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1. Introduction

About this Document

This document provides details on using NetX360 mobile on the following devices:

- iOS devices
- Android

The images in this document show iPad pages. The pages on iPhone and Android are similar.

Overview

NetX360 mobile keeps you on top of the latest market developments and provides access to essential business functions to support your investment decisions. In today’s marketplace, it is imperative that you stay connected—at all times and in all places.

NetX360 mobile provides access to many of the key features of NetX360, including:

- Retrieve clients’ account profiles, balances, holdings and activities
- Meet with clients and review their accounts securely using Presentation Mode
- Trade equities, exchange-traded funds (ETFs) and mutual funds
- Deposit checks using your device camera for processing
- Request a check from your client’s account
- Transfer funds to your client’s bank account using Automated Clearing House (ACH)
- Upload Pershing-required documents
- Email and print documents
- Receive time-sensitive alerts and notifications
- View account statements and other documents
- Access commission summary
- Review unrealized gains and losses
- Analyze stock quotes and access watch lists
- View top cash positions and projected cash flow
- View balances, holdings and activities for households
- View salesforce CRM
- Access MoneyGuidePro financial planning
Mobile Center on NetX360

For more information on NetX360 mobile, visit the Mobile Center on NetX360 (click **Tools** > **Mobile Center**).

**System Requirements**

**iPhone and iPad**
- Operating system—iOS 11.0 or higher
- Size—20 MB

**Android**
- Operating System—OS 8 or higher
- Size—16 MB
## Entitlements

### Entitlement Management Service (EMS)

For firms using EMS, the entitlements are:

<table>
<thead>
<tr>
<th>BFE #</th>
<th>CATALOG TYPE</th>
<th>CATEGORY</th>
<th>BFE NAME</th>
<th>ACCESS LEVEL</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>17053</td>
<td>Functional</td>
<td>Tools</td>
<td>NetX360 Mobile</td>
<td>Access</td>
<td>Allows a user wireless access to NetX360. Supports iPad, iPhone, Android and Windows Mobile.</td>
</tr>
<tr>
<td>1322</td>
<td>Functional</td>
<td>Order Management</td>
<td>Wireless Trading</td>
<td>Access</td>
<td>Allows a user to initiate equity or mutual fund trade orders. <strong>Note:</strong> These functions also require the wireless access entitlement.</td>
</tr>
<tr>
<td>16905</td>
<td>Functional</td>
<td>Asset Management</td>
<td>Mobile Check Deposit</td>
<td>Add</td>
<td>Allows a user to take an image of a check and deposit via NetX360 Mobile.</td>
</tr>
<tr>
<td>16967</td>
<td>Functional</td>
<td>Document Management</td>
<td>Imaging General Document</td>
<td>Browse</td>
<td>Allows a user to view remote check deposit images in Imaged Documents.</td>
</tr>
<tr>
<td>00017486</td>
<td>Functional</td>
<td>Administrative</td>
<td>ONE TIME PASSCODE FOR NETX360</td>
<td>Access</td>
<td>Allows a NetX360 user to authenticate using one time passcode by calling the service desk to receive the one time passcode.</td>
</tr>
<tr>
<td>BFE #</td>
<td>TYPE</td>
<td>CATEGORY</td>
<td>BFE NAME</td>
<td>LEVEL</td>
<td>DESCRIPTION</td>
</tr>
<tr>
<td>--------</td>
<td>----------</td>
<td>--------------</td>
<td>----------------------------------------------</td>
<td>--------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>2870</td>
<td>Functional</td>
<td>Administrative</td>
<td>ONE-TIME PASSCODE FOR NETX360-EMAIL</td>
<td>Access</td>
<td>Allows a user to authenticate via email using a One-Time Passcode (OTP).</td>
</tr>
<tr>
<td>2871</td>
<td>Functional</td>
<td>Administrative</td>
<td>ONE-TIME PASSCODE FOR NETX360-VOICE</td>
<td>Access</td>
<td>Allows a user to authenticate via voice call using a One-Time Passcode (OTP).</td>
</tr>
<tr>
<td>2872</td>
<td>Functional</td>
<td>Administrative</td>
<td>ONE-TIME PASSCODE FOR NETX360-SMS</td>
<td>Access</td>
<td>Allows a user to authenticate via SMS using a One-Time Passcode (OTP).</td>
</tr>
<tr>
<td>17404</td>
<td>Functional</td>
<td>Administrative</td>
<td>OTP ONE TIME PASSCODE INTERNATIONAL SMS CALL</td>
<td>Access</td>
<td>Allows a user to receive OTP (One time passcode) via call or SMS to mobile phone numbers belonging to countries other than U.S. Note: Requires user has one of the OTP entitlements (BFEs 2870, 2871 or 2872).</td>
</tr>
<tr>
<td>17374</td>
<td>Functional</td>
<td>Administrative</td>
<td>MOBILE BIOMETRIC AUTHENTICATION</td>
<td>Access</td>
<td>Allows users to login to NetX360 Mobile using Touch ID or Face ID.</td>
</tr>
</tbody>
</table>
### Download NetX360 Mobile

**iPad or iPhone**

You can download the NetX360 mobile application directly to your iPad or iPhone by searching for **NetX360** on either of the following:

- Apple App Store
- Apple iTunes®

**Android**

You can download the NetX360 mobile application directly to your Android device by searching for **NetX360** on Google Play Store.
Log In to NetX360 Mobile

Once you have downloaded NetX360 mobile, you can log in. Your login user ID and password for NetX360 mobile are the same as you normally use to log in to NetX360. The NetX360 mobile login provides enhanced authentication.

The log in process is dependent on what your firm has enabled for you. As part of the process, identity verification is necessary and done through one of the following options:

- **Security Question and Answer**: If your firm has enabled this option, you must set up three security questions before accessing NetX360. For information on configuring security questions and answers, see Configure Security Questions and Answers below.

- **One-Time Passcode (OTP)**: If your firm has enabled this option, you must set up at least one contact method before accessing NetX360. For information on configuring contact method, see Configure One-Time Passcode (OTP) Contact Method on page 10.
Configure Security Questions and Answers

1. Launch NetX360 mobile. The Log in to NetX360 page displays.

2. Enter your user ID and password, and tap Continue. The Security Setup - Questions page displays.

3. Select three questions and provide answer to each question.

**Tip:** To mask your responses, select the Mask Responses option.
4. To access NetX360 from this device in future without answering a security question, select Yes for Remember My Device and tap Save. A confirmation page displays.

5. Tap OK. The NetX360 mobile home displays.

Configure One-Time Passcode (OTP) Contact Method

1. Launch NetX360 mobile. The Log in to NetX360 page displays.

2. Enter your user ID and password, and tap Continue. The One-Time Passcode page displays.
3. Select a **Contact Method** from the list, provide appropriate information in the fields that display and tap **Verify**. The **Verify your device** window displays.

4. A passcode is sent to the selected contact method. Enter the passcode in the space provided and tap **Verify**. The **One-Time Passcode** page displays the contact method is successfully verified.

**Tip:** If you did not receive a code, click **Send New Code**.
5. To access NetX360 from this device in the future without a passcode, select **Yes** for **Remember My Device** and tap **Continue**. A confirmation page displays.

6. Tap **OK**. The NetX360 mobile home displays.
Log In to NetX360 Mobile Using Security Question

1. Launch NetX360 mobile. The Log in to NetX360 page displays.

2. Enter your user ID and password, and tap Continue. The Verify Identity page displays where you verify your identity by providing answer to a security question.

   **Note:** If your mobile device is secure, you can turn the Remember User ID option On to remember your user ID the next time you launch the application.

3. Enter the answer to the security question.

   **Tip:** If your mobile device is secure, you can turn the Remember this device for 30 days? option On. You will not be asked to verify your identity if you turn on this option.

4. Tap Continue. The NetX360 mobile home displays.
Log In to NetX360 Mobile Using One-Time Passcode (OTP)

1. Launch NetX360 mobile. The Log in to NetX360 page displays.

2. Enter your user ID and password, and tap Continue. The Verify Identity page displays where you verify your identity by providing a passcode.

   **Tip:** If your mobile device is secure, you can turn the Remember User ID option On to remember your user ID the next time you launch the application.

3. Select how and where you want to receive the passcode.
4. Tap Send Code. A passcode is sent to the selected contact method.
5. Enter the passcode in the space provided.

**Tip:** If your mobile device is secure, you can turn the **Remember this device for 30 days?** option **On.** You will not be asked to verify your identity if you turn on this option.

6. Tap **Continue.** The NetX360 mobile home displays.
Log In to NetX360 Mobile Using Touch ID

Touch ID in iOS devices simplifies your login to NetX360 mobile. This feature allows faster authentication using the secure login facility and Apple’s biometric authentication technology. To log in using Touch ID, you must enable this feature.

Notes:
- If you are entitled to this feature, you can access Touch ID on the Apple device by following the instructions from Apple.
- This feature is not available on Apple iPhone X Android, and Windows mobile phones or tablets.

Enable Touch ID

1. Launch NetX360 mobile. The Log in to NetX360 page displays.

2. Enter your user ID and password, and tap Continue.

3. Verify your identity by providing the answer to a security question or a passcode, and then tap Continue. The Enable Touch ID screen displays if you have not enabled Touch ID previously.
4. Tap **Enable Touch ID**. The verify fingerprint message displays.

5. Place the desired finger on the fingerprint sensor to authenticate and verify your identity.

6. After verification, a success message displays.

**Notes:**
- All fingerprints saved on the device can access NetX360 via Touch ID.
- You can enable or disable Touch ID via **Security Settings**.
- If the Touch ID does not function under certain circumstances, you can manually login by entering the password.
Log In to NetX360 Mobile Using Face ID

The Face ID feature on supported Apple iPhones simplifies your login to NetX360 mobile. This feature allows faster authentication using the secure login facility and Apple’s biometric authentication technology. To log in using Face ID, you must enable this feature.

Notes:

- If you use a supported Apple device and if you are entitled to this feature, you can access Face ID on the iPhone device by following the instructions from Apple.
- This feature is not available on other unsupported devices from Apple, Android, and Windows mobile phones or tablets.

Enable Face ID

1. Launch NetX360 mobile. The Log in to NetX360 page displays.

2. Enter your user ID and password, and tap Continue.
3. Verify your identity by providing the answer to a security question or a passcode, and then tap Continue. The Enable Face ID screen displays if you have not enabled Face ID previously.

4. Tap Enable Face ID icon. A confirmation message displays.

5. Tap OK. A confirmation message displays.
6. The device camera opens. Look at the camera to authenticate and verify your identity.

7. After the verification, a success message displays. Tap OK.

**Notes:**
- You can enable or disable Face ID via **Security Settings**.
- If the Face ID feature does not function under certain circumstances, you can manually login by entering the password.

**Log Out of NetX360 Mobile**

1. In iOS, tap the logout icon ![logout_icon] in the upper right corner.
   In Android, tap the logout link in the upper right corner.

2. If a confirmation message displays, tap **OK**.
2. Navigating NetX360 Mobile

Overall navigation of NetX360 mobile is similar for all supported devices, but some navigation is platform-specific.

General Navigation

<table>
<thead>
<tr>
<th>TO</th>
<th>DO THIS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Launch a feature</td>
<td>Tap a tile on the home page</td>
</tr>
<tr>
<td>Move among pages</td>
<td>Swipe across Or Tap the arrow icon to the right of the page name, then tap the desired page</td>
</tr>
<tr>
<td>Return to the home page</td>
<td>Tap the back icon</td>
</tr>
<tr>
<td>Close a page (iPad only)</td>
<td>Tap the close icon</td>
</tr>
</tbody>
</table>

iPad Navigation

Utilities Menu

The Utilities menu on the right side of the page includes some general options which are always available, including:

- Settings
- Feedback
- Privacy Policy
- Terms of Use
- Home

On some pages, the menu includes additional tasks that are related to the current page.

Display the Utilities Menu

- Tap the Menu icon on the right side of the page.

Shortcuts

The shortcuts along the bottom of the iPad home page allow you to access My Day, My Clients and My Practice.

Access Shortcuts

- Tap the arrow icon at the bottom of the page.
iPhone Navigation

NetX360 mobile for iPhone provides a single menu at the bottom of the page. This menu includes some general options which are always available, including:

- Logout
- Feedback
- Privacy Policy
- Terms of Use
- Home

On some pages, the menu includes additional tasks that are related to the current page.

Display the Menu

- Tap the menu icon in the lower right corner.

Android Navigation

Menu

The menu on the upper left side of the page includes the main navigation options which are always available, including:

- Home
- My Day
- My Client
- My Practice

Display the Menu

- Tap the menu icon in the upper left corner.

Utilities Menu

The Utilities menu on the right side of the page includes some general options which are always available, including:

- Settings
- Feedback
- Privacy Policy
- Terms of Use
- Check for Updates

These options are also available on the list of main navigation options on the top left. On some pages, the menu includes additional tasks that are related to the current page.

Display the Utilities Menu

- Tap the Menu icon on the right side of the page.
Quick Tour

When you log in to NetX360 mobile for the first time, a Quick Tour walks you through some navigation tips and key features.

- To close the Quick Tour, tap the close icon in the upper right.
- At any time, you can view the Quick Tour again by tapping the Quick Tour tile on the home page.
3. NetX360 Mobile Home Page

The home page, which displays when you log in to NetX360 mobile, provides quick access to NetX360 mobile functions.

Launch a Feature

- Tap the tile on the home page.

My Day

The My Day section, the main area of the home page, displays content tiles for NetX360 mobile functions, including:

- Communications Center
- Alerts
- Feedback
- Quick Tour
- Get Quote
- Contacts
- Watch Lists
- Market Clock
- Market Indices
• Weather

My Clients

My Clients enables you to quickly access information about client accounts and households, place trades, deposit checks, enter account notes and for entitled users, access MoneyGuidePro financial planning.

My Practice

My Practice enables you to view account information across your book of business. You can also view your revenue summary and evaluate investment ideas.
4. Communications Center

Communications Center displays messages from Pershing and your firm.
View a Message in Communications Center

1. Tap the Communications Center tile on the home page.
2. Tap the message you want to view.
5. Alerts

The Alerts page displays alerts and items for attention (IFA) for your accounts.

**Note:** NetX360 Mobile displays only FYI alerts.

**View an Alert or IFA**

1. Tap the **Alerts** tile on the NetX360 mobile home page. The **Alerts** page displays.
2. Tap a category.
3. Tap an item to view details.

**View All Items for Attention**

1. Tap the **Alerts** tile on the NetX360 mobile home page. The **Alerts** page displays.
2. Tap **View All Items for Attention** in the lower left. The **All Items for Attention** page displays.
3. Tap a number link in the **No. of Items** column. A list of items in the selected category displays.
4. To return to the **All Items for Attention** page, tap **Back**.
5. To close the **All Items for Attention** page, tap the close icon in the upper right.
6. Feedback

NetX360 mobile enables you to provide feedback to Pershing on the application. This helps Pershing improve its applications and provide the features users need most.

Submit Your Feedback to Pershing

1. Tap the Feedback tile on the NetX360 mobile home page. The Feedback page displays.
2. In the Comments field, enter your feedback. Please be as specific as possible.
3. In the Email field, enter your e-mail address.
4. Pershing sometimes contacts users who have submitted feedback to get additional information. Select the desired response to the question Can we contact you regarding this feedback?
5. Tap Submit. A feedback e-mail displays.
6. Confirm the information is correct and tap Send in the upper right.
7. Get Quote

Get Quote provides quotes on equities and other securities.

Get a Quote

1. Tap the Get Quote tile on the NetX360 mobile home page. The Quote page displays.
2. In the Search field, enter the symbol or name of the security. A list of matching search results displays.
   To view multiple quotes, enter the symbols, separated by commas.
3. Tap a search result. A quote for the selected security displays.

Add Security to Watch List

1. If you want to add the security to a watch list, tap + Add to watch list. A list of watch lists displays.
2. Tap the desired watch list. A confirmation message displays.
3. Tap OK.
8. Contacts

**Contacts** provide a list of your clients, both individuals and households.

### Access Contact Information

1. Tap the **Contacts** tile on the NetX360 mobile home page. The **Contacts** page displays.

2. By default, account contacts are displayed. If desired, tap **Households** to access household contacts.

3. Locate the desired contact by doing one of the following:
   - Tap the **Search** field, enter the first few letters of the contact name, and tap **Search**. A list of matching contacts displays.
   - A list of letters displays to the right of the contact names. Tap the first letter of the client's last name (individual) or the first letter of the household name, and swipe up and down to scroll through the list.
   - Swipe to up and down scroll through the entire list of contacts.

4. Tap the desired contact to display details, including phone numbers, address and account numbers.

5. If desired, tap the address to view a contact's address in Apple Maps or Bing Maps.

6. (iPad and iPhone only) If desired, tap the FaceTime icon in the upper right to start a FaceTime session with the contact.
9. Watch Lists

The **Watch Lists** page displays your security watch lists. If you have more than one watch list, you can swipe to move between watch lists.

You can select your preferred view for a watch list from the **Utilities** menu or app bar:

- Heatmap view
- Grid view

*Heatmap View*
9. WATCH LISTS

Grid View

View a Watch List

- Tap the Watch Lists tile on the NetX360 mobile home page. The Watch Lists page displays.

Move Between Watch Lists

- Swipe across.
- Or
  - Tap the arrow icon to the right of the page name and tap the desired watch list.

Change the Watch List View

1. Display the desired watch list.
2. Tap Grid View or Heatmap View from the menu or app bar. The watch list displays the selected view.

View Security Details in Heatmap View

- Tap a tile on the heatmap to view a detailed quote for the security.
Create a Watch List

1. Tap the **Watch Lists** tile on the NetX360 mobile home page. The **Watch Lists** page displays.
2. Tap + **New Watchlist** from the menu or app bar. The **New Watch List** page displays.
3. In the **Name** field, enter a name for the new watch list.
4. Tap + **Add Symbol**.
5. In the **Search** field, enter the security symbol you want to add and tap **Search**. A list of matching securities displays.
6. Tap the desired security. The security is added to your watch list.
7. Repeat as desired to add more securities to the watch list.
8. To remove a security from the watch list, tap the delete icon. The security is removed from the watch list.
9. When you are done adding securities to the watch list, tap **Save**.

Edit a Watch List

1. Display the watch list you want to edit.
2. Tap **Edit Watch List** from the menu or app bar. The **Edit Watch List** page displays.
3. To add securities to the watch list:
9. WATCH LISTS

- Tap + **Add Symbol**.
- In the **Search** field, enter the security symbol you want to add and tap **Search**. A list of matching securities displays.
- Tap the desired security. The security is added to your watch list.

4. To remove a security from the watch list, tap the delete icon. The security is removed from the watch list.

5. When you are done, tap **Save**.

**Delete a Watch List**

1. Display the watch list you want to delete.
2. Tap **Edit Watch List** from the menu or app bar. The **Edit Watch List** page displays.
3. Tap **Delete Watch List**.
10. Market Clock

The Market Clock tile on the NetX360 mobile Home page displays the time remaining until the NYSE closes. You can open the Market Clock page to view the time remaining until closing time for various stock exchanges around the world:

- New York Stock Exchange (NYSE)
- Toronto Stock Exchange (TSX)
- London Stock Exchange (LSE)
- Hong Kong Stock Exchange (SEHK)
- Tokyo Stock Exchange (TSE)
- Australian Stock Exchange (ASX)

View Time Remaining Until Closing for Additional Stock Exchanges

- Tap the Market Clock tile on the NetX360 mobile home page. The World Market Clock page displays.
11. Market Indices

**Market Indices** provides updates on various market indices, including Dow Jones, Nasdaq and S&P 500.

Tiles are color-coded to indicate status:

- Green—Index is up
- Red—Index is down
- Gray—Index has not changed

**View Additional Indices**

- Tap the **Market Indices** tile on the NetX360 mobile home page.
12. Weather

NetX360 mobile provides weather forecasts for your current location as well as locations of your future appointments.

- The weather tile on the NetX360 mobile home page displays a quick forecast for your current location.
- The **Weather** page displays more detail, including:
  - Weather forecast for your current location for today and the next five days.
  - Weather forecast for the location of the next appointment on your mobile device calendar, if applicable.

**View the Full Forecast**

1. Tap the weather tile on the NetX360 mobile home page. The **Weather** page displays the forecast for your current location.
2. If forecasts for additional locations are available, swipe to view the forecasts for other locations.
13. My Clients

My Clients enables you to quickly access information about client accounts and households, place trades and enter account notes.

- Tap a tile to move to that section.
- From an account or household page or the Recently Viewed page, tap the back icon 🔄 to return to My Clients.

View Client Account Information

The NetX360 mobile account workbook displays client account information. The account workbook includes a summary page as well as detail pages such as Balances, Holdings and Activity.

Open a Recently Viewed Account or Household

1. Tap the Recently Viewed tile under My Clients on the NetX360 mobile home page.
2. Tap the desired account or household. The Summary page displays.
3. Swipe across to view detail pages for the account or household.
Search for an Account or Household

1. Tap the Accounts or Households tile on the NetX360 mobile home page.
2. Tap the search icon 📦.
3. Enter the first few characters of the account or household number or short name. Matching accounts or households display.
4. Tap the desired account or household. The Summary page displays.
5. Swipe across to view detail pages for the account or household.

Move Between Pages

- Swipe across to move between pages.
  Or
  Tap the arrow icon ➔ to the right of the page name and tap the desired page.
- Pages include the following:
  - Summary
  - Balances
  - Holdings
  - Activity
  - Orders
  - Transaction Status
  - Notes
  - Projected Cash Flow
  - Documents

**Note:** The availability of pages differs between iPhone and iPad. The pages available at the account level might not be available at the all accounts level.

View the Full Account Profile

This feature is available on NetX360 mobile for iPad and Android.

- From the account Summary page, tap the Summary icon. The Profile displays.
- To close the profile, tap the close icon ✗ in the upper right or tap the back icon in Android.
Add a Note to an Account

1. From any page in the account workbook, the arrow icon to the right of the page name and tap Notes. The Notes page displays.

2. Tap the add note icon in the upper right.

3. Enter the note text.

4. To select who can view the note, tap Access and select the desired option:
   - Broker-Dealer—All users within your firm can view the note.
   - Private—Only you can view the note.

5. Tap Done to save the note to the account.
Presentation Mode

Presentation mode allows you to share selected information with clients. Presentation mode displays only the information that the client needs to see, and hides other clients’ confidential information.

This feature is available on NetX360 mobile for iPad and Android.
Turn On Presentation Mode

1. Open the desired account or household.
2. Tap Presentation Mode on the menu or app bar. A message at the top of the page informs you that presentation mode is in effect.

Turn Off Presentation Mode

1. Tap Exit in the upper right corner of the page.
2. Enter your NetX360 password.

Trading

From NetX360 Mobile, you can enter equity and mutual fund orders.

Enter an Equity Order

1. Display the account for which you want to place an order. See Chapter 13. My Clients on page 39.
2. Tap Trade on the menu or app bar. The New Order page displays. By default, Equity is selected.

Tip: You can also access trading by tapping the Trade tile under My Clients on the NetX360 Mobile Home page.
3. Enter order details. See Equity Order Fields below.
4. Tap Review before sending. The confirmation page displays order details you entered on the previous page.
5. Confirm the order details are correct and tap Submit.

**Equity Order Fields**

The table below describes the fields on the Equity Order page. Required fields are marked with an asterisk (*).

<table>
<thead>
<tr>
<th>FIELD</th>
<th>ENTER OR SELECT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Asset Type*</td>
<td>Equity</td>
</tr>
</tbody>
</table>
| Transaction*| • Buy  
• Buy to Cover  
• Sell from Position  
• Sell Not in Account  
• Sell Short          |
<p>| Quantity*   | Order quantity                                       |
| Symbol*     | Equity symbol. Tap the search icon to search for a symbol |</p>
<table>
<thead>
<tr>
<th>FIELD</th>
<th>ENTER OR SELECT</th>
</tr>
</thead>
</table>
| Order Type*             | • Market  
• Limit  
• Stop  
• Stop Limit                                                                                                                                                                                                 |
| Limit Price*            | This field is required if you selected Limit or Stop Limit in the Order Type field.  
Limit price                                                                                                                                                                                               |
| Stop Price*             | This field is required if you selected Stop or Stop Limit in the Order Type field.  
Stop price                                                                                                                                                                                                  |
| Duration*               | • Day—Good for the current day only  
• GTC—Good until cancelled  
• GTD—Good-till-date  
• GTW—Good-till-week. Order is good up to and including the seventh business day from the date the order is entered  
• GTM—Good-till-month. Order is good up to and including the number of days for the month that the order is entered  
• FOK—Fill or kill  
• OPG—Open only  
• IOC—Immediate execution or cancel                                                                                                                                                                         |
| Account Type*           | • Cash  
• Margin  
• Short (available if you selected Sell Short in the Transaction field)                                                                                                                                 |
| Discretion Exercised*   | • Yes  
• No (Default)                                                                                                                                                                                               |
| Additional Order Data   | • All or None  
• Not Held  
• Do Not Reduce Price  
• Do Not Increase Shares  
• Cash—Same Day Settle  
• Next Day Settlement                                                                                                                                                                                       |
| Comments                | Additional comments about the order                                                                                                                                                                            |

**Enter a Mutual Fund Order**

1. Display the account for which you want to place an order. See *Chapter 13. My Clients* on page 39.

2. Tap *Trade* on the menu or app bar. The *New Order* page displays. The *New Order* page displays. By default, *Equity* is selected.
Tip: You can also access trading by tapping the Trade tile under My Clients on the NetX360 mobile Home page.

3. In the Asset Type field, tap Mutual Fund.
4. Enter order details. See Mutual Fund Order Fields below.
5. Tap Review before sending. The confirmation page displays order details you entered on the previous page.
6. Confirm the order details are correct and tap Submit.

Mutual Fund Order Fields
The table below describes the fields on the Mutual Fund Order page. Required fields are marked with an asterisk (*).

<table>
<thead>
<tr>
<th>FIELD</th>
<th>ENTER OR SELECT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Asset Type*</td>
<td>Mutual Fund</td>
</tr>
<tr>
<td>Transaction*</td>
<td>• Buy</td>
</tr>
<tr>
<td></td>
<td>• Redeem</td>
</tr>
<tr>
<td></td>
<td>• Exchange</td>
</tr>
<tr>
<td>Symbol*</td>
<td>Mutual fund symbol. Tap the search icon to search for a symbol</td>
</tr>
<tr>
<td>Fund Details</td>
<td>Populates automatically when you select a symbol</td>
</tr>
<tr>
<td>FIELD</td>
<td>ENTER OR SELECT</td>
</tr>
<tr>
<td>----------------------</td>
<td>---------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Amount</td>
<td>Indicate how you want to enter quantity:</td>
</tr>
<tr>
<td></td>
<td>• Currency</td>
</tr>
<tr>
<td></td>
<td>• Shares</td>
</tr>
<tr>
<td></td>
<td>• Full (applies to redeem and exchange orders only)</td>
</tr>
<tr>
<td></td>
<td>• Enter the amount in the adjacent field</td>
</tr>
<tr>
<td>Discretion Exercised*</td>
<td>• Yes</td>
</tr>
<tr>
<td></td>
<td>• No (Default)</td>
</tr>
<tr>
<td>Reinvest Div/Inc</td>
<td>Applies to buy and exchange orders only</td>
</tr>
<tr>
<td></td>
<td>Indicate whether you want to reinvest dividends and income</td>
</tr>
<tr>
<td>Reinvest Cap Gains</td>
<td>Applies to buy and exchange orders only</td>
</tr>
<tr>
<td></td>
<td>Indicate whether you want to reinvest capital gains</td>
</tr>
<tr>
<td>NAV Ind</td>
<td>Indicate whether you want to buy the mutual fund at the NAV</td>
</tr>
<tr>
<td>Short Settle</td>
<td>Short settlement buy/redeem</td>
</tr>
<tr>
<td>Comments</td>
<td>Additional comments about the order</td>
</tr>
</tbody>
</table>
14. Mobile Check Deposit

Mobile check deposit feature provides you with a convenient method for depositing client checks for processing using your iPhone®, iPad® and Android.

Refer to the Mobile Check Deposit FAQ guide for a list of frequently asked questions regarding this feature.

**Single Deposit**

1. From the landing page, tap **Deposits** in the My Clients section. The Check Deposit page displays.

    Or

    From the account view, tap the right panel (iPad) or bottom panel (iPhone) to access **Deposits**.

2. Tap **Single Deposit** and take a photo of the front and back of the check.

    **Note:** The image below depicts a check with the word VOID written on the face. Do not take pictures with VOID written across the face of the check.
3. Follow the prompts to select the desired accounts and enter the check amount.
4. For qualified accounts, select a deposit source code for each account.

5. Tap **Review** to review the information.
6. Verify the deposit details and tap **Submit**. The **Confirmation** page displays.

![Confirmation Page](image)

**Keep the check in a secure area for at least 5 business days. Make sure the deposit has been credited to the account and then destroy the check.**

<table>
<thead>
<tr>
<th>Transaction ID</th>
<th>RDD0J0000000Y</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date/Time</td>
<td>01/19/2017 02:48 AM ET</td>
</tr>
<tr>
<td>Account</td>
<td>JOHN DOE (020000000)</td>
</tr>
<tr>
<td>Amount</td>
<td>$78.00</td>
</tr>
<tr>
<td>Reason</td>
<td>Qualified Matching Contribution</td>
</tr>
</tbody>
</table>

Please note, any check submitted after 03:00 PM EST will be processed the following business day.
Split Deposit

1. From the landing page, tap Deposits in the My Clients section. The Check Deposit page displays.

Or

From the account view, tap the right panel (iPad) or bottom panel (iPhone) to access Deposits.

2. Tap Split Deposit and take a photo of the front and back of the check.

   **Note:** The image below depicts a check with the word VOID written on the face. Do not take pictures with VOID written across the face of the check.

3. Select the number of splits and tap Continue. The Split page displays.

   **Note:** You can split a check between seven accounts.
4. Select the account, enter the check amount and select the reason code.

**Note:** The Split page displays according to the selected number of splits. Repeat step 4 to provide the required information.

5. After providing the information, tap **Continue**. The **Review** page displays.
6. Verify the deposit details and tap **Submit**. The **Confirmation** page displays.

![Confirmation Page](image)

**Cutoff Times**

**Note:** Check deposits are not processed on Saturdays, Sundays or on New York Stock Exchange or bank holidays.

**Firms Using Pershing Money Desk**

- The daily cutoff time for depositing checks is 3 p.m. ET
- Check deposits submitted prior to the cutoff time and in good order are processed the same business day.

**Firms Using RemitPro**

- The cutoff time for depositing checks can be adjusted up to 6:30 p.m. ET. Contact your Account Manager to request a change.

**Firms Considering Using Pershing Money Desk**

For firms considering using Pershing’s Money Desk to process mobile deposits, a review must first be performed from a volume standpoint until an automated workflow solution is implemented. The preferred model for firms currently processing their own deposits is to send the mobile deposits to their firm for processing.
15. Request a Check

From NetX360 Mobile, you can submit check requests to issue checks from your clients' accounts.

1. From the landing page, tap Check Request in the My Clients section. The Check Request page displays.

2. Select the account from which you want to request a check.
3. Enter the check request details. See Check Request fields.
4. Tap Review before sending. The review page displays the check request details you entered on the previous page.
5. Tap Send Check Request. Pershing’s check request rules validate your request.
   - If the request does not violate any rules, the Confirmation page displays indicating the check request number and summary.
   - If the request violates any rules, a list of violations displays and you cannot submit the request.

Tip: To view the status of the request, tap Status. Tap Make another Check Request to place another check request.
## Check Request Fields

The table below describes the fields on the Check Request page. Required fields are marked with an asterisk (*).

<table>
<thead>
<tr>
<th>FIELD</th>
<th>ENTER OR SELECT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Amount*</td>
<td>Enter the amount of the check request.</td>
</tr>
<tr>
<td>Release Date*</td>
<td>Enter a future date (up to 30 days from today's date).</td>
</tr>
<tr>
<td>Release Date Comments</td>
<td>Enter comments for the release date.</td>
</tr>
<tr>
<td>Request Reason</td>
<td>Select the appropriate reason from the list.</td>
</tr>
<tr>
<td>Print Location</td>
<td>Select the location where the check must be printed.</td>
</tr>
<tr>
<td></td>
<td><strong>Note</strong>: If you selected IBD Printer, select the location from the Office Number list. The IBD Printer option is available only if your office is set up with a PACE printer.</td>
</tr>
<tr>
<td>Mode of Delivery</td>
<td>Displays Mail.</td>
</tr>
<tr>
<td>Account Type</td>
<td>Select the appropriate option from the list.</td>
</tr>
<tr>
<td>Payee Name &amp; Delivery Address</td>
<td>Displays the account holder's name and address in the U.S.</td>
</tr>
<tr>
<td>Use Legal Address</td>
<td>Select this option to send the check to the legal address of the account holder in the U.S.</td>
</tr>
<tr>
<td>Memo on Check Stub*</td>
<td>Enter the memo you want to display on the check stub (if different from the text displayed).</td>
</tr>
</tbody>
</table>
16. Automated Clearing House (ACH) Transfer

From NetX360 Mobile, you can transfer funds to your clients’ bank accounts.

1. From the landing page, tap **Transfer Funds** in the **My Clients** section. The **ACH Request** page displays.

2. Select the account from which you want to send funds and the account to which funds must be sent.

3. After selecting the accounts, tap **Continue**.
4. On the page that displays, enter the ACH amount, release date and comments.

5. After providing the required information, tap **Submit Request**.

   - If the request does not violate any rules, the **Confirmation** page displays indicating the ACH request number and summary.

     **Tip:** To view the status of the request, tap **Status**. Tap **Make another ACH Request** to place another ACH request.

   - If the request violates any rules, a list of violations displays. To override violations that are not severe, enter a comment and tap **Acknowledge & Submit**. A confirmation message displays. You cannot override severe rule violations.
17. Upload and View Documents

Upload Documents

The upload documents feature provides you with a convenient method to upload Pershing-required documents using your iPhone® and iPad®.

You can upload the following documents:

- ACH Authorization Form
- Adoption Agreement Form
- Distribution Form
- LOA for Asset Movement
- Transfer Form

To upload documents:

1. From the account’s Summary page, tap the arrow icon to the right of the page name and tap Documents. The Documents page displays.
2. Tap Upload on the upper right. The Document Type page displays.
3. Tap the required document type and then tap Next.
4. Using your device’s camera, take photos of the document pages.
5. Verify the image capture and tap Accept. To recapture the page, tap Retake.
6. After capturing all the pages, tap **Done**.
7. In the **Document Properties** section, enter a description.
8. Tap **Upload**.
View Documents

1. From the account’s Summary page, tap the arrow icon to the right of the page name and tap Documents. The Documents page displays.
2. Tap Imaged Documents.
3. Tap the required document type to view the uploaded documents.
4. Tap the document name to view the image captures.
18. Email and Print Documents

Email Documents

1. From the account’s Summary page, tap the arrow icon to the right of the page name and tap Documents. The Documents page displays.
2. Tap on the header area of the document you wish to email. A window displays.
3. Tap on the Mail icon. The send email window displays.
4. Enter the required information and tap Send.
Print Documents

Note: Print feature is currently available only for iOS devices.

1. From the account’s Summary page, tap the arrow icon to the right of the page name and tap Documents. The Documents page displays.
2. Tap on the header area of the document you wish to print. A window displays.

3. Tap on the Print icon. The Printer Options window displays.

4. Select the printer, number of copies and page range.
5. Tap Print.
19. Customer Relationship Management (CRM)

Salesforce CRM is a third party CRM product. NetX360 Mobile provides you the capability to access your Salesforce CRM account from NetX360 Mobile, and share your Salesforce CRM contacts and opportunities with NetX360.

To access Salesforce, from the landing page, tap **salesforce** in the **My Clients** section.

MoneyGuidePro Financial Planning software enables entitled users to plan their finances and track their goals effectively through NetX360 mobile. All users who access this via the desktop version can access the software through their iPad.
21. My Practice

My Practice enables you to quickly access information you need to manage your business.

Accounts

The accounts section provides a consolidated view of account information at the firm, office or advisor level.

Access Consolidated Account Information

1. Tap the accounts tile at the top of My Practice. The Balances page displays at the selected firm, office and advisor level.
2. To change the firm, office or advisor level, tap the edit icon.
3. Enter the desired firm (IBD), office and advisor (IP) numbers. You can enter ALL to display all offices or advisors.
4. Tap Display.
5. Swipe across to view additional pages.
Move Between Pages

- Swipe across to move between pages.
  Or
  Tap the arrow icon to the right of the page name and tap the desired page.

For Your Information

The For Your Information section displays Items for Attention (IFA) at the IBD, office or advisor level.

View an IFA

1. Tap the For Your Information tile under My Practice on the NetX360 Mobile home page. The Items for Attention page displays.
2. Tap an item to view details.

Change the IBD, Office or Advisor Level

1. Tap the edit icon .
2. Enter the desired firm (IBD), office and advisor (IP) numbers. You can enter ALL to display all offices or advisors.
3. Tap Display.
21. MY PRACTICE

View All Items for Attention

This feature is only available on NetX360 Mobile for iPad.

1. Tap View All Items for Attention in the lower left. The All Items for Attention page displays.
2. Tap a number link in the No. of Items column. A list of items in the selected category displays.
3. To return to the All Items for Attention page, tap Back.

Opportunities

Opportunities displays key information about your clients’ accounts that helps you discover new investment ideas and reasons to contact your clients, including:

- Unrealized gains and losses
- Cash positions
- Market value
- Net worth
- Funds due

To move between pages, see Move Between Pages on page 69.

To change the IBD, office and advisor level for the data displayed on these pages, see Change the IBD, Office or Advisor Level on page 69.
My Revenue

My Revenue displays a summary of your revenue, including commission, sales credit, and fees, for the previous business day, current month, year-to-date, and the last 12 months. Pending revenue is also displayed.

To change the IBD, office and advisor level for the data displayed on these pages, see Change the IBD, Office or Advisor Level on page 69.
22. Select Wallpaper

This feature is available on NetX360 Mobile for iPad and Android.

1. Tap **Settings** from the menu or app bar. The **Settings** page displays.
2. Tap **Wallpaper**. Wallpaper selections display.
3. Tap the desired wallpaper.
4. Tap **Done**.
23. Notifications

Notifications display alerts relating to activities that happen in your accounts. You can enable notifications for the following: account opening, check request and incoming cash. Notifications display on your device and on your home dashboard in NetX360.

1. Tap Settings from the menu or app bar. The Settings page displays.
2. Tap Notifications. The Notifications page displays.
3. Tap once to turn the desired notification option on.
4. Tap Done.