Set Up Electronic Delivery in NetXInvestor®

USER GUIDE
# Table of Contents

## Introduction

| Audience | 2 |

## Overview

<table>
<thead>
<tr>
<th>Availability of Features</th>
<th>3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Navigation</td>
<td>3</td>
</tr>
<tr>
<td>Operating Systems and Browser Requirements</td>
<td>4</td>
</tr>
</tbody>
</table>

## Electronic Delivery

| Add Email Addresses | 5 |
| Set Up e-Delivery for an Individual Account | 6 |
| Set Up e-Delivery for Multiple Accounts Using Quick Enroll | 7 |
| View Statements & Reports | 7 |
| View Trade Confirmations | 8 |
| View Tax Documents | 9 |
| View Notifications | 9 |
| Generate Adobe PDF | 10 |

## NetXInvestor Mobile App

| Access | 11 |
| Apple Watch | 11 |
| Download NetXInvestor Mobile App | 11 |
| Mobile Requirements | 11 |
| Navigation | 12 |
| Deposit Checks | 16 |
| Touch ID | 17 |
| Face ID Login on Apple iPhone® X | 19 |
Introduction

This guide, and the five other related NetXInvestor User Guides, familiarizes you with the capabilities and functions of the NetXInvestor® platform. The platform enables you to place trades online, view your portfolio, perform market research, and much more.

Audience

With this guide you, the investor, can learn how to:

- Set up electronic delivery
- View statements and reports
- Manage your account preferences
- View your account portfolio
- Perform market research
- Place trades
Overview

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

Availability of Features

Your financial firm might not enable you to access or view all of the features described in this user guide. Contact your financial professional if you have any questions.

Navigation

The NetXInvestor home page provides access to a majority of the functions via tabs. Each tab performs a specific function.

<table>
<thead>
<tr>
<th>TAB</th>
<th>ENABLES YOU TO</th>
</tr>
</thead>
<tbody>
<tr>
<td>Advisor Home</td>
<td>View the contact information of the financial professional for all accounts linked to your user ID. The advisor information displayed is the same as what appears on your account statement.</td>
</tr>
<tr>
<td>Portfolio</td>
<td>View the snapshot view of your account overview. Along with the snapshot view, you can also view: balances, holdings, unrealized gain/loss, realized gain/loss, history and projected cash flow.</td>
</tr>
<tr>
<td>Transact</td>
<td>Place a new equity, mutual fund, or option order. Apart from placing new orders, you can also view the order status, commission schedule, and also pay bills.</td>
</tr>
<tr>
<td>Research</td>
<td>View how the market is performing today. You can also view quotes of recently visited stocks, news relating to the visited stocks, create watch lists to monitor the required stocks and much more.</td>
</tr>
<tr>
<td>Tools</td>
<td>Create and view watch lists, view educational resources and helpful links.</td>
</tr>
<tr>
<td>Communications</td>
<td>View and download statements, reports, trade confirmations, tax documents, and read through the frequently asked questions compiled by the financial firm. You can create new account groups, add an alias to your linked accounts, and change your password and security questions. You can also set your e-delivery preferences.</td>
</tr>
</tbody>
</table>
Operating Systems and Browser Requirements

Operating Systems

- Microsoft® Windows 8+
- Apple® Mac OS X (10.15+)
- Apple® iOS 13+
- Android

Browsers

- Windows browsers: Microsoft® Internet Explorer 11 and higher, Google Chrome™ Version 67.x and higher and Mozilla® Firefox® Version 48.x and higher
- Mac OS X 10.15+ browsers: Apple® Safari Version 6.x and higher, Google Chrome™ Version 67.x and higher and Mozilla® Firefox® Version 48.x and higher
- Apple® iOS 13+ browsers: Apple® Safari Version 6.x and higher
- Android browsers: Google Chrome Version 67.x and higher
Electronic Delivery

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

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

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

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

- On the NetXInvestor home page, click Go paperless.
- On the NetXInvestor home page, click Communications > Settings.
- On the NetXInvestor home page, click Settings.

Add Email Addresses

The e-delivery Preferences section displays all the email addresses you have added earlier to your account. If you have not added any email addresses earlier, follow the instructions below to add.

2. In the Email Address(es) section, click Add Email Address(es).
3. Enter the email addresses in the fields and click Save.
Set Up e-Delivery for an Individual Account

1. In the **e-Delivery Preferences** section, click **Edit**.
2. Select the boxes next to the documents against the respective account you want to opt for e-delivery.
   
   **Tip:** To view the included documents under a category, click **Documents Included** link.

3. From the email list, select the required email address to which the documents should be delivered electronically.
4. Click **Save**. A window displays the terms and conditions.
5. Read through the terms and conditions and click **I Agree**. A window displays stating the e-delivery preferences have been saved.
6. Click **OK** to continue.
Set Up e-Delivery for Multiple Accounts Using Quick Enroll

1. In the **e-Delivery Preferences** section, click **Quick Enroll (for all accounts)**.
2. Select the boxes next to the documents you want to opt for e-delivery.
3. From the email list, select the required email address to which the documents should be delivered electronically.
4. Click **Save**. A window displays the terms and conditions.
5. Read through the terms and conditions and click **I Agree**. A window displays stating the e-delivery preferences have been saved.
6. Click **OK** to continue.

View Statements & Reports

The NetXInvestor platform allows you to view and download your account brokerage statements and reports and deliver these statements and reports electronically.

Statements and reports are available in the **All Communications** page. You can access statements and reports this way:

- Click **Communications > All Communications**. In the **All Communications** page, click **Statements & Reports**.
- Click **My Documents** in the **Quick Links** section.
The page, by default, displays the statements and reports for one year. To view a statement, click the link in the **Type** column for the required date. You can also view any notices by clicking the link in the **Inserts** column.

You can filter the information to display according to your requirements. Provide information in one or all of the following filters and click **Apply Filters**.

- Time Period
- From Date
- To Date

The information displayed can be exported to an Adobe PDF. For more information on exporting the information to a PDF, see [Generate PDF](#).

**View Trade Confirmations**

The NetXInvestor platform allows you to view and download your trade confirmations and electronically deliver these confirmations.

Trade Confirmations are available in the **All Communications** page. You can navigate by clicking **Communications > All Communications**. In the **All Communications** page, click **Trade Confirmations**.

The page, by default, displays the trade confirmations for one year. To view a trade confirmation, click the link in the **Type** column for the required date.

You can filter the information to display according to your requirements. Provide information in one or all of the following filters and click **Apply Filters**.

- Symbol
- Transaction Type
- Time Period
- From Date and To Date (These fields will be enabled only if Custom Range is selected for Time Period.)

The information displayed can be exported to an Adobe PDF. For more information on exporting the information to a PDF, see [Generate PDF](#).
**View Tax Documents**

The NetXInvestor platform allows you to view and download your tax information statement and electronically deliver this statement.

Tax statements are available in the All Communications page. You can navigate by clicking Communications > All Communications. In the All Communications page, click Tax Documents.

To view a tax statement, click the link in the Type column for the required date.

The information displayed can be exported to an Adobe PDF. For more information on exporting the information to a PDF, see Generate PDF.

**View Notifications**

The NetXInvestor platform offers you the option of viewing and downloading the notifications.

Notifications are available in the All Communications page. You can navigate by clicking Communications > All Communications. In the All Communications page, click Notifications.

To view a notification, click the link in the Type column for the required date.

The information displayed can be exported to an Adobe PDF. For more information on exporting the information to a PDF, see Generate PDF.
**Generate Adobe PDF**

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

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

To generate a PDF:

1. In any of the above pages, click **Combine Documents**. The option to select multiple documents becomes available for selection.

2. Select one or more documents by clicking the check box and click **Generate PDF**. The documents appear in the generated PDF.
NetXInvestor Mobile App

The NetXInvestor mobile app contains all of the features that you currently see in the NetXInvestor website. Few additional features are unique to the app, but every other aspect of the app looks and works as it does on the website. Mobile check deposit and Apple Watch (which works with iOS app) are the unique mobile features in the NetXInvestor mobile app.

Access

For more information on accessing NetXInvestor, using the NetXInvestor mobile app and using the mobile check deposit feature, contact your financial institution.

Apple Watch

The NetXInvestor mobile app for iOS works with Apple Watch to view balances and activity for your accounts. To synchronize Apple Watch with NetXInvestor, go to the Apple Watch app on Apple phone’s home screen and select NetXInvestor to include in the App Layout.

Download NetXInvestor Mobile App

You can download the NetXInvestor mobile application directly to your Android or iOS device by searching for NetXInvestor on Google Play Store or Apple App Store.

Mobile Requirements

- Android:
  - OS 6.x or higher
  - Size: 3.3 MB
- iOS
  - OS: 9.0 or higher
  - Size: 17.7 MB
Navigation

General Navigation

<table>
<thead>
<tr>
<th>TO</th>
<th>DO THIS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Move between pages</td>
<td>Tap Menu and then tap the desired page</td>
</tr>
<tr>
<td>Return to the home page</td>
<td>Tap Menu and then tap Overview</td>
</tr>
<tr>
<td>Return to the previous page (Android specific)</td>
<td>Tap the back icon ⬅</td>
</tr>
</tbody>
</table>

Functional Navigation

- To view the market snapshot, tap Menu > Market Snapshot.
- To view messages, tap Menu > Message.
- To log out, tap Menu > Logout.
- To set e-delivery preferences, tap Menu > Go Paperless.

Portfolio

- To view the snapshot of your most recent events/activities such as open orders, recently completed trades or composition of investments in the portfolio, tap Menu > Overview.
To view the total account value of your account, funds available for withdrawal, funds available to trade and day trading power as of previous day, tap Menu > Balances.
• To view the holdings you hold in the portfolio, tap the Menu > Holdings.

• To view the value of the portfolio in the form of a chart for the past 12 months, tap Menu > Valuation Over Time.

• To view the current performance of stocks in the market, summary of short-and long-term gain and loss information, tap Menu > Unrealized Gain/Loss.

• To view the profit or loss information of your stocks arising out of a sell, summary of short- and long-term gain and loss information, tap Menu > Realized Gain/Loss.

• To view the activities that have taken place in your account, tap Menu > History.

• To view the cash money flow into your account, tap Menu > Projected Cash Flow.

**Transact**

• To place an order, tap Menu > New Order.

• To view the status of orders, tap Menu > Order Status.

• To pay bills, tap Menu > Pay Bills.

• To deposit checks, tap Menu > Mobile Deposit.
Research

- To view stock market updates, market movers, advancers/decliners, access to real-time market news and events, tap Menu > Markets.

- To view full quote and perform research of a security, tap Menu > Quotes & News.
- To view the predefined stock, ETF and mutual fund screeners, compare stocks and funds for profile, performance and risk, tap Menu > Investing Tools.
- To view the prevailing rates for money market products, currency, commodities and others, tap Menu > Rateboard.

Tools

- To view your watchlists, tap Menu > Watchlist.
- To view the educational resources, tap Menu > Educational Resources.
- To view helpful links, tap Menu > Helpful Links.

Communications

- To view your account brokerage statements, tap Menu > All Communications > Statements & Reports.
- To view your trade confirmations, tap Menu > All Communications > Trade Confirmations.
- To view your tax information statement, tap Menu > All Communications > Tax Documents.
- To view your notifications, tap Menu > All Communications > Notifications.
- To change password, display settings, e-delivery preferences and more, tap Menu > Settings.
Deposit Checks

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

Deposit a Check

1. Tap Menu > Transact > Mobile Deposit. A page displays where you can use the device camera to take photo of the check.

2. Take a photo of the front and back of the check.

3. Follow the prompts to enter the check amount, select the desired accounts and enter the deposit amount.

4. If prompted, select a deposit source code for each account.
5. After providing the details, tap **Review** to verify the deposit details.
6. Verify the deposit details and tap **Submit**.

**Touch ID**

Touch ID in iOS devices simplifies your login to NetXInvestor mobile. To log in using Touch ID, you must enable this feature.

**Note:** This feature is not available on Android and Windows mobile phones or tablets.

**Enable Touch ID**

1. On the **NetXInvestor** home page, enter your firm number, user ID, and password.
2. Tap **Continue**. The **Enable Touch ID** screen displays if you have not enabled Touch ID previously.

3. Tap **Yes, Enable Touch ID**. A confirmation message displays.
4. Tap Yes, Enable Touch ID. A screen displays the legal agreement.
5. Read the terms and conditions, and then tap Agree, Enable Touch ID. A success message displays.

**Notes:**
- All fingerprints saved on the device can access NetXInvestor 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.

**Face ID Login on Apple iPhone® X**

You can use the Face ID feature on Apple iPhone® X to log in to NetXInvestor Mobile. This feature allows faster authentication using the secure login facility and biometric authentication technology.

**Note:** If you use an Apple device and if you are entitled to this feature, you can access Face ID on the iPhone X device by following the instructions from Apple. The instructions below allow you to enable Face ID for NetXInvestor.
Enable Face ID on NetXInvestor Mobile

1. On the NetXInvestor Login screen, tap Continue next to the Face ID icon.

   ![Login Screen]

2. The Enable Face ID screen displays if you have not enabled Face ID previously.

   ![Enable Face ID Screen]

3. Tap Yes, Enable Touch ID. A screen displays the legal agreement.
4. Read the terms and conditions, and then tap Agree, Enable Face ID. A success message displays.
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.