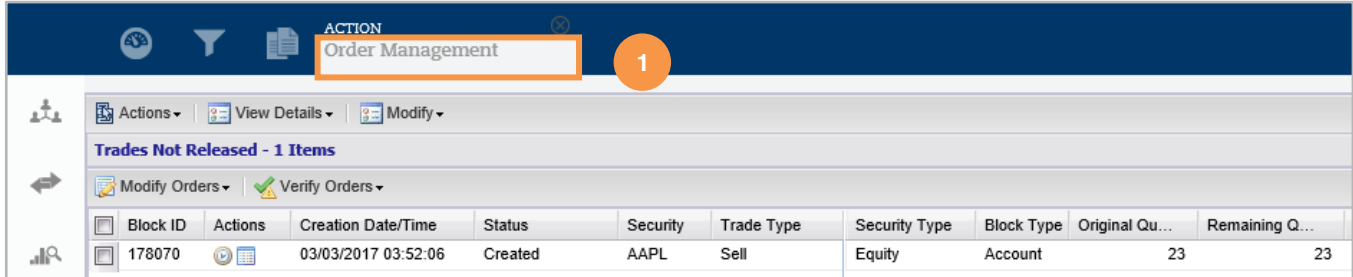


Enhanced Trading: Order Management How to Guide

Accessing Order Management

You can modify/verify an order from the **Order Management** landing page.

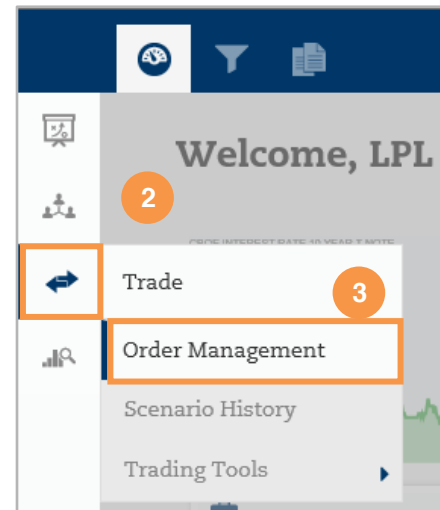
1. Once you generate the orders, you are automatically redirected to the trades not released section of the **Order Management** screen. Please note, your trade is not released until you have gone into the Order Management screen and completed the final three steps of **Modifying**, **Verifying**, and finally **Releasing** the orders for execution.



Alternatively, if you've already generated orders earlier and now you only want to take action on the orders (through the Order Management system), you can access the screen directly. To do so:

2. From the Home screen, click the **Trade** tab on the left side of the dashboard.
3. Click **Order Management** from the drop-down menu.

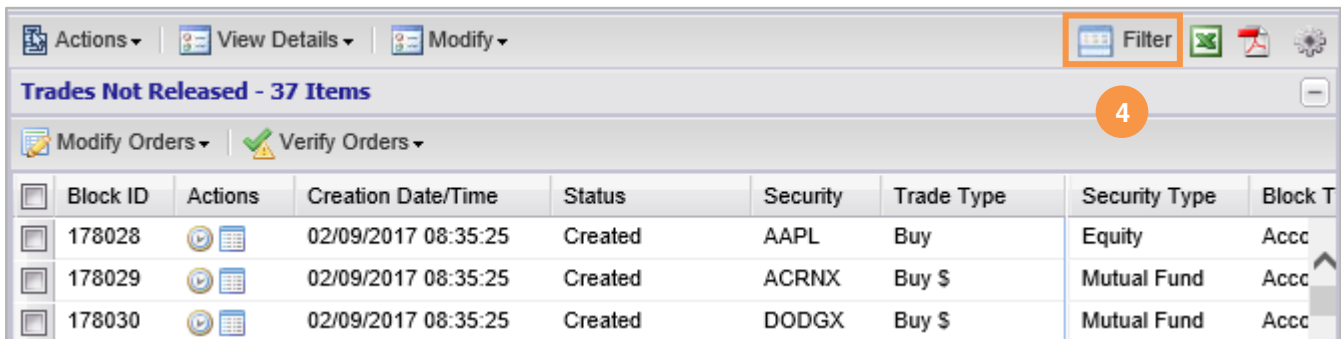
You'll be redirected to the Order Management landing page.



Apply Order Management Filter

Order Management allows you to leverage advanced filtering options to view orders tied to a single trade scenario or across your entire trade blotter with search capabilities based on specific trade statuses, securities, accounts and trade types. The system automatically archives all trade scenarios so you will have a record of your historical trades.

4. Click **Filter**.



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5. On the **Filter** screen, enter your filter criteria.
 - a. Leave the **Scenario ID** field blank to search all Scenario IDs.
 - b. Click the box **Search archived blocks/orders (older than 3 days)** to search for archived blocks/orders.
6. Click **Filter**.

Managing Orders

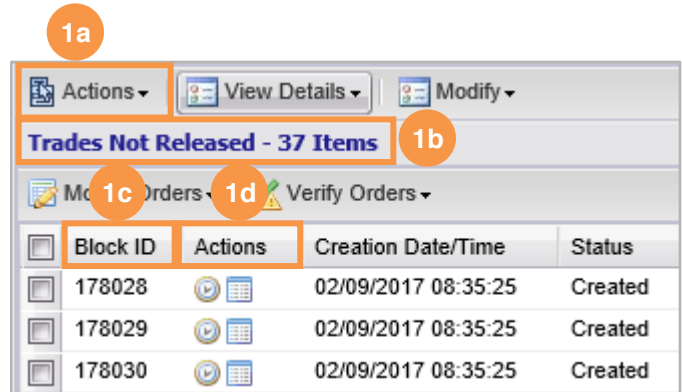
Effectively managing your orders will help eliminate costly errors. Executing orders is broken out into six sections. The **Order Management** screen is formatted to expand one section at a time. On the **Order Management** home page, you can see the following six sections:

- **Trades Not Released** section lists the blocks of securities that have been created. Blocks can be edited in this section to prepare the blocks for **Release**.
- **Trades Not Released – Error Status** section lists the blocks if they have failed the verification and must be corrected.
- **Ready to Release** section lists the blocks of securities that have been created and passed the pre-verification check.
- **Released Trades** section lists the blocks of securities that have been sent to the trade destination for execution.
- **Released Trades– Error Status** section lists the blocks of securities that were sent to the trade destination for execution, however the trade destination has rejected the order.
- **Completed Trades** section lists the blocks of securities that are deemed to be complete. This includes blocks that were deleted, never sent, expired and/or not executed.

Enhanced Trading: Order Management How to Guide

Trade Not Released

1. On the **Order Management** home page, you can see a list of trades that are not released. The following tabs are important:
 - a. **Actions:** This menu allows you to **Merge/Delete** Blocks or **Cancel** orders.
 - b. **Trades Not Released:** Proposed trades will appear in the **Trades Not Released** section.
 - c. **Block ID:** The system will assign this block ID. This block ID is denoted as bulk.
 - d. **Actions** column: This button allows you to view **Order History/Information**.



After you validate the transactions proposed by the trading tools and choose to generate these orders for submission, they get routed into **Order Management**. From there you have access to multi-custodial, straight-through trade order management functionality for equities, ETPs, mutual funds and options. This includes support for bulking eligible orders and modifying trade details.

You will now learn the three important steps to submitting orders: **Modify, Verify and Release**.

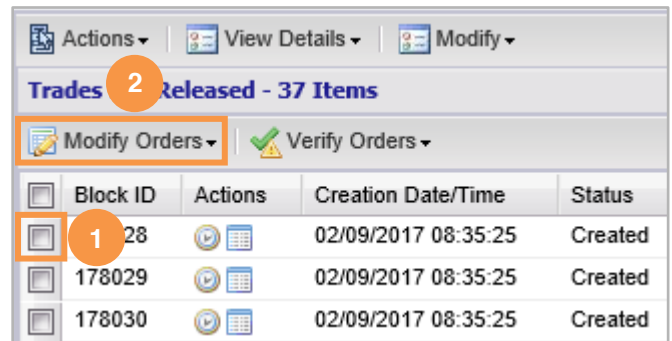
Modifying Orders

The first step in the order execution process is to **Modify** an order. In the **Trades Not Released** section:

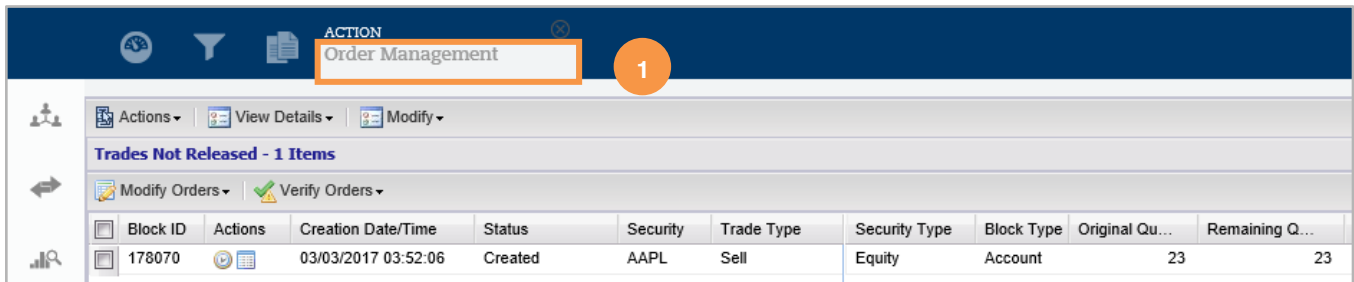
1. Select the trades you want to modify.
2. Click **Modify Orders**.



The page displays up to 500 trades. If you have more than 500 orders, repeat the steps until the section appears blank.



Once you generate the orders, you are automatically redirected to the Trades Not Released section of the **Order Management** screen. Please note: Trades are not released until you have gone into the Order Management screen and completed the final three steps of **Modifying, Verifying** and **Releasing**.



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3. The **Modify Block Details** page appears. Depending on the types of trades you selected to modify, you will see different tabs. In this example, you can see **All Blocks** and **Equity/Option**. On the **All Blocks** tab you will see the following sections.

- Ticket Charge:** You will not be utilizing the **Ticket Charge** section.
- Order Receipt Info:** Select **Current Date/Time** to populate the date and time fields for discretionary orders. If order is Solicited, either select the Current Date/Time if order is accepted simultaneous to entering the order. Otherwise, if Solicited enter the actual date and time the order was accepted from the client.
- Enter the Rep ID (not the name) of the person who either exercised discretion or accepted the order from the client (if solicited) in the **Received From** field.

i The Rep ID is the only information the system will accept.

- Discretion Exercised:** Select the appropriate option from the **Discretion Exercised** drop-down list.
- Solicited:** Select the appropriate option from the **Solicited** drop-down list.

SWM accounts are always NO for Discretion and NO for Solicited (no/no). For SAM accounts, the only acceptable options are:

- **NO = Discretion and NO = Solicited (NO/NO)**
- **NO = Discretion and YES = Solicited (NO/YES)**
- **YES = Discretion and YES = Solicited (YES/YES)**

4. You must now complete the **Equity/Option** tab.

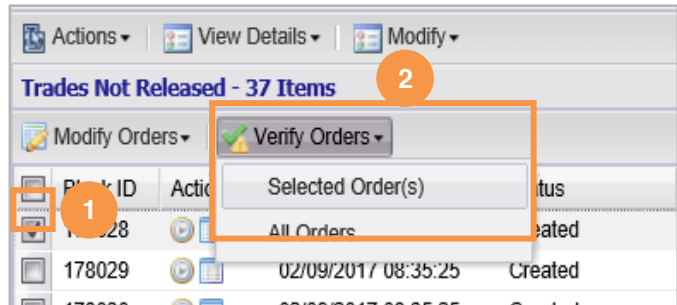
- In the Order Type/Duration section, select the **Order Type** and **Duration**.
- The sections; **Security Location** and **Execution Instructions** are optional.
- Click **Update** to apply the modifications to the selected trades.

Enhanced Trading: Order Management How to Guide

Verifying Orders

The next step in the order execution process is to **Verify** the orders.

1. Select the trades you want to verify.
2. Click **Verify Orders** option, click **Selected Order(s)** option or **All Orders** if you want to verify all the orders.



Trades Not Released – Error Status

If trades fail the compliance checks, these trades will appear in the **Trades Not Released – Error Status** section. Select the verification failure colored hyperlink (in red) in the **Status** column to locate the reason for the failure. Correct the error through the modification step, and then re-verify the trade.

Block ID	Actions...	Creation Date/Time	Status	Error Reason	Security	Trade
178043		02/16/2017 13:12:14	Rules Engine Rejected		AAPL	Buy
178027		01/06/2017 14:15:38	Rules Engine Rejected		CRMMX	Buy
170540		06/05/2015 12:18:28	Verify Failure	Order Received From not defined.	AGTHX	Buy

Ready to Release

As items are successfully verified, they are moved to the **Ready to Release** section, and the **Status** column displays **Verified**.

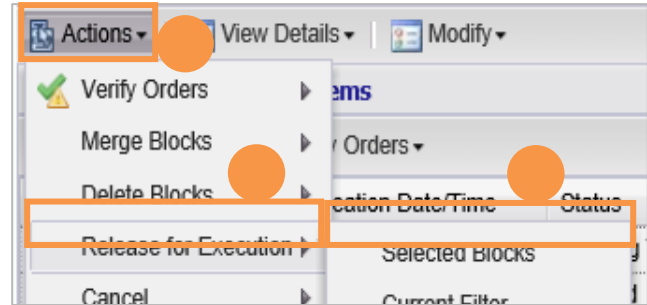
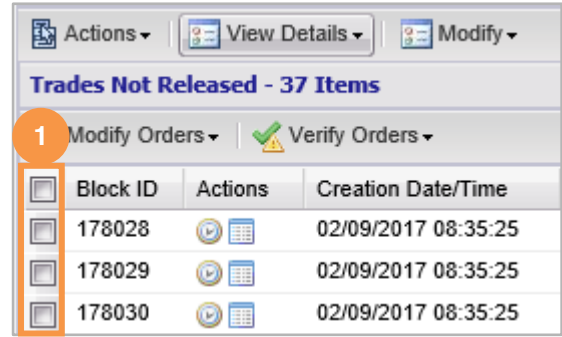
Block ID	Actions	Creation Date/Time	Status	Security	Trade Type	Security Type	Block Type	Original
177964		03/30/2016 13:35:22	Verified	MLPOX	Buy \$	Mutual Fund	Account	
177966		03/30/2016 13:35:22	Verified	F	Buy	Equity	Bulk	

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Releasing Orders

The final step in the order placement process is to **Release** the orders. To release trades in the **Ready to Release** section:

1. Select the checkboxes to the left of the appropriate **Block ID**; or, select the checkbox in the **Block ID** heading to select all accounts.
2. Click **Actions**.
3. Select **Release for Execution** from the **Actions** drop-down list.
4. Click **Selected Blocks** option.



Released Trades

Released trades will now display in the **Released Trades** section of the **Order Management** screen.

Released Trades - 219 Items									
Block ID	Actions	Creation Date/Time	Status	Security	Trade Type	Security Type	Block Type	Original Qu...	
<input type="checkbox"/> 1322334		03/14/2017 09:00:00	Acknowledged	BFAFX	Redeem Sh	Mutual Fund	Account	25	
<input type="checkbox"/> 1322335		03/14/2017 09:00:00	Acknowledged	CIBCX	Buy \$	Mutual Fund	Account	\$49	
<input type="checkbox"/> 1320923		03/13/2017 09:00:00	Acknowledged	FKRCX	Buy \$	Mutual Fund	Non Dis...	\$100	

Released Trades – Error Status

If there are any errors during the release process, the orders will be held in the **Released Trades – Error Status** section respectively

Released Trades - Error Status - 2265 Items										
Block ID	Actions	Creation Date/Time	Status	Error R...	Security	Trade Type	Security Type	Block Type	Original Qu...	Rem
<input type="checkbox"/> 177945		03/28/2016 16:22:25	Cancelled		ABALX	Redeem Sh	Mutual Fund	Account	0.0001	
<input type="checkbox"/> 177946		03/28/2016 16:22:25	Cancelled		FRIAX	Redeem Sh	Mutual Fund	Account	0.0001	
<input type="checkbox"/> 177944		03/28/2016 16:22:25	Cancelled		ADVDX	Redeem Sh	Mutual Fund	Account	0.0001	

Completed Trades

This section lists the orders that are complete. This includes blocks that were deleted, never sent, expired and/or not executed.

Completed Trades - 3 Items									
Block ID	Actions	Creation Date/Time	Status	Security	Trade Type	Security Type	Block Type	Original Qu...	
<input type="checkbox"/> 178100		03/14/2017 19:00:16	Deleted	SHSSX	Buy \$	Mutual Fund	Account	\$401.16	
<input type="checkbox"/> 178101		03/14/2017 19:00:16	Deleted	BIBDX	Buy \$	Mutual Fund	Account	\$401.16	
<input type="checkbox"/> 178121		03/14/2017 19:00:16	Deleted	BSIIX	Redeem All	Mutual Fund	Account	155.601	

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Confirming, Deleting and Cancelling Orders

Executed account level trades, upon full execution, move immediately to the **Completed Trades** section. All other orders remain in the **Released Trades** section. You can cancel or delete most orders in the **Order Management** screen. Refer to the **Order Status Glossary** for information about the specific order statuses that can be cancelled or deleted.

Confirm Orders

To confirm your orders are executed:

1. Monitor trade statuses throughout the day by selecting **Trade > Order Management**. All trades released during the current day will display in the **Released Trades** section.
2. Review the **Released Trades - Error Status** on the **Order Management** screen to search for any trades rejected by the Trade Desk. Contact the Trade Desk at x5800 with trade rejection questions.
3. Visit the **Completed Trades** section of the **Order Management** screen to view the previous days' full and partially executed trades.

The screenshot shows the Order Management interface with the following sections and table:

- Trades Not Released - 37 Items
- Trades Not Released - Error Status - 601 Items
- Ready to Release - 0 Items
- Released Trades - 218 Items** (circled with '1')

Block ID	Actions	Creation Date/Time	Status	Security	Trade Type	Security Type	Block Type	Original Qu...
<input checked="" type="checkbox"/>		03/28/2016 16:22:25	Queued - Delay...	ADJPX	Redeem Sh	Mutual Fund	Account	0.000
<input type="checkbox"/>		03/28/2016 16:22:25	Queued - Delay...	ARTMX	Redeem Sh	Mutual Fund	Account	0.000
<input type="checkbox"/>		03/28/2016 16:22:25	Queued - Delay...	ADVDX	Redeem Sh	Mutual Fund	Account	0.000
<input type="checkbox"/>		03/28/2016 16:17:40	Queued - Delay...	RAIMX	Redeem Sh	Mutual Fund	Account	0.000
<input type="checkbox"/>		03/21/2016 12:21:16	Queued - Delay...	NGIPX	Redeem All	Mutual Fund	Account	67.697
<input type="checkbox"/>		03/21/2016 12:21:16	Queued - Delay...	NQCRX	Redeem All	Mutual Fund	Account	29.052
<input type="checkbox"/>		03/21/2016 12:21:16	Queued - Delay...	RAIMX	Redeem All	Mutual Fund	Account	1.402
<input type="checkbox"/>		01/29/2016 13:22:11	Queued - Delay...	FKINX	Buy Sh	Mutual Fund	Account	586.957
<input type="checkbox"/>		01/29/2016 13:22:11	Queued - Delay...	FKINX	Buy Sh	Mutual Fund	Account	436.665
<input type="checkbox"/>		01/29/2016 13:22:11	Queued - Delay...	TPINX	Buy Sh			

Page 1 of 1 | Displaying records 1 - 218 of 218

- Released Trades - Error Status - 2265 Items** (circled with '2')
- Completed Trades - 0 Items** (circled with '3')

Delete Orders

You can delete trades that have not been Verified.

1. Select the checkbox(es) to the left of the appropriate accounts.

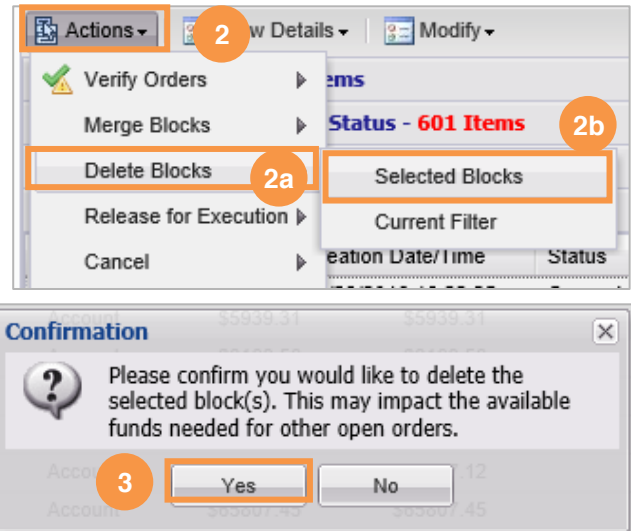
The screenshot shows the Order Management interface with the following sections and table:

- Trades Not Released - 37 Items
- Modify Orders (circled with '1')
- Verify Orders

Block ID	Actions	Creation Date/Time
<input type="checkbox"/>		02/09/2017 08:35:25
<input type="checkbox"/>		02/09/2017 08:35:25
<input type="checkbox"/>		02/09/2017 08:35:25

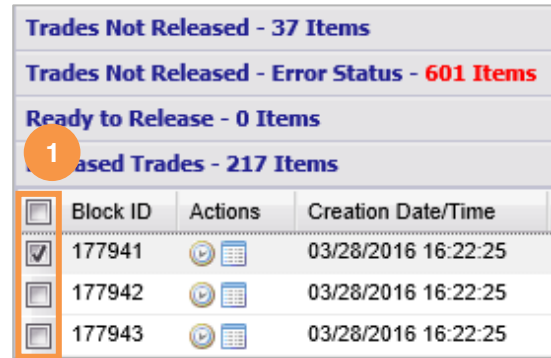
Enhanced Trading: Order Management How to Guide

2. From the **Actions** drop-down menu:
 - a. Select **Delete Blocks** from the **Actions** drop-down menu.
 - b. Click **Selected Blocks**.
3. A confirmation dialog box appears. Select **Yes** to confirm.

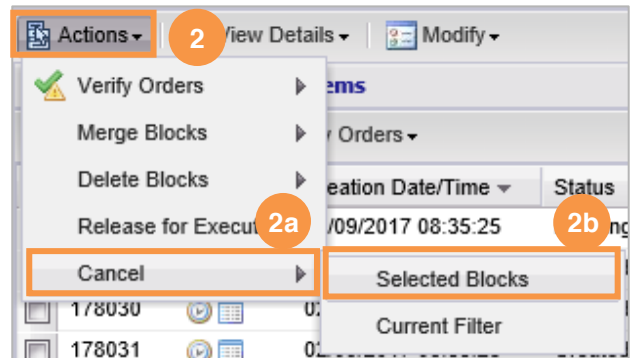


Cancel Orders

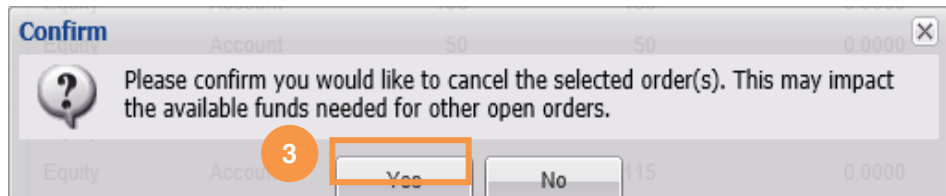
1. Select the checkbox(es) to the left of the appropriate accounts.



2. From the **Actions** drop-down menu:
 - a. Select **Cancel** from the **Actions** drop-down list.
 - b. Click **Selected Blocks**.



3. A confirmation dialog box appears. Select **Yes** to confirm the cancel.



i You can cancel or delete orders in the **Order Management** screen while in the following status:

For Equities:

- Delete when in a **Created** status.
- Delete when in a **Verified** status.
- Cancel when in **Acknowledged** status. If you are away from your computer and unable to cancel a trade, please contact the Equity Trade Desk at ext. 6450.

For Mutual Funds:

- Delete when in a **Created** status.
- Delete when in a **Verified** status.
- Cancel in a **Queued** status. If in a Routed or Acknowledged status, you must contact the Mutual Fund Desk at ext. 6399.

Statuses are assigned to an order during various trade processing stages. To learn more about these statuses, refer to the **Enhanced Trading Order Status Glossary**.

Enhanced Trading: Order Management How to Guide

Troubleshooting

This section will describe error-specific troubleshooting for trades that appear in the **Trades Not Released – Error Status** section. Trades are not in good order and will not verify unless action is taken. Trades must be re-modified with updated and proper information. Once the trade has been updated, it must be re-verified. It will then flow into **Ready to Release**, given the trade is now in good order. In the **Trades Not Released – Error Status** section, you'll come across two types of error status, **Verify Failure** and **Rules Engine Required**. These two statuses can appear due to various reasons and are described below.

Verify Failure

Block ID	Actions...	Creation Date/Time	Status	Error Reason	Security	Trade
178043		02/16/2017 13:12:14	Rules Engine Rejected		AAPL	Buy
178027		01/06/2017 14:15:38	Rules Engine Rejected		CRMMX	Buy
170540		06/05/2015 12:18:28	Verify Failure	Order Received From not defined.	AGTHX	Buy

1. Error: Order received from is not defined

- **Problem:** Under the **Order Receipt Info** section, **Receipt Date**, **Receipt Time** and **Time Zone** fields are left blank.
- **Solution:** Re-modify and then click the **Current Date/Time** button or enter the actual date & time received, if Solicited. Next, re-verify the order.

2. Error: Order receipt date/time not selected

- **Problem:** Under the **Order Receipt Info** section, the **Received From** field is left blank.
- **Solution:** Re-modify using an order **Received From** value (Rep ID) and re-verify the order.

3. Error: Discretion/solicitation not selected

- **Problem:** The values for **Discretion Exercised** section and **Solicited** section are not selected.
- **Solution:** Re-modify using the appropriate discretion and solicitation value(s) and then re-verify the order.

Modify Block Details

All Blocks | Equity/Option | Mutual Funds

Ticket Charge

Client Ticket Charge:

Order Receipt Info

Receipt Date:

Receipt Time: (HH:MM:SS)

Time Zone:

Received From:

Discretion Exercised

Discretion Exercised: **

Solicited

Solicited:

** In order to clear the current selection of the specified field please select the <undefined> option from the drop-down menu

Update | Cancel

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Rules Engine Rejected

Block ID	Actions...	Creation Date/Time	Status	Error Reason	Security	Trad
178043		02/16/2017 13:12:14	Rules Engine Rejected		AAPL	Buy
178027		01/06/2017 14:15:38	Rules Engine Rejected		CRMMX	Buy
170540		06/05/2015 12:18:28	Verify Failure	Order Received From not defined.	AGTHX	Buy

1. Error: Time too old/wrong side of market

- Problem:** Under the **Order Receipt Info** section, order receipt date/time must correspond with the market's open/close session. Example: receipt date & time cannot reflect prior day's market session if next day's market session is open.

- Solution:** Re-modify using a valid time and then re-verify the order.

2. Error: Invalid accepted by ID

- Problem:** Under the **Order Receipt Info** section, the **Received From** field contains an invalid value (typically a name or a Rep ID typo).

- Solution:** Re-modify using proper 4-character Rep ID and then re-verify the order.

3. Error: SWM trades must be nondiscretionary/unsolicited

- Problem:** SWM accounts MUST use **No** for both the **Discretion Exercised** and **Solicited** fields.

- Solution:** Re-modify by selecting **No** from the drop-down menu for both fields and then re-verify the order.

4. Error: Bulk trades must be discretionary/solicited

- Problem:** SAM bulk equity trades MUST use **Yes** for both the **Discretion Exercised** and **Solicited** fields.

- Solution:** Re-modify by selecting **Yes** from the drop-down menu for both fields and then re-verify the order.

5. Error: Not approved for full discretion

- Problem:** You must have FULL discretion on an account to exercise discretion on common stocks and ETFs/ETNs (which are registered under the 1933 act).

- Solution:** You cannot bulk equity and ETF/ETN (registered under the '33 Act) orders. You must submit trades individually on a Solicited basis only. You can also call the Trade Desk for further assistance.

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6. Error: Rep not registered in state

- **Problem:** Under the **Order Receipt Info** section, the Rep ID entered in the **Received From** field is not licensed within client's state of residence. Advisors (including split/partners) must be registered in states of all clients registered on an account.
- **Solution:** Re-modify using a Rep ID registered in the client's state of residence only after properly state registered rep has exercised discretion or confirmed order with client (if Solicited) and then re-verify the order.

Order Receipt Info

Receipt Date:

Receipt Time: (HH:MM:SS)

Time Zone: 6

Received From:

7. Error: Account is restricted

- **Problem:** Account has a trading restriction preventing online trades.
- **Solution:** Contact the appropriate Trade Desk.

8. Error: Closed to new investors

- **Problem:** Mutual Fund selected is closed to new investors.
- **Solution:** The mutual fund cannot be purchased unless the investor currently holds the fund. Select another fund for trading or this purchase dollar amount will be left in cash.

9. Error: Share quantity exceeds share quantity held in account

- **Problem:** Share quantity exceeds the share quantity held in account as the fund shares have not settled or are in transfer status.
- **Solution:** You must wait until settlement or for the transfer to complete. Only then can you place the trade.

10. Error: Restricted from placing online

- **Problem:** Fund is restricted and requires specific permission to trade online.
- **Solution:** You should contact the Trade Desk and give them verbal instructions.

11. Error: This is a bulk order....

- **Problem:** At least one account in the bulk is not in good order.
- **Solution:** Go to account details, delete the not in good order account(s) and re-verify the order.