

Trades

The Trades section allows the Advisor to search for trades by trade date range or order id for a specific trade. Trade data includes account number, short name, trade date, buy/sell, symbol, quantity, price, description, product type, principal amount and commission amount. Trade data can be saved to Excel or printed directly from the application screen.

Reports

The reports section is divided into four tabs listing some basic production reports, blotters, client reports and licensing reports.

The Production tab includes a monthly production report and a report by product type which also contains a detailed graph broken out by product.

The Blotters tab contains four different reports by fund family, product type, a discretionary blotter and a standard trade blotter.

The client tab contains three reports including a cross reference report listing all client security positions by symbol, a money line report showing all available client money balances and a top client report showing each client account ranked by commission generated during the period searched.

The License tab lists all states in which the advisor is currently licensed.

All reports have sort and filter capability to isolate specific information and can be saved to Excel or printed directly from the application.

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Securities AdvisorStation Web-Based Reporting Application



**SECURITIES BACKOFFICE
SOLUTIONS, INC.**

Securities AdvisorStation

Securities AdvisorStation (SAS) is an internet based application that allows your advisors to view their commission, client and trade data through your web site. SAS acts as an add-on to your web site allowing your advisors to connect using a secured login and password. Advisor's that connect to SAS will be able to view their individual data, including multiple rep numbers. OSJ's or branch managers will see their data as well as the data of advisor's assigned to them, allowing for enhanced supervisory capabilities.

Overview

The Overview page is the default page that each advisor will see when they connect to SAS. The dashboard layout shows YTD production graphs, pending commissions, production by product type, pending trades, top ten clients and individual and firm wide messages and alerts.

Accounts

This section shows a variety of client account information listed on five individual tabs; Registration, Trades, Positions, balances and History. The user has the ability to search using different parameters on each tab and can sort and filter the data according to their needs.

The Registration tab shows detailed client account information including account number, rep number, short name, taxpayer id, client name, client state and account type.

The Trades tab shows detailed trade data for the client account selected. Trade data is listed for the last 365 days and includes trade date, symbol, buy/sell, quantity, price, commission amount and product description. The user has the further ability to right click on any trade listed to see more detail.

The Positions tab lists any security position contained in the selected account. Specific data includes symbol, CUSIP, quantity, market value, price, product type, account type and description.

The Balance tab shows a summary of each component that makes up the account balance. This includes money market balance, debit, equity, market value, SMA, cash available and buying power.

The History tab lists any activity that transpired in the client account during the last 365 days. This includes detailed information on trades, dividends, stock splits and money movement of any kind.

Commissions

The Commission section contains current and prior commission statements. This section is broken up into four tabs to make it easier for the user to view specific data. The user also has the ability to search for past commission statements to be viewed or printed if desired.

The Statement tab shows a summary of the reps current commission information including balance forwards, net commissions, adjustments and check amount as of the viewing date. Statements are listed in PDF format and can be saved to the reps PC or printed directly from the screen. This page shows the entire commission statement but each section has been broken out on separate tabs for the user's convenience.

The Posted tab lists any trades that have been paid or are about to be paid to the advisor. Specific detail listed is trade date, gross commission, amount, ticket charge, payout percentage, description and net payable amount.

The Unposted tab lists any trades that the advisor has not yet been paid on for any time period. Trades listed in this section are usually due to exceptions generated during processing or trades that have been held for compliance reasons by the Broker-Dealer.

The Adjustment tab lists current adjustments to the advisors commission statement. Detail on each adjustment includes description, amount and any notes input on the adjustment.