
NetXInvestor

Purpose

This guide is to provide the investor with detailed information on the features and benefits of NetXInvestor. NetXInvestor allows for the ability to view detailed account information related to brokerage accounts.

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What is NetXInvestor

NetXInvestor is an online investor platform enabling you to access account information, view trade status, get quotes, perform market research, read news and much more. You can also view your account, tax statements, and trade confirmations and more online.

Browser Compatibility

The NetXInvestor platform supports the following browsers:

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

Getting Started with NetXInvestor

There are two ways to register for NetXInvestor:

- Online Self Registration – this method of registration is limited to the accounts below and allows you to register creating a UserID and Password
 - Retirement Accounts
 - Individual Accounts
 - Joint Accounts (where you are the **primary** account holder)
 - You would access the website via an assigned URL for your advisor – contact your advisor to confirm which URL link you should access.
- Automatic Registration – This type of registration allows you to use your account number and a default password, which you would receive from your advisor.
 - Account types of Corporations and/or Trusts **must** use this method of registration
 - The default password is the two letter firm code for your advisor followed by your date of birth – for example if your advisor is affiliated with the firm FSC and your date of birth is October 15 1965, your default password would be FS101565 - contact your advisor to confirm the appropriate default password
 - FS for FSC
 - RO for Royal Alliance
 - AI for SagePoint
 - WO for Woodbury

Online Self-Registration

1

Log into the respective site indicated below as confirmed by your advisor

- a. www.raaview.com for Royal Alliance
- b. www.fscview.com for FSC Securities Corporation
- c. www.spfview.com for SagePoint Financial
- d. www.wfsview.com for Woodbury Financial Services

ACCESS YOUR INVESTMENTS ONLINE

FSC Securities Corporation provides you with a high quality and cost effective means for managing your investments. You can access your investment portfolio and more online, making it simple and convenient for you.

Login

☐ Remember me Continue

[Stay Safe Online](#)
[Check firm's background on BrokerCheck](#)


Quick Quote

Q

Need an ID?

FSC Securities Corporation provides you with online access to your investment accounts, night and day, seven days a week.
 Sign up today to access your account online.

Register Check Status


Online Registration

1. Welcome
2. Terms & Conditions
3. Profile Information
4. Identity Verification
5. User ID & Password
6. Confirmation

Welcome

The registration process will allow you to create a new user ID and password with which to access your investment information on this site.

Please contact FSC Securities Corporation if you have an existing user ID and wish to link additional accounts.

You will be guided through 4 simple steps to complete your registration, during which you will be asked to:

1. Review and agree to the Terms and Conditions regarding the use of this website
2. Provide user information, including an e-mail address
3. Verify your identity
4. Create a user ID and secure password

At the end of the process you will have to activate your account by clicking a link in an e-mail that will be sent to the e-mail address you provided.

3

1. Welcome
2. Terms & Conditions
3. Profile Information
4. Identity Verification
5. User ID & Password
6. Confirmation

Terms & Conditions

Read and agree to the terms and conditions of the Identity Verification Agreement before proceeding.

Identity Verification Agreement

You must have a Social Security number to register on this site. If you do not have a Social Security number, please contact your financial organization for assistance.

In addition, you must register using an account for which your Social Security number is primary on the account. For example, you cannot register using a joint account if you are not listed as the primary account holder.

When registering on this site, you will be asked a series of multiple-choice questions. The questions have been developed by a third-party vendor based on information obtained from public databases. Your answers are compared by the vendor to the information available from these sources.

You may be asked questions about yourself, people you know or were once associated with, places you have lived or worked, and the like. The information used in these questions is not related in any way to the information on the specific account(s) held at your financial organization.

We strongly encourage you to review the [Frequently Asked Questions](#) about online registration, which provide greater detail about the identity verification process.

Successful online registration will provide immediate access to your accounts. At this time, accounts without a Social Security number are not eligible for online registration. In addition, if your Social Security number is not recognized as being associated with the account number you enter into the system, your online registration will be unsuccessful.

To continue with online registration, please click **I Agree** below.

If you are ineligible for online registration, or you do not want to complete the registration process online, click **Cancel** below and contact your financial organization to register.

4 By accepting this Agreement, you affirm that you are at least 18 years of age.

☐ I Agree

1. Welcome
2. Terms & Conditions
3. Profile Information
4. Identity Verification
5. User ID & Password
6. Confirmation

User Information 5

Provide the following information, which will be used to authenticate your identity. This service is provided by a third-party vendor. Authenticating your identity in this manner will NOT impact your credit rating.

Please do not click the "Back" button in your browser during the registration process.

All fields are required.

First Name:

Last Name:

Social Security Number: Please enter your Social Security number using no dashes or spaces.

Account Number: Please enter an account number for which you are listed as the primary account holder.

Legal Address:
(U.S. address only)

City:

State:

Zip:

Continue Cancel

Complete all fields on this screen, then Click Continue

1. Welcome
2. Terms & Conditions
3. Profile Information
4. Identity Verification

Identity Verification 6

Please answer the following required questions to verify your identity.

What color is your '2004 Ford Freestar SE'?

☐ Black
☐ Bronze
☐ Cream
☐ Pink
☐ Teal
☐ I have never been associated with this vehicle

Continue Cancel

Complete answers to questions to confirm your identity, then Click Continue

1. Welcome
2. Terms & Conditions
3. Profile Information
4. Identity Verification
5. User ID & Password
6. Confirmation

7

User ID and Password

Your verification was successful. Please create a user ID and password to continue your registration.

All Fields are required.

User ID: (Your user ID can only contain alphanumerical characters and should be between 7 and 15 characters.)

Password:

Confirm Password:

Email Address: (An email will be sent to this address as a part of the registration process.)

Confirm Email Address:

Date of Birth: mm/dd/yyyy

Confirm Date of Birth:

Mother's Maiden Name:

Confirm Mother's Maiden Name:

[Complete Registration](#) [Cancel](#)

To create an acceptable password your password should:

1. not contain
2. contain a minimum of 8 and a maximum of 12 characters
3. not contain any special characters. For example, AA-BB-CC
4. contain at least one alpha and one numeric character. For example, fredcar2
5. not contain your first, last or middle name

An email will be sent to the address and should be received within 15 minutes so you can continue the registration process

8

Thank you for registering for online access to your investment information with www.netxinvestor.com, a service provided on behalf of FINANCIAL ORGANIZATION.

[Click here](#) to complete the registration process and enroll your accounts for paperless delivery of account communications. Please have your user ID, password and financial organization number ready to complete your registration. Alternatively, you can cut and paste the link at the bottom of this e-mail to complete the registration.

Once you have accessed the site, you will be prompted to enter your user ID, password and financial organization number. You will then be prompted to select and provide answers for a set of challenge questions and choose a personal image and phrase to ensure a secure online experience.

If you would like to stop receiving paper copies of your account communications and begin receiving email notices, you may log in to your account at any time and click the Go Paperless logo to change your preferences.

If you have any questions regarding , please contact FINANCIAL ORGANIZATION.

Thank you for registering for online access to your investment information with [URL](#), a service provided on behalf of FINANCIAL ORGANIZATION. Your registration is now complete.

Please keep your user ID, password and financial organization number in a safe place. You will need these items to log on. You may also need your financial organization number.


If you would like to stop receiving paper copies of your account communications and begin receiving e-mail notices, you may log in to your account at any time and click the Go Paperless logo to change your preferences.

If you have any questions, please contact of FINANCIAL ORGANIZATION.

1. Log into **NetXInvestor** using the appropriate URL confirmed by your advisor.
2. Click **Register**.
3. Review the **Welcome Screen** and then Click **Start Registration**.
4. Review the terms and conditions regarding identity verification and click **I Agree**.
5. Provide information, including your name, a valid email address, Social Security number, legal U.S. address, and account number on which you are listed as the primary account holder.
6. Verify your identity and proceed.
To verify your identity and for the safety and security of your information, you will be asked three questions.
 - If you provide the correct answer to all three questions, you will be taken to the next step.
 - If you fail to provide the correct answer for one question, the fourth question will be displayed. If your answer to the fourth question is correct, you will be taken to the next step.
 - If you fail to provide the correct answer for more than two questions, a message displays indicating you have failed to verify your identity. You can either try again later or contact your broker-dealer for assistance.
7. From the Userid and Password screen, Create a **user ID and password**, enter **email address**, **date of birth** and **mother's maiden name**.
NOTE: An email with further instructions is sent to the entered email address. **Action should be taken in three days of receiving the email.**
8. Click the link in the email within three days to make your **user ID** permanent. The next step in the process is to log in and complete additional security features which include setting up a One Time Passcode (OTP) and security image.

1 Log into the respective address for NetXInvestor as confirmed by your advisor:

<https://www.wfsvview.com>



ACCESS YOUR INVESTMENTS ONLINE

FSC Securities Corporation provides you with a high quality and cost effective means for managing your investments. You can access your investment portfolio and more online, making it simple and convenient for you.

Login

2

3

☒ Remember Me

[Stay Safe Online](#)

[Check firm's background on BrokerCheck](#)

Quick Quote

Q

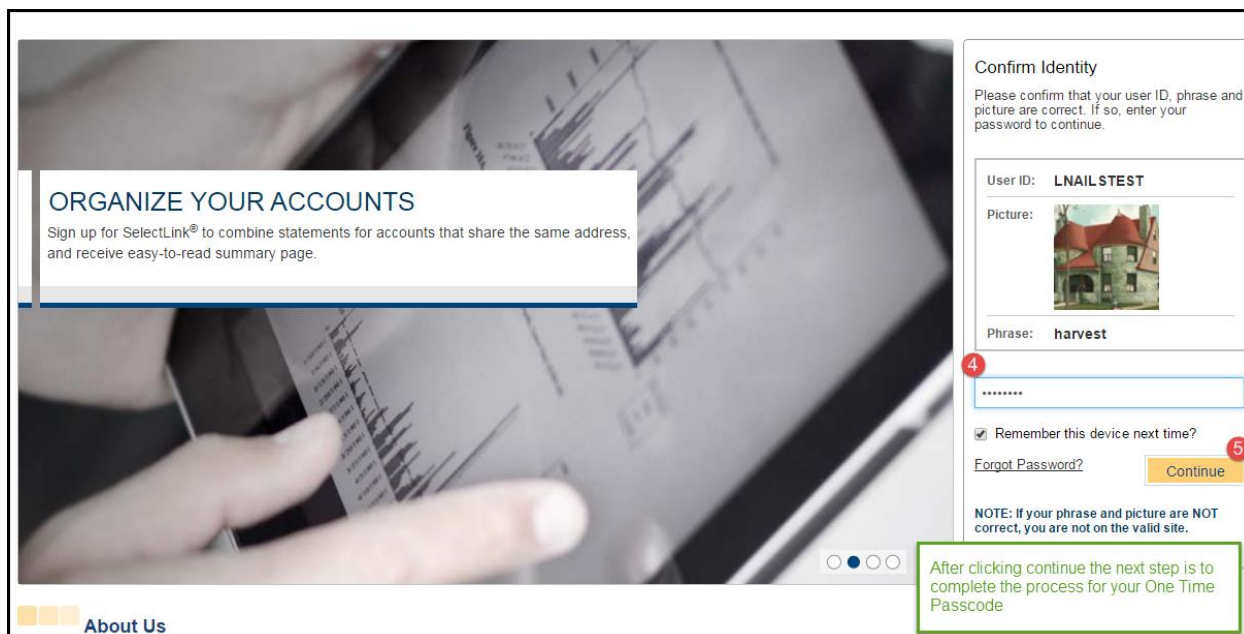
Need an ID?

FSC Securities Corporation provides you with online access to your investment accounts, night and day, seven days a week.

Sign up today to access your account online.

Register

Check Status



1. Log into the respective address for NetXInvestor as confirmed by your advisor.
2. **Enter** your User ID as created during the online registration process.
3. **Click Continue.**
4. **Enter** the **Password** as created during the online registration process.
5. **Click Continue.**

The next step is to complete the One Time Passcode (OTP) and Security Image process which are outlined below.

One Time Passcode (OTP) Setup

Once you login for the first time you will be taken through the process to set up your OTP code. This is an extra layer of security with the login process when the NetX Investor website doesn't recognize the computer or device you are using. An OTP code will be sent to either your email or phone based on the choice you select during the setup process.

Note1: You must complete either the Phone or Email section. You are not required to complete both.

Note2: If your web browser has auto-filled any fields (such as email address or phone number) on this section please remove and retype the information as the system may not validate prefilled data.

OTP Phone Setup

IVC Setup

Identity Verification Setup

1

An identity verification code is the newest process to protect your information online. [Tell me more.](#)
You must set up at least one contact method.

Add a phone number

DEVICE NICKNAME ⓘ

COUNTRY CODE

PHONE NUMBER

CONFIRM PHONE NUMBER

CONTACT METHOD ⓘ

John Cell

United States +1

6025555555

6025555555

☐ Voice call
☐ Text/SMS*

REMOVE

Add Phone Number

Add an email address

EMAIL NICKNAME ⓘ

EMAIL ADDRESS

CONFIRM EMAIL ADDRESS

John email

johndoe@email.com

johndoe@email.com

REMOVE

Add Email Address

Alert Notification

For your security we require an email address to send important updates about your account, including password changes, failed account access attempts, or when your account is locked.

EMAIL ADDRESS

CONFIRM EMAIL ADDRESS

2

johndoe@email.com
johndoe@email.com

☒ Remember this device the next time you log in. Do not check if you are accessing this website from a public device.

CANCEL

CONTINUE 3

For Broker/Dealer Use Only

12

06/2017

IVC Setup

Identity Verification Setup

An identity verification code is the newest process to protect your information online. [Tell me more.](#)

You must set up at least one contact method.

Add a phone number

DEVICE NICKNAME ⓘ

COUNTRY CODE

[Add Phone Number](#)

Add an email address

EMAIL NICKNAME ⓘ

EMAIL ADDRESS

[Add Email Address](#)

CONTACT METHOD ⓘ

☐ Voice call
 ☒ Text/SMS*

[Remove](#)

Activate your device

We sent you a six-digit code. **Enter the code below to activate your device.**

4

3

7

0

4

9

0

5

Activate

Cancel

I did not receive a code. [Send a new code.](#)

*Text STOP to 75780 or 59422 to cancel | Text HELP to 75780 or 59422 for help or call your financial representative. Message and data rates may apply. 1 Message per request. AT&T Mobility, Boost, Metro PCS, Nextel, Sprint, T-Mobile, Verizon Wireless [SMS Terms & Conditions](#) [Privacy Policy](#)

IVC Setup

Identity Verification Setup

An identity verification code is the newest process to protect your information online. [Tell me more.](#)

You must set up at least one contact method.

Add a phone number

DEVICE NICKNAME ⓘ

COUNTRY CODE

[Add Phone Number](#)

Add an email address

EMAIL NICKNAME ⓘ

EMAIL ADDRESS

[Add Email Address](#)

CONTACT METHOD ⓘ

☐ Voice call
 ☒ Text/SMS*

[Remove](#)

Activate your device

Your phone is now active and able to be used for receiving Identity Verification Codes. Click Close to continue setting up additional numbers or to complete your set up.

6

Close

Security Setup

1. Security Image

2. Security Phrase

3. Security Review

Please Set Up Your Security Login Information

Your security login information consists of a phrase and Image. This security feature will be used to identify the legitimate NetExchange website. When logging in, do not enter your password if you do not see your personalized phrase and picture. This security feature prevents imposter websites from phishing for your personal information.

Step 1. Select an image from our image library.

☒ Select from gallery

[Select](#)

7







Security Setup

1. Security Image
2. Security Phrase
3. Security Review







Please Select Your Security Image ⁸

This image will be your secure image that you will verify when you login.

[All Images](#) | [Business & Technology](#) | [Food & Beverage](#) | [House & Home](#) | [Nature & Animals](#) | [Sports & Leisure](#) | [Travel & Culture](#)

Select
Select
Select
Select
Select
Select

Select
Select
Select
Select
Select
Select

>

Cancel


Security Setup

1. Security Image
2. Security Phrase
3. Security Review

Please Set Up Your Security Phrase

Please confirm your image and enter a personalized security phrase in the text box (max 50 characters).

Step 1. Security Image



[Change Image](#)

Step 2. ⁹ Enter your personalized security phrase.

(max 50 characters)

Note: Do not use login related terminology (i.e. login ID, password, answers to security information, etc.)


Cancel
Continue ¹⁰

Security Setup

1. Security Image
2. Security Phrase
3. Security Review

You have reached the end of the security setup. Please review and confirm your selections.

Step 1. Security Image [Edit](#)



Step 2. Security Phrase [Edit](#)

harvest

Cancel
Continue

When you login, please make sure that the security image and phrase are correct before entering your password.

This information assists you in identifying the legitimate website and prevents unauthorized websites from accessing your personal information.

Go paperless Start with less paper, End with less clutter.

Electronic delivery of account communications can make managing your financial information easier. With anywhere, anytime access* and e-mail notifications alerting you when new communications are available to view, e-delivery is a secure, easy and faster way to view your account information. You can even print or download and e-mail your communications at your convenience.

Choose e-delivery of your account communications today. Think of it as an online file cabinet, where you can quickly search for and find:

- Account statements and trade confirmations
- Notifications
- Proxy materials and shareholder communications
- Tax documents

To get started, simply click Update Preferences below.

*Internet access and availability required.

UPDATE PREFERENCES
REMIND ME LATER
NO THANKS

1. Complete the section for **“Add a phone number”**, Select contact method.
2. **Check the box** to have the system remember your computer
3. **Click Continue.**
4. When you receive the code, **Enter the Code** in the spaces provided on the **“Activate your device”** screen.
5. **Click Activate.**
6. **Click Close** on the confirmation prompt indicating your phone has been activated.
7. Now you need to select your security image, **Click Select** from the Security set up screen.
8. **Select** your desired **image.**
9. **Enter** a name or phrase for your selected image.
10. **Click Continue.**
11. **Review/Confirm** your selection, then **Click Continue.** **Click No Thanks** to continue to NetXInvestor if you are not ready to set up statements for eDelivery.

eDelivery Note: You can choose to *Update Preferences*, *Remind Me Later* or *No Thanks*. Please refer to page 24 for instructions on setting up your statements for eDelivery.

OTP Email Setup

1

Add an email address

EMAIL NICKNAME ⓘ	EMAIL ADDRESS	CONFIRM EMAIL ADDRESS	
John email	johndoe@email.com	johndoe@email.com	REMOVE

Add Email Address

Alert Notification

For your security we require an email address to send important updates about your account, including password changes, failed account access attempts, or when your account is locked.

EMAIL ADDRESS	CONFIRM EMAIL ADDRESS
johndoe@email.com	johndoe@email.com

2

☒ Remember this device the next time you log in. Do not check if you are accessing this website from a public device.

3

CANCEL CONTINUE

IVC Setup

Identity Verification Setup

An identity verification code is the newest process to protect your information online. [Tell me more.](#)

Email address

EMAIL NICKNAME ⓘ	EMAIL ADDRESS
black	cblack@advisorgroup.com

Alert Notification

For your security we require an email address to send important updates about your account, including password changes, failed account access attempts, or when your account is locked.

Your current notification email address is:

cblack@advisorgroup.com

4

SAVE EDIT CANCEL







Security Setup







1. Security Image
2. Security Phrase
3. Security Review

Please Select Your Security Image ⁵

This image will be your secure image that you will verify when you login.

[All Images](#) | [Business & Technology](#) | [Food & Beverage](#) | [House & Home](#) | [Nature & Animals](#) | [Sports & Leisure](#) | [Travel & Culture](#)

>

Cancel


Security Setup

1. Security Image
2. Security Phrase
3. Security Review

Please Set Up Your Security Phrase

Please confirm your image and enter a personalized security phrase in the text box (max 50 characters).

Step 1. Security Image



[Change Image](#)

Step 2. ⁶ Enter your personalized security phrase.

(max 50 characters)

Note: Do not use login related terminology (i.e. login ID, password, answers to security information, etc.)


Cancel
Continue ⁷

Security Setup

1. Security Image
2. Security Phrase
3. Security Review

You have reached the end of the security setup. Please review and confirm your selections.

Step 1. Security Image [Edit](#)



Step 2. Security Phrase [Edit](#)

harvest

Cancel
Continue

8

When you login, please make sure that the security image and phrase are correct before entering your password.

This information assists you in identifying the legitimate website and prevents unauthorized websites from accessing your personal information.

Go paperless **Start with less paper, End with less clutter.**

Electronic delivery of account communications can make managing your financial information easier. With anywhere, anytime access* and e-mail notifications alerting you when new communications are available to view, e-delivery is a secure, easy and faster way to view your account information. You can even print or download and e-mail your communications at your convenience.

Choose e-delivery of your account communications today. Think of it as an online file cabinet, where you can quickly search for and find:

- Account statements and trade confirmations
- Notifications
- Proxy materials and shareholder communications
- Tax documents

To get started, simply click **Update Preferences** below.

*Internet access and availability required.

Update Preferences
Remind Me Later
No Thanks

1. Complete the fields in the section for **“Add an email address”**.
2. Under the Alert Notification section, enter your email information if it is not already there; **Check** the box **“Remember this device...”**
3. **Click Continue.**
4. On the next screen, **Verify** your email information, then **Click Save.**
5. Now you need to select your security image, **Click Select** for the desired image from the security set up screen.
6. **Enter** your desired **phrase/word** in the space provided.
7. **Click Continue.**
8. **Review/Confirm** your selection, then **Click Continue.** **Click No Thanks** to continue to NetXInvestor if you are not ready to set up statements for eDelivery.

eDelivery Note: You can choose to *Update Preferences*, *Remind Me Later* or *No Thanks*. Please refer to page 24 for instructions on setting up your statements for eDelivery.

Your Advisor will provide you with your UserID and default Password to complete the registration process. You will have the ability to change the password during the registration process, however cannot change the UserID, which is your account number.

Financial Institution

ACCESS YOUR INVESTMENTS ONLINE

FSC Securities Corporation provides you with a high quality and cost effective means for managing your investments. You can access your investment portfolio and more online, making it simple and convenient for you.

2

Login

☐ Remember me

Continue

[Stay Safe Online](#)

[Check firm's background on BrokerCheck](#)

Quick Quote

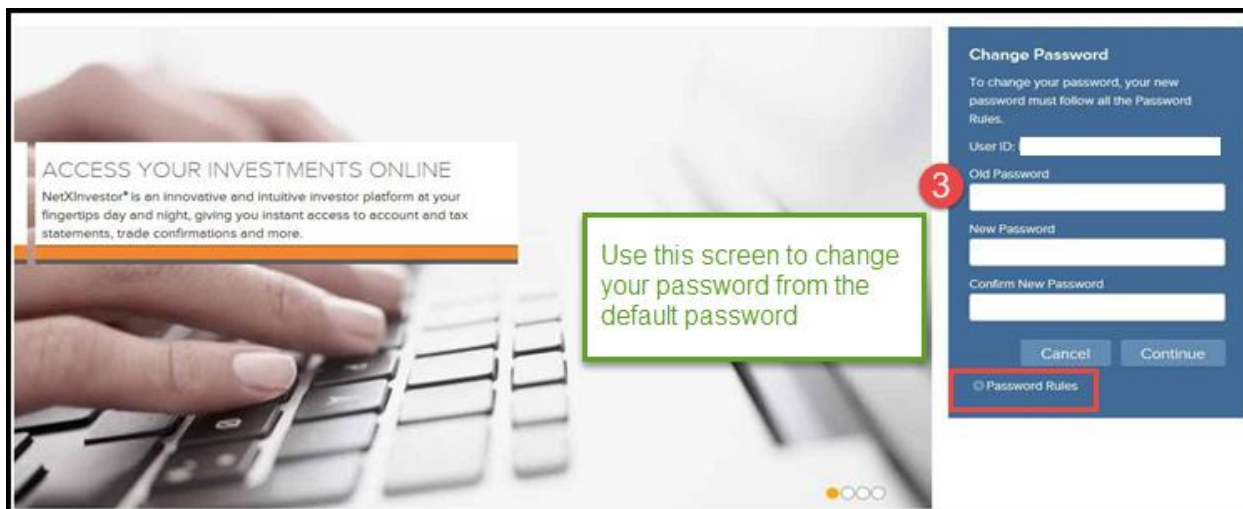
Need an ID?

FSC Securities Corporation provides you with online access to your investment accounts, night and day, seven days a week.

Sign up today to access your account online.

Register

Check Status



1. Contact your advisor to get your **UserID** (usually your account number) and default Password.
2. **Log** into the respective firm URL address as confirmed by your advisor.
3. **Enter** your **UserID**, then **Click continue**.
4. Change your password - **Enter** your **default password** in the Old Password field, enter your New Password, then re-enter the New Password in the Confirm New Password field , then **Click** continue.

NOTE: Click on the Password Rules link to determine which characters are acceptable for creating your password

NOTE: Refer to page 12 for One Time Passcode (OTP) and Security Image steps to complete registration process.

Logging Into NetXInvestor

Now that you have completed the registration process, follow the steps below for logging in and out of NetXInvestor in the future.

1

Log into the respective address for NetXInvestor as confirmed by your advisor:

FSC NetXInvestor web address:
[<https://www.fscview.com>](https://www.fscview.com)

Royal NetXInvestor web address:
[<https://www.raaview.com>](https://www.raaview.com)

SagePoint NetXInvestor web address:
[<https://www.spfview.com>](https://www.spfview.com)

Woodbury NetXInvestor web Address:
[<https://www.wfsview.com>](https://www.wfsview.com)

ORGANIZE YOUR ACCOUNTS

Sign up for SelectLink® to combine statements for accounts that share the same address, and receive easy-to-read summary page.

Login

2

JOHNDOE

☐ Remember Me

3

Continue

[Stay Safe Online](#)
[Check firm's background on BrokerCheck](#)

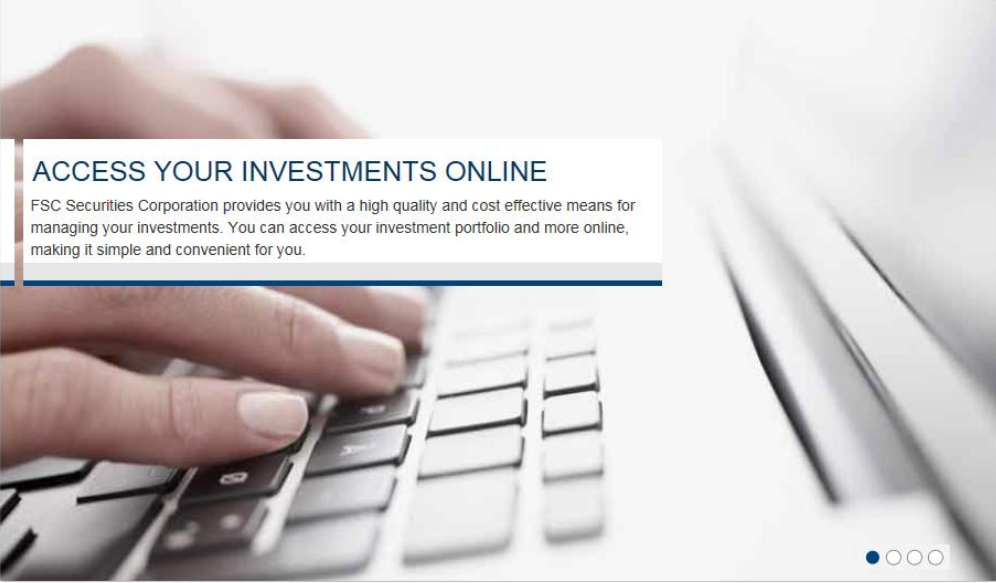
Quick Quote

Need an ID?

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Register

Check Status



ACCESS YOUR INVESTMENTS ONLINE

FSC Securities Corporation provides you with a high quality and cost effective means for managing your investments. You can access your investment portfolio and more online, making it simple and convenient for you.

Unrecognized Device

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

What is this?

User ID: JOHNDOE

Not your ID?

Contact Method

Send Code

I have a code

Once you receive your code enter it below.

Enter Code

Verify Identity

Contact your financial representative if you have difficulty verifying your identity or did not receive an Identity Verification Code.

Text STOP to 75780 to cancel | Text HELP to 75780 for help or call your financial representative | Message & data rates may apply: [SMS Terms & Conditions](#)
AT&T Mobility, Boost, Metro PCS, Nextel, Sprint, T-Mobile, Verizon Wireless

Below is a sample of the email you will receive with Passcode information

From: netexchangeproducts@pershing.com
To: johndoe
Cc:
Subject: Security Update: Your One-Time Passcode Is Now Active - Please Confirm

Sent: Tue 5/23/2017 11:24 AM

One-Time Passcode: 123456

Hello,

Our records indicate that on 05/23/2017, you requested the above-referenced One-Time Passcode for access to your online investment account. This passcode is ready for your use. After entering this passcode, you will be prompted to take additional steps.

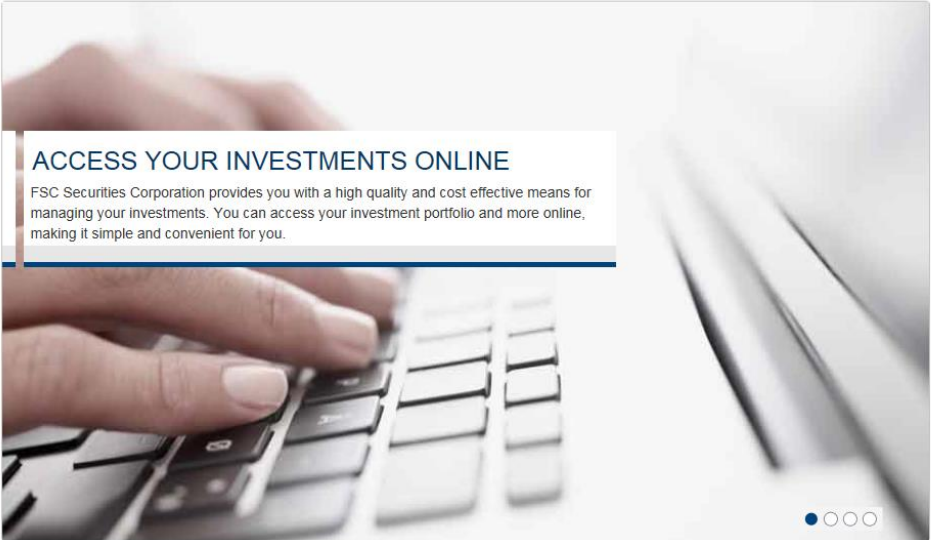
This passcode will expire 5 minutes after it was sent. If you do not access your online investment account before your passcode expires, you will need to request a new passcode online via your online investment account or by contacting your investment account Administrator.

If you did not request this passcode or suspect fraud, please contact your investment account administrator immediately for assistance; your timely response to this message will help ensure the security of your account.

Please do not reply to this e-mail; this mailbox is not monitored.

Thank you -

Pershing LLC - Client Service Team, on behalf of your financial organization




ACCESS YOUR INVESTMENTS ONLINE

FSC Securities Corporation provides you with a high quality and cost effective means for managing your investments. You can access your investment portfolio and more online, making it simple and convenient for you.

Confirm Identity

Please confirm that your user ID, phrase and picture are correct. If so, enter your password to continue.

User ID: JOHNDOE

Picture: 

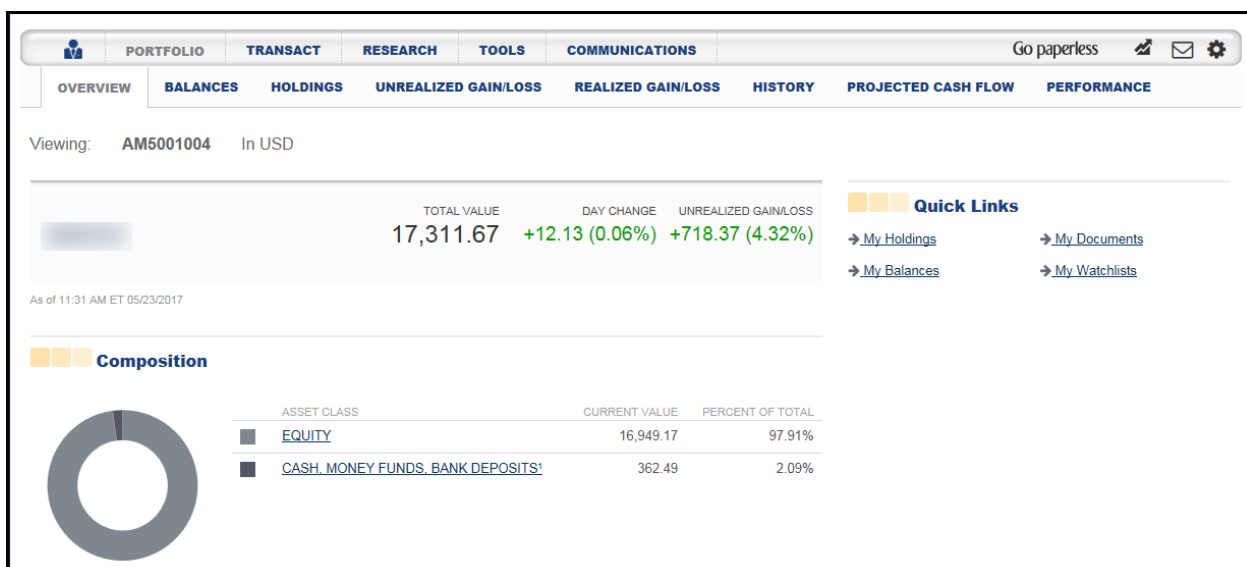
Phrase: JOYFUL

ENTER PASSWORD

☐ Remember this device next time?

[Forgot Password?](#)

NOTE: If your phrase and picture are NOT correct, you are not on the valid site.



1. **Log into** the respective URL address for your advisors firm.
2. **Enter** the **UserID** you created during the registration process OR the one assigned to you by your Advisor, then **Click Continue**.
3. **Enter** the **Password** you created during the registration process, then **Click Continue**.

NOTE: Check the box "Remember this device next time? If you do not want to receive a passcode every time you log in from the SAME computer.

Logging out of NetXInvestor



1. To Log out of **NetXInvestor**, from the Home Page **Click** on the **Logout** button.

Electronic Delivery (eDelivery)

You can enable electronic delivery of statements and documents to be delivered to your email address (es). You can also view the statements and documents online in the NetXInvestor platform.

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

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

The first step in the eDelivery process is to set up your email address (es) that you wish to have statements sent.

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

- A. On the **NetXInvestor** home page, click **Communications > Settings**.
- B. On the **NetXInvestor** home page, click the **Go paperless** icon.
- C. On the **NetXInvestor** home page, click the **Settings** icon.

1 PORTFOLIO TRANSACT RESEARCH TOOLS COMMUNICATIONS

Go paperless

ALL COMMUNICATIONS SETTINGS

Security Settings

Password [Edit](#)

Security Information [Edit](#)

e-Delivery Preferences

Email Address(es) [Edit](#)

Please enter at least one email address to

e-Delivery Preferences

ACCOUNT DOCUMENTS

e-Delivery Preferences

Email Address(es)

Edit

MIDEFRANCISCO@PERSHING...

Delete

Add Email Address2

2

e-Delivery Preferences

Quick Enroll (for all accounts)

Edit

ACCOUNT DOCUMENTS

e-Delivery preferences have not been set up

1 - 1 of 7 results

1 2 3 4 7

*e-mail address of another user linked to this account. Changes to delivery preferences will affect this e-mail address.
 * Available communication types are subject to change.
 * Electronic only delivery for Quarterly Performance Reports (QPR) from Pershing Managed Account Solutions is available only when ALL accounts in your household receiving a QPR are enrolled. Please contact your investment professional to add additional accounts in your household to electronic delivery. Additionally, please note that your advisor, financial professional or financial organization may continue to print and send paper copies of this report.

Add Email Address

3

EMAIL ADDRESS 1:

CONFIRM EMAIL ADDRESS 1:

johndoe@pershing.com

johndoe@pershing.com

4

EMAIL ADDRESS 2:

CONFIRM EMAIL ADDRESS 2:

johndoeb@pershing.com

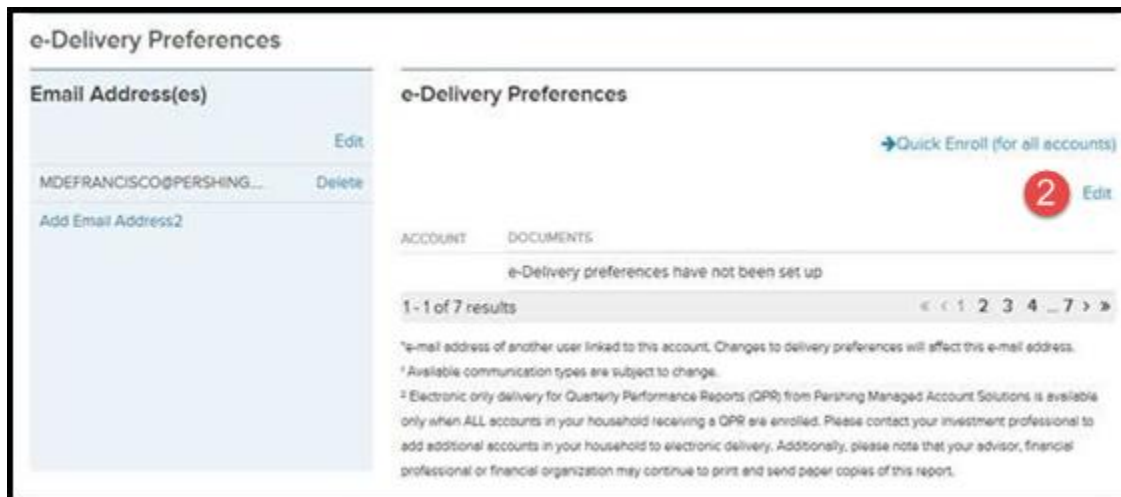
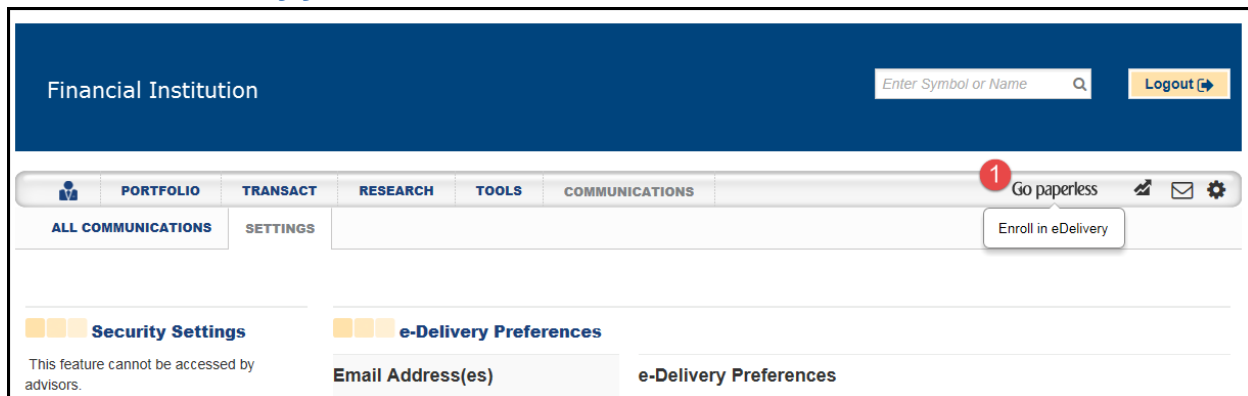
johndoeb@pershing.com

5

Save Cancel

1. Access Settings by clicking on one of the icons shown in the screenshot - A, B, or C.
2. In the **Email Address(es)** section, click the **Add Email Address(es)** link. The **Add New Email Address** window displays.
3. In the **Email Address 1** and **Confirm Email Address 1** fields, type the **primary email address**.
4. In the **Email Address 2** and **Confirm Email Address 2** fields, type the **secondary email address**.
5. Click the **Save button**.

Electronic Delivery for Individual Account



Document Delivery Preferences

ACCOUNT DOCUMENTS

☐ Statements and Reports
☐ Trade Confirmations
☐ Notifications ¹ (Documents Included)
☐ Tax Documents ¹ (Documents Included)

☐ Prospectus ¹ (Documents Included)
☐ Proxy/Shareholder Communications ⓘ

3

select the email address you wish documents to be sent

Select: client@msn.com

4

Save Cancel

Document Delivery Preferences

[← Back to Enrollment](#)

PLEASE NOTE: By accepting the terms and conditions of the Electronic Notification Agreement below, paper delivery of brokerage account statements and/or trade confirmations for the account(s) selected on the previous page will be turned off. Instead, you will receive an email notification when a new document is available to view. You may change your preferences at any time.

Terms and Conditions
Please read and agree to the terms and conditions of the Electronic Notification Agreement before proceeding.

notification that the Account Communications are available online for your retrieval (the "Service"). "You" means the account owner(s) and/or authorized user(s) of the account. "Authorized user" means a person that you have authorized with full access to your account and has been granted a user ID.

By accepting electronic delivery of the Account Communications, you are agreeing to the electronic delivery of all notices, disclosures and other information relating to your account that are communicated with or within the Account Communications.

The Account Communications will be available to you online via www.mydocumentsuite.com, a service provided by Pershing LLC on behalf of your financial organization, or a website provided to

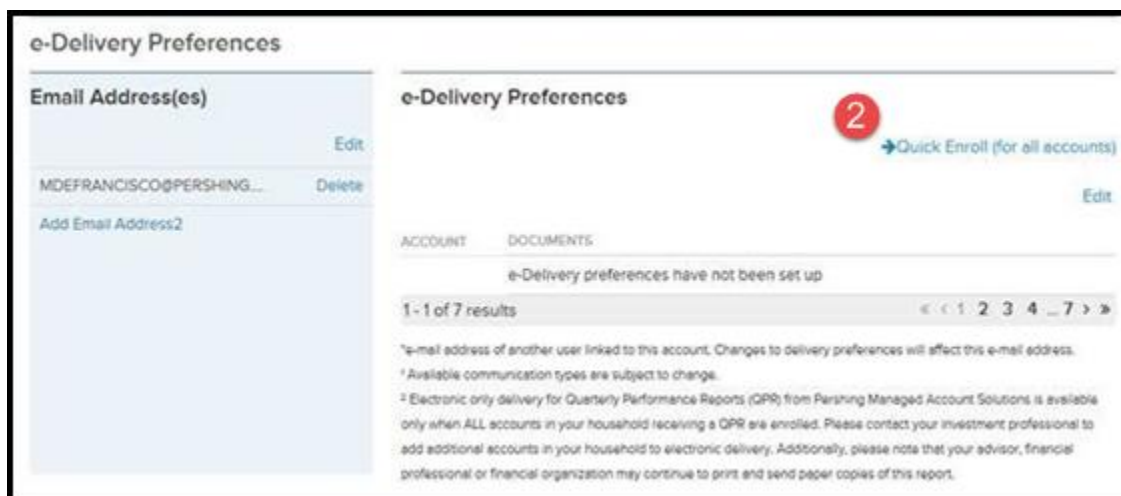
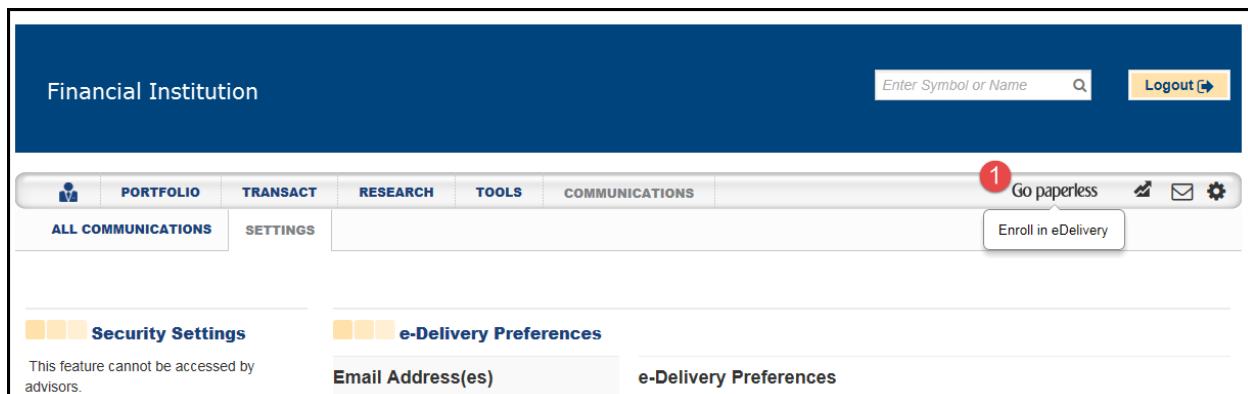
5

[I Agree](#) [I Disagree](#)

<

1. Click **Go Paperless** from Home Page.
2. In the e-Delivery Preferences section, Click the **Edit** link. The Document Delivery Preferences window displays.
3. **Select** the box (es) next to the documents against the respective account you want to opt for e-delivery. **Tip:** To view the included documents under a category, click the Documents Included link. From the email list, select the required email address to which the documents should be delivered electronically.
4. Click the **Save** button. A window displays the terms & conditions.
5. Read through the **Terms and Conditions** and Click the **I Agree** button. A window displays stating the e-delivery preferences have been saved.
6. Click the **OK** button to continue.

eDelivery for Multiple accounts using Quick Enroll



Document Delivery Preferences

4 me for all these types of documents across all my accounts

☒ Statements and Reports
☒ Trade Confirmations
☒ Quarterly Performance Reports(for applicable accounts) 1, 2
☐ Proxy/Shareholder Communications

☐ Notifications 1
☐ Tax Documents 1

Select: client@msn.com

5 Save Cancel

Document Delivery Preferences

[Back to Enrollment](#)

PLEASE NOTE: By accepting the terms and conditions of the Electronic Notification Agreement below, paper delivery of brokerage account statements and/or trade confirmations for the account(s) selected on the previous page will be turned off. Instead, you will receive an email notification when a new document is available to view. You may change your preferences at any time.

Terms and Conditions
Please read and agree to the terms and conditions of the Electronic Notification Agreement before proceeding.

notification that the Account Communications are available online for your retrieval (the "Service"). "You" means the account owner(s) and/or authorized user(s) of the account. "Authorized user" means a person that you have authorized with full access to your account and has been granted a user ID.

By accepting electronic delivery of the Account Communications, you are agreeing to the electronic delivery of all notices, disclosures and other information relating to your account that are communicated with or within the Account Communications.

The Account Communications will be available to you online via www.mydocumentsuite.com, a service provided by Pershing LLC on behalf of your financial organization, or the website provided to

6 I Agree I Disagree

e-Delivery Preference Saved

Thank you. Your preferences were saved successfully.

ACCOUNT	DOCUMENTS
	Statements and Reports
	Enrolled

7 OK

1. Click **Go Paperless** from the Home Page.
2. In the **e-Delivery Preferences** section, Click the **Quick Enroll (for all accounts)** link. The **Document Delivery Preferences** window displays.
3. **Select the box (es)** next to the documents you want to opt for e-delivery.
4. From the email list, **Select the required email address** to which the documents should be delivered electronically.
5. Click the **Save** button. A window displays the terms and conditions.
6. Read through the **Terms and Conditions** and Click the **I Agree** button. A window displays stating the e-delivery preferences have been saved.
7. Click the **OK** button to continue.

Portfolio Tab

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

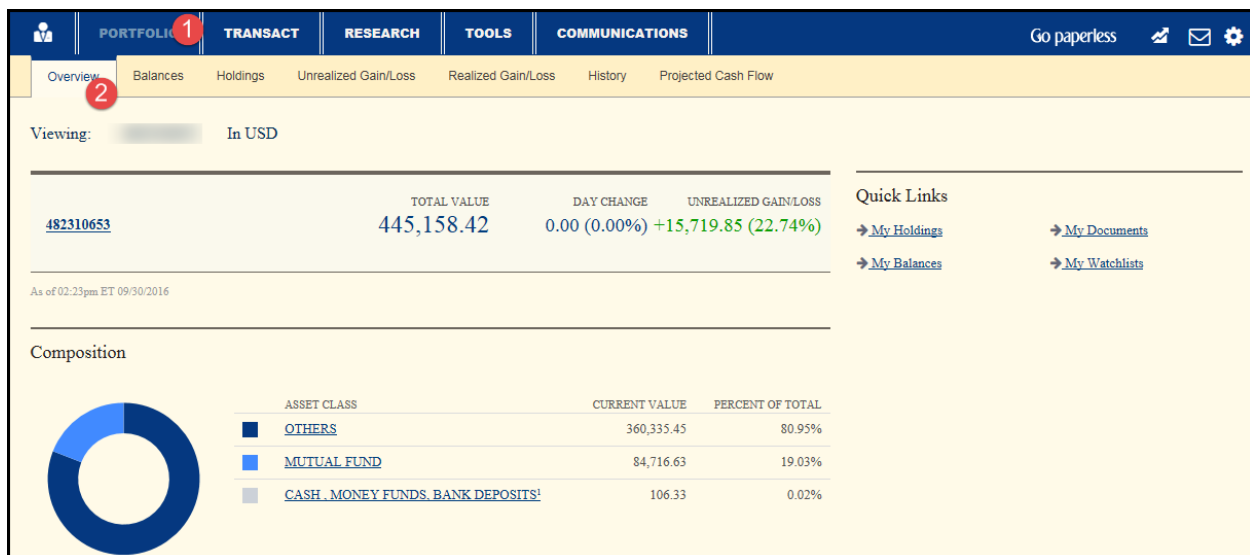
- Overview
- Balances
- Holdings
- Unrealized Gain/Loss
- Realized Gain/Loss
- Valuation Over Time
- History
- Projected Cash Flow

Overview

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

Portfolio Changes

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



1. From the **NetXInvestor Home Page** Select the **Portfolio** tab
2. **Select the Overview Tab**

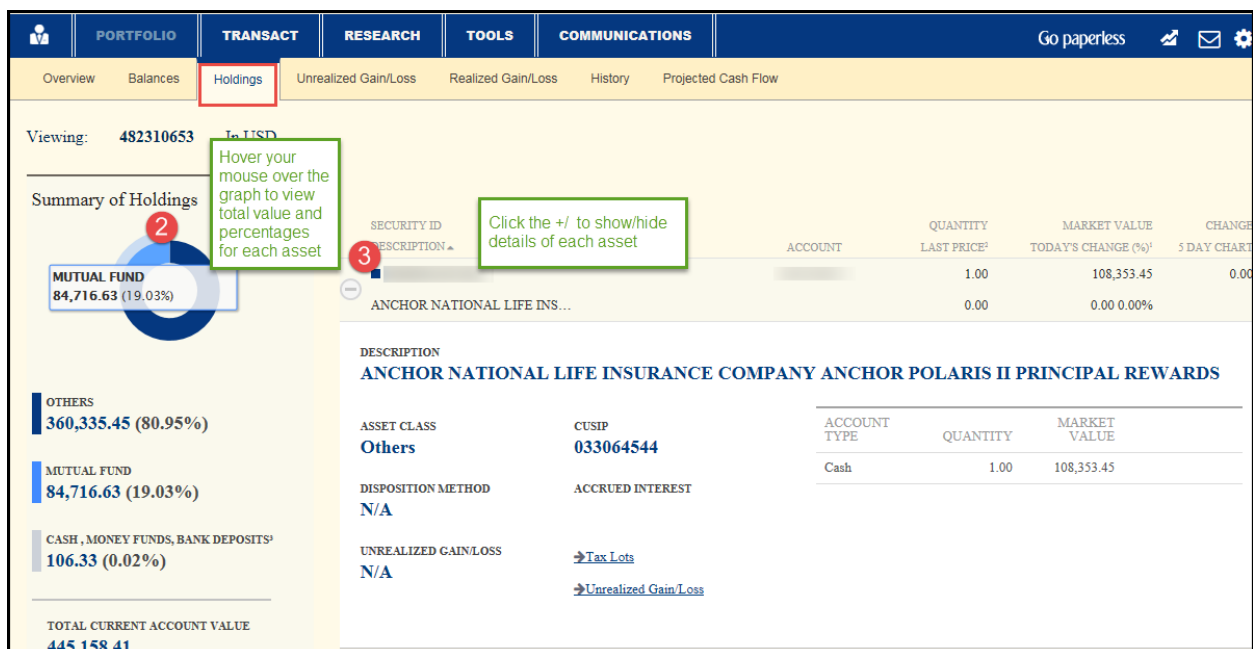
Use the Quick links section on this page to access holdings, balances and documents related to the account you are viewing.

You will notice when you click on links under the *Quick Links* sections it will take you to the respective tab under Portfolio, Example clicking on *My Holdings* takes you to the Holdings tab



Holdings

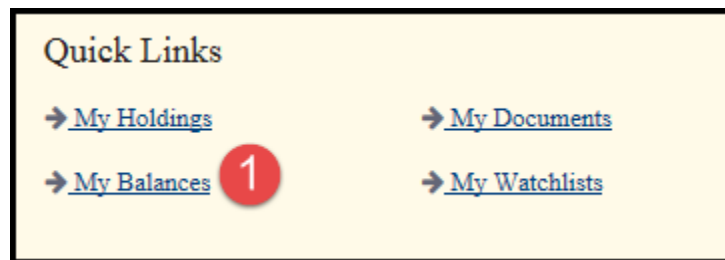
The Holdings section displays the composition of holdings in your portfolio. The composition is displayed in a doughnut chart along with the various asset classes available in your portfolio, their market value and total percentage. Click on the required asset class to view the filtered **Holdings**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



1. **Select Holdings** from the Quick Links section OR Click on the Holding tab under Portfolio tab.
2. **Hover** over **doughnut graph** to display total values and percentages of assets.
3. **Click the +/- icon** to show/hide details of each asset.

Balances

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



PORTFOLIO

TRANSACT

RESEARCH

TOOLS

COMMUNICATIONS

Go paperless

Overview

Balances

Holdings

Unrealized Gain/Loss

Realized Gain/Loss

History

Projected Cash Flow

Viewing:

In USD

Key Values†

TOTAL ACCOUNT VALUE

445,158.42

Funds Available/Due

FUNDS AVAILABLE FOR WITHDRAWAL

0.00

FUNDS AVAILABLE TO TRADE FOR NON-MARGINABLE EQUITIES⁴

106.33

Download

Print

Assets

KEY VALUE

TODAY'S CHANGE

Long Market Value¹

84,716.64

0.00 (0.00%)

Short Market Value

0.00

0.00 (0.00%)

Cash Management Balances²

106.33

0.00 (0.00%)

Opening Balance

106.33

Today's Activity

0.00

MTD Accrual

0.00

Cash

0.00

0.00 (0.00%)

Net Worth

84,822.97

0.00 (0.00%)

Total Annuity Value³

360,335.45

0.00 (0.00%)

Total Account Value

445,158.42

0.00 (0.00%)

Click the +/- to show/hide balance details

1. Click the **My Balances** link under Quick Links OR Click on the **Balances** tab under Portfolio
2. Click the **+/- icon** to view balances details for Cash Management Balances and Total Annuity Values where applicable.

NOTE: use the Download and Print links to download information on this page to a Microsoft Excel spreadsheet or print for record keeping.

Unrealized Gain/Loss

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

You can also view the date when the position tax lot became a long term holding. This information displays in the Long-Term Date column, which can be viewed by clicking the **Tax Lots** link, and is available for a single account. The information displayed is for the positions as of the previous business day's close of business.

PORTFOLIO 1 TRANSACTIONS 2 RESEARCH TOOLS COMMUNICATIONS					
Go paperless					
Overview Balances Holdings Unrealized Gain/Loss Realized Gain/Loss History Projected Cash Flow					
Viewing: In USD					
<div> Filter By: <div>Symbol or CUSIP</div> <div>APPLY FILTERS</div> </div>					
<div> Summary <div> SHORT TERM GAIN/LOSS 110.38 </div> <div> LONG TERM GAIN/LOSS 15,609.47 </div> <div> TOTAL GAIN/LOSS 15,719.85 </div> </div>					
SECURITY ID DESCRIPTION	NICKNAME ACCOUNT	QUANTITY LAST PRICE	TOTAL COST MARKET VALUE	UNREALIZED GAIN/LOSS	
MMFAIGI INSURED DEPOSIT PROGRAM		106.33 1.00	106.33 106.33	No Chg	
LAFFX LORD ABBETT AFFILIATED F...		2,869.241 15.14	42,685.68 43,440.30	754.62 +1.77%	
LAVLX LORD ABBETT MID-CAP STO...		1,525.927 27.05	26,311.09 41,276.32	14,965.23 +56.88%	

1. To View the Unrealized Gain/Loss page, Click **Portfolio** from the NetXInvestor Home page.
 2. Click **Unrealized Gain/Loss** tab.
- To view the Unrealized Gain/Loss for a single account, **Select** the required account from the **Viewing** list.
 - To view the Unrealized Gain/Loss for a group of accounts, **Select** the required group from the **Viewing** list.
 - To view the Unrealized Gain/Loss for all accounts, **Select All Accounts** from the **Viewing** list.

Realized Gain/Loss

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

The screenshot displays the NetXInvestor Realized Gain/Loss page. The top navigation bar includes Portfolio, Transaction, Research, Tools, and Communications. The main navigation bar shows Overview, Balances, Holdings, Unrealized Gain/Loss, Valuation Over Time, Realized Gain/Loss (selected), History, and Projected Cash Flow. The 'Viewing' dropdown is set to 'All Accounts'. The 'Filter By' section includes a 'TIME PERIOD' dropdown set to 'Year To Date', 'From Date' and 'To Date' fields, and a 'Symbol, CUSIP' search field. The 'VIEW BY' section has radio buttons for 'Symbol' (selected) and 'Lot'. The 'Apply Filters' button is visible. The table below shows the following data:

SYMBOL / CUSIP	DESCRIPTION	QUANTITY	OPENING DATE	CLOSING DATE	OPENING COST (\$)	CLOSING COST (\$)	DISALLOWANCE	REALIZED GAIN/LOSS (\$)
EBAH3765443		25,000.00	03/18/2011	01/05/2014				-1,244.72
	TARJETA NARANJA S A NOTES S...		25,757.03	24,512.31				-4,832.5%

The summary section on the left shows the following:

Summary

SHORT TERM GAIN/LOSS
No Chg

LONG TERM GAIN/LOSS
-\$1,244.72

TOTAL GAIN/LOSS
-\$1,244.72

The page also includes a 'Go paperless' link and a 'Help' icon. The footer contains a disclaimer: 'Pershing shall not be responsible for and makes no representations or warranties with respect to the accuracy of any information that you report to the IRS or other taxing authorities, and accordingly, disclaims any and all liability that may arise with respect to your use and reliance on the information provided herein for such reporting.'

To View the Unrealized Gain/Loss page,

1. **Click Portfolio** from the NetXInvestor Home page.
 2. **Click Realized Gain/Loss** tab.
- To view the Unrealized Gain/Loss for a single account, **Select** the required account from the **Viewing** list.
 - To view the Unrealized Gain/Loss for a group of accounts, **Select** the required group from the **Viewing** list.
 - To view the Unrealized Gain/Loss for all accounts, **Select All Accounts** from the **Viewing** list.

Valuation Over Time

The **Valuation Over Time** page displays the value of the portfolio, in the form of a chart, for the past 12 months. This is available for a single account or group of accounts, and for the entire portfolio. When the mouse is hovered over the graph, the label changes to show month and year in chart and in rollover display to indicate when year changes in data series.



1. To view Valuation Over Time information, **Click** the **Portfolio** Tab
2. **Select** the **Valuation Over Time** tab

History

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

Viewing: In USD

Filter By:

Symbol or CUSIP

TIME PERIOD

Last 90 Days

From Date to To Date

TRANSACTION

All

APPLY FILTERS

Download

Print

Go to Order Status

As of 03:53pm ET 09/30/2016

DATE	ACCOUNT	ACCOUNT TYPE	SECURITY ID	ACTIVITY	NET AMOUNT
08/01/2016		CASH	LAVLX	REINVEST CASH INCOME ** LA...	-3.05
08/01/2016		CASH	LAVLX	CASH DIVIDEND RECEIVED	3.05

Data is available for a maximum of 2 years.

1. To View the Unrealized Gain/Loss page, **Click Portfolio** from the NetXInvestor Home page.
2. **Click Realized Gain/Loss** tab.

- To view the history for a single account, **Select** the required account from the **Viewing** list.
- To view the history for a group of accounts, **Select** the required group from the **Viewing** list.
- To view the history for all accounts, **Select All Accounts** from the
- Use the Filter By, Time Period and Transaction filters to streamline the information you wish to view. **Click the Apply Filters** button once you have made your desired selections.

Projected Cash Flow

Use the Projected Cash Flow tab to view cash money flow into your account.

Viewing:

Incoming Cash Flow [View Cash Flow Distribution](#)

Filter by:
TIME PERIOD: Next 6 Months
CASH FLOW TYPE: Announced & Projected
[Apply Filters](#)

Announced Principal	\$0.00
Announced Income	\$26,393.95
Projected Income	\$26,390.10*
Total Projected Cash	\$52,784.05*
Current Cash Management Balance	\$0.00
Total	\$52,784.05

* Denotes a projection of an unannounced dividend.

Maturity Schedule

Filter by:
TIME PERIOD: Next 3 Months
[Apply Filters](#)

REDEMPTION DATE¹ CUSIP QUANTITY REDEMPTION AMOUNT

There are no records to display

Fixed Income Cash Flow
There are no records to display

[Download](#)
[Print](#)

This information is based only on Fixed Income positions.
Note: Estimated Income and Totals are rounded to the nearest whole dollar.
* indicates no estimated income for that month.
This page is for your informational purposes only and is not intended to provide actual performance or return values.

1. To View the Unrealized Gain/Loss page, **Click Portfolio** from the NetXInvestor Home page.
2. **Click Realized Gain/Loss** tab.

- To view projected cash flow for a single account, **Select** the required account from the **Viewing** list.
- To view the projected cash flow for a group of accounts, **Select** the required group from the **Viewing** list.
- To view projected cash flow for all accounts, **Select All Accounts** from the
- Use the Filter By, Time Period and Transaction filters to streamline the information you wish to view. **Click the Apply filter** button once you have made your desired selections.

The page is divided into the following sections:

Incoming Cash Flow — - This section displays the announced and projected cash flow information. To view the cash flow distribution, **Click the View Cash Flow Distribution** link.

Maturity Schedule - This section displays the incoming cash flow from the fixed income securities.

Transactions Tab

This tab allows you to view status information related to transactions via the Order Status tab and in addition allows you to make payments.

The Order Status page displays the following:

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

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

Order Status

Viewing: 52D000000

Filter By:
Symbol, name, CUSIP or ISIN
TRADE STATUS: All
Apply Filters

As of 03:42AM 02/07/2014

DATE	TRANSACTION TYPE	SYMBOL/CUSIP	QUANTITY	TYPE	PRICE (\$)	DURATION	STATUS
01/30/2014	Sell call to open	ACN 01312014 C 60	1.00	Market	Market	DAY	Pending
01/30/2014	Sell call to open	ACN 01312014 C 60	1.00	Market	Market	DAY	Pending
01/22/2014	Buy	IBM	50.00	Market	Market	DAY	Pending

DATE: 01/22/2014, 11:32:22 AM ET ACCOUNT TYPE: Cash TRANSACTION: N/A [Cancel Order](#)

ORDER TYPE: Market

01/17/2014	Buy	ASIX	\$1.00	N/A	N/A	DAY	Pending
01/17/2014	Buy	ASIX	\$1.00	N/A	N/A	DAY	Pending
01/16/2014	Buy	GOOG	100.00	Market	Market	N/A	Worked On
01/13/2014	Buy	IBM	15.00	Market	Market	DAY	Pending
01/13/2014	Buy to cover	IBM	2.00 Trailing Stop %		\$10.00	DAY	Pending
12/06/2013	Sell	NM	10.00	Limit	\$1.00	GTC	Open

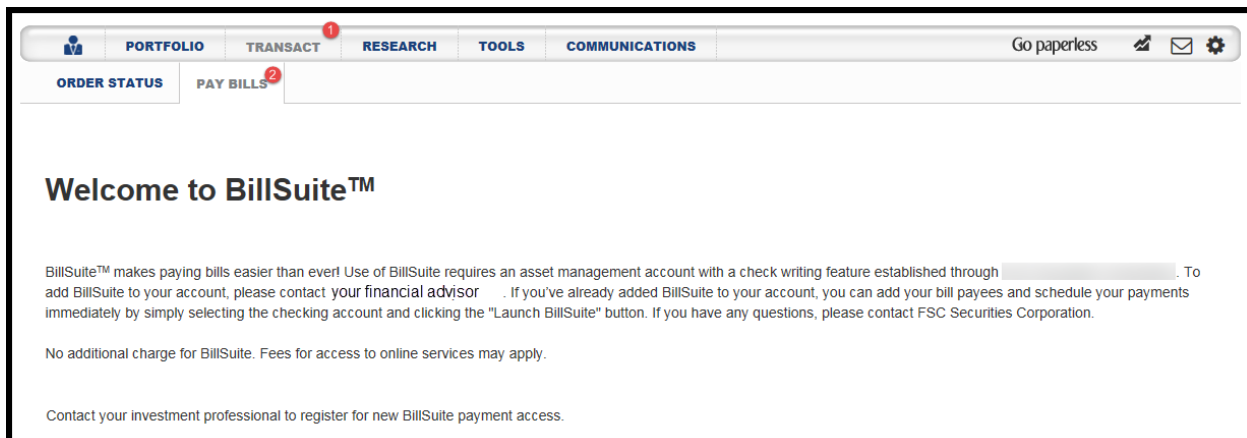
DATE: 12/06/2013, 11:13:17 AM ET ACCOUNT TYPE: Cash TRANSACTION: TOP 0719 [Edit](#) [Cancel Order](#)

ORDER TYPE: Limit

1. To view the status of your transactions, **Select Transact** tab from the NetXInvestor Home Page.
2. **Select Order Status** tab.
 - To view trade status for a single account, **Select** the required account from the **Viewing** list. (the list option is only available if you have multiple accounts)
 - To view trade status for a group of accounts, **Select** the required group from the **Viewing** list. (Groups will only appear if you have created a group)
 - To view trade status for all accounts, **Select All** from the **Trade Status** list located under the Filter By section.
3. Click the **Apply Filters** button once you have made your desired selections.

Pay Bills

This tab allows you to pay bills using the feature Bill Suite. This feature requires an asset management account established through your advisor. Contact your advisor to register for Bill Suite access.



To access BillSuite:

1. Click on the **Transact** tab.
2. Click on the **Pay Bills** tab.

Once you are set up with **BillSuite**, you would add the items you wish to be paid.

Research Tab

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

Portfolio

Transact

1 Research

Tools

Communications

Go paperless

Markets

Quotes & News

Investing Tools

2 Rateboard

Money Market Product Rates

7 day Yield as of 02/11/2014

PERSHING CREDIT INTEREST	0.00%
CA MUNI CASH TRUST CASH SERIES	0.00%
FEDERATED CAPITAL RESERVES	10.83%
CT MUNI CASH TRUST CASH SERIES	0.00%
FL MUNI CASH TRUST CASH SERIES	0.00%
FEDERATED GOVERNMENT RESERVES	10.83%
FEDERATED MUNICIPAL TRUST	0.00%
NJ MUNI CASH TRUST CASH SERIES	0.00%
NY MUNI CASH TRUST CASH SERIES	0.00%
VA MUNI CASH TRUST CASH SERIES	0.00%
TREASURY CASH SERIES	0.00%

Back To Top

Currency Rates

As of 02/11/2014

United States Dollar(per US dollar)	1.000000
Australian Dollar (per US dollar)	1.107419
Brazilian Real (per US dollar)	2.410900
British Pound (per US dollar)	0.606722

Back To Top

Interest Rates

Current Yield as of 02/11/2014

30 year Treasury bond	3.58%
1 year Treasury bill	0.16%
90 day Treasury bill	0.06%

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Stock & Option Indices

As of 02/11/2014

Dow Jones Industrial Average (DJA)	14910.34	No Chg
NASDAQ Composite (COMP)	3376.22	No Chg
S&P 500 Index (SPX)	1603.26	No Chg
S&P 100 Index (OEX)	721.04	No Chg
Major Market Index (XMI)	1628.07	No Chg

Back To Top

Commodities

As of 02/11/2014

Gold (London spot), troy oz.	\$1,225.10	No Chg
Silver (London spot), troy oz.	\$18.52	No Chg
Oil (W. Tx. Int. crude), barrel	\$95.48	No Chg

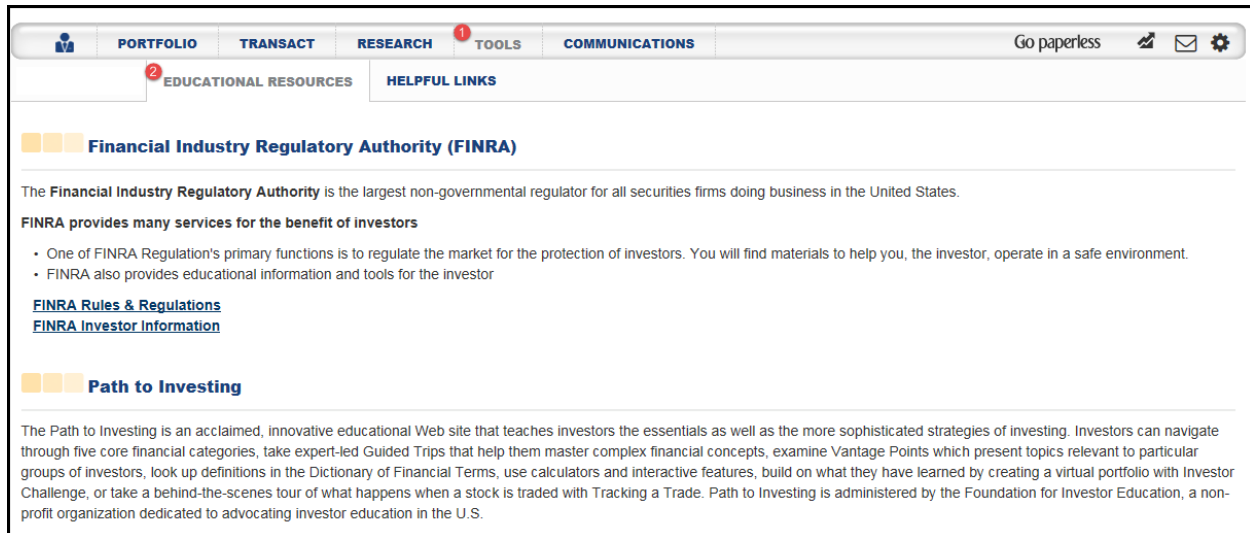
Back To Top

1. To view the Money Market Rates **Select Research** tab from the NetXInvestor's Home Page.
2. **Select Rateboard.**

Tools Tab

The Tools tab provides information related to regulatory authorities such as FINRA and also helpful information related to Investing. In addition, the Helpful Links tab provides access to Tax Center which provides links to guides and tax services to assist you with filing your taxes.

Educational Resources

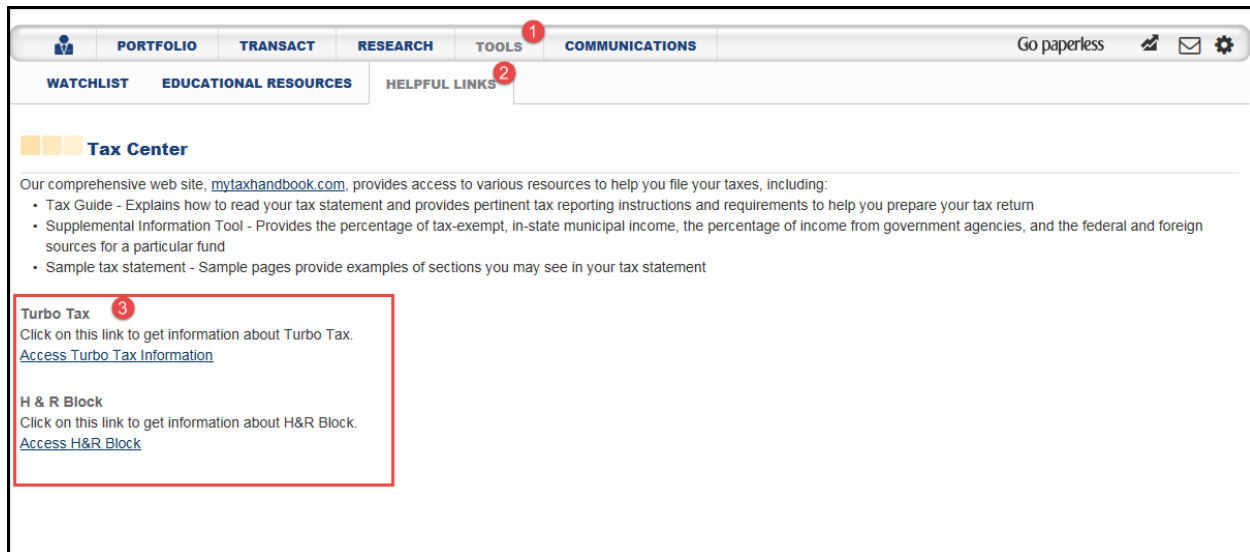


To access Educational Resources:

1. **Click on the Tools tab**
2. **Click Educational Resources tab**

Helpful Links

The Helpful Links tab provides links to Turbo Tax and H & R Block. To access these services, you must purchase the tax preparation software from stores, online vendors or directly from the TurboTax or H&R Block website. You must also have online access to your accounts via NetXInvestor. Once the setup process is complete and the data is available, you can use your existing user ID and password to log into either Turbo Tax or H & R Block services.



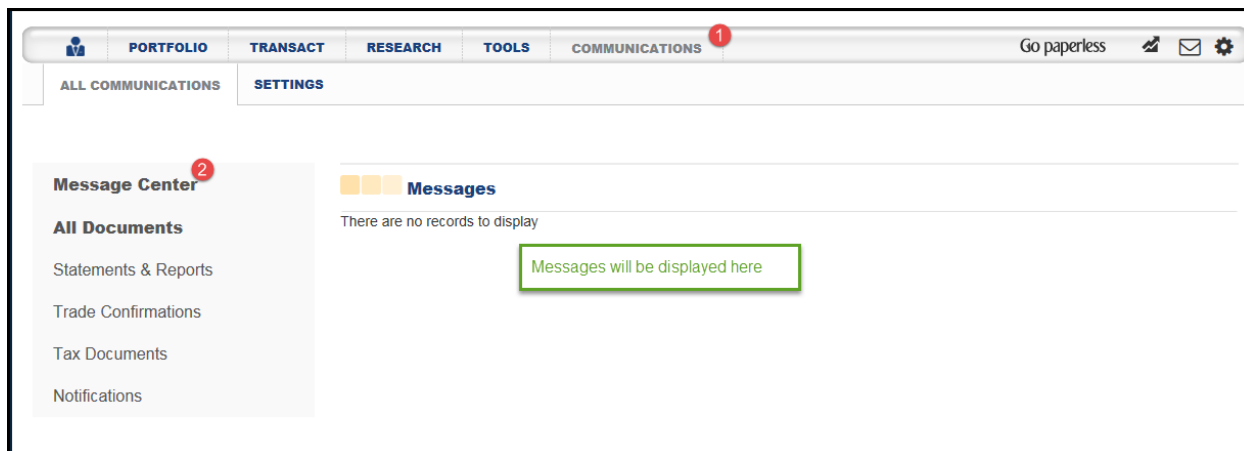
1. **Click Tools**
2. **Click Helpful Links**
3. **Click on the respective link for the Tax product you are registered with i.e. Turbo Tax/H & R Block.**

Communications Tab

This tab allows you access messages and important documents such as statements & reports, trade confirmations, tax documents, etc... You can view and download your account brokerage statements and reports and deliver these statements and reports electronically via eDelivery.

Message Center

The message center will contain any messages pertinent to the NetXInvestor application or your accounts.



To view messages:

1. **Click** on the **Communications** tab.
2. **Click** on **Message Center**.

All Documents

Use this section to access document such as statements, reports and tax documents.

Statements and Reports

This section allows you to view and download your statements and reports.

Viewing: AM5001004 In USD

Message Center

All Documents

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

Statements & Reports

TIME PERIOD: Last 12 Months

From Date to To Date

Apply Filters

Combine Document

DATE	TYPE	INSERTS
05/2017	Statements	Insert1
04/2017	Statements	
03/2017	Statements	Insert1 , Insert2
02/2017	Statements	
01/2017	Statements	

1. From the Home Page, **Click Communications.**
2. **Select All Communications.**
3. In the **All Communications** page, **Click the Statements & Reports link.**
4. **Select the desired time period.**
5. **Click Apply Filters.**

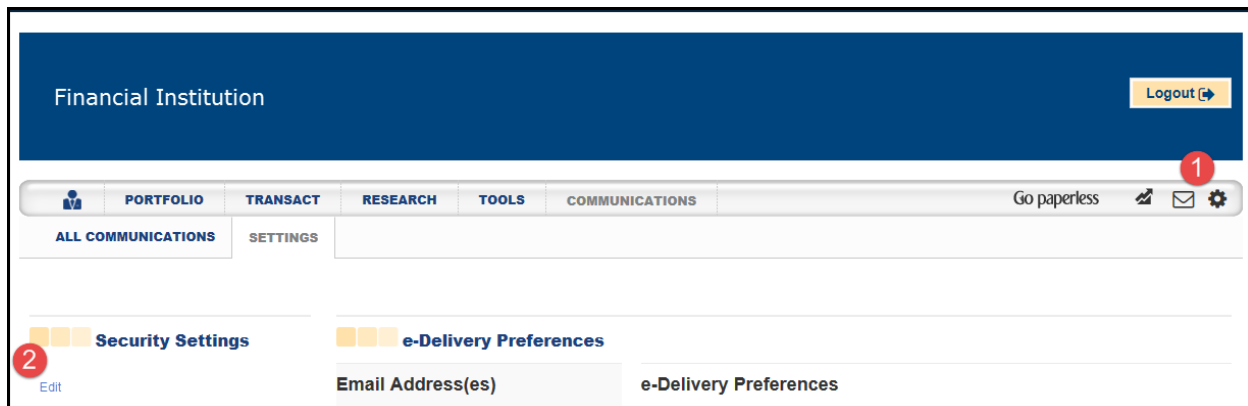
The page, by default, displays the statements and reports for one year. To view a statement, click the link in the **Type** column for the required date. You can also view any notices by clicking the link in the **Inserts** column. You can filter the information to display according to your requirements. Provide information in one or all of the following filters and click the **Apply Filters** button

Settings

Also under the communication tab is Settings, which is where you can change your password/security settings, preferences, and add nicknames to accounts.

Changing your Password

The NetXInvestor platform has options to manage your account settings and preferences, such as, changing your password, security questions, creating an account group, and many more.



Change Password

To reset your password, your new password must follow all the Password Rules

User ID: JOHNDOE

New Password

Confirm New Password

Continue Cancel

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

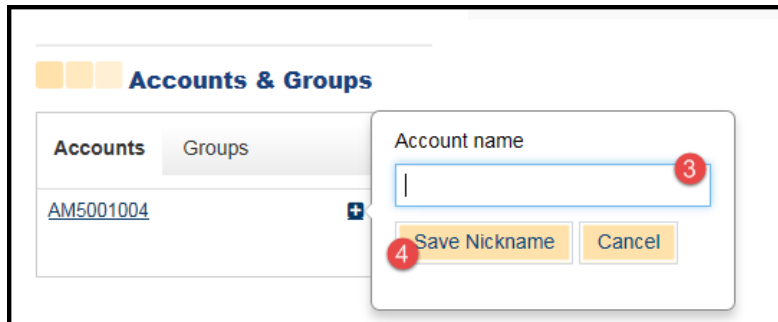
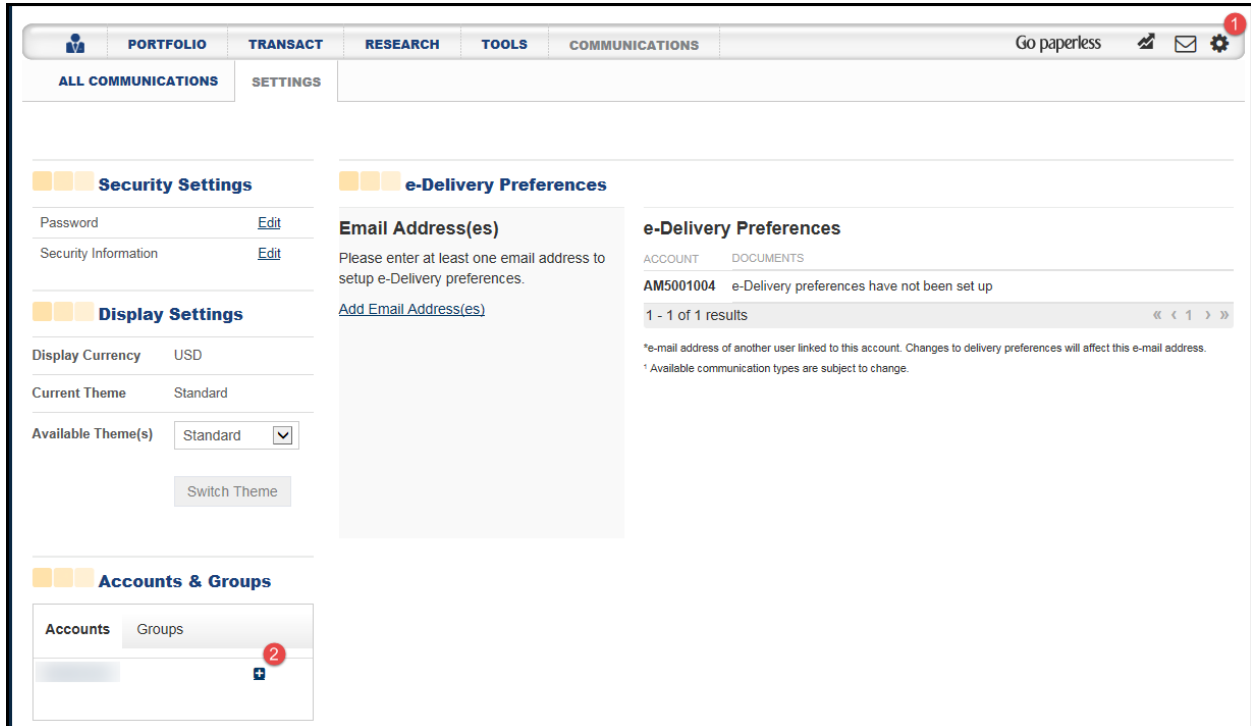
Change your Security Email

In the event you need to change your security email you can do so via the Settings icon.

- 06/2017

Account Nickname

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



1. Click the **Settings** icon.
2. From the Settings Page under Accounts & Groups, Click the **+** icon.
3. Enter desired **Nickname** for the account.
4. Click **Save Nickname**.

Account Groups

If you have more than one account you can utilize the Account Group feature in NetXInvestor. An account group is a collection of accounts. The investment portfolio of an account group can be accessed from a single place. You can create, modify or delete a group.

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

Security Settings

Password [Edit](#)

Security Information [Edit](#)

Display Settings

Display Currency USD

Current Theme Standard

Available Theme(s) Standard

Accounts & Groups

Accounts Groups 2

[Add New Group](#)

You do not have any Account Groups.

e-Delivery Preferences

ACCOUNT	DOCUMENTS
AM5001004	e-Delivery preferences have not been set up

1 - 1 of 1 results

*e-mail address of another user linked to this account. Changes to delivery preferences will affect this e-mail address.
 * Available communication types are subject to change.

Add New Group

All Accounts:

Group Name:

[Add >>](#)
[<< Remove](#)

You must have more than one account to complete the group. Continue to select/add the desired accounts you want in the group.

Add New Group

All Accounts:

Group Name:

[Add >>](#)
[<< Remove](#)

Create a Group

1. Click on the **Settings** icon.
2. Click on the **Groups** tab, then Click **Add New Group** link under the Account & Groups section.
3. Enter desired **name** for the group
4. Select the desired **accounts** to add to the group. You must have more than one account to use this feature.
5. Click the **Add** link in the middle.
6. Once you have all of the desired accounts, Click **Save Groups**.

Edit a Group

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

Delete Group

1. **Click Settings.**
2. In the Accounts & Groups section, **Click Groups.**
3. **Click Delete.** A warning window displays.
4. **Click Yes** to delete the group, or **Click No**

Sort, Filter, Download and Print Features

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

Sort

The sorting feature enables you to reorder the information in ascending or descending order. A sort can be applied to any page with a table-like structure.

To sort the information:

1. **Click** on a required **column heading** to sort in ascending order
2. Then **Click** on the **heading** again to sort the information in descending order.

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

Filter

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

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

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

To filter the information:

1. Provide information for the required filter and **Click Apply Filters**.

Download

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

To download the information:

1. **Click Download** or the link name adjacent to the **Download** label.

Generate Adobe PDF

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

- Statements and Reports

NetXInvestor Mobile App

The NetXInvestor mobile app contains all of the features that you currently see in the NetXInvestor website. There are a few additional features that are uniquely available through the app, but every other aspect of the app will look and work as it does on the website. Mobile check deposit and Apple Watch (works with iOS app) are the unique mobile features that can be found in the NetXInvestor mobile app.

Mobile Requirements

Android:

- OS 4.4 or higher
- Size: 3 MB

iOS (iPhone):

- OS: 7.0 or higher
- Size: 30 MB

Installing the NetXInvestor Mobile App

To begin installation of the NetXInvestor Mobile App, you must access your **Store** app on your mobile phone, for example this would be the **iTunes store** on your iPhone/iPad or **Play Store** on your Android phone.

Once the NetXInvestor App has been installed you will need to enter a *Financial Organization Number* on the login screen, this would be the number assigned to your advisor.

You can obtain your number by:

- Selecting **Look Up** from the login screen and entering the first three characters of your account number if know it, for example if your account number is AMK12345678, then you would enter AMK , once entered the *Financial Organization Number* will populate into the field.
- If you do not know the prefix of your account number, contact your advisor to verify which *Financial Organization Number* you should use. It would be one of the following depending on their assigned company code.
 - FSC – 3MG
 - Royal Alliance – 028
 - SagePoint – 084
 - Woodbury – 7FI

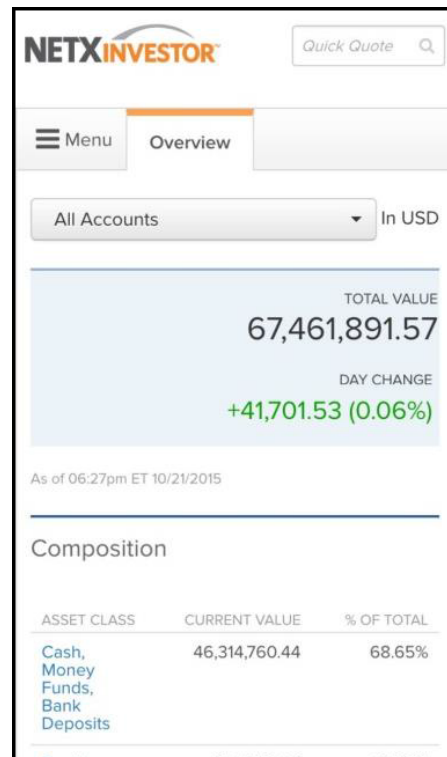
Follow the steps below to install the NetXInvestor App on your mobile device.

1. **Enter** the word **NetXInvestor** in the search field of your phones store app, then **Select** the **NetXInvestor App** from the list.
2. **Click Install.**
3. Once installation has completed **Click Open.**
4. You will get a screen very similar to the web version login screen. **Enter** your assigned **Financial institution code** as confirmed by your advisor.
5. **Enter** your **UserID**
6. Select the method to receive your OTP code, when received enter the code, then Select Verify Identity
- 7.
8. **Verify** your security image, then **Enter** your **password**,
9. **Check the box “remember this device next time?”**
10. **Select Continue.**

Navigating within the NetXInvestor Mobile App

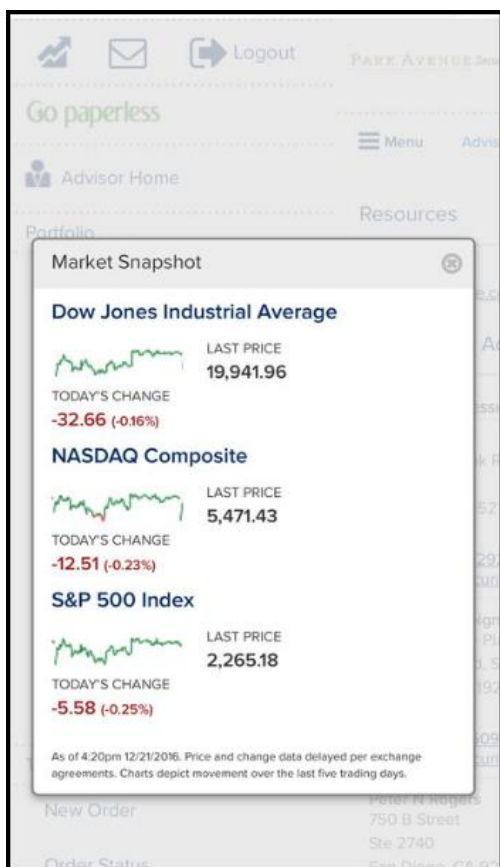
Once you are logged into the NetXInvestor Mobile App it will default to the Overview page which includes information related to:

- Your total account values
- A composition of your investments
- Portfolio Movers
- History



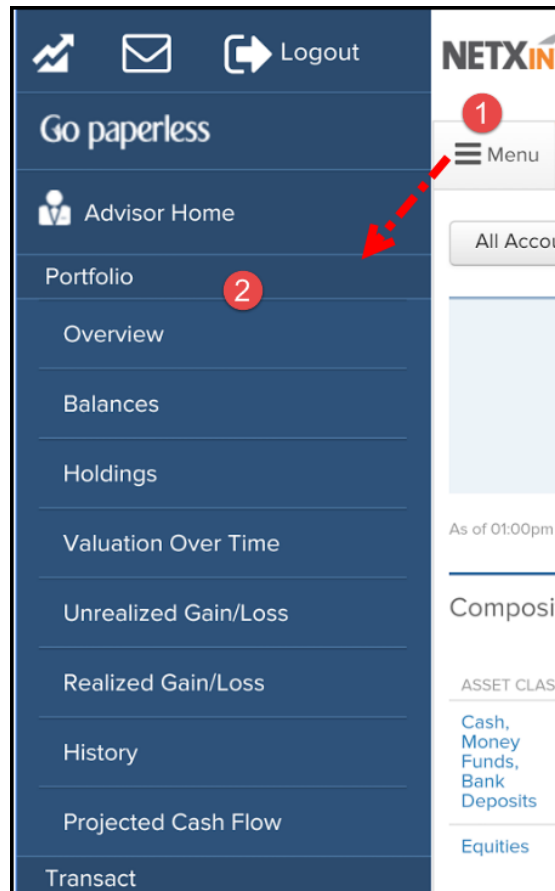
Use the icon bar at the top of the screen to:

1. View the Market Snapshot screen
2. Access messages – a message indicator would be in the corner of the icon if there are any messages
3. Logout
4. Go Paperless –sign up for eDelivery



1. **Click the Market icon**, the Market Snapshot screen will display, **Click the X** to return to the main screen.

You would access the other features such as balances, holdings, valuation over time, etc. via the menu icon.



1. **Click the Menu tab**
2. **Select desired feature** from the list i.e. balances, holdings, valuation over time, etc..

The following items are located under the Menu icon:

Portfolio

- **Holdings** – lists the positions you hold in the portfolio.
- **Valuation Over Time** – the value of the portfolio in the form of a chart for the past 12 months.
- **UnrealizedGain/Loss** – the current performance of stocks in the market arising out of a sell, summary of short and long-term gain and loss information.
- **History** – the activities that have taken place in your account
- **Projected Cash Flow** – the cash money flow into your account

Transact

- **Order Status** – view status of orders
- **Pay Bills**
- **Mobile Deposit** – deposit checks

Research

- **Rateboard** – view the rates for money market products, currency, commodities and others.

Tools

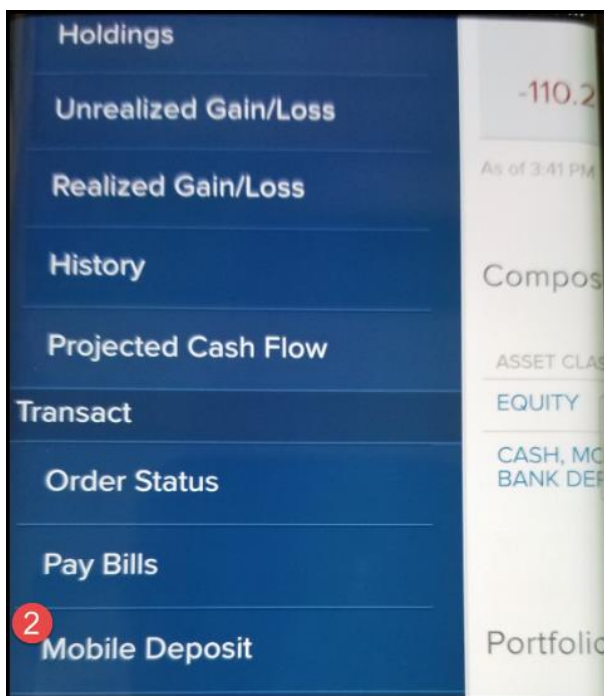
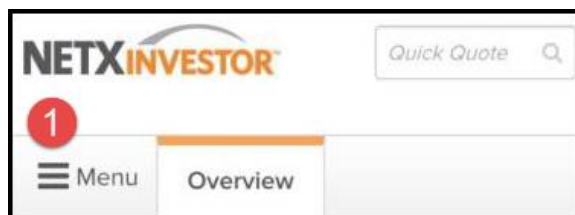
- **Educational Resources**
- **Helpful Links**

Communications

- **All Communications** – view your account brokerage statements
 - **Statements & Reports**
 - **Trade Confirmations**
 - **Tax Documents**
 - **Notifications**
- **Settings** – change password, display settings, e-Delivery preferences and more

Depositing Checks via the NetXInvestor Mobile App


Mobile check deposit provides a quick and convenient way to deposit checks for processing using NetXInvestor® mobile. Using this feature, you can take front and back photos of checks, attach the check images, enter the amount of the check and select the accounts to credit.



Check Deposit


SINGLE DEPOSIT

SPLIT DEPOSIT



3

Front of Check



4

Back of Check

Account

Choose Account >

Amount

Enter Amount


Reason

Choose Reason >


CANCEL

REVIEW

Front of Check



Back of Check



Deposit to

Account

5 A COMPANY SECURITIES(52D000003) >

Amount

6 \$ 87.32 >

Reason

7 Check Deposit

Add Account +

Clear

8 Review >

Follow steps below for Single Deposit:

1. **Click** on the **Menu** icon.
2. **Select Mobile Deposit** from the list.
3. **Click** on **“Front of Check”** icon, your phone’s camera will activate for you to capture the picture. Take a picture of the front side of the check.
4. **Click** on **“Back of Check”** icon. Take picture of the back of the check.
5. **Complete** the fields for **Account, Amount and Reason**.
6. **Click Review**.
7. A verification screen will display. Once you have verified the deposit details, **Click Submit**.