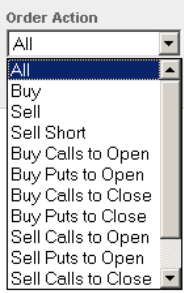
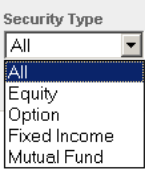

This determines whether your search is limited by up to five branches or by a specific account number.



To search by	Do this
Branch(es)	Select Branch(es) from the drop-down list. In the text box below the list, enter up to five branches. Separate multiple entries by commas or spaces (for example: ABC, DEF, GHI.)
Account	Select Account from the drop-down list. In the text box below the list, enter a nine-digit account number (hyphen is not necessary.)

3. (Optional) Complete fields to define additional criteria for the search:

Optional Field	Description
RR2 	<p>RR2 Select RR2 from the drop-down list and enter the 3-character RR2 rep code.</p> <p>Accepting Rep Select Accepting Rep from the drop-down list and enter the 3-character accepting rep code.</p> <p>ROE Select ROE (rep of entry) from the drop-down list and enter a specific user ID. User IDs (up to 10 characters) for Streetscape, FBSI, and Advisor CHANNEL can be entered here.</p>

Optional Field	Description																
<p>Order Action</p> 	<p>Select All (default) to search for all order actions. OR Select a specific Order Action from the drop-down list.</p> <p>Order Action must be valid for Security Type <i>Your Order Action selection must be valid to use with Security Type, if selected. If not, you are prompted to select another Order Action.</i></p>																
<p>Security Type</p> 	<p>Select All (default) to search for all security types. OR Select a specific Security Type from the drop-down list.</p> <p>Security Type must be valid for Order Action <i>Your Security Type selection must be valid to use with Order Action, if selected. If not, you are prompted to select another Security Type.</i></p>																
<p>Symbol/CUSIP</p>	<p>Enter the market symbol or nine-digit CUSIP number of a specific security you want to view orders for.</p>																
<p>Status</p> 	<p>Select All (default) to search for all statuses. OR Select a specific Status from the drop-down list:</p> <table border="1" data-bbox="651 1087 1349 1614"> <thead> <tr> <th>Status</th> <th>Description (included statuses)</th> </tr> </thead> <tbody> <tr> <td>Open</td> <td>Open, Partially Filled, and Pending Canceled</td> </tr> <tr> <td>Canceled</td> <td>Pending Canceled and Verified Canceled</td> </tr> <tr> <td>Rejected</td> <td>Rejected (manual rejects by Review & Release users)</td> </tr> <tr> <td>Partial</td> <td>Partially Filled</td> </tr> <tr> <td>Filled</td> <td>Filled and Partially Filled</td> </tr> <tr> <td>Held</td> <td>Held (for manual review in Review & Release)</td> </tr> <tr> <td>Expired</td> <td>Expired (GTC orders that expired during the previous market session)</td> </tr> </tbody> </table>	Status	Description (included statuses)	Open	Open, Partially Filled, and Pending Canceled	Canceled	Pending Canceled and Verified Canceled	Rejected	Rejected (manual rejects by Review & Release users)	Partial	Partially Filled	Filled	Filled and Partially Filled	Held	Held (for manual review in Review & Release)	Expired	Expired (GTC orders that expired during the previous market session)
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Open	Open, Partially Filled, and Pending Canceled																
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Rejected	Rejected (manual rejects by Review & Release users)																
Partial	Partially Filled																
Filled	Filled and Partially Filled																
Held	Held (for manual review in Review & Release)																
Expired	Expired (GTC orders that expired during the previous market session)																
<p>Order #</p>	<p>Enter a specific order reference number, which can be either the:</p> <ul style="list-style-type: none"> FBSI Order Number (10 characters) Order Confirmation number (8 characters) 																

4. Click **Search**.

Order Manager displays orders that match the criteria. Orders are sequenced by Order Entry Date/Time (with the most recently entered order first.)

Click Refresh to update orders

To update the list of orders, click the **Refresh** link. This updates the window with orders and order events that have occurred since the data was last retrieved.

5. To attempt other actions related to an order, click links in the Order # column:

Link	What it does
Order number	Opens the Details window
Cancel	Opens the Cancel Order window
Cancel and Replace	Opens the Cancel and Replace Order window
Update	Opens the Update Order window

Other windows display in front of Order Manager

When you open another window, the Order Manager window remains open but behind the other window you opened.

Displaying Order Event History for a Past Date

Using the Order Event History tab of the Order Manager window, you can display a subset of brokerage account orders associated with a specific day within the past 180 days.

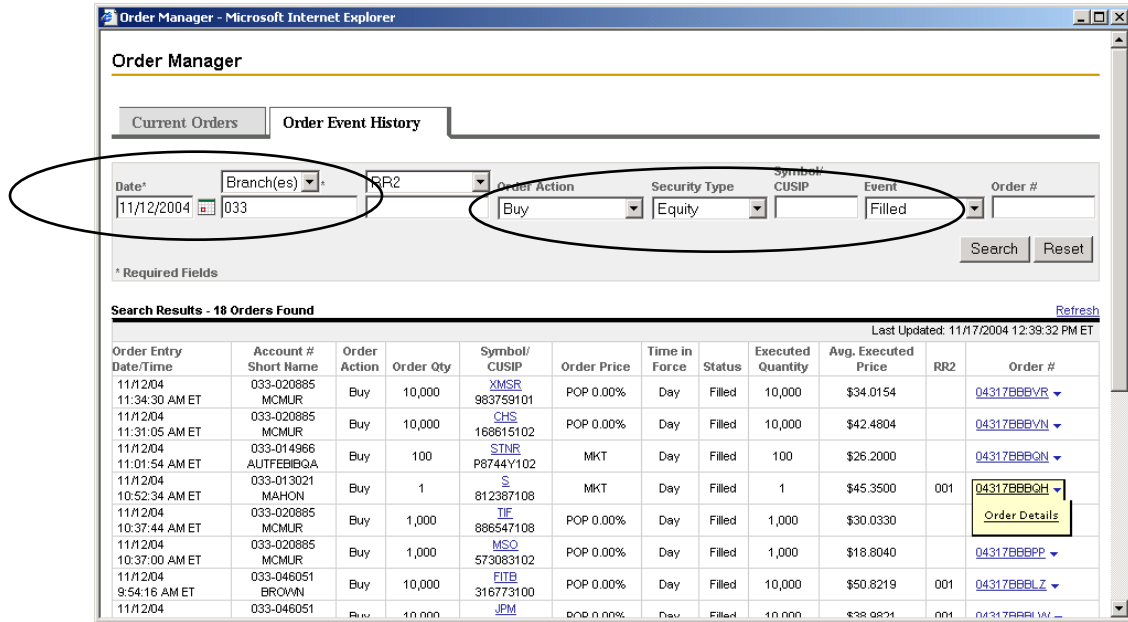
You must specify:

- A date
- Either one to five branches (comma separated) or a single account number

You can also specify other optional criteria to limit the orders displayed, including:

- RR2, Accepting Rep, or Rep of Entry / User ID
- Order Action
- Security Type
- Symbol/CUSIP
- Event
- Order #

The following example shows orders for **11/12/2004** for Branch **033**, Order Action **Buy**, Security Type **Equity**, and Event **Filled**. The link in the drop-down list in the Order # column lets you view order details.

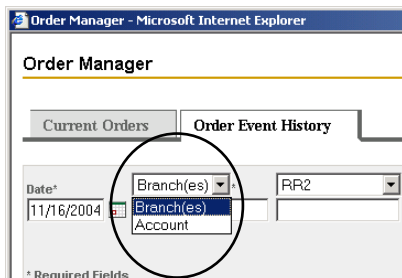


► **To display order event history for a past date:**

1. In the main Streetscape window, select the **Trading** tab and then select **Order Manager**.
Order Manager displays in a window with the Current Orders tab on top.
2. Click the **Order Event History** tab.
3. (Required) In the date field, use the previous business date that already displays or enter a date within the last 180 calendar days in MM/DD/YYYY format. For easy date entry, click the **Calendar** icon.

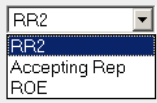

4. (Required) Specify either Branch(es) or Account.


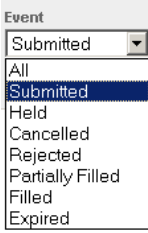
This determines whether your search is limited by up to five branches or by a specific account number.



To search by	Do this
Branch(es)	Select Branch(es) from the drop-down list. In the text box below the list, enter up to five branches. Separate multiple entries by commas or spaces (for example: ABC, DEF, GHI.)
Account	Select Account from the drop-down list. In the text box below the list, enter a nine-digit account number (hyphen is not necessary.)

5. (Optional) Complete fields to define additional criteria for the search.

Field	Description
RR2/Accepting Rep/ROE 	<p>RR2 Select RR2 from the drop-down list and enter the 3-character RR2 rep code.</p> <p>Accepting Rep Select Accepting Rep from the drop-down list and enter the 3-character accepting rep code.</p> <p>ROE Select ROE (rep of entry) from the drop-down list and enter a specific user ID. User IDs (up to 10 characters) for Streetscape, FBSI, and Advisor CHANNEL can be entered here.</p>
Order Action 	<p>Select All (default) to search for all order actions. OR Select a specific Order Action from the drop-down list.</p> <p>Order Action must be valid for Security Type <i>Your Order Action selection must be valid to use with Security Type, if selected. If not, you are prompted to select another Order Action.</i></p>

Field	Description																
Security Type 	Select All (default) to search for all security types. OR Select a specific Security Type from the drop-down list. Security Type must be valid for Order Action <i>Your Security Type selection must be valid to use with Order Action, if selected. If not, you are prompted to select another Security Type.</i>																
Symbol/CUSIP	Enter the market symbol or nine-digit CUSIP number of a specific security you want to view orders for.																
Event 	Select All (default) to search for all orders that had an event (any type) occur on the specified Date. OR Select a specific Event: <table border="1" data-bbox="646 718 1351 1243"> <thead> <tr> <th>Event</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>Submitted</td> <td>All orders that were Submitted on that day</td> </tr> <tr> <td>Held</td> <td>All orders that were Held (for review within Review & Release) on that day</td> </tr> <tr> <td>Canceled</td> <td>All orders that were Canceled on that day</td> </tr> <tr> <td>Rejected</td> <td>All orders that were Rejected on that day</td> </tr> <tr> <td>Partially Filled</td> <td>All orders that were Partially Filled on that day</td> </tr> <tr> <td>Filled</td> <td>All orders that were Filled on that day</td> </tr> <tr> <td>Expired</td> <td>All orders that had a status of Expired on that day</td> </tr> </tbody> </table>	Event	Description	Submitted	All orders that were Submitted on that day	Held	All orders that were Held (for review within Review & Release) on that day	Canceled	All orders that were Canceled on that day	Rejected	All orders that were Rejected on that day	Partially Filled	All orders that were Partially Filled on that day	Filled	All orders that were Filled on that day	Expired	All orders that had a status of Expired on that day
Event	Description																
Submitted	All orders that were Submitted on that day																
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Rejected	All orders that were Rejected on that day																
Partially Filled	All orders that were Partially Filled on that day																
Filled	All orders that were Filled on that day																
Expired	All orders that had a status of Expired on that day																

- Click **Search**.

Order Manager displays orders that match the criteria. Orders are sequenced by Order Entry Date/Time (with the most recently entered order first.)

- To open the Order Details window, click order number links in the Order # column.

The Order Details window displays in front of Order Manager

When you open another window, the Order Manager window remains open but behind the other window you opened.

Displaying Order Details

The Order # column in either Order Manager window includes order numbers, which are links to drop-down lists of actions. Select **Order Details** from the drop-down list of the order you want to see. Order manager displays a window with details about the order.

Here is an example of the Order Manager Order Details window accessed from the Order Event History window.

[Refresh](#)

Last Updated: 04/30/2004 3:29:38 PM ET			
Executed Quantity	Avg. Executed Price	RR2	Order #
200	\$41.6700	001	04113BBBTM
300	\$40.6100	001	Order Details

Order Manager

Administrative Details [Refresh](#)

Account # 7Y3-000167	Order Entry Date 4/22/04	FBSI Order # 04113BBBTM	Last Updated: 04/30/2004 2:49:50 PM ET
Short Name FEBIBQA	Order Status Filled	Electronic Order # 113P0822	RR2

Order Details

Action Sell	Rep of Entry 3766000359
Quantity 200	Accepting Rep CAT
Symbol/CUSIP EMC	Order Entry Channel Streetscape
Security Desc E M C CORP MASS	Commission Type Standard Schedule
Price Type Market	Misc Fee \$0.00
Order Price	Misc Description
Time in Force Day Order	
Account Type Margin	
Order Condition Unsolicited / Discretion Not Exercised	
Special Conditions	
Other Conditions Shares not in Account	

Transaction Details

Execution Qty 200
Avg. Executed Price \$12.6300
Principal Amount \$2,526.00
Commission \$76.58
Other Fees \$3.50
Net Amount \$2,445.92
Execution Date 4/22/04
Settlement Date 4/27/04

Activity Details

Date	Time	Event Description	Execution Qty	Execution Price	Resulting Status
4/22/04	1:08:00 PM ET	Filled	200.0000	\$12.6300	Filled
4/22/04	1:08:29 PM ET	Open			Open

The Order manager Order Details window consists of four areas:

Area	Description
Administrative Details	Identification information about the account, the RR2, and the order (number, date, status)
Order Details	All the specifics of the order as entered
Transaction Details	If executed, the details of the transaction
Activity Details	A log of events related to the order