

# NetX360<sup>®</sup> Items for Attention (IFA)

USER GUIDE

July 2015



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# 1. Introduction

This guide describes the capabilities of Items for Attention (IFA), a consolidated source for viewing margin notifications, incoming and outgoing asset transfers, voluntary and mandatory reorganization announcements, and other open items that affect your clients' accounts.

IFA provides many features you can use to view open items and take action on them. IFA allows you to:

- View a summary of margin, account transfers, corporate actions, unallocated tax lot, options in the money, and other open items that affect your client's accounts.
- View open items only for a specific category.
- Access additional details for an open item, including real-time status on an account level.
- Respond to items that require immediate attention.
- Use filters to display a specific listing of accounts with open items.
- Sort information by specific criteria.

## View Items for Attention

1. Go to your NetX360 home page by clicking the  **Home** tab.
2. On the **Items for Attention** tile, click the desired IFA type. A list of IFAs displays.

IFA | All IFAs 

Select: Voluntary Offers  IBD#: 52D OFF#: 52D IP#: ALL

**IFA - Voluntary Offer Summary** All data as of: 05/06/2015

From Date	To Date	Symbol/Cusip	Filter Option
<input type="text"/>	<input type="text"/>	<input type="text"/>	All Unexpired with Positions 

**Sort By** **Sort Order**

Grouping  Ascending  Display

Description	Symbol	Offer	Cut-Off Date	Expiration Date	Positions / Instructions
<b>Open Offers</b>					
ACCENTURE PLC	ACN	<a href="#">TENDER</a>	06/24/2015	06/25/2015	<a href="#">Positions</a>
DISNEY WALT CO	DIS	<a href="#">RIGHTS</a>	06/25/2015	06/26/2015	<a href="#">Positions</a>

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## 2. IFA Summary

The **IFA Summary** page provides a summary of the current open items for all accounts that you manage. From the IFA Summary, you can drill down to view additional details.

### View the IFA Summary

1. In the NetX360 search field, enter **all accounts**. Matching search results display.
2. In the **Go To** section of the search results, select **All IFAs (All Accounts—IFA)**. The **IFA Summary** displays.

**Tip:** You can also view a summary of all IFAs from the **Items for Attention** tile on your NetX360 home page.

IFA   All IFAs ▲			
Select: IFA Summary ▼		IBD#: 52D OFF#: 52D IP#: ALL	
Action Items	No. of Items	Pending Approval	As of Date*
Margin Details	<a href="#">69</a>	N/A	05/07/2015
Voluntary Corporate Actions	<a href="#">2</a>		05/06/2015
FYIs	No. of Items		As of Date*
Incoming Account Transfers	<a href="#">682</a>		05/07/2015
Outgoing Account Transfers	<a href="#">258</a>		05/07/2015
Mandatory Offers	<a href="#">45</a>		05/07/2015
Missing Account Opening Documentation	<a href="#">1548</a>		05/07/2015
Physical Securities Pending Documentation	<a href="#">1</a>		05/06/2015
Options in the money	<a href="#">29</a>		05/07/2015
Insufficient Funds for Periodic Distributions	<a href="#">10</a>		05/06/2015
Required Minimum Distribution	<a href="#">21</a>		05/07/2015
Positions Missing Cost Basis	<a href="#">79</a>		05/07/2015

\* Dates in red indicate that the data is not current.  
 \*\*Trade Break information is only available at the Introducing Broker Dealer level.

### Information on the IFA Summary Page

COLUMN	DESCRIPTION
Type	IFA category
No. of Items	Number of open items for the category
Pending Approval	Number of open items for the category that are pending approval. This column is only applicable to voluntary offer items that require approval  <b>Note:</b> Users will see the <b>Pending Approval</b> column only if they have entitlements to approve items

COLUMN	DESCRIPTION
As of Date	Indicates the date up to which the number of open items are accounted for  <b>Note:</b> This column displays the date of the last update. Dates in red indicate that the data is not current

## View IFAs for a Specific Category

- From the **IFA Summary** page, click the number link in the **No. of Items** column for the appropriate category. The corresponding summary page displays for the IFA category selected.

IFA | All IFAs ▲

Select: Voluntary Offers ▼ IBD#: 52D OFF#: 52D IP#: ALL

**IFA - Voluntary Offer Summary** All data as of: 05/06/2015

**From Date**   **To Date**   **Symbol/Cusip Filter Option** All Unexpired with Positions ▼

**Sort By** Grouping ▼ **Sort Order** Ascending ▼

Description	Symbol	Offer	Cut-Off Date	Expiration Date	Positions / Instructions
<b>Open Offers</b>					
ACCENTURE PLC	ACN	<a href="#">TENDER</a>	06/24/2015	06/25/2015	<a href="#">Positions</a>
DISNEY WALT CO	DIS	<a href="#">RIGHTS</a>	06/25/2015	06/26/2015	<a href="#">Positions</a>

## 3. Set Up IFA Alerts

Items for Attention (IFA) alerts notify you about new FYI IFAs related to your client accounts.

### Notification Method

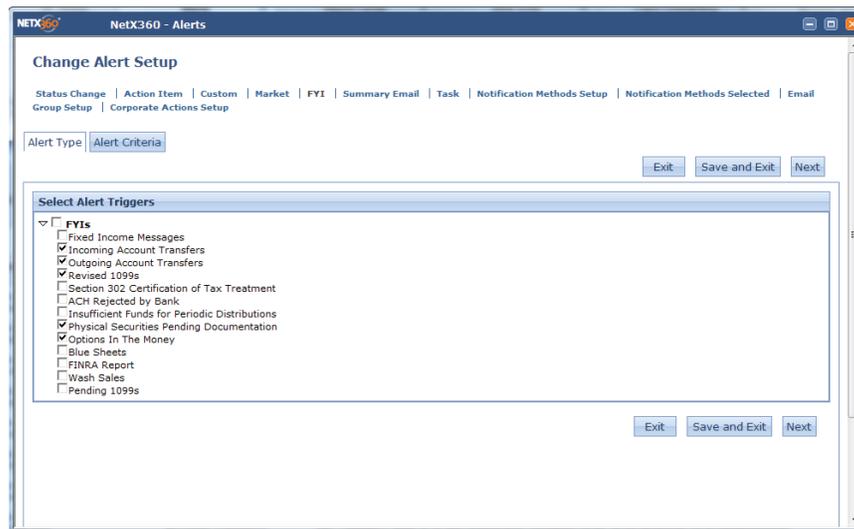
The notification method for IFA alerts is an e-mail summary of all alerts within the selected time interval.

### Add an IFA FYI Alert

1. In the NetX360 search field, enter **alert**. Matching search results display.
2. In the **Go To** section of the search results, select **Alerts (Client Tools)**. The **Alerts** page displays.

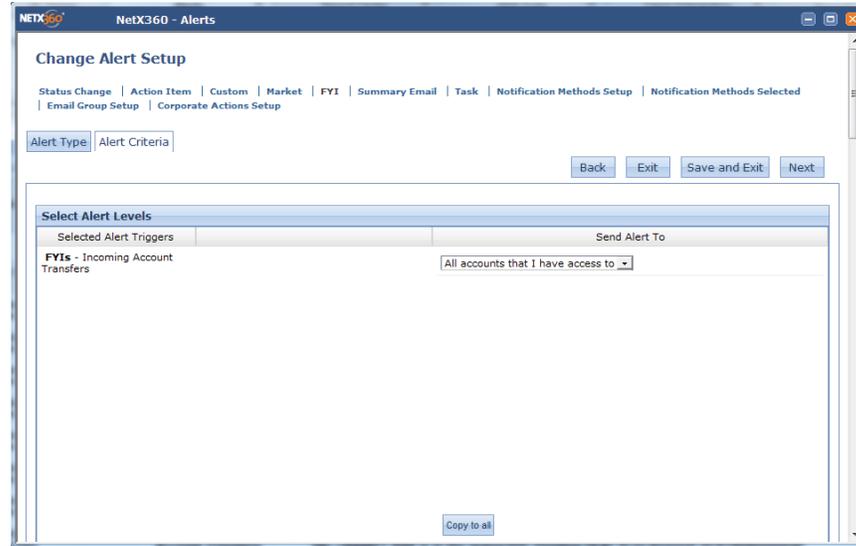
**Tip:** As an alternative, click  Menu > **Tools > Alerts** .

3. Select the **FYIs** tab. The **FYI Alerts** page displays.
4. Click **Setup FYI Alerts**. The **Change Alert Setup** page displays.



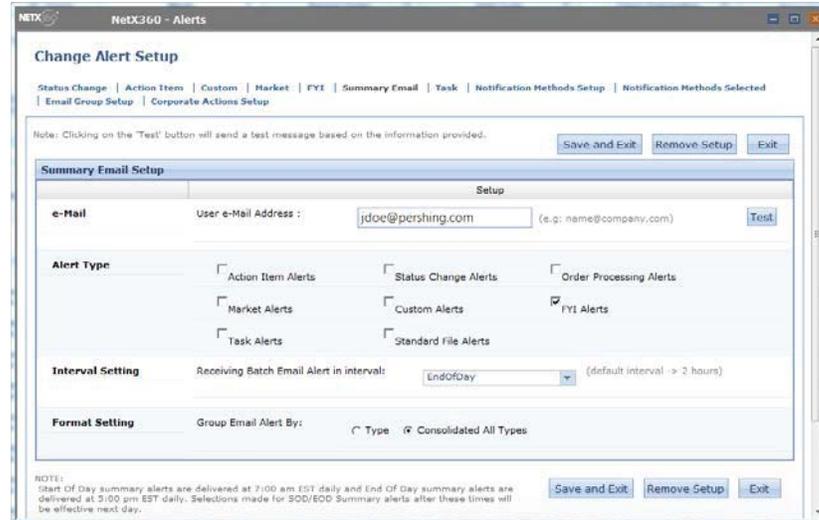
5. On the **Alert Type** tab, FYI IFA types for which you previously set up alerts are selected. Add or remove FYI IFAs as desired.
6. Click **Next** at the top or bottom of the page. The **Alert Criteria** tab displays.

### 3. SET UP IFA ALERTS



7. The grid on this page lists the IFA types you selected on the previous page, as well as existing FYI IFA alerts. In the **Send Alert To** column, indicate the accounts for which you want to see alerts:
- o All accounts that I have access to.
  - o Specific IBD/Off/IP #—Enter the desired firm (IBD), office and advisor (IP) numbers and click **Add**. Repeat for any additional firm/office/advisor combinations.
  - o Enter specific account(s)
    - Click **Show Accounts** to display a list of available accounts. Select one or more accounts from the list and click **Add**. To select multiple consecutive account numbers, press **Shift+Click**. To select multiple non-consecutive account numbers, press **Ctrl+Click**.
    - Enter an account number in the **Specific Acct. #** field and click **Add**.
- To apply the same selections to all FYI IFA types, click **Copy to all**. A confirmation message displays. Click **OK**.
8. Click **Next**. The **Summary E-mail Setup** page displays.

### 3. SET UP IFA ALERTS



9. Select the desired options. See *Summary E-mail Setup Fields* below.
10. Click **Save and Exit**.

### Summary E-mail Setup Fields

The table below lists the fields on the **Summary E-mail Setup** page. Required fields are marked with an asterisk (\*).

FIELD	ENTER OR SELECT
e-Mail*	E-mail address where you want the summary e-mail to be sent. <b>Important:</b> If you want the summary e-mail to replace individual alert e-mails, disable other e-mail alerts and enable only the summary e-mail. If you enable both, you will receive both the summary e-mail and individual alert e-mails.
Alert Type*	Select the types of alerts for which you want to receive a summary e-mail instead of individual e-mails. You can select one or more alert types.
Interval Setting	Frequency for the summary e-mail: <ul style="list-style-type: none"> <li>• Specified hourly interval, every one to eight hours.</li> <li>• <b>Start of Day</b>—Sends an e-mail daily at 7 a.m. (ET) summarizing all alerts for the last 24 hours.</li> <li>• <b>End of Day</b>—Sends an e-mail daily at 5 p.m. (ET) summarizing all alerts for the last 24 hours.</li> </ul>
Format Setting	Select a format: <ul style="list-style-type: none"> <li>• <b>Type</b>—Send a separate summary e-mail for each type of alert. You will receive a summary e-mail for each alert type selected above.</li> <li>• <b>Consolidated All Types</b>—Send one summary e-mail that includes all alert types.</li> </ul>

## 4. 529 Plan Accounts with Uninvested Cash Balance IFAs

529 Plan Accounts with Uninvested Cash Balance IFAs notify you if cash remains in a 529 plan account for 30 or more consecutive calendar days.

### View 529 Plan Accounts with Uninvested Cash Balance IFAs

- From the **IFA Summary** page, click the link in the **No. of Items** column in the **529 Plan Accounts with Uninvested Cash Balance** row.
- Or
- Select **529 Plan Accounts with Uninvested Cash Balance** from the **Select** list at the top of the page.

The **IFA—529 Plan Accounts with Uninvested Cash Balance** page displays.

Select: 529 Plan Accounts with Uninvested Cash Balance IBD#: 52D OFF#: ALL IP#: ALL

**IFA - 529 Plan Accounts with Uninvested Cash Balance**

ExportToExcel

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Account#	ShortName	IP #	Plan Name	Uninvested Cash	Duration	Registration Type
52D000000	DOEJOHN	000	VA01	10000.00	35	529P
52D000001	DOEJANE	000	IN01	500.00	42	529P
52D000002	DOEJOHNA	000	VA01	3.00	60	529C

**Notes:**

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

### Information on the IFA—529 Plan Accounts with Uninvested Cash Balance Page

COLUMN	DESCRIPTION
Account #	Pershing account number
Short Name	Account short name
IP #	IP number of the IP servicing the account

COLUMN	DESCRIPTION
Plan Name	529 plan name
Uninvested Cash	Amount of uninvested cash in the account
Duration	Number of days for which the account has had uninvested cash
Registration Type	Account type

### Download IFAs to a Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## 5. ACH Rejected by Bank IFAs

ACH Rejected by Bank IFAs notify you about ACH transactions that were rejected by the client's bank.

### View ACH Rejected by Bank IFAs

- From the **IFA Summary** page, click the link in the **No. of Items** column in the **ACH Rejected by Bank** row.

Or

- Select **ACH Rejected by Bank** from the **Select** list at the top of the page.

The **IFA—ACH Rejected by Bank** page displays.

Select: ACH Rejected by Bank IBD#: 52D OFF#: 52D IP#: 000

**IFA - ACH Rejected by Bank**

**View**

Current Display ExportToExcel

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Short Name	Account Number	Account Type	IP #	Transaction Date	Transaction Amount	Reject Reason
DOE JOHN	<a href="#">52D000000</a>	RETAIL	000	09/10/2014	\$100.00	<a href="#">Invalid Account Number</a>

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### Information on the IFA—ACH Rejected by Bank Page

COLUMN	DESCRIPTION
Short Name	Account short name
Account Number	Pershing account number
Account Type	<ul style="list-style-type: none"> <li>• Retail</li> <li>• Retirement</li> </ul>
IP #	IP number of the IP servicing the account
Transaction Date	Date of the transaction
Transaction Amount	Dollar amount of the transaction
Reject Reason	Reason the bank rejected the ACH transaction

## Filter IFAs

- On the **IFA—ACH Rejected by Bank** page, select the desired value for the **View** filter at the top of the page:
  - Current
  - History
- Click **Display**. The selected filter is applied to the list.

## Download IFAs to a Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## View Standing Instruction Detail

- In the **Reject Reason** column, click the link for the item you want to view in detail. The **Standing Instruction Detail** page displays for the item.

Request ID#: 000000000		Last Used Date: 09/10/2014	
Standing Instruction ID#: 0000			
<b>Standing Instruction Details</b>			
Description:			
<b>ACH Instruction</b>			
Account Holder's Name(s):	JOHN DOE 1 MAIN STREET ANY TOWN, NJ 00000		
ABA Number:	000000000		
Bank Name:	A COMPANY SECURITIES		
City and State:	ANY TOWN, NJ		
Bank Account Number (DDA):	000		
Bank Account Type:	Savings		
Use This Instruction For SRS:	No		
Close Window			

## 6. Block Order Trading Alert IFAs

Block Order Trading Alert IFAs notify you of rule violations that have occurred at the account/allocation level for open Good Till Cancel/Good Till Date (GTC/GTD) block orders released through Block Trading and Rebalancing (BTR). Each open GTC/GTD block order is run through a Rules Engine check at approximately 7 a.m. (ET) each business day.

Block Order Trading Alert IFAs provide access to view the rule violations that have occurred at the account level.

### View Block Order Trading Alert IFAs

- From the **IFA Summary** page, click the link in the **No. of Items** column in the **Block Order Trading Alert** row.

Or

- Select **Block Order Trading Alert** from the **Select** list at the top of the page.

The **IFA—Block Order Trading Alert** page displays.

Select: Block Order Trading Alert

**IFA - Block Order Trading Alert**

Block ID  Display ExportToExcel

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Account Number	Short Name	Symbol/Cusip	IP #	Transaction Type	Share Quantity	Block ID	Security Description	Expiration Date	Rule Violation1	Rule Violation2	Rule Violation3
52D000001	*****	780087102	007	SELL	350	603492			01076-ORDER EXCEEDS QUANTITY OR DOLLAR VALUE THRES	01900-PENDING RULE VIOLATION	

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#### Notes:

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

### Information on the IFA—Block Order Trading Alert Page

COLUMN	DESCRIPTION
Account Number	Pershing account number
Short Name	Account short name
Symbol/CUSIP	Symbol or CUSIP for the security in the transaction
IP #	IP number of the IP servicing the account

COLUMN	DESCRIPTION
Transaction Type	Buy or sell
Share Quantity	Quantity of the security in the transaction
Block ID	Block ID for the transaction
Security Description	Description of the security
Expiration Date	Indicates the expiration date
Rule Violation 1, Rule Violation 2, etc.	Descriptions of the rule violations that triggered the IFA

### Filter Block Order Trading Alert IFAs

1. On the **IFA—Block Order Trading Alert** page, enter the desired value for the **Block ID** filter at the top of the page.
2. Click **Display**. The selected filter is applied to the list.

### Download IFAs to a Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## 7. Blue Sheet IFAs

Blue sheet IFAs notify you of Blue Sheet violations that need to be reconciled. All Blue Sheet violations must be reported to your manager and a compliance officer and reconciled immediately.

Any trade can potentially cause a Blue Sheet violation (or other compliance issue). However, sell trade transactions are most likely to incur Blue Sheet violations, because the type of a trade (Short or Short Exempt) can be omitted without being numerically out of balance.

### Reconcile a Short Sale or Short Sale Exempt Blue Sheet Violation

Do one of the following:

- Adjust the type of trade (Sold Short or Sold Short Exempt) on the client side of the Blue Sheet exception to match the type of trade (Sold Short or Sold Short Exempt) on the Average Price/Firm Side transaction of the Blue Sheet exception (or vice versa).
- Adjust the type of trade (Sold Short or Sold Short Exempt) on the Average Price/Firm side to match the type of trade (Sold Short or Sold Short Exempt) on the order details reflected on the exchange. The type of trade details on the exchange side can never be modified.
- Provide a detailed explanation on a Blue Sheet discrepancy form explaining why the transactions associated with the Blue Sheet exception cannot be modified and why a result cannot be modified.

### Identify a Short Sale Transaction

- Click **Trading > Monitor Order/Trade > Trade History**. The following indicate a short sale:
  - **S** or **X** in the **Short Sale** column.
  - **O** in the **Legend Code** column.
- View the order details in the Order Management System (OMS) used to execute the transaction.

## View Blue Sheet IFAs

- From the **IFA Summary** page, click the number link in the **# of Items** column in the Blue Sheets row.

Or

- Select **Blue Sheets** from the **Select** list at the top of the page.

The **IFA—Blue Sheets** page displays.

IFA - Blue Sheets								
Trade Date	Sort By	Sort Order						
All	Trade Date	Ascending	Display	ExportToExcel				
Back								
Exception Type	Trade Date	Exchange	Symbol	Cusip	Total Customer Shares	Total Firm Shares	Total Exchange Shares	Exception Quantity
SHORT SALE	04/30/2013	NYSE	<a href="#">SYK</a>	863667101	5,000.00	0.00	0.00	5000
SHORT SALE	05/01/2013	NYSE	<a href="#">ROK</a>	773903109	5,000.00	0.00	0.00	5000
Back								

## Information on the IFA—Blue Sheets Page

COLUMN	DESCRIPTION
Exception Type	Indicates whether the transaction was a Short Sale or Sold Short Exempt
Trade Date	Date on which the Sold Short or Sold Short Exempt transaction was executed
Exchange	Exchange on which the security is traded. Note: Currently only tracking the AMEX and NYSE
Symbol	Security symbol
CUSIP	Security identifier
Total Customer Shares	Total number of shares processed as Sold Short or Sold Short Exempt in client accounts (COD, Retail, and Margin) for the Blue Sheet exception
Total Firm Shares	Total number of shares processed as Sold Short/Sold Short Exempt in an IBD (Firm Account or Average Price Account) for the Blue Sheet exception
Total Exchange Shares	Total number of shares known to be reported and executed on the NYSE or AMEX for the Blue sheet exception
Exception Quantity	Number of shares different between firm and client, or firm and exchange, or both

## Sort IFAs

1. On the **IFA—Blue Sheets** page, select the column to sort by from the **Sort By** field.
2. Select **Ascending** or **Descending** in the **Sort Order** field.
3. Click **Display**. The list of IFAs is sorted per your selections.

## Filter IFAs

1. On the **IFA—Blue Sheets** page, select the desired value for the **Trade Date** filter at the top of the page:
  - o All
  - o T+1
  - o T+2
  - o T+3
  - o T+4 Onwards
2. Click **Display**. The selected filter is applied to the list.

## Download IFAs to a Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## View Blue Sheet Detail

- On the **IFA—Blue Sheets** page, click the link in the **Symbol** column for the item you want to view in detail. The detail window displays.

Items For Attention - Blue Sheets												
Items For Attention - Bluesheets Details												Close Window
Transaction Type	: Short					Cusip Symbol	: ROK					
Trade Date	: 04/30/2015					Security Description	: ROCKWELL AUTOMATION					
Settle Date	: 05/05/2015					IBD#	: 001					
						Exchange	: NYSE					
Type	Blotter	Account	Account Short Name	Offset Account	Price	Customer Shares	Firm Shares	Exchange Shares	Trade Reference #	Branch/Sequence #	Executing Broker	Firm Mnemonic
CUSTOMER	PRINCIPAL CROSS	52D000000	**N/A**	52D000001	83.58	5,000			000000	0000		

## Information on IFA—Blue Sheets Details Page

COLUMN	DESCRIPTION
Type	Type of exception
Blotter	Capacity
Account	Pershing account number

## 7. BLUE SHEET IFAS

COLUMN	DESCRIPTION
Account Short Name	Account short name
Offset Account	Contra account number of the transaction that offsets (processed on the opposite side) the client transaction of the Blue Sheet exception. The offset account/contra account is associated with transactions processes on blotters 0, 5, 6, or 9 only
Price	Price per share of the equity
Customer Shares	Number of shares processed as Sold Short or Sold Short Exempt in an IBD client account (COD, Retail, and Margin) for the Blue Sheet exception at a particular price
Firm Shares	Total number of shares reported and executed on the NYSE or AMEX for the Blue Sheet exception at a particular price
Exchange Shares	Total number of shares known to be executed on the NYSE or AMEX
Trade Reference #	Unique form of identification for the transaction.
Branch/Sequence #	Uniquely identifies an order for a given firm on a given day.
Executing Broker	The broker-dealer identifier for the entity that reports and executes the transaction on the exchange
Firm Mnemonic	NYSE and ASE code used to identify the Order Management system that reported and routed the order to the exchange execution, or the \$2 broker who received, reported and executed the transaction on the exchange

**Important:** A Blue Sheet letter is required when the client transactions cannot be corrected to resolve the Blue Sheet exception.

## 8. Client Correspondence Letter IFAs

Client Correspondence Letter IFAs inform you about documents that Pershing has sent to clients.

### View Client Correspondence Letter IFAs

- From the **IFA Summary** page, click the link in the **No. of Items** column in the **Client Correspondence Letter** row.

Or

- Select **Client Correspondence Letter** from the **Select** list at the top of the page.

The **IFA—Client Correspondence Letter** page displays.

Select: Client Correspondence Letter

**IFA - Client Correspondence Letter**

Date of Disbursement

 Display ExportToExcel

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Short Name	Account #	IP #	Document Name	Mailing Address	Date of Disbursement
DOE JOHN	<a href="#">52D000000</a>	000	NONOBJECTING BENEFICIAL OWNER (NOBO) LETTER	JOHN DOE 1 MAIN STREET ANY TOWN, NJ 00000	05/04/2015
DOE JOHN	<a href="#">52D000001</a>	000	NONOBJECTING BENEFICIAL OWNER (NOBO) LETTER	JOHN DOE 1 MAIN STREET ANY TOWN, NJ 00000	05/04/2015
DOE JOHN	<a href="#">52D000002</a>	000	US DOLLAR (USD) JOURNAL	JOHN DOE 1 MAIN STREET ANY TOWN, NJ 00000	05/04/2015

#### Notes:

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

## Information on the IFA—Client Correspondence Letter Page

COLUMN	DESCRIPTION
Short Name	Account short name
Account #	Pershing account number
IP #	IP number of the IP servicing the account
Document Name	Type of document being sent to the client
Mailing Address	Client's mailing address
Date of Disbursement	Date the document was sent to the client

### Filter Client Correspondence Letter IFAs

1. On the **IFA—Client Correspondence Letter** page, select the desired date for the **Date of Disbursement** filter at the top of the page.
2. Click **Display**. The list displays IFAs for the selected date.

### Download Client Correspondence Letter IFAs to a Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## View the Account Profile

1. In the **Account #** column, click the link for the desired account. The **Account Profile** window opens with the **General** view displayed.
2. To display a different view, select the desired view in the **View** field at the top of the window.

The screenshot shows a window titled "Account Profile" with a "View:" dropdown menu set to "General". The main content area displays the following information:

**General (Account #: 52D000000)**

<b>Title:</b> JOHN DOE 1 MAIN STREET ANY TOWN, NJ 00000	<b>RETAIL- INDIVIDUAL</b> <b>Home Phone:</b> (201) 000-0000 <b>Business Phone:</b> (201) 000-0001 <b>US Tax ID #:</b> 000-00-0000 <b>Cell Phone:</b> <b>Primary IP#:</b> 000
---	---

**Account Registration**

<b>IBD #:</b> 52D	<b>IBD Name:</b> A COMPANY SECURITIES
<b>Primary IP #:</b> 000	<b>Primary IP Name:</b> JANE DOE
<b>Secondary IP#s:</b>	<b>Global One ID :</b>
<b>Master Mnemonic:</b>	<b>Acct Mnemonic \ Code:</b>
<b>Money Manager :</b>	<b>Investment Style :</b>
<b>Short Name:</b> DOE JOHN	<b>Old Account #:</b>
<b>Auto Title Build:</b> YES	
<b>Account Status:</b> Open(08/13/2012)	
<b>Account Initiated Source :</b> ACCOUNT SERVICES	

**Account Details**

<b>Account Type:</b> RETAIL	<b>Registration Type :</b> INDIVIDUAL
<b>Non-Cust Type:</b>	<b>Non-Dollar Account:</b> YES
<b>Base Currency:</b> USD	
<b>14b1 Objection:</b> Not Objecting	<b>Check Writing:</b>
<b>PMAS Subscription:</b> NO	<b>Advisory Account:</b> NO
<b>External Positions:</b> NO	<b>Purge Eligible:</b> YES
<b>Tax Residency:</b> UNITED STATES	

**Pledge Collateral Indicator:** NO

Close

## 9. FINRA Report IFAs

FINRA Report IFAs notify you of pending orders in your clients' accounts that will be impacted by stock splits or other corporate actions.

### View FINRA Report IFAs

- From the **IFA Summary** page, click the link in the **No. of Items** column in the **FINRA Report** row.

Or

- Select **FINRA Report** from the **Select** list at the top of the page.

The **IFA—FINRA Report** page displays.

IFA - FINRA Report							
IBD# Office/Account# IP#							
Account #	Short Name	IP #	Symbol	Corporate Action Type	Order Adjustment Status	Order References	Order Details
52D000000		000	KO	STOCK SPLIT	ADJUSTED	HAQ 0047 06/28/2012	SELL 350 KO 36.00 LMTGTC
52D000001		000	SBS	STOCK SPLIT	NOT ADJUSTED	HAQ 0003 01/25/2013	SELL 1000 SBS 52.50 LMTGTC

#### Notes:

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

### Information on the IFA—FINRA Report Page

COLUMN	DESCRIPTION
Account #	Pershing account number
Short Name	Account short name
IP #	IP number of the IP servicing the account
Symbol	Security symbol
Corporate Action Type	Type of corporate action
Order Adjustment Status	Adjustment status
Order References	Order information
Order Details	Details

## 10. Good 'Til Cancel Expiring Order IFAs

Good 'Til Cancel (GTC) Expiring Orders IFAs notify you about accounts that have outstanding GTC orders that will expire within the next 10 business days.

### View Good 'Til Cancel Expiring Order IFAs

- From the **IFA Summary** page, click the number link in the **# of Items** column in the **Good 'Til Cancel Expiring Orders** row.

Or

- Select **Good 'Til Cancel Expiring Orders** from the **Select** list at the top of the page.

The **IFA—Good 'Til Cancel Expiring Orders** page displays.

Short Name	Account Number	IP #	Order Date	Transaction	Order Quantity	Leaves Quantity	Symbol	Order Price	Expiration Date	Cancellation Period
DOE JOHN	52D000000	000	05/07/2012	SELL	200	200.00	VZ	39.00	05/07/2013	Next Business Day
DOE JOHN	52D000001	000	05/07/2012	SELL	100	100.00	SRE	62.00	05/07/2013	Next Business Day
DOE JOHN	52D000002	000	05/07/2012	SELL	2000	2,000.00	CHK	12.14	05/07/2013	Next Business Day

#### Notes:

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

### Information on the IFA—Good 'Til Cancel Expiring Orders Page

COLUMN	DESCRIPTION
Short Name	Account short name
Account Number	Pershing account number
IP #	IP number of the IP servicing the account
Order Date	Order date
Transaction	Transaction type (Buy, Sell, etc.)
Order Quantity	Quantity ordered

COLUMN	DESCRIPTION
Leaves Quantity	Quantity left outstanding
Symbol	Security symbol
Order Price	Price of security per share in U.S. dollars
Expiration Date	Date order expires
Cancellation Period	Number of days remaining before cancellation

### Sort IFAs

1. On the **IFA—Good 'Til Cancel Expiring Orders** page, select the column to sort by from the **Sort By** field.
2. Select **Ascending** or **Descending** in the **Sort Order** field.
3. Click **Display**. The list of IFAs is sorted per your selections.

### Filter IFAs

1. On the **IFA—Good 'Til Cancel Expiring Orders** page, select the desired value for the **Cancellation Period** filter at the top of the page:
  - o All
  - o Today
  - o Next Business Day
  - o 2-5 Business Days
  - o 6-10 Business Days
2. Click **Display**. The selected filter is applied to the list.

### Export IFAs to an Excel Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

# 11. Incoming and Outgoing Account Transfer IFAs

## Incoming Account IFAs

Incoming Account IFAs provide information on accounts you manage that are transferring into Pershing via ACAT, non-ACAT, internal transfer, or mutual fund transfer.

### View Incoming Account IFAs

- From the **IFA Summary** page, click the number link in the **No of Items** column in the **Incoming Account Transfers** row.

Or

- Select **Incoming Account Transfers** from the **Select** list at the top of the page.

The **IFA—Incoming Account Transfers** page displays.

Account #	Short Name	IP #	Request Description	Status	Transfer Status	Status Days	Transfer Type	Contra-broker / Fund	Contra-broker Account#	Reject Reason
52D000000	DOE JOHN	000	NON-NSCC PARTIAL BARCLAYS CAPITA	<a href="#">Pending Processing</a>	REL-Released	0	Non-NSCC	BARCLAYS CAPITAL INC.MARKET MAK	0000000000	Systematic Action Taken by AMPS ACAT
52D000001	DOE JOHN	000	NON-NSCC FULL ABC BANK OF THE SO	<a href="#">Pending Processing</a>	REL-Released	252	Non-NSCC	ABC BANK OF THE SOUTH	0000000000	Systematic Action Taken by AMPS ACAT
52D000002	DOE JOHN	000	NON-NSCC PARTIAL COMPUTER SHARE	<a href="#">Rejected</a>	REJ-Rejected	253	Non-NSCC	COMPUTER SHARE	0000000000	Systematic Action Taken by AMPS ACAT
52D000003	DOE JOHN	000	NON-NSCC FULL COMPUTER SHARE	<a href="#">Rejected</a>	REJ-Rejected	253	Non-NSCC	COMPUTER SHARE	0000000000	Systematic Action Taken by AMPS ACAT

#### Notes:

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

### Information on the IFA—Incoming Account Transfers Page

COLUMN	DESCRIPTION
Account #	Pershing account number
Short Name	Account short name

11. INCOMING AND OUTGOING ACCOUNT TRANSFER IFAS

COLUMN	DESCRIPTION
IP #	IP number of the IP servicing the account
Request Description	Description of the transfer request
Status	Status of the open item: <ul style="list-style-type: none"> <li>• Mutual fund transfers with a Booked status are displayed for seven calendar days.</li> <li>• Mutual fund transfers with a Deleted status are displayed for 14 calendar days.</li> <li>• Mutual fund transfers with a Rejected status are displayed for 60 calendar days.</li> <li>• ACAT, internal and non-ACAT transfers with a Complete status are displayed for seven calendar days.</li> <li>• Non-ACAT items with the fund account number populated with NONACAT are not displayed.</li> </ul>
Transfer Status	Status of the transfer. See <i>Transfer Status Values</i> on page 33
Status Days	Number of days the item has been assigned the current status
Transfer Type	<ul style="list-style-type: none"> <li>• NSCC</li> <li>• Non-NSCC</li> <li>• Mutual Fund</li> <li>• Internal</li> </ul>
Contra-Broker/Fund	Name of the delivering broker-dealer or mutual fund
Contra-Broker Account #	Account number on the contra-broker side
Reject Reason	Reason the transfer was rejected (if the transfer was rejected). See <i>Mutual Fund Reject Codes and Definitions</i> on page 34

## Filter IFAs

1. On the **IFA—Incoming Account Transfers** page, select the desired values for the **Transfer Type** and **Transfer Status** filters at the top of the page.

FILTER	OPTIONS
Transfer Type	<ul style="list-style-type: none"> <li>• All</li> <li>• Clean ups</li> <li>• DRS</li> <li>• Internal</li> <li>• NSCC</li> <li>• Non-NSCC</li> <li>• Reclaims</li> <li>• Residual</li> <li>• Reversals</li> <li>• MFTS</li> </ul>
Transfer Status	See <i>Transfer Status Values</i> on page 33

2. Click **Display**. The selected filters are applied to the list.

## Export IFAs to an Excel Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## View Incoming Account Transfer Detail

- In the **Status** column, click the link for the item you want to view in detail. The **IFA—Incoming Account Details** page displays the item.

**Note:** Positions and balances are not available for non-ACAT incoming transfers. For ACAT transfers, assets are available once the transfer status is **In Process**.

Incoming Account Transfer Details				Account Category: INDV					
Receiving Account #:		52D000000		Request:		Non-NSCC Transfer - Partial			
Request ID #:				Target Completion Time:		PER: NA IBD: NA			
Status Detail:		Accounts: Multiple Pending		<a href="#">View Audit Trail</a>					
Receiving Account Information									
Transfer Category:		Individual		Tax ID/SSN:		Tax ID/SSN 2:			
Delivering Firm Information									
Delivering Address:		Delivering Firm:		PUTNAM FUNDS					
Country:		Address:		UNITED STATES					
Attention:		City:							
Address:		State & Zip Code:							
Contact Name:		Contact Phone #:							
Fax #:		Contra Type:							
Transfer Type:		Direct Mutual Fund Transfer		Transfer Category:		Individual			
Follow-up									
Follow-up History									
Acct/Request Level Rule Violations									
Rule Description:		02833: PHYSICAL PAPERWORK REQUIRED							
		04211: DUPLICATE TRANSFER FOR RECEIVING ACCOUNT							
Comments:		OK SENDING							
NOTE: No actions (Edit/Delete/Print Instruction) are allowed on liquidated assets.									
Mutual Fund Assets									
Status	Moved Qty/Amt	Requested Qty/Amt	Security ID	Fund Acct #	Is Pershing/IBD broker dealer of record?	Dividend Option	Capital Gain Liq. Option	Estimated Liq. Value	Action
<b>Holdings</b>									
1 Instruction Submitted to Fund	0.0000		AI7469161051467982146	Yes	Cash	Cash	No		
			Security Description: PUTNAM MULTI-CAP GROWTH FUND CLASS A						
2 NSCC Transmission Submitted	0.0000	3244.0000	7467634083245816464	Yes	Cash	Cash	No		
			Security Description: PUTNAM INTERNATIONAL VALUE FUND CLASS M						

## Outgoing Account IFAs

Outgoing Account IFAs provide information on accounts you manage that are transferring out of Pershing via ACAT or internal transfer.

### View Outgoing Account Open Items

- From the **IFA Summary** page, click the number link in the **No. of Items** column in the **Outgoing Account Transfers** row.

Or

- Select **Outgoing Account Transfers** from the **Select** list at the top of the page.

The **IFA—Outgoing Account Transfers** page displays.

Account #	Short Name	IP #	Request Description	Status	Transfer Status	Status Days	Transfer Type	Contra-broker / Fund	Contra-broker Account#	Reject Reason
52D000000	DOE JOHN	000	NON-NSCC PARTIAL AMERICAN FUNDS	<a href="#">Pending Processing</a>	MPD-Multiple Pending	17	Non-NSCC	A COMPANY SECURITIES	000000	
52D000001	DOE JOHN	000	NON-NSCC PARTIAL	<a href="#">Rejected</a>	REJ-Rejected	5	Non-NSCC	A COMPANY SECURITIES	000001	
52D000002	DOE JOHN	000	NON-NSCC RESIDUAL M & TIPA	<a href="#">Hold</a>	REL-Released	31	Residual	A COMPANY SECURITIES	000002	

#### Notes:

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

### Information on the IFA—Outgoing Account Transfers Page

COLUMN	DESCRIPTION
Account #	Pershing account number
Short Name	Account short name
IP #	IP number of the IP servicing the account
Request Description	Description of the transfer request
Status	Current status of the open item
Transfer Status	Status of the transfer. See <i>Transfer Status Values</i> on page 33

COLUMN	DESCRIPTION
Status Days	The number of days the item has been assigned the current status
Contra-Broker/ Fund	Name of the receiving broker
Contra-Broker Account #	Account number on the contra-broker side
Reject Reason	Reason the transfer was rejected (if the transfer was rejected). See <i>Mutual Fund Reject Codes and Definitions</i> on page 34

### Filter IFAs

1. On the **IFA—Outgoing Account Transfers** page, select the desired values for the **Transfer Type** and **Transfer Status** filters at the top of the page.

FILTER	OPTIONS
Transfer Type	<ul style="list-style-type: none"> <li>• All</li> <li>• Clean ups</li> <li>• DRS</li> <li>• Internal</li> <li>• NSCC</li> <li>• Non-NSCC</li> <li>• Reclaims</li> <li>• Residual</li> <li>• Reversals</li> <li>• MFTS</li> </ul>
Transfer Status	See <i>Transfer Status Values</i> on page 33

2. Click **Display**. The selected filters are applied to the list.

### Export IFAs to an Excel Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## View Outgoing Account Transfer Detail

- In the **Status** column, click the link for the item you want to view in detail. The **Outgoing Account Transfer Partial Details** page displays the item.

**NETX360 Pop-Up Browser**

**Outgoing Account Transfer Partial Details**

Delivering Acct #: 52D000000 Acct Category: INDV  
Tax ID/SSN: 000-00-0000

Receiving Acct #: 1235698

Receiving Broker #: 0000 Name: A COMPANY SEC Type: Direct Mutual Fund Company

Balance for Account # 52D000000 As of 01/29/2010 08:56am EST

**Funds Available**

Cash Available (Cash):	\$ 0.00	Cash Mgmt Available:	\$5,791,156.13
Cash Available (Margin):	\$0.00	Pending Withdrawals:	(\$269,149.71)
Overall Cash Available:	\$0.00	Funds Available To Withdraw:	\$0.00

Request ID #: 000000000000  
Status: Multiple Pending [View Audit Trail](#)

**Account/Request Level Rule Violations**

Rule Description	Violation Type
No Violations	

Comments:

**Delivering Account Information**

Account #:	52D000000
Account Category:	INDV
Transfer Reason:	
Transfer Category:	Individual
Release Date:	01/29/2010
Release Date Comments:	

For IBD use only.

## Transfer Status Values

These status values apply to both incoming and outgoing transfers.

CODE	OPERATIONAL DESCRIPTION	IFA DESCRIPTION	TRANSFER TYPE
CLS	Closed	Completed	ACAT, Non-ACAT, CIT (Internal)
FWD	Forward	Forward	Non-ACAT
INT	Initiate	Pending	CIT (Internal)
MEM	Memo Closed	Rejected	Non-ACAT
MGN	Intraday Margin Check Fail	Margin Review	ACAT
NEW	New	In Process	CIT (Internal)
NRL	Not Released	Pending Paperwork	ACAT, Non-ACAT
PAP	Pending Approval	Rejected	Non-ACAT

CODE	OPERATIONAL DESCRIPTION	IFA DESCRIPTION	TRANSFER TYPE
PER	Pershing Purged	Rejected	
PND	Pending	In Process	CIT (Internal)
RAP	Request Adjust Past	Pending	ACAT
REJ	Rejected	Rejected	ACAT, Non-ACAT
REL	Released	In Process	ACAT
REQ	Request	Pending	ACAT
RER	Review Error	Progress	ACAT
REV	Review	Review	ACAT
ROV	In Violation Accepted by Margin	Review Override	ACAT
RQA	Request Adjust	Pending	ACAT
RQP	Request Past	Pending	ACAT
RQR	Requested Rejected	Pending	ACAT
RVA	Review Adjust	Review Adjust	ACAT
RVX	Review Accelerated	In Process	ACAT
SET	Settling	In Process	ACAT, CIT (Internal)
TEJ	Request Rejected	Pending	ACAT
TQR	Request Reject	Pending	ACAT
VAL	Validate	In Process	ACAT, CIT (Internal)
VIO	In Violation of Full Margin Check	Margin Reject	ACAT

## Mutual Fund Reject Codes and Definitions

MFTS CODE	IFA REJECT MESSAGE	EXPLANATION
05	Fund CUSIP Number Missing	Transfer requested with wrong CUSIP. From account entered does not exist at the fund under this CUSIP.
09	LIO Escrow Field Missing	From account is restricted due to an outstanding LOI. Position is unable to transfer until client meets obligations with fund.

MFTS CODE	IFA REJECT MESSAGE	EXPLANATION
FA	Level Does Not Match Xfer To	The from account number provided is a brokerage account and not held in the client's name.
FB	Invalid Broker Identification	IBD initiates the transfer and states that it is broker-dealer on the from account when it is not.
FC	Invalid Fund Account Number	The from account number provided is not valid.
FD	Debit Account Restricted	Debit account is restricted at fund for any various reasons such as a block or stop on the client's account.
FG	Transaction Invalid for This	Transfer cannot be completed for a miscellaneous reason.
FH	Invalid Book/Physical	The from account has certificates issued to the client and are outstanding. Position cannot be transferred until fund receives certificates.
FJ	Insufficient Debt Account	The from account has a zero balance or less than the client requested for a partial transfer.
FM	Invalid Account Number	The from account number provided is not valid.
FN	Closed Account	The from account is closed due to a transfer, sell, or exchange.
FO	Invalid Broker of Record	Neither Pershing nor the IBD is listed as broker-dealer on the from account.
FP	Insufficient Shares Due to Held	Fund requires a minimum balance to transfer or open a new account. The pending transfer does not meet the minimum.

## Time Frames for Account Transfers

The tables below describe the length of time it may take to transfer an account according to the National Securities Clearing Corporation's (NSCC) account transfer system, while also providing the status and number of days an account remains in that particular status.

**Note:** When Pershing is acting as the receiving firm, the time frames do not reflect the number of days the account spends in either a Pending or In Process status.

## Account Transfer

The time frame for the completion of an account transfer is approximately seven business days.

STATUS	DAYS	DESCRIPTION
Pending	3 (outgoing) 10 (incoming)	The transfer request has been transmitted from the receiving firm and processed by the NSCC. The account will be validated within three business days.
In Process	2	Asset detail is available online.
In Process	1	The transfer is locked. No rejects or adjustments can be made.
Complete	1	Assets transferred to Pershing.

## Accelerated Account Transfer

Pershing will accelerate all incoming transfers with no debits, shorts, or options in the account. This can save up to two days in transfer time.

STATUS	DAYS	DESCRIPTION
Pending	3 (outgoing) 10 (incoming)	The transfer request has been transmitted from the receiving firm and processed by the NSCC. The account will be validated within three business days.
In Process	1	Asset detail is available online.
In Process	1	The transfer is locked. No rejects or adjustments can be made.
Complete	1	Assets transferred to Pershing.

## 12. Insufficient Funds for Periodic Distribution IFAs

Insufficient Funds for Periodic Distribution IFAs notify you about future systematic and periodic distributions (pay principal) for retail and retirement accounts, as well as required minimum distributions for retirement accounts, that will not have sufficient funds to meet pre-set distribution amounts.

### View Insufficient Funds for Periodic Distributions IFAs

- From the **IFA Summary** page, click the number link in the **No. of Items** column in the **Insufficient Funds for Periodic Distributions** row.

Or

- Select **Insufficient Funds for Periodic Distributions** from the **Select** list at the top of the page.

The **IFA—Insufficient Funds for Periodic Distributions** page displays.

IFA - Insufficient Funds for Periodic Distributions									
All data as of :04/20/2013									
Account Type									
Retail									
Display									
ExportToExcel									
Back									
Short Name	Account Number	Account Type	IP #	Scheduled Payment Date	Scheduled Payment Amount	Projected Cash Available	Distribution Type	Deficit	Systematic Sell Indicator
DOE JOHN	<a href="#">52D000000</a>	RETAIL	000	<a href="#">05/01/2013</a>	=1,000.00	=0.00	PAY PRINCIPAL	=1,000.00	<a href="#">Y</a>
DOE JOHN	<a href="#">52D000001</a>	RETAIL	000	<a href="#">04/29/2013</a>	=100.00	=0.00	PAY PRINCIPAL	=100.00	<a href="#">Y</a>
DOE JOHN	<a href="#">52D000002</a>	RETAIL	000	<a href="#">05/03/2013</a>	=2,000.00	=0.00	PAY PRINCIPAL	=2,000.00	<a href="#">Y</a>

#### Notes:

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

### Information on the IFA—Insufficient Funds for Periodic Distributions Page

COLUMN	DESCRIPTION
Short Name	Account short name
Account Number	Pershing account number
Account Type	Account type (Retail or Retirement)
IP #	IP number of the IP servicing the account

COLUMN	DESCRIPTION
Scheduled Payment Date	Date payment is scheduled
Schedule Payment Amount	Dollar amount scheduled for payment
Projected Cash Available	Projected cash available in this account
Distribution Type	Distribution type (Principal or RMD)
Deficit	Dollar amount of calculated deficit (Scheduled Payment Amount minus Projected Cash Available)
Systematic Sell Indicator	<ul style="list-style-type: none"> <li>• Yes—There is a mutual fund sale linked to the account</li> <li>• No—There is no mutual fund sale linked to the account</li> </ul>

### Filter IFAs

1. On the **IFA—Insufficient Funds for Periodic Distributions** page, select the desired value for the **Account Type** filter at the top of the page:
  - o Retail
  - o Retirement
  - o Both
2. Click **Display**. The selected filter is applied to the list.

### Export IFAs to an Excel Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## 13. IRA Participant Contributions

IRA Participant Contribution IFAs provide information on accounts that have not maximized their IRA contributions for the current and prior tax years.

The IRA Contributions function enables you to:

- View a list of retirement accounts that have not maximized contributions for the current and prior tax year.
- View plan types including IRA, Simplified Employee Pension Plan (SEP), Salary Reduction Simplified Employee Pension Plan (SARSEP), Prototype SEP, Roth IRA, Roth Conversion, and Educational Savings Account (ESA).
- Display a list of retirement accounts with the same primary account holder's Taxpayer Identification number (TIN).
- Change the status of an account.

### View IRA Participant Contribution IFAs

- From the **IFA Summary** page, click the number link in the **# of Items** column in the **IRA Participant Contributions** row.
- Or
- Select **IRA Participant Contributions** from the **Select** list at the top of the page.

The **IFA—IRA Participant Contributions** page displays.

Short Name	Account Number	IP #	Plan Type	Account Type	Phone Number	Prior Year Contribution	Prior Year Maximum	Prior Year Status	Current Year Contribution	Current Year Maximum	Current Year Status
DOE JOHN	52000000	000	ROTH IRA	PARTICIPANT		0.00	5,000.00	Not Met	0.00	5,500.00	Not Met
DOE JOHN	52000001	000	IRA	ROLLOVER		0.00	5,000.00	Not Met	0.00	5,500.00	Not Met
DOE JOHN	52000002	000	IRA	PARTICIPANT		0.00	5,000.00	Not Met	0.00	5,500.00	Not Met

#### Notes:

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

## Information on the IFA—IRA Participant Contributions Page

COLUMN	DESCRIPTION
Short Name	Account short name
Account Number	Pershing account number <b>Note:</b> Accounts that are set up for a scheduled ACH Participant Contribution are identified with an asterisk
IP #	IP number of the IP servicing the account
Plan Type	Type of IRA account (IRA, Roth, SEP, etc.)
Account Type	Account type (Rollover, Participant, etc.)
Phone Number	Account holder's primary phone number
Prior Year Contribution	Prior year participant contribution amount <b>Note:</b> The maximum allowable participant contribution amount is the maximum amount that can be contributed according to IRS regulations, but it is not necessarily the maximum amount that client can contribute.
Prior Year Maximum	Maximum allowable contribution amount
Prior Year Status	Account status
Current Year Contribution	Current year participant contribution amount <b>Note:</b> The maximum allowable participant contribution amount is the maximum amount that can be contributed according to IRS regulations, but it is not necessarily the maximum amount the client can contribute.
Current Year Maximum	Maximum allowable contribution amount
Current Year Status	Account status

### Sort IFAs

1. On the **IFA—IRA Participant Contributions** page, select the column to sort by from the **Sort By** field.
2. Select **Ascending** or **Descending** in the **Sort Order** field.
3. Click **Display**. The list of IFAs is sorted per your selections.

## Filter IFAs

1. On the **IFA—IRA Participant Contributions** page, select the desired value for the **Status** filter at the top of the page:
  - o Not Met
  - o All
  - o Externally Met
  - o Internally Met
  - o Client Deferred
2. Click **Display**. The selected filter is applied to the list.

## Export IFAs to an Excel Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## Change the Status of an Account

1. In the **Account** column, click the link for the account for which you want to change the status. The **Individual Retirement Account—Contributions Details** page displays.

Individual Retirement Account - Contributions Details

Select IRA Contribution Status

You can change the IRA contribution status for prior/current year for this account and other related retirement accounts.

Prior Year - Account: 52000000 Status: Not Met      Current Year - Account: 52000000 Status: Not Met

\* Indicates account has automatic ACH setup

Submit Status Change(s)      Close

**Account Details**

Account Number:	52000000	Short Name:	DOEJANE
Plan Type:	IRA	Account Type:	ROLLOVER
Phone Number:	000-000-0000	Account Open Date:	04/15/2013
IRA:	000		
Current Year Contributions:	=0	Current Year Max. Contributions:	=6,500
Prior Year Contribution:	=0	Prior Year Max. Contributions:	=6,000

**Non-Retirement Account Details**

Account Number	Short Name	Account Name	Funds Available	Action
52000000	DOEJANE	JANE DOE	<a href="#">Get Funds Available</a>	<a href="#">Journal Transfer From This Acct</a>

2. In the **Prior Year—Account Status** list, select one of the following:
  - o **Client Deferred**—The client has determined not to make a contribution at this time.
  - o **Externally Met**—The contribution was satisfied in a retirement account with another IBD.
  - o **Internally Met**—The contribution was satisfied in another Pershing retirement account.
  - o **Not Met**—The contribution was not met.
  - o **In the Current Year**—Account Status list, select one of the available options as described above.
3. Click **Submit Status Change(s)**. The system processes the change.
4. (Optional step) In the **Funds Available** column, click the **Get Funds Available** link to view available funds for an account.
5. (Optional step) In the **Action** column, click **Journal Transfer From This Acct** to initiate a journal contribution for a non-retirement account.

**Note:** You must have the appropriate entitlements to use this feature.

6. Click **Close**.

## 14. Mandatory Offer IFAs

Mandatory Offer IFAs notify you about mandatory reorganization offers that have been issued for your client accounts. This function displays all mandatory reorganization announcements for securities in which your clients have positions. However, in Mandatory Offers (unlike Voluntary Offers) you can only view announcements.

If there is any action that may require action for an event that is not considered a Voluntary Offer, it is posted in the Voluntary Offer IFAs under the offer type **Miscellaneous**. Click **Miscellaneous** for details on the offer.

### View Mandatory Offer IFAs

- From the **IFA Summary** page, click the number link in the **No. of Items** column in the **Mandatory Offers** row.

Or

- Select **Mandatory Offers** from the Select list at the top of the page.

The **IFA—Mandatory Offer Summary** page displays.

Select: Mandatory Offers

**IFA - Mandatory Offer Summary** All data as of: 05/13/2015

From Date:  To Date:  Symbol/Cusip:  Filter Option: All with Positions

Sort By: Grouping Sort Order: Ascending

Description	Symbol	Offer	Critical Date	Positions
<b>Full Call</b>				
ABAG FIN AUTH FOR	00037CLW8	<a href="#">FULL CALL</a>		<a href="#">Positions</a>
ADVISORS DISCIPLINED	007582745	<a href="#">FULL CALL</a>	09/10/2015	<a href="#">Positions</a>
ADVISORS DISCIPLINED	00765V601	<a href="#">FULL CALL</a>	05/21/2015	<a href="#">Positions</a>
ADVISORS DISCIPLINED	007582760	<a href="#">FULL CALL</a>	09/10/2015	<a href="#">Positions</a>
ALABAMA ST BRD ED	0104875X0	<a href="#">FULL CALL</a>	09/15/2015	<a href="#">Positions</a>
ALBANY CNTY N Y SER	012122Z26	<a href="#">FULL CALL</a>		<a href="#">Positions</a>
AMBRIDGE PA AREA SCH	023362JM9	<a href="#">FULL CALL</a>		<a href="#">Positions</a>
<b>Maturity</b>				
ABAG FIN AUTH FOR	000369EH7	<a href="#">MATURITY</a>	05/15/2015	<a href="#">Positions</a>
<b>Description</b>				
ABINGTON PA SCH DIST	003554ZS4	<a href="#">MATURITY</a>	05/15/2015	<a href="#">Positions</a>
ANNE ARUNDEL CNTY MD	03588EXZ1	<a href="#">MATURITY</a>	10/04/2015	<a href="#">Positions</a>
BERKLEY W R CORP SR	WRB.AE	<a href="#">MATURITY</a>	05/15/2015	<a href="#">Positions</a>
DONNELLEY R R & SONS	RRD3667502	<a href="#">MATURITY</a>	05/15/2015	<a href="#">Positions</a>
<b>Partial Call Offers</b>				
ABAG FIN AUTH FOR	00037CHZ6	<a href="#">PARTIAL CALL</a>	08/04/2015	<a href="#">Positions</a>
ABAG FIN AUTH FOR	00037CGP9	<a href="#">PARTIAL CALL</a>	09/17/2015	<a href="#">Positions</a>
ALABAMA HSG FIN AUTH	01030RES7	<a href="#">PARTIAL CALL</a>	08/04/2015	<a href="#">Positions</a>
ALLEGHENY CNTY PA	0173503J6	<a href="#">PARTIAL CALL</a>	09/03/2015	<a href="#">Positions</a>
CENTRAL GARDEN & PET	CENT.GE	<a href="#">PARTIAL CALL</a>	07/04/2015	<a href="#">Positions</a>

**Notes:**

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click the **Next** button to view the next page, or the **Prev** button to view the previous page.

**Information on the IFA—Mandatory Offer Summary Page**

COLUMN	DESCRIPTION
Description	Description of the security involved in the offer
Symbol	Symbol or CUSIP of the security involved in the offer
Offer	Type of offer being presented Click the link to view a brief description of the offer See <i>Offer Codes</i> on page 84.
Critical Date	Effective date of the offer
Positions	Click the <b>Positions</b> link to view all client positions that are affected by the offer

**Sort IFAs**

1. On the **IFA—Mandatory Offer Summary** page, select the column to sort by from the **Sort By** field.
2. Select **Ascending** or **Descending** in the **Sort Order** field.
3. Click **Display**. The list of IFAs is sorted per your selections.

**Filter IFAs**

1. On the **IFA—Mandatory Offer Summary** page, select the desired values for the filters at the top of the page.

FILTER	OPTIONS
From Date and To Date	Start and end dates for the time range (critical dates) for which you want to view mandatory offers
Symbol/ CUSIP	Symbol or CUSIP for which you want to view mandatory offers

FILTER	OPTIONS
Filter Option	<ul style="list-style-type: none"> <li>• All with Positions—View all active announcements where clients have positions(s). This is the default option.</li> <li>• Proposed Mandatory—View all proposed mandatory offers. Usually pertains to proposed reverse splits.</li> <li>• Proposed Mandatory with Positions—View all proposed mandatory offers where clients have positions. Usually pertains to proposed reverse splits.</li> <li>• Effective Mandatory—View all effective mandatory offers.</li> <li>• Effective Mandatory with Positions—View all effective mandatory offers where clients have positions.</li> <li>• Full Call—View all full call securities.</li> <li>• Full Call with Positions—View all full call securities where clients have positions.</li> <li>• Maturity—View all securities that are maturing.</li> <li>• Maturity with Positions—View all securities that are maturing where clients have positions.</li> <li>• Partial Call—View all partial call mandatory offers.</li> <li>• Partial Call with Positions—View all partial call mandatory offers where clients have positions.</li> <li>• Partial Call with Called Positions—View partial call mandatory offers for called positions (positions impacted upon completion of the lottery process).</li> <li>• All items paid today—View all announcements that are being allocated today.</li> <li>• All items paid today with positions—View all announcements that are being allocated today where clients have positions.</li> </ul> <p><b>Note:</b> If the <b>Sort By</b> list indicates <b>Grouping</b>, the <b>Filter Option</b> will not function if you select any filter option other than <b>All with Positions</b>.</p>

2. Click **Display**. The selected filters are applied to the list.

## View Client Positions Affected by an Offer

- In the **Positions** column of the selected offer row, click the link. The **IFA—Mandatory Offer Positions** page displays for the offer.

Select: Mandatory Offers

**IFA - Mandatory Offer Positions** All data as of: 05/13/2015

Sort By: Account      Sort Order: Ascending           

**HIGH PLAINS MET DIST** **PARTIAL CALL**      42970RAA6

Short Name	Account	Type	IP#	Currency Held	S/D Qty	Called Qty	Total Qty
DOEJOHN	52D000000	CASH	000	USD	3,000,000	5,000	3,000,000
DOEJOHN	52D000001	MARGIN	000	USD	2,000,000	5,000	2,000,000
DOEJOHN	52D000002	MARGIN	000	USD	5,000		5,000

### Information on the IFA—Mandatory Offer Positions Page

COLUMN	DESCRIPTION
Short Name	Account short name
Account	Pershing account number
Type	Position type in which the client holds the security
IP#	IP number of the IP servicing the account
Currency Held	Currency in which the bond or security pays (USD or non-USD)
S/D Qty	Settlement date quantity
Called Qty	<p><b>Call Quantity</b> will be displayed as this column's heading when the item is a Partial Call. The column then indicates the amount in which the account will be credited</p> <p><b>Called Quantity</b> will be displayed as this column's heading when the item is either a <b>Partial Call with Positions</b> or a <b>Partial Call with Called Positions</b>. Only securities with accounts holding assigned/called positions will appear. Click the <b>Positions</b> link to view only the account impacted by the lottery</p>
Total Qty	Total quantity on which the client will be paid for mandatory reorganization and full call/maturity items

### Export Data to an Excel Spreadsheet

- Click **Export to Excel** to export the currently displayed information to Excel.

## 15. Margin Details IFAs

Margin Details IFAs notify you of margin exceptions in your clients' accounts.

### View Margin Details IFAs

- From the **IFA Summary** page, click the link in the **No. of Items** column in the **Margin Details** row.

Or

- Select **Margin Details** from the **Select** list at the top of the page.

The **IFA—Margin Details** page displays.

IFA - Margin Details												
All data as of: 05/21/2015												
Sort By	Sort Order		Category		View						Display	ExportToExcel
Account	Ascending		All		Current						Display	ExportToExcel
Additional information or open item amount changes may have been added to the margin notification. Please click on each hyperlink below to view the full text of the administrative wire.												
Back												
Short Name	Account	IP#	Category	Type	Open Item Date	Currency Code	Value	USDE	Cusip/Symbol	Quantity	Recommended Action	Due Date
DOE JOHN	52D000000	000	<a href="#">CASH DUE</a>	MARKET ACTION REQUIRED	09/27/2013	USD	15,079.00	15,079.00			SELL OUT	05/13/2015
DOE JOHN	52D000001	000	<a href="#">CASH DUE</a>	BOOKKEEPING CASH DUE	10/02/2013	USD	692.43	692.43			COLLECT	
DOE JOHN	52D000002	000	<a href="#">CASH DUE</a>	REGULAR WAY	09/30/2013	USD	159,100.75	159,100.75			FILE FIRST EXTENSION	05/21/2015

#### Notes:

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

### Information on the IFA—Margin Details Page

COLUMN	DESCRIPTION
Short Name	Account short name
Account	Pershing account number
IP #	IP number of the IP servicing the account
Category	<ul style="list-style-type: none"> <li>Cash Due</li> <li>Stock Due</li> <li>Margin Call</li> <li>Message</li> <li>Restricted Transaction</li> </ul>
Type	Cause of the exception
Open Item Date	Date the exception was created

COLUMN	DESCRIPTION
Currency Code	Code of the currency for the transaction
Value	Value of the transaction
USDE	U.S. dollar equivalent for the exception (amount owed)
CUSIP/Symbol	Symbol or CUSIP of the security for the transaction
Quantity	Quantity of the security for the transaction
Recommended Action	Suggested action for this exception. All acceptable actions are available to be selected
Due Date	Date the funds or securities are due

### Sort IFAs

1. On the **IFA—Margin Details** page, select the column to sort by from the **Sort By** field.
2. Select **Ascending** or **Descending** in the **Sort Order** field.
3. Click **Display**. The list of IFAs is sorted per your selections.

### Filter IFAs

1. On the **IFA—Margin Details** page, select the desired values for the **Category** and **View** filters at the top of the page:

FILTER	OPTIONS
Category	<ul style="list-style-type: none"> <li>• All</li> <li>• Margin Call</li> <li>• Cash Due</li> <li>• Stock Due</li> <li>• Restricted Transactions</li> <li>• Messages</li> </ul>
View	<ul style="list-style-type: none"> <li>• Current</li> <li>• Historical</li> </ul>

2. Click **Display**. The selected filters are applied to the list.

### Download IFAs to a Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## View Margin IFA Detail

- In the **Recommended Action** column, click the link for the item you want to view in detail. The **Margin Detail** page displays for the item.

**Enter Margin Instruction**

**Margin Detail**

**Enter Instruction**

Instruction: FUNDS RECEIVED Reason: \* <Select One>

RR CRD #:

Branch CRD #:

Comments:

\* Required when 'File Extension' is selected.

Submit Cancel

As of Date: 08/01/2013

Margin Details			
Account #:	52D000000	Value:	10,002.00
Short Name:	DOE JOHN	Currency Code:	USD
IP #:	000	USDE:	10,002.00
IP Name:	FIRM ACCOU	Quantity:	
Category:	CASH DUE	CUSIP/Symbol:	
Type:	REGULAR WAY	Recomm. Action:	SELL OUT
Open Item Date:	07/11/2013	Requested Action:	
Due Date:	07/18/2013	NYSE Reason:	
RR CRD #:		Branch CRD #:	
Comments:			

THE FOLLOWING ACCOUNT(S) HAVE HAD TRANSACTIONS PROCESSED WHICH HAVE RESULTED IN FUNDS / STOCK DUE CONDITIONS. PLEASE TAKE THE APPROPRIATE ACTION AND ADVISE YOUR MARGIN ASSOCIATE ACCORDINGLY. IN THE EVENT A REGULATION T EXTENSION IS REQUESTED, THE SPECIFIC REASON MUST BE INDICATED.  
 ACCOUNT NUMBER: 52D000000 ACCOUNT TYPE : 1 AE # : 000  
 OPEN ITEM TYPE : REGULAR WAY  
 AMOUNT : 10,002 USD  
 RECOMMENDED ACTION : SELL OUT

## Respond to a Margin Item for Attention

Margin Details IFAs require a response to Pershing's Margin department with instructions for completing the transaction. The available actions vary by transaction. The **IFA—Margin Details** page displays the recommended action for each transaction. However, you can select any of the available actions when responding to the IFA.

## Respond to a Margin Item for Attention

1. In the NetX360 search field, enter **all accounts**. Matching search results display.
2. In the **Go To** section of the search results, select **All IFAs (All Accounts - IFA)**. The **IFA Summary** displays.

3. From the **IFA Summary** page, click the link in the **No. of Items** column in the **Margin Details** row. The **IFA—Margin Details** page displays.
4. If desired, sort or filter the list of Margin Details IFAs to locate the desired IFA.
5. Click the link in the **Recommended Action** column for the IFA to which you want to respond. The **Margin Detail** window displays.
6. Populate the fields on this window as follows. Required fields are marked with an asterisk (\*).

FIELD	ENTER OR SELECT
Instruction*	Desired option from the list of available actions  If you select <b>File Extension, Reason, RR CRD #</b> and <b>Branch CRD #</b> fields are required
Reason	If this field is available, select the appropriate reason  This field is required only if you selected <b>File Extension</b> in the <b>Instruction</b> field
RR CRD #	Investment professional's Central Registration Depository number  This field is required only if you selected <b>File Extension</b> in the <b>Instruction</b> field.
Branch CRD #	Office's Central Registration Depository number  This field is required only if you selected <b>File Extension</b> in the <b>Instruction</b> field
Comments	Desired comments  This field is required only if you selected <b>Other</b> in the <b>Instruction</b> field

7. Click **Submit**. Your response is sent to Pershing's Margin department. A confirmation page displays.
8. Click **Close**.

## Related Reports

REPORT ID	REPORT NAME
IFA142D0	IFA Margin Response Audit Trail Report
IFA141D0	IFA Margin Response Terminated Items Audit Trail Report

## Available Actions for Margin Items for Attention (IFA)

**Note:**

- Pershing sends out mailgrams and executes Buy-ins/Sell-outs if responses are not received.
- Pershing charges 90-day restrictions on accounts that buy and cancel trades without payment unless notified by your firm of an error or a cancel of a new issue prior to the extension date.

The table below provides descriptions of the available actions and applicable deadlines for responding to margin IFAs. See *Respond to a Margin Item for Attention* on page 49.

Actions are listed in alphabetical order.

ACTION	DESCRIPTION	DEADLINE
Buy-In	Securities are bought in. A buy-in is a buy trade initiated when the client has not delivered securities within the time prescribed by the SEC.	2 p.m. (ET)
Buy-In/IRA	Securities are bought in when in an IRA.	2 p.m. (ET)
Cancel Trade	The trade causing the open item is canceled.	3 p.m. (ET)
Collect	The open item is reviewed for resolution.	
Collect - As Of Trade	The open item is reviewed for resolution. An "As Of Trade" is a trade processed with an "as of" date.	3 p.m. (ET)
Collect - Exempt Trade	The open item is reviewed for resolution.	
Collect - Information Only	The open item is reviewed for resolution.	
Collect - Info Only - Exempt	The open item is reviewed for resolution.	
Collect to Lift Restriction	The open item is reviewed for resolution.	
Deficit Buy-In	Securities are bought in for an account which has deficit equity on the stock due date.	

15. MARGIN DETAILS IFAS

ACTION	DESCRIPTION	DEADLINE
Deficit Sell-Out	<p>Securities are sold out (see Sell-Out below) of the account, which has deficit equity on the extension due date.</p> <p><b>Note:</b> Pershing does not recommend that accounts with deficit equity go on extension. However, an extension can be granted in certain circumstances. An Operations Manager must make this request.</p>	<p>2 p.m. (ET)</p> <p><b>Note:</b> Pending review, these items may be eligible for an extension.</p>
File First Extension	<p>A response must be made on this item, as a failure to respond will result in a Market Action. The response must include a valid reason and a CRD Number or a reason that the extension is not being requested.</p> <p>An extension is additional time requested by the client to meet a commitment. Pershing will not file an extension unless your firm requests it and includes a reason.</p>	<p>3 p.m. (ET)</p>
File Second Extension	<p>A response must be made on this item, as a failure to respond will result in a Market Action. The response must include a valid reason and a CRD Number or a reason the extension is not being requested.</p> <p>Second extensions are granted for an additional two business days.</p> <p>Pershing charges 90-day restrictions on accounts that liquidate to satisfy a cash due while on a second extension.</p>	
Liquidate Money Market Fund	<p>Money market fund is liquidated to cover house or exchange call.</p>	
Margin Review/Aged Legal Position	<p>Aged position in legal. Need documentation as displayed on the Pershing Custody Administration System (PCAS).</p>	
None	<p>The open item is reviewed for resolution.</p>	
Obtain Margin Papers	<p>Need required margin agreement.</p>	
Obtain Paperwork to Clear Restricted Stock	<p>Restricted stock sale. Need required legal documentation.</p>	
Review	<p>The open item is reviewed for resolution.</p>	

15. MARGIN DETAILS IFAS

ACTION	DESCRIPTION	DEADLINE
Review - As of Trade	<p>The open item is reviewed for resolution.</p> <p>An <i>As Of Trade</i> is a trade processed with an <i>as of</i> date.</p>	3 p.m. (ET)
Sell-Out	<p>Securities are sold out of the account.</p> <p>A sell-out is a liquidation initiated by the broker-dealer or Pershing when the client has not paid for a purchase within the allocated time.</p>	2 p.m. (ET)
Sell-Out /Exempt	Securities are sold out of an exempt account.	2 p.m. (ET)
Sell-Out/IRA	Securities are sold out of an IRA account.	2 p.m. (ET)
Send Mailgram	<p>A mailgram is sent.</p> <p>A mailgram is a notification sent to the client to deposit additional funds or deliver in securities to satisfy a debit balance, short position or margin call. Mailgrams will be sent unless a valid reason not to send is provided with the request.</p>	3 p.m. (ET)

## 16. Missing Account Opening Documentation IFAs

Missing Account Opening Documentation IFAs notify you about new accounts that are missing required documentation.

### View Missing Account Opening Documentation IFAs

- From the **IFA Summary** page, click the number link in the **No. of Items** column in the **Missing Account Opening Documentation** row.
- Or
- Select **Missing Account Opening Documentation** from the **Select** list at the top of the page.

The **IFA—Missing Account Opening Documentation** page displays.

The screenshot shows a web interface for viewing missing account opening documentation. At the top, there is a 'Select' dropdown menu set to 'Missing Account Opening Documentation'. Below this is a header 'IFA - Missing Account Opening Documentation'. Under the header, there are two dropdown menus: 'Account Status' set to 'Active Accounts' and 'Days Missing' set to '8-30 Days'. To the right of these are 'Display' and 'ExportToExcel' buttons. Below the filters are 'Back' and 'Next' buttons. The main content is a table with the following columns: Short Name, Account #, IP #, Account Category, Document Description, Days Missing, and Requesting Firm. The table contains three rows of data:

Short Name	Account #	IP #	Account Category	Document Description	Days Missing	Requesting Firm
DOE JOHN	<a href="#">52D000000</a>	000	INDIVIDUAL	**N/A**	025	PERSHING
DOE JOHN	<a href="#">52D000001</a>	000	INDIVIDUAL	US TAX FORM W9	030	PERSHING
DOE JOHN	<a href="#">52D000002</a>	000	JOINT	US TAX FORM W9	029	PERSHING

#### Notes:

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

### Information on the IFA—Missing Account Opening Documentation Page

COLUMN	DESCRIPTION
Short Name	Account short name
Account #	Pershing account number <b>Note:</b> Click the account number link to display Account Profile details
IP #	IP number of the IP servicing the account

COLUMN	DESCRIPTION
Account Category	Category of the account
Document Description	Description of the missing document
Days Missing	Number of days the document has been missing
Requesting Firm	Firm requesting the missing document, either Pershing or your firm

## Filter IFAs

1. On the **IFA—Missing Account Opening Documentation** page, select the desired values for the **Account Status** and **Days Missing** filters at the top of the page.

FILTER	OPTIONS
Account Status	<ul style="list-style-type: none"> <li>• Active Accounts</li> <li>• Closed Accounts</li> <li>• All Accounts</li> </ul>
Days Missing	<ul style="list-style-type: none"> <li>• 8-30 Days (default)</li> <li>• All</li> <li>• 1-7 Days</li> <li>• 31-90 Days</li> <li>• 91-120 Days</li> <li>• 121-360 Days</li> <li>• 361-998 Days</li> </ul> <p><b>Note:</b> Documents that are missing more than 998 days are not displayed.</p>

2. Click **Display**. The selected filters are applied to the list.

## Export IFAs to an Excel Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## 17. Options In The Money IFAs

Options In The Money IFAs notify you about accounts you manage that have option positions that are “in the money”—unexpired call positions where the price of the underlying security is greater than the strike price, or unexpired put positions where the underlying security is less than the strike price.

### View Options In The Money IFAs

- From the **IFA Summary** page, click the number link in the **No. of Items** column in the **Options In The Money** row.

Or

- Select **Options In The Money** from the **Select** list at the top of the page.

The **IFA—Options In The Money** page displays.

IFA - Options in the money										
Security Identifier	Expiration Date	Option Type	Sort By	Sort Order						
Symbol			All	Account	Ascending	Display ExportToExcel				
Back										
Short Name	Pershing Account	IP #	Option Symbol/Cusip	Expiration Date	Strike Price	Underlying Price	Call /Put	Quantity	Underlying Symbol/Cusip	Description
DOE JOHN	52D000000	000	GOOG 06222013 C 350.000	05/22/2013	350	799.87	CALL	10	GOOG	GOOGLE INC CL A
DOE JOHN	52D000001	000	MSFT 01192013 C 25.000	01/19/2013	25	29.75	CALL	20	MSFT	MICROSOFT CORPCOM__TEST
DOE JOHN	52D000002	000	AAPL 01192013 C 215.000	01/19/2013	215	390.53	CALL	10	AAPL	APPLE INC COM

#### Notes:

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

### Information on the IFA—Options In The Money Page

COLUMN	DESCRIPTION
Short Name	Account short name
Pershing Account	Pershing account number
IP #	IP number of the IP servicing the account
Option Symbol/CUSIP	Symbol or CUSIP of the option
Expiration Date	Date on which the option contract expires

COLUMN	DESCRIPTION
Strike Price	Stated price per share for which the underlying stock may be purchased (for a call) or sold (for a put) by the option holder upon exercise of the option contract
Underlying Price	Price of the security subject to being purchased or sold upon exercise of the option contract
Call/Put	Identifies whether the option contract is for a call or put
Quantity	Number of option contracts (long or short)
Underlying Symbol/CUSIP	Symbol or CUSIP of the security that is subject to being purchased or sold upon exercise of the option contract
Description	Brief description of the underlying security

### Sort IFAs

1. On the **IFA—Options In The Money** page, select the column to sort by from the **Sort By** field.
2. Select **Ascending** or **Descending** in the **Sort Order** field.
3. Click **Display**. The list of IFAs is sorted per your selections.

### Filter IFAs

1. On the **IFA—Options In The Money** page, select the desired values for the **Security Identifier**, **Expiration Date**, and **Option Type** filters at the top of the page.

FILTER	OPTIONS
Security Identifier	<ul style="list-style-type: none"> <li>• Symbol</li> <li>• CUSIP</li> </ul> After selecting an identifier, enter the symbol or CUSIP in the field to the right
Expiration Date	Option contract expiration date
Option Type	<ul style="list-style-type: none"> <li>• All</li> <li>• Call</li> <li>• Put</li> </ul>

2. Click **Display**. The selected filters are applied to the list.

### Export IFAs to an Excel Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## 18. Physical Securities Pending Documentation IFAs

Physical Securities Pending Documentation IFAs notify you about physical securities received that require additional documentation for negotiability (Pending Papers). If the requested documentation is not received in 30 business days, the physical certificates pending documentation will be returned to the IBD or address of record for the account holder.

For additional details on Pending Papers, see the *Pershing Custody Administrative System (PCAS) User Guide*.

### View Physical Securities Pending Documentation IFAs

- From the **IFA Summary** page, click the number link in the **No. of Items** column in the **Physical Securities Pending Documentation** row.

Or

- Select **Physical Securities Pending Documentation** from the **Select** list at the top of the page.

The **IFA—Physical Securities Pending Documentation** page displays.

Short Name	Account #	IP #	Symbol/Cusip	Description	Share Quantity	Days in Pending Status
DOE JOHN	52D000000	000	17275R102	CISCO SYSTEMS INC	100.00	2
DOE JOHN	52D000001	000	369604103	GENERAL ELECTRIC COCOM	600.00	3
DOE JOHN	42C000002	000	075896100	BED BATH & BEYOND INC COM	60.00	12
DOE JOHN	52D000003	000	24702R101	DELL INC COM	15.00	17

#### Notes:

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

### Information on the Physical Securities Pending Documentation Page

COLUMN	DESCRIPTION
Short Name	Account short name
Account #	Pershing account number

COLUMN	DESCRIPTION
IP #	IP number of the IP servicing the account
Symbol/CUSIP	Security symbol or CUSIP number
Description	Symbol/CUSIP description
Share Quantity	Quantity deposited
Days in Pending Status	Number of days that this security has been in pending documentation status

### Sort IFAs

1. On the **IFA—Physical Securities Pending Documentation** page, select the column to sort by from the **Sort By** field.
2. Select **Ascending** or **Descending** in the **Sort Order** field.
3. Click **Display**. The list of IFAs is sorted per your selections.

### Filter IFAs

1. On the **IFA—Physical Securities Pending Documentation** page, select the desired values for the filters at the top of the page.

FILTER	OPTIONS
Security Identifier	<ul style="list-style-type: none"> <li>• Symbol</li> <li>• CUSIP</li> </ul> After selecting an identifier, enter the symbol or CUSIP in the field to the right
Days in Pending Status	<ul style="list-style-type: none"> <li>• All</li> <li>• 1-30 Days</li> <li>• Greater than 30 Days</li> </ul>

2. Click **Display**. The selected filters are applied to the list.

### Export IFAs to an Excel Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## View Physical Securities Pending Documentation Detail

- In the **Account #** column, click the link for the item you want to view in detail. The **Physical Securities Pending Documentation—Details** page displays.

Physical Securities Pending Documentation - Details								
Account Details							As of Date:04/20/2013	
Account #:	52D000000		Short Name: DOE JOHN					
Account Registration:	JOHN DOE 1 MAIN STREET ANY TOWN, NJ 00000							
Physical Securities Pending Documentation - Status								
Symbol/CUSIP	Description	Certificate Registration	Document Name	Document Status	Days in Pending Status	Share Quantity	Comments	Last Update
CSCO	CISCO SYSTEMS INC	JOHN DOE	STOCK/BOND POWER	SENT	2	100	FAXING IN DOF 002	02/29/2012
GE	GENERAL ELECTRIC CO.	JOHN DOE	LETTER OF AUTHORIZATION	REQUIRED	2	600		04/25/2011
	COM							

## Information on the Physical Securities Pending Documentation—Details Page

COLUMN	DESCRIPTION
Account #	Pershing account number
Short Name	Account short name
Account Registration	Name and address of the account holder
Status Section	Shows the status for each physical security pending documentation
Symbol/CUSIP	Security's symbol or CUSIP number
Description	Security's description
Certificate Registration	Registered holder of the security
Document Name	Name of the document
Document Status	Status of the document: <ul style="list-style-type: none"> <li>Required—Document is required</li> <li>Sent—Document was sent</li> <li>Received—Document is received</li> </ul>
Days in Pending Status	Number of days the certificate has been held awaiting documentation
Share Quantity	Number of shares for this security
Comments	Comments related to each specific document
Last Update	Date the documentation was last updated

## 19. Positions Missing Cost Basis IFAs

Positions Missing Cost Basis IFAs notify you about accounts that have positions with missing tax lot information. This function identifies and displays all accounts that have positions that are unallocated or partially allocated. You can view the quantity that remains to be allocated for each position. The tax lot information displayed is current as of the close of the prior business day.

To resolve these items, enter cost basis as described in the *Enter Cost Basis* Task Reference.

### View Positions Missing Cost Basis IFAs

- From the **IFA Summary** page, click the number link in the **No. of Items** column in the **Positions Missing Cost Basis** row.

Or

- Select **Positions Missing Cost Basis** from the **Select** list at the top of the page.

The **IFA—Positions Missing Cost Basis** page displays.

Short Name	Pershing Account	IP #	No. of Positions
DOE JOHN	<a href="#">52D000000</a>	000	<a href="#">18</a>
DOE JOHN	<a href="#">52D000001</a>	000	<a href="#">1</a>
DOE JOHN	<a href="#">52D000002</a>	000	<a href="#">10</a>

#### Notes:

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

### Information on the IFA—Positions Missing Cost Basis Page

COLUMN	DESCRIPTION
Short Name	Account short name
Pershing Account	Pershing account number

COLUMN	DESCRIPTION
IP #	IP number of the IP servicing the account
No. of Positions	Number of positions in the account that are missing cost basis information. Click the link to view details

### Sort IFAs

1. On the **IFA—Positions Missing Cost Basis** page, select the column to sort by from the **Sort By** field.
2. Select **Ascending** or **Descending** in the **Sort Order** field.
3. Click **Display**. The list of IFAs is sorted per your selections.

### Export IFAs to an Excel Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## 20. Required Minimum Distribution IFAs

Required Minimum Distribution IFAs allow you to view and monitor required minimum distributions (RMDs) for retirement accounts. This feature enables you to:

- Access timely data—Data is updated daily.

**Note:** This feature is activated by mid-January each year.

- Retain detailed notes—You can save notes about your clients on the IFA screens to record which clients you contacted and what was discussed. You can flag an account if a client has satisfied an RMD from another retirement account.
- Monitor RMD status—IFA provides a quick way for you to determine which clients have not made an RMD.
- View important data for decision making.
- Manage data—You can sort, print and export data to an Excel spreadsheet.

**Note:** This feature does not apply to all retirement accounts. For example, Omnibus accounts types and accounts that are not inherited (where the owner has not met the required minimum age) will not appear on the **IFA—Required Minimum Distribution** page.

For inherited accounts, RMD calculations are performed **only if** the following fields in Account Services are completed:

- Beneficiary Date of Birth for RMD Calculation
- Account Holder Relationship to Decedent
- Decedent's Date of Birth
- Decedent's Date of Death

### View Required Minimum Distribution IFAs

- From the **IFA Summary** page, click the number link in the **No. of Items** column in the **Required Minimum Distributions** row.

Or

- Select **Required Minimum Distributions** from the **Select** list at the top of the page.

The **IFA—Required Minimum Distributions** page displays.

Select: Required Minimum Distribution

**IFA - Required Minimum Distribution**

Status: NotMet Type of Account: ALL Sort By: Account Sort Order: Ascending Display ExportToExcel

We strongly suggest that the client verify his/her RMD amount with a tax professional, as there may be other pertinent information that could impact the RMD amount.

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Short Name	Account #	IP #	Multiple Retirement Accounts	Age at Year-End	Prior Year Fair Market Value	Current Year RMD	Year to Date Distribution	Remaining RMD	Available Cash	Status	New to RMD Listing	Calculation Factor	Inherited
DOE JANE	<a href="#">521000010</a>	000	N	43	0.00	0.00	0.00	0.00	7,921.78	NOT MET	Y	0.00	Yes

Back

**Notes:**

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

**Information on the IFA—Required Minimum Distributions Page**

COLUMN	DESCRIPTION
Short Name	Account short name
Account #	Pershing account number Click the account number link to access the Required Minimum Distribution text entry page
IP #	IP number of the IP servicing the account
Multiple Retirement Accounts	<ul style="list-style-type: none"> <li>• Yes—Account has multiple retirement accounts that meet requirements for an RMD calculation</li> <li>• No—Account does not have multiple retirement accounts that meet requirements for an RMD calculation</li> </ul>
Age at Year-End	Account holder’s age at the end of the current year
Prior Year Fair Market Value	Account’s fair market value for the previous year-end
Current Year RMD	Required minimum distribution for the current year
Year to Date Distribution	Dollar amount of any required minimum distributions made to date
Remaining RMD	Dollar amount of any remaining required minimum distribution yet to be made
Available Cash	Dollar amount of cash available in the account

COLUMN	DESCRIPTION
Status	<p>Current status of the account:</p> <ul style="list-style-type: none"> <li>• Met—Required minimum distribution has been met for this account for the current year.</li> <li>• Not Met—(Default) Required minimum distribution has not been met for this account for the current year</li> <li>• Manually Met—Required minimum distribution for this account was met outside of the account</li> </ul> <p>Click the link in this column to view detail.</p> <p>You can update status for <b>Not Met</b> or <b>Manually Met</b> (see <i>Update Status for Required Minimum Distributions</i> on page 68)</p>
New to RMD Listing	<ul style="list-style-type: none"> <li>• Yes—Account has recently been added to the required minimum distribution listing after initial RMD processing by Pershing</li> <li>• No—Account was part of the requirement minimum distribution listing when the year started</li> </ul>
Calculation Factor	RMD factor determined by using the IRS Life Expectancy Tables
Inherited	<ul style="list-style-type: none"> <li>• Yes—Account is inherited</li> <li>• No—Account is not inherited</li> </ul>

### Sort IFAs

1. On the **IFA—Required Minimum Distribution** page, select the column to sort by from the **Sort By** field.
2. Select **Ascending** or **Descending** in the **Sort Order** field.
3. Click **Display**. The list of IFAs is sorted per your selections.

### Filter IFAs

1. On the **IFA—Required Minimum Distribution** page, select the desired values for the filters at the top of the page.

FILTER	OPTIONS
Status	<ul style="list-style-type: none"> <li>• All</li> <li>• Not Met</li> <li>• Met</li> <li>• Manually Met</li> </ul>
Type of Account	<ul style="list-style-type: none"> <li>• All</li> <li>• Inherited Retirement Account</li> <li>• Non-Inherited Retirement Account</li> </ul>

2. Click **Display**. The selected filter is applied to the list.

## Export IFAs to an Excel Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## View Required Minimum Distribution Detail

- In the **Status** column, click the link for the item you want to view in detail. The **Required Minimum Distribution** page displays for the item.

**Required Minimum Distribution**

Select Required Minimum Distribution Status

Status:  ▼

As of Date: 04/22/2013

Account Details			
Account #:	52D000000	Short Name:	DOE JANE
Phone #:	2010000000	Prior Year Fair Market Value:	0.00
Age at Year-End:	43	Current Year Required Minimum Distributions:	0.00
Multiple Retirement Accounts:	N	Year to Date Distribution:	0.00
Status:	NOT MET	Remaining Required Minimum Distributions:	0.00
New to Required Minimum Distribution Listing:	Y	Available Cash:	7921.78
Scheduled Payment Instructions on File:	No		

## Information on the Required Minimum Distribution Page

COLUMN	DESCRIPTION
Account #	Pershing account number
Short Name	Account short name
Phone #	Account holder's primary phone number
Prior Year Fair Market Value	Account's fair market value for the previous year-end
Age at Year-End	Account holder's age at the end of the current year
Current Year Required Minimum Distribution	Required minimum distribution for the current year
Multiple Retirement Accounts	<ul style="list-style-type: none"> <li>Yes—Account has multiple retirement accounts that meet requirements for an RMD calculation</li> <li>No—Account does not have multiple retirement accounts that meet requirements for an RMD calculation</li> </ul>
Year to Date Distribution	Dollar amount of any required minimum distributions made to date

COLUMN	DESCRIPTION
Status	Current status of the account—Met, Not Met, or Manually Met.  You can update status for Not Met or Manually Met (see <i>Update Status for Required Minimum Distributions</i> on page 68)
Remaining Required Minimum Distribution	Dollar amount of any remaining Required Minimum Distribution yet to be made
New to Required Minimum Distribution Listing	<ul style="list-style-type: none"> <li>• Yes—Account has recently been added to the required minimum distribution listing after initial RMD processing by Pershing</li> <li>• No—Account has not been added to the required minimum distribution listing</li> </ul>
Available Cash	Dollar amount of cash available in the account
Scheduled Payment Instructions on File	Indicates whether an active periodic payment instruction is on file for the account  Click the link to open the Periodic Instruction screen

## Enter Information for Required Minimum Distributions

1. On the **IFA—Required Minimum Distribution** page, click the link in the **Account #** column for the item for which you want to enter information. The **Required Minimum Distribution Details** page displays.

**Required Minimum Distribution Details**

**Information**  
Enter information here for Required Minimum Distribution: (only 15 lines of input allowed)

**Historical information for Required Minimum Distribution:**

Close Window    Review Before Sending

As of Date: 04/20/2013

Account Details		
Account #:	52000000	Short Name: DOE JANE
Phone #:	201000000	Prior Year Fair Market Value: 0.00
Age at Year-End:	43	Current Year Required Minimum Distribution: 0.00
Multiple Retirement Accounts:	N	Year to Date Distributions: 0.00
Status:	NOT MET	Remaining Required Minimum Distribution: 0.00
New to Required Minimum Distribution Listing:	Y	Available Cash: 7921.78
Scheduled Payment Instructions on File:	No	

2. Under **Enter information here for Required Minimum Distribution**, enter up to 15 lines of text regarding the status of the account.  
The second text box displays historical information related to the account. In the **Account Details** section, you can view details about this account.
3. Click **Review Before Sending**. The **Review** page displays.
4. Click **Send Information**. A confirmation message displays.
5. Click **OK**.

## Update Status for Required Minimum Distributions

1. On the **IFA—Required Minimum Distribution** page, click a **Not Met** or **Manually Met** link in the **Status** column. The **Required Minimum Distribution Status** page displays.

2. From the **Status** list, select a status to apply to the account:

STATUS OPTION	CHANGES ACCOUNT STATUS TO
Required Mandatory Distribution was satisfied at another firm	Manually Met
Required Mandatory Distribution was satisfied from another account within our firm	Manually Met
Required Mandatory Distribution was satisfied within this account	Manually Met
Account is currently flat	Manually Met
Reset to original status	Met or Not Met

3. Click **Review Before Sending**. The **Review** page displays.
4. Click **Send Information**. A confirmation message displays.
5. Click **OK**.

## 21. Revised 1099 IFAs

Revised 1099 IFAs inform you of revised IRS 1099 Forms that Pershing has sent to your clients.

### View Revised 1099 IFAs

- From the **IFA Summary** page, click the link in the **No. of Items** column in the **Revised 1099** row.

Or

- Select **Revised 1099** from the **Select** list at the top of the page.

The **IFA—Revised 1099** page displays.

Short Name	Account #	IP #	View	Reason Code	Net Worth	Revision Date
DOE JOHN	<a href="#">52D000000</a>	000	 <a href="#">1099Draft</a>	COST BASIS UPDATE	\$52,001.02	02/07/2013
DOE JOHN	<a href="#">52D000001</a>	000	 <a href="#">1099Draft</a>	COST BASIS UPDATE	\$733.68	02/07/2013
DOE JOHN	<a href="#">52D000002</a>	000	 <a href="#">1099Draft</a>	COST BASIS UPDATE	\$104,858.23	02/07/2013

#### Notes:

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

### Information on the IFA—Revised 1099 Page

COLUMN	DESCRIPTION
Short Name	Account short name
Account #	Pershing account number
IP #	IP number of the IP servicing the account
View	Link to the revised 1099
Reason Code	Reason for the revision
Net Worth	Account net worth
Revision Date	Date of the revision

## Search by Account Number

- On the **IFA—Revised 1099** page, enter the desired account number in the **Search by Account** field and click **Display**.

## Download IFAs to a Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## View Revised 1099 Detail

- In the **View** column, click the **1099 Draft** link. A PDF of the revised 1099 Form displays.

<b>Account Number: 52D000000</b>		<b>2012</b>				
Recipient's Identification Number: ***-**-0000		<b>YOUR REVISED TAX SUMMARY STATEMENT</b>				
		<b>Revised Statement as of 03/14/2013</b>				
<b>Recipient's Name and Address:</b>	<b>Your Financial Consultant:</b>	<b>Payer Information:</b>				
Jane Doe TOD DTD 11/04/07 1 Main Street Any Town, NJ 00000	John Doe 100 Main Street Any Town, NJ 00000 (201) 000-0000 ID: 000	PERSHING, LLC  Federal Identification Number: 00-0000000				
<b>The following item(s) have been updated and are reflected on the revised 2012 Tax Information Statement included in this package</b>						
<b>ADDITIONS</b>						
Description	CUSIP	Date	Prior Information	Revised Information	Reporting Column	Statement Section
PATRIOT TR DIVERSIFIED INCOME CASH INCOME 2012	70337A104	01/31/2012	0.00	2.86	Ordinary Dividends (U.S. Corp)	1099-DIV
PATRIOT TR DIVERSIFIED INCOME CASH INCOME 2012	70337A104	03/30/2012	0.00	5.38	Ordinary Dividends (U.S. Corp)	1099-DIV
		01/31/2012	0.00	14.97	Qualified Dividends (US Corp)	1099-DIV
		03/30/2012	0.00	28.13	Qualified Dividends (US Corp)	1099-DIV
		01/31/2012	0.00	27.77	Nondividend Distributions	1099-DIV
		03/30/2012	0.00	52.19	Nondividend Distributions	1099-DIV
<b>DELETIONS</b>						
Description	CUSIP	Date	Prior Information	Revised Information	Reporting Column	Statement Section
PATRIOT TR DIVERSIFIED INCOME TR 2007 SER. A UNIT	70337A104	01/31/2012	45.60	0.00	Ordinary Dividends (U.S. Corp)	1099-DIV

## 22. Section 302 Certification of Tax Treatment IFAs

### View Section 302 Certification of Tax Treatment IFAs

- From the **IFA Summary** page, click the link in the **No. of Items** column in the **Section 302 Certification of Tax Treatment** row.

Or

- Select **Section 302 Certification of Tax Treatment** from the **Select** list at the top of the page.

The **IFA—Section 302 Certification of Tax Treatment** page displays.

Select:	Section 302 Certification of Tax Treatment	IBD#: 52D	OFF#: 52D	IP#: ALL				
<b>IFA - Section 302 Certification of Tax Treatment</b>								
ExportToExcel								
Back								
Account #	CUSIP	Payment Date	Beneficiary	Issuer	# Shares At Pershing Before Payment	# Shares At Pershing After Payment	# Outstanding Shares In Circulation Before Payment	# Outstanding Shares In Circulation After Payment
<a href="#">52D000000</a>	<a href="#">21676P103</a>	05/09/2013	JOHN DOE	A COMPANY SECURITIES	3,300.00	0.00	0.00	0.00
Back								

### Information on the IFA—Section 302 Certification of Tax Treatment Page

COLUMN	DESCRIPTION
Account #	Pershing account number
CUSIP	Security CUSIP
Payment Date	Date of payment
Beneficiary	Beneficiary
Issuer	Issues of shares
# Shares at Pershing before Payment	Number of shares at Pershing before payment
# Shares at Pershing after Payment	Number of shares at Pershing after payment
# Outstanding Shares in Circulation before Payment	Number of shares outstanding in circulation before payment

COLUMN	DESCRIPTION
# Outstanding Shares in Circulation after Payment	Number of shares outstanding in circulation after payment

## Download IFAs to a Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## View Section 302 Certification of Tax Treatment Detail

- In the **CUSIP** column, click the link for the item you want to view in detail. The **Certification of Treatment of Tender Payment** document displays for the item.

CERTIFICATION OF TREATMENT OF TENDER PAYMENT	
Please refer to the attached instructions to ensure proper completion of this form.	
ISSUER: A COMPANY SECURITIES	CUSIP: _____
OUTSTANDING SHARES: BEFORE TENDER OFFER: 0000002000000.00000	AFTER TENDER OFFER: 0000001000000.00000
IDENTIFICATION OF BENEFICIAL OWNER	
NAME OF INDIVIDUAL OR ORGANIZATION THAT IS THE BENEFICIAL OWNER: JOHN DOE	
PERSHING ACCOUNT NUMBER: 52D000000	
NATURE OF DISTRIBUTION—CHECK APPLICABLE BOX AND PROVIDE OTHER INFORMATION (if required below)	
Part A <input type="checkbox"/>	<b>Reduction in Proportionate Interest—Qualifying for Sale or Exchange Treatment</b> The Tender Payment should be treated as a payment in exchange for the beneficial owner's shares because the beneficial owner's proportionate interest in the Issuer has been reduced for the following reasons:  Step 1: Immediately before completion of the Tender Offer, the beneficial owner owned _____ shares of the Issuer. The beneficial owner's percentage ownership in the Issuer (based on the number of shares outstanding immediately before completion of the Tender Offer) was _____ %.  Step 2: Immediately after completion of the Tender Offer, the beneficial owner owned _____ shares of the Issuer. The beneficial owner's percentage ownership in the Issuer (based on the number of shares outstanding immediately after completion of the Tender Offer) was _____ %.
Part B <input type="checkbox"/>	<b>Complete Termination of Interest</b> The Tender Payment should be treated as a payment in exchange for the beneficial owner's shares because the beneficial owner completely terminated its interest in the Issuer through the Tender Offer.
Part C <input type="checkbox"/>	<b>Dividend (please keep for your records)</b> The Tender Payment should be treated as a dividend.
CERTIFICATION	
Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that I am the beneficial owner (or authorized to sign for the beneficial owner) of the Tender Payment.	
Sign Here:	DATE (MM/DD/YYYY)
SIGNATURE OF BENEFICIAL OWNER	CAPACITY IN WHICH ACTING
NOTE: Only beneficial owners that are properly documented with an IRS Form W-8 are entitled to make the certification to allow the payment to be treated as proceeds from the sale or exchange of the client's shares. Payments made to undocumented customers will be treated as dividends and will be subject to 30% U.S. tax withholding.	

## 23. Unfulfilled Mutual Fund LOI IFAs

Unfulfilled Mutual Fund LOI IFAs notify you when unfulfilled mutual fund Letters of Intent (LOI) for your accounts are due to expire, enabling you to take appropriate action prior to expiration.

This IFA is a one-time notification that remains on the account until after the set LOI expiration date. The IFA data will remain unchanged for that period.

### View Unfulfilled Mutual Fund LOI IFAs

- From the **IFA Summary** page, click the link in the **No. of Items** column in the **Unfulfilled Mutual Fund LOIs** row.

Or

- Select **Unfulfilled Mutual Fund LOIs** from the **Select** list at the top of the page.

The **IFA—Unfulfilled Mutual Fund LOIs** page displays.

Select:  Account#: 52D000000

**IFA - Unfulfilled Mutual Fund LOIs**

Days Until Expiration	Mutual Fund Family		
<input type="text"/>	<input type="text"/>	<input type="button" value="Display"/>	<input type="button" value="ExportToExcel"/>

Account Number	Short Name	IP #	Amount Outstanding	Days until expiration	Date of expiration	Mutual Fund Family
52D000000	DOE JOHN	000	\$16304.67	45	09/09/2015	FRANKLIN TEMPLETON FUNDS

#### Notes:

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

### Information on the IFA—Unfulfilled Mutual Fund LOI Page

COLUMN	DESCRIPTION
Account Number	Pershing account number
Short Name	Account short name
IP #	IP number of the IP servicing the account
Amount Outstanding	Amount due to fulfill the agreement

COLUMN	DESCRIPTION
Days Until Expiration	Calculated number of days from the creation of the IFA to expiration date
Date of Expiration	LOI expiration date
Mutual Fund Family	Mutual fund family for the LOI

### Filter IFAs

1. On the **IFA—Unfulfilled Mutual Fund LOI** page, enter the desired values for the **Days Until Expiration** and **Mutual Fund Family** filters at the top of the page.
2. Click **Display**. The selected filters are applied to the list.

### Download IFAs to a Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.

## 24. Voluntary Offer IFAs

Voluntary Offer IFAs notify you about voluntary reorganization offers that have been issued for your client accounts. This function displays all voluntary reorganization announcements for securities in which your clients have positions.

In addition to viewing an announcement, you can also submit a response to the offers based on your client's instructions. Entered instructions may go directly for processing or to your home office for approval.

### Voluntary Offer Guidelines

Pershing's Corporate Actions Department has established guidelines for responding to corporate action items.

- Firms will be informed that Pershing will tender, convert, put or exercise on its behalf only if Pershing has received timely instructions from the client to do so. Firms that decide not to tender, convert, put, or exercise in connection with a particular reorganization are encouraged to inform Pershing of that decision.
- Pershing will establish a cutoff date after which further instructions will not be able to be entered into IFA and will be considered as late instructions. Pershing will make a reasonable effort to execute any instructions received after the cutoff date and time.
- Firms can submit corporate action instructions through IFA or through Pershing's REOR system until the Pershing cutoff date. After the cutoff date, a Service Center request must be submitted as follows: Corporate Actions > Voluntary Offer—Expiring > Instruction.
- Pershing will require firms to submit their instructions directly to the Pershing Corporate Action Department. Firms will be acting at their own risk if they send instructions to another Pershing path.

### View Voluntary Corporate Action IFAs

- From the **IFA Summary** page, click the number link in the **# of Items** column in the **Voluntary Corporate Actions** row.  
Or
- Select **Voluntary Corporate Actions** from the **Select** list at the top of the page.  
The **IFA—Voluntary Corporate Action Summary** page displays.

**Note:** If any voluntary instructions are pending approval, they will be available for approval in Work Corner.

Select: Voluntary Offers

**IFA - Voluntary Offer Summary** All data as of: 05/13/2015

From Date:  To Date:  Symbol/Cusip:  Filter Option: All Unexpired with Positions

Sort By: Description Sort Order: Ascending

Description	Symbol	Offer	Cut-Off Date	Expiration Date	Positions / Instructions
AAR CORP COM	AIR	<a href="#">TENDER</a>	05/21/2015	05/22/2015	<a href="#">Positions</a>
AAR CORP COM	AIR	<a href="#">DUTCH AUCTION, BID OFFER</a>	05/20/2015	05/22/2015	<a href="#">Positions</a>
ACCENTURE PLC	ACN	<a href="#">TENDER</a>	06/24/2015	06/25/2015	<a href="#">Positions</a>
BAXTER INTL INC COM	BAX	<a href="#">TENDER</a>	06/25/2015	06/26/2015	<a href="#">Positions</a>
DISNEY WALT CO	DIS	<a href="#">RIGHTS</a>	06/25/2015	06/26/2015	<a href="#">Positions</a>

**Notes:**

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

**Information on the IFA—Voluntary Offer Summary Page**

COLUMN	DESCRIPTION
Description	Description of the security involved in the offer
Symbol	Security symbol
Offer	Type of offer being presented To view a brief description of the offer, click the link See <i>Offer Codes</i> on page 84.
Cutoff Date	The deadline date for acting on the offer, which is set by Pershing.
Expiration Date	Expiration date of the offer
Positions/Instructions	Click the <b>Positions</b> link to view all client positions affected by the offer and submit instructions as necessary in response to the offer

**Note:** Client accounts do not reflect on the initial day the offer is announced by Pershing. They will appear on the following business day.

## Sort IFAs

1. On the **IFA—Voluntary Corporate Actions** page, select the column to sort by from the **Sort By** field.
2. Select **Ascending** or **Descending** in the **Sort Order** field.
3. Click **Display**. The list of IFAs is sorted per your selections.

## Filter IFAs

1. On the **IFA—Voluntary Corporate Actions** page, select the desired values for the **From Date**, **To Date**, **Symbol/CUSIP**, and **Filter Option** filters at the top of the page.

FILTER	OPTIONS
From Date and To Date	Start and end dates for the time range for which you want to view voluntary offers
Symbol/CUSIP	Symbol or CUSIP for which you want to view voluntary offers
Filter Option	<ul style="list-style-type: none"> <li>• All Unexpired with Positions</li> <li>• All Expired</li> <li>• All Unexpired</li> <li>• Instructions Submitted</li> <li>• Potential Short Liabilities</li> <li>• All Items Paid Today</li> <li>• All Items Paid Today with Position</li> </ul> <p><b>Note:</b> If the <b>Sort By</b> list indicates <b>Grouping</b>, the <b>Filter Option</b> will not function if you select any filter option other than <b>All Unexpired with Positions</b>.</p>

2. Click **Display**. The selected filters are applied to the list.

## View Voluntary Offer Details

- In the appropriate open offer row, click the link in the **Offer** column. The **IFA—Voluntary Offer Details** dialog box displays for the offer.

**NETX360** IFA - Voluntary Offer Details Close Window

**Items For Attention - Voluntary Offer Details** [View Text](#)

Description	DISNEY WALT CO		
Symbol	DIS		
CUSIP	254687106		
Offer	RIGHTS		
Offer Description	SUBSCRIPTION		
Subject To IRC 302 Withholding	NO		
Other Offers Available			
<a href="#">OVERSUB1</a>	<a href="#">TENDER1</a>		

<b>Offer Dates</b>			
Cut-Off Date	06/25/2015	Cut-Off Time	19.00.00
Withdrawal Date		Withdrawal Time	00.00.00
Expiration Date	06/26/2015	Expiration Time	17.00.00
Protected Date			

<b>Offer Details</b>			
Odd Lot		Over Subscribe	YES
Minimum Bid		Maximum Bid	
Increments		Multiplier Factor	

<b>Payment Terms</b>			
Pay Date		Accrued Div/Int	
Proration Rate		Proration Round/Int	
Converted Rate	1	Converted To	254687106
Rounding Factor		Cash in Lieu Rate	
Pay Date		Accrued Div/Int	
Proration Rate		Proration Round/Int	
Converted Rate		Converted To	DEBIT
Rounding Factor		Cash in Lieu Rate	\$20

THE WALT DISNEY COMPANY HAS ISSUED ONE RIGHT FOR EVERY SHARE HELD ON RECORD DATE 11/07/14. ONE RIGHT PLUS \$20.00 ENTITLES THE HOLDER TO PURCHASE ONE SHARE OF WALT DISNEY CO COMMON SHARES.

+  
RECORD DATE HOLDERS WHO FULLY EXERCISE THEIR BASIC RIGHTS MAY SUBSCRIBE FOR ADDITIONAL SHARES OF COMMON STOCK, SUBJECT TO PRORATION.

+  
//IF YOU WISH TO SUBSCRIBE, PLEASE ENTER INSTRUCTIONS USING OFFER CODE 'SUB'. IF YOU WISH TO OVER-SUBSCRIBE, PLEASE ENTER INSTRUCTIONS USING OFFER CODE 'O/S' ENTERING THE NUMBER OF ADDITIONAL SHARES YOU WISH TO PURCHASE.

+  
PLEASE ENSURE CLIENT'S ACCOUNT HAS SUFFICIENT FUNDS TO COVER THE COST OF SUBSCRIPTION.

PLEASE NOTE THAT, DUE TO CURRENCY EXCHANGE RATE FLUCTUATIONS, HOLDERS WHO REQUEST TO OVERSUBSCRIBE MAY INCUR LOSSES RELATED TO THOSE FLUCTUATIONS IF THEIR OVERSUBSCRIPTION IS NOT ACCEPTED OR ONLY ACCEPTED IN PART.

## Information on the IFA—Voluntary Offer Details Page

FIELD	DESCRIPTION
Description	Description of the security that is impacted or subject to the corporate action event
Symbol	Security symbol that is impacted or subject to the corporate action event (if applicable)
CUSIP	CUSIP number of the security that is impacted or subject to the corporate action event
Offer	Type of offer being presented
Offer Description	Brief description of the offer
Subject to IRC 302 Withholding	Offers with foreign clients subject to NRA withholding taxes
Other Offers Available	Other options available in addition to the current offer
Offer Dates	<p>Important dates pertaining to the offer:</p> <ul style="list-style-type: none"> <li>• Cutoff Date—Cutoff date for participating in the offer. This is the last date that the IBD can enter instructions</li> <li>• Cutoff Time—Cutoff time for the offer, in military time format</li> <li>• Withdrawal Date—Withdrawal date, if applicable</li> <li>• Withdrawal Time—Withdrawal time, in military time format</li> <li>• Expiration Date—Actual expiration date of the offer</li> <li>• Expiration Time—Expiration time of the offer, in military time format</li> <li>• Protect Date—Provided that the terms of the offer included guaranteed delivery privileges, this date is the last date in which the security can be submitted for the offer (for securities) that was tendered by guarantee letter</li> </ul>
Offer Details	<ul style="list-style-type: none"> <li>• Odd Lot—Quantity of 99 shares or less that may be tendered pursuant to an odd lot tender offer</li> <li>• Over Subscribe—Number of shares exercised in excess of all rights that were exercised</li> <li>• Minimum Bid—For bid offers, the minimum eligible bid (price)</li> <li>• Maximum Bid—For bid offers, the maximum eligible bid (price)</li> <li>• Increments—For bid offers, the increment in which bids can be made</li> <li>• Multiplier Factor—Increments in which tender instructions must be entered if other than one</li> </ul>

FIELD	DESCRIPTION
Payment Terms (if available)	<ul style="list-style-type: none"> <li>• Pay Date—Date of payment in mm/dd/yyyy format</li> <li>• Accrued Div/Int—Accrued dividends or interest</li> <li>• Proration Rate—Percentage of shares tendered that will be accepted for payment</li> <li>• Proration Round/Int—Fractional value, determined after the application of the proration rate to determine the number of shares that will be accepted for payment (the fractional value determines if the number of shares will be rounded up to the next whole share)</li> <li>• Converted Rate—Conversion exchange rate</li> <li>• Converted To—CUSIP number to which the shares are converted</li> <li>• Rounding Factor—Rounding factor for the new fractional share value (round to .5, .6, etc.)</li> <li>• Cash in Lieu Rate—After calculation of the new shares that will be paid, the cash rate at which remaining fractional shares will be paid</li> </ul>

## View Client Positions Affected by an Offer

- On the **IFA—Voluntary Offer Summary** page, in the **Positions/Instructions** column of the selected open offer row, click the **Positions** link. The **IFA—Voluntary Offer Positions** page displays for the offer.

The accounts that display initially are those without instructions. You can select a filter in the **Display** field and click **Display** to display other accounts: All, Fully Instructed, Without Instructions, Declined Instructions and Potential Short Liabilities.

Select: Voluntary Offers

**IFA - Voluntary Offer Positions** All data as of: 05/13/2015

Sort By	Sort Order	Display
Account	Ascending	Without Instructions

Note: Please contact your Home Office to withdraw previously submitted instructions.

Participate in the Offer for all accounts and for all eligible quantity on this page.  
 Decline the offer for all accounts on this page.

Description: ACCENTURE PLC		Offer: TENDER		CUSIP: G1151C101										
Add. Info	Short Name	Account	IP#	Type	Option	Currency Held	S/D	Memo Qty	Eligible Qty	All Eligible	Enter Qty	Enter Bid	Decline	Status
	DOEJOHN	52D000000	000	CASH	OPTION 1	USD		2	2	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	
	DOEJOHN	52D000001	000	MARGIN	OPTION 1	USD		2	2	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	

## Information on the IFA—Voluntary Offer Positions Page

COLUMN	DESCRIPTION
Addl. Info	<p>Click the search symbol  to view the following additional offer information:</p> <ul style="list-style-type: none"> <li>• Account—Account number of the client holding the position</li> <li>• Completed Qty—Number of shares that have been processed for that option</li> <li>• Completed Bid—Specific bid price that corresponds to the instruction</li> <li>• Pending Qty—Number of shares that are pending approval</li> <li>• Pending Bid—Bid price that was selected by the client</li> </ul>
Short Name	Account short name
Account	Pershing account number
IP#	IP number of the IP servicing the account
Type	Type of account in which the position is held (Cash, COD, or Margin)
Option	<p>Indicates the option (if there is more than one.)</p> <p>Click the link to view the offer details</p>
Currency Held	USD or CCY (Currency)
S/D Quantity	Settlement date quantity
Memo Qty	Shares that are currently non-negotiable or have already been entered and unable to participate in the offer
Eligible Qty	Number of shares that are currently eligible to participate in the offer
All Eligible	<p>Click the box to select all eligible shares to participate in the offer</p> <p>The <b>Enter Qty</b> field will automatically be populated with the total number of eligible shares</p>
Enter Qty	If you did not select <b>All Eligible</b> , enter the number of shares to participate in the offer
Enter Bid	<p>Price per share elected by the client</p> <p><b>Note: Enter Bid</b> is only applicable to bid offers</p>
Decline	<p>Click the box to decline participation in the offer. A zero is automatically populated in the <b>Enter Qty</b> field to submit</p> <p><b>Note: Use All Eligible, Enter Qty and Enter Bid</b> only if you are submitting instructions for an offer</p>

COLUMN	DESCRIPTION
Status	<p>Current status of the offer instructions.</p> <p>Click one of the following status links to display an audit trail for the item:</p> <ul style="list-style-type: none"> <li>Approved—Instructions have been received and approved by your home office.</li> <li>Pending—Instructions are pending approval by your home office.</li> <li>Entered—Instructions have been approved and entered into REOR.</li> <li>Multiple—Displays when multiple instructions have been entered.</li> <li>Withdrawn—Securities have been withdrawn from the offer.</li> <li>Passed Pershing Cutoff—Instructions were submitted or approved after the cutoff time.</li> </ul> <p><b>Note:</b> The status selections will depend on your selected display</p>

### Export Data to an Excel Spreadsheet

- Click **Export to Excel** to export the currently displayed accounts, including their instruction status, to Excel.

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	Description:	DISNEY WALT CO	Offer:	RIGHTS	CUSIP:	254687106								
2	Short Name	Account	IP#	Account Type	Option	Currency Held	S/D Qty	Memo Qty	Elig Qty	Status	Pending Qty	Completed Qty	Pending Bid	Completed Bid
3	DOEJOHN	52D000000	000	CASH	OPTION 1	USD	10000	0	5000	ENTERED	0	5000	0	0
4	DOEJOHN	52D000001	000	CASH	OVERSUB	USD	10000	0	0	ENTERED	0	0	0	0

### IFA Audit Details

The **IFA Audit Details** page displays when you click a link in the **Status** column of the **Voluntary Offers Position** page.

NETX360 Items For Attention - Audit Details

IFA - Audit Details All data as of: 05/13/2015

Short Name	Account	Type	IP#	Offer	Option	Currency Held	S/D Qty	Memo Qty		
DOEJOHN	52D000000	CASH	000	RIGHTS	OPTION 1	USD		10,000		
Eligible Qty.		Completed Qty		Completed Bid		Pending Qty		Pending Bid		Status
5,000				5,000						ENTERED

Description: DISNEY WALT CO				CUSIP: 254687106		
Date	Time	Operator	Quantity	Bid	Status	Reject Reason
03/12/2015	09:49:57	P52DJDOE		5000	0 PENDING	
03/11/2015	09:49:57	P52DJDOE		5000	0 APPROVED	
03/10/2015	09:49:57	P52DJDO1		5000	0 ENTERED	

Close Window

### Submit Offer Instructions

The **IFA—Voluntary Offer Positions** page allows you to submit instructions for any client position that is affected by an offer.

**Note:** You must have authorization to submit instructions.

## Submit Instructions for an Offer

1. Indicate how you want to respond to the voluntary offer:

TO:	DO THIS:
Participate in the offer for all accounts and for all eligible quantities on this page	Click the check box at the top of the page
Participate in the offer for one position with all eligible shares	Click the check box in the <b>All Eligible</b> column
Participate in the offer for one position with a specified number of shares	Enter the desired number of shares in the <b>Enter Qty</b> column
Decline the offer for all accounts on this page	Click the check box at the top of the page
Decline the offer for one position	Click the check box in the <b>Decline</b> column
Submit instructions for a Dutch auction	Enter the desired quantity in the <b>Enter Qty</b> column and the bid price in the <b>Enter Bid</b> column

2. Click **Submit Instructions**. A confirmation message displays.
3. Click **Send**. The instructions are submitted.

One of the following messages displays:

MESSAGE	EXPLANATION / ACTION REQUIRED
Your Voluntary Corporate Action Item has been sent for Approval.	The item has been sent for approval. This message displays if you have entry access only.
Your item has been sent successfully to the Voluntary Corporate Action System.	The item was successfully submitted. No errors were encountered. This message displays if you are the approver or have straight through processing (STP) enter and approval access.
System is currently disabled. Please try again later.	The IFA system is unavailable. Resubmit the instruction at a later time.
Items must be entered between 6 a.m. and 7 p.m. (ET).	You must resubmit the instruction during the time period indicated in the message.

**Notes:**

- Be aware of any error messages denoting incomplete or invalid information.
- For instructions to be accepted for the day of input, they must be sent between 6 a.m. and 7 p.m. (ET). Friday instructions are not allowed after 7 p.m. (ET).

**View and Correct Errors**

If your instructions contain an error, the Voluntary Offer Positions page redisplay with an **Error** link in the first column. If there are multiple errors, an **Error** link displays for each error.

1. To view the error message, click the link and note the error message.
2. On the error message pop-up window, click **Close**.
3. Repeat steps 1 and 2 for each error message to note the messages.
4. Make the necessary corrections on the **Voluntary Offer Positions** page.
5. Click **Resubmit**. An instruction verification displays, prompting you to select one of the following:
  - o Click **Send** if the instructions are correct. The instructions are submitted.
  - o Click **Modify** to update the instructions.
  - o Click **Clear** to cancel the instructions.

**Offer Codes**

The following table lists offer codes for reorganization instructions.

CODE	DESCRIPTION
BID	Dutch Auction/Bid Offer
ELE	Elections (ELE1, ELE2 for additional elections)
EXC	Exchange offer
EXP	Expiring—called or change of terms in warrant
OLO	Odd lot offer
O/S	Over subscription
PCNV	Partial call with convertible feature
POPT	Optional PUT
SUB	Rights Offer
TND	Tender offer (TND1, TND2 for competing offers)
FCNV	Full call with convertible feature

## Corporate Actions IFA Audit Report

The IFA Instructions Audit Report (REO171D0) provides a list of your clients' corporate action items with instructions for a specific security.

ACCT	TYPE	OPT	QUANTITY	BID	CURRENCY	STATUS	DATE	TIME	OPERATOR
PGH NO: IFR0170E CORPORATE ACTIONS IFA AUDIT REPORT PAGE 33									
DATE : 2013/05/03 IFA INSTRUCTIONS AUDIT REPORT									
CORE : 52D									
437076102 HOME DEPOT INC COM									
52D-000000-2	SUB	01	100.00000		USD	PENDING	01/29/2013	10:35	F52DJDOE
52D-000000-2	SUB	01	100.00000		USD	APPROVED	01/29/2013	10:35	F52DJDOE
52D-000000-2	SUB	01	100.00000		USD	ENTERED	01/29/2013	10:35	F52DJDOE
52D-000000-2	SUB	01	100.00000		USD	PENDING	03/05/2013	11:56	F52DJDOE
52D-000000-2	SUB	01	100.00000		USD	APPROVED	03/05/2013	11:56	F52DJDOE
52D-000000-2	SUB	01	100.00000		USD	ENTERED	03/05/2013	11:56	F52DJDOE
52D-000000-2	SUB	01	100.00000		USD	PENDING	03/05/2013	11:57	F52DJDOE
52D-000000-2	SUB	01	100.00000		USD	APPROVED	03/05/2013	11:57	F52DJDOE
52D-000000-2	SUB	01	100.00000		USD	ENTERED	03/05/2013	11:57	F52DJDOE

### Display the Corporate Actions IFA Audit Report

1. In the NetX360 search field, enter **report**. Matching search results display.
2. In the **Go To** section of the search results, select **Report Center (Reporting)**. NetX360 Report Center displays.

**Tip:** As an alternative, click  Menu > **NetX360 Menu > Reports & Documents > Reporting > Report Center.**

3. Click **All Reports** in the upper left.
4. In the Search field, enter **REO171D0**.
5. In the **Name** column, click **IFA Corporate Action Audit**.
6. Enter desired filter criteria and click **Display**.

### Information on the IFA Instructions Audit Report

COLUMN	DESCRIPTION
Acct	Account number of the client holding the position in the security
Type	Offer type code.
Opt	Indicates the option, if there is more than one
Quantity	Number of shares of the security that the client is holding
Bid	Bid price that was selected by the client
Currency	Currency for the offer

COLUMN	DESCRIPTION
Status	Current status of the offer instructions: <ul style="list-style-type: none"> <li>• Pending—The instructions have been submitted and are awaiting review</li> <li>• Approved—The instructions have been approved</li> <li>• Entered—The instructions have been entered into Pershing's Reorganization System (REOR)</li> </ul>
Date	Date instructions were submitted, approved, or entered
Time	Time instructions were submitted, approved, or entered
Operator	Login ID of the user who submitted, approved, or entered instructions

## 25. Wash Sale IFAs

Wash Sale IFAs notify you that potential wash sales may occur in your clients' accounts.

### View Wash Sale IFAs

- From the **IFA Summary** page, click the link in the **No. of Items** column in the **Wash Sale** row.

Or

- Select **Wash Sales** from the **Select** list at the top of the page.

The **IFA—Wash Sales** page displays.

IFA - Wash Sales									
Account #	Short Name	IP #	Cusip	Security Description	Original Trade Date	Adjusted Trade Date	Quantity	Potential Cost Basis Adjusted for Disallowance	Entry Date
52D000000	DOE JOHN	000	459200101	INTERNATIONAL BUSINESS MACHINES CORPORATION	02/27/2013	02/14/2013	500	3287.95	05/25/2013
52D000001	DOE JOHN	000	C00206R102	AT&T	02/27/2013	02/14/2013	500	20557.43	05/25/2013
52D000002	DOE JOHN	000	437076102	HOME DEPOT INC	02/27/2013	02/14/2013	500	2966.34	05/25/2013

#### Notes:

- To go back to the **IFA Summary** page, click **Back**.
- If there is more than one page of IFAs, click **Next** to view the next page, or **Prev** to view the previous page.

### Information on the IFA—Wash Sale Page

COLUMN	DESCRIPTION
Account #	Pershing account number
Short Name	Account short name
IP #	IP number of the IP servicing the account
CUSIP	CUSIP of the related security
Security Description	Description of the related security
Original Trade Date	Date of the original trade
Adjusted Trade Date	Adjusted date for the trade
Quantity	Number of shares of the related security

COLUMN	DESCRIPTION
Potential Cost Basis Adjusted for Disallowance	Possible disallowance amount
Entry Date	Entry date of when the wash sale is processed

### Sort IFAs

1. On the **IFA—Wash Sales** page, select the column to sort by from the **Sort By** field.
2. Select **Ascending** or **Descending** in the **Sort Order** field.
3. Click **Display**. The list of IFAs is sorted per your selections.

### Filter IFAs

- On the **IFA—Wash Sales** page, enter the desired value in the **CUSIP** field at the top of the page and click **Display**.

### Download IFAs to a Spreadsheet

- Click **Export to Excel** to export the currently displayed IFAs to Excel.