

Set Up Electronic Delivery in NetXInvestor[®]

USER GUIDE



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This User Guide contains illustrations and screen shots that are representative of information available within the secure pages of the NetXInvestor website. The information contained herein is for discussion purposes only and is subject to change without notice. Please refer to the secure web pages for additional details on use and/or applicable disclosures.

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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.

TAB	ENABLES YOU TO
Advisor Home	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.
Portfolio	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.
Transact	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.
Research	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.
Tools	Create and view watch lists, view educational resources and helpful links.
Communications	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.

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.

1. On the **NetXInvestor** home page, click **Settings**.
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**.

DATE	ACCOUNT	TYPE	TRANSACTION TYPE	CUSIP	SYMBOL
07/07/2014	52D000000	Trade Confirms	SELL	693390445	PTTAX
07/07/2014	52D000001	Trade Confirms	SELL	693390445	PTTAX
07/07/2014	52D000002	Trade Confirms	SELL	693390445	PTTAX

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**.

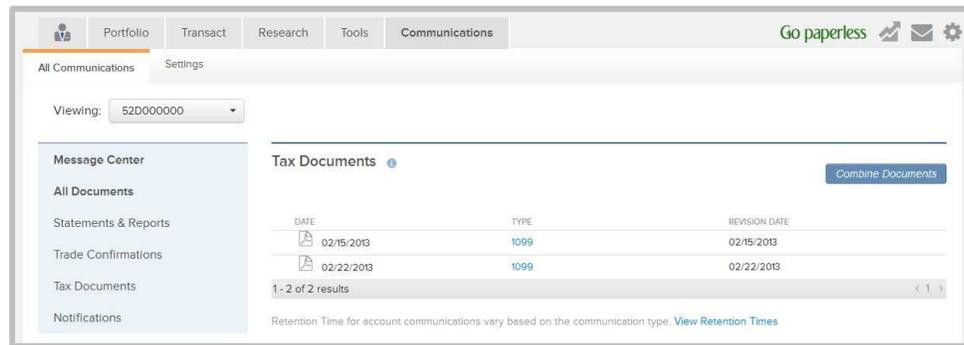
- Symbol
- Transaction Type
- Time Period
- From Date and To Date (These fields will be enabled only if Custom Range is selected for Time Period.)

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**.



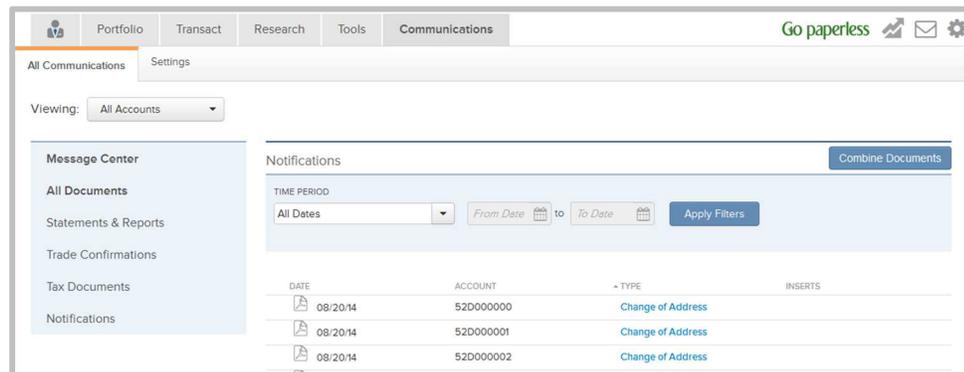
To view a tax statement, click the link in the **Type** column for the required date.

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.

The screenshot shows the 'Statements & Reports' section of the application. At the top right, there is a blue button labeled 'Combine Documents'. Below this, there is a 'TIME PERIOD' section with a dropdown menu set to 'Last 12 Months', 'From Date' and 'To Date' fields with calendar icons, and an 'Apply Filters' button.

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

The screenshot shows the 'Statements & Reports' section with the 'Generate PDF' and 'Cancel' buttons at the top right. Below the 'TIME PERIOD' section, there is a table with three columns: DATE, TYPE, and INSERTS. Three rows of data are visible, each with a checked checkbox in the DATE column.

DATE	TYPE	INSERTS
<input checked="" type="checkbox"/> 02/2014	Monthly Statements	Insert 1, Insert 2, Insert 3
<input checked="" type="checkbox"/> 02/2014	Monthly Statements	Insert 1, Insert 2, Insert 3
<input checked="" type="checkbox"/> 02/2014	Monthly Statements	Insert 1, Insert 2, Insert 3

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

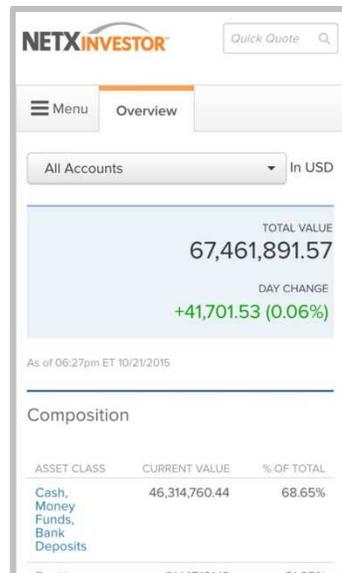
TO	DO THIS
Move between pages	Tap Menu and then tap the desired page
Return to the home page	Tap Menu and then tap Overview
Return to the previous page (Android specific)	Tap the back icon 

Functional Navigation

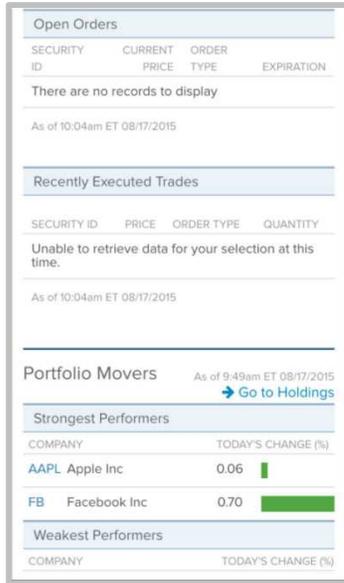
- To view the market snapshot, tap **Menu** > **Market Snapshot**.
- To view messages, tap **Menu** > **Message**.
- To log out, tap **Menu** > **Logout**.
- To set e-delivery preferences, tap **Menu** > **Go Paperless**.

Portfolio

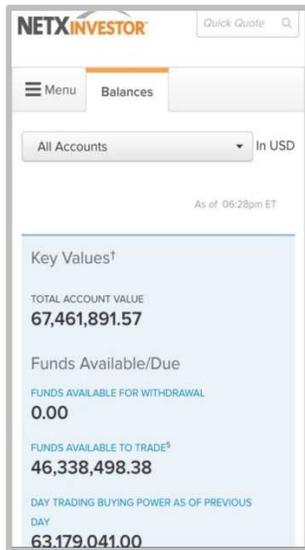
- To view the snapshot of your most recent events/activities such as open orders, recently completed trades or composition of investments in the portfolio, tap **Menu** > **Overview**.



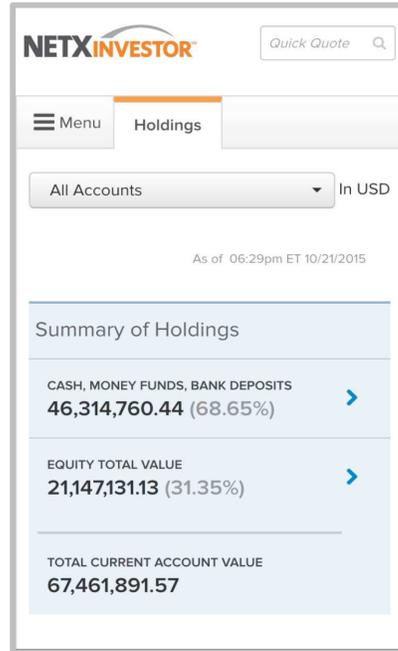
NETXINVESTOR MOBILE APP



- 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**.



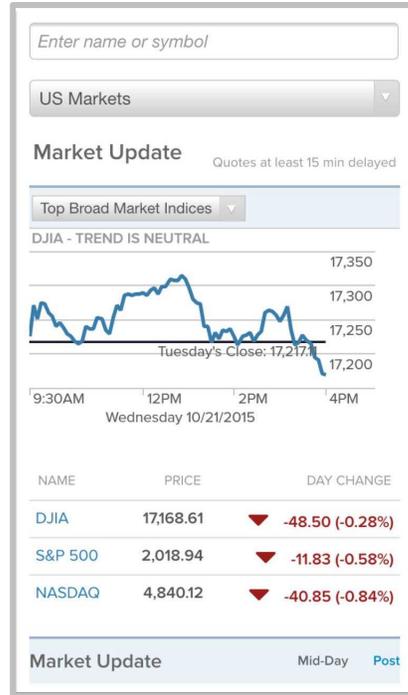
- To view the value of the portfolio in the form of a chart for the past 12 months, tap **Menu > Valuation Over Time**.
- To view the current performance of stocks in the market, summary of short-and long-term gain and loss information, tap **Menu > Unrealized Gain/Loss**.
- To view the profit or loss 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.

The screenshot shows the 'Move Money' interface. At the top left is a '< Back' button and at the top right is the title 'Move Money'. Below the title are two camera icons: 'Front of Check' on the left and 'Back of Check' on the right. Underneath these is a 'Deposit to' section with three input fields: 'Account', 'Amount', and 'Reason', each with a right-pointing arrow. To the right of these fields is an 'Add Account' button with a green plus sign. At the bottom left is a 'Clear' button and at the bottom right is a 'Review >' button.

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.

Money Move

Back

Front of Check

Back of Check

Deposit to

Account A COMPANY SECURITIES(52D000003) >

Amount \$ 87.32 >

Reason Check Deposit

Add Account +

Clear Review >

5. After providing the details, tap **Review** to verify the deposit details.
6. Verify the deposit details and tap **Submit**.

Touch ID

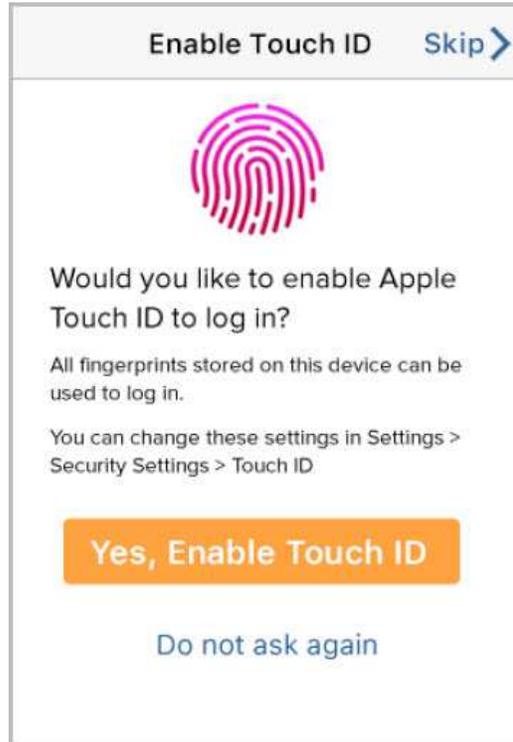
Touch ID in iOS devices simplifies your login to NetXInvestor mobile. To log in using Touch ID, you must enable this feature.

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

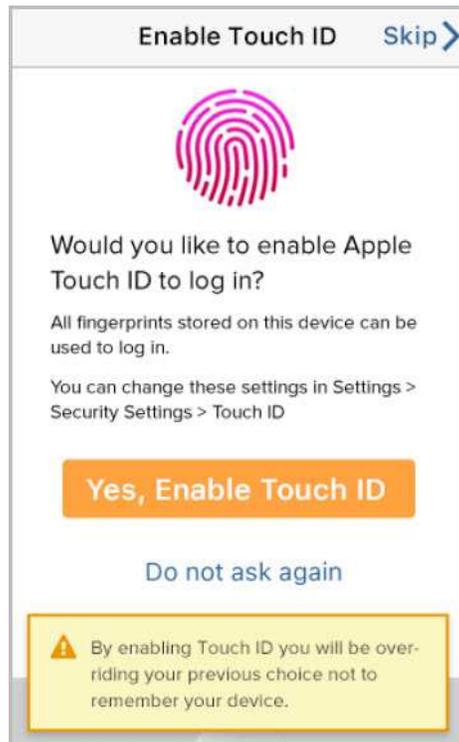
Enable Touch ID

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.



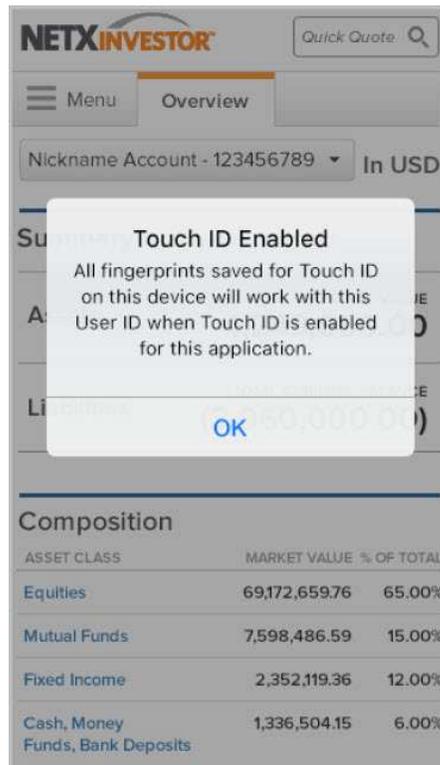
3. Tap **Yes, Enable Touch ID**. A confirmation message displays.



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.



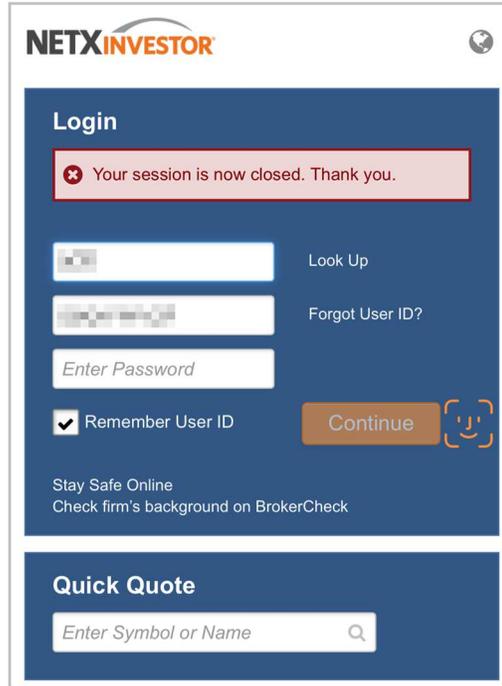
Face ID Login on Apple iPhone® X

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.

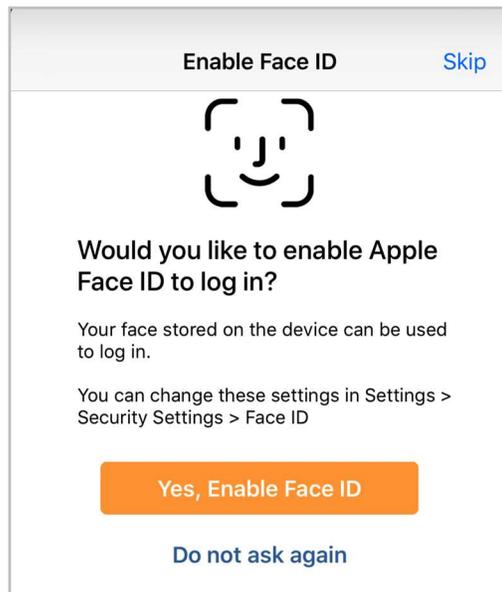
Note: If you use an Apple device and if you are entitled to this feature, you can access Face ID on the iPhone X device by following the instructions from Apple. The instructions below allow you to enable Face ID for NetXInvestor.

Enable Face ID on NetXInvestor Mobile

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



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



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.

