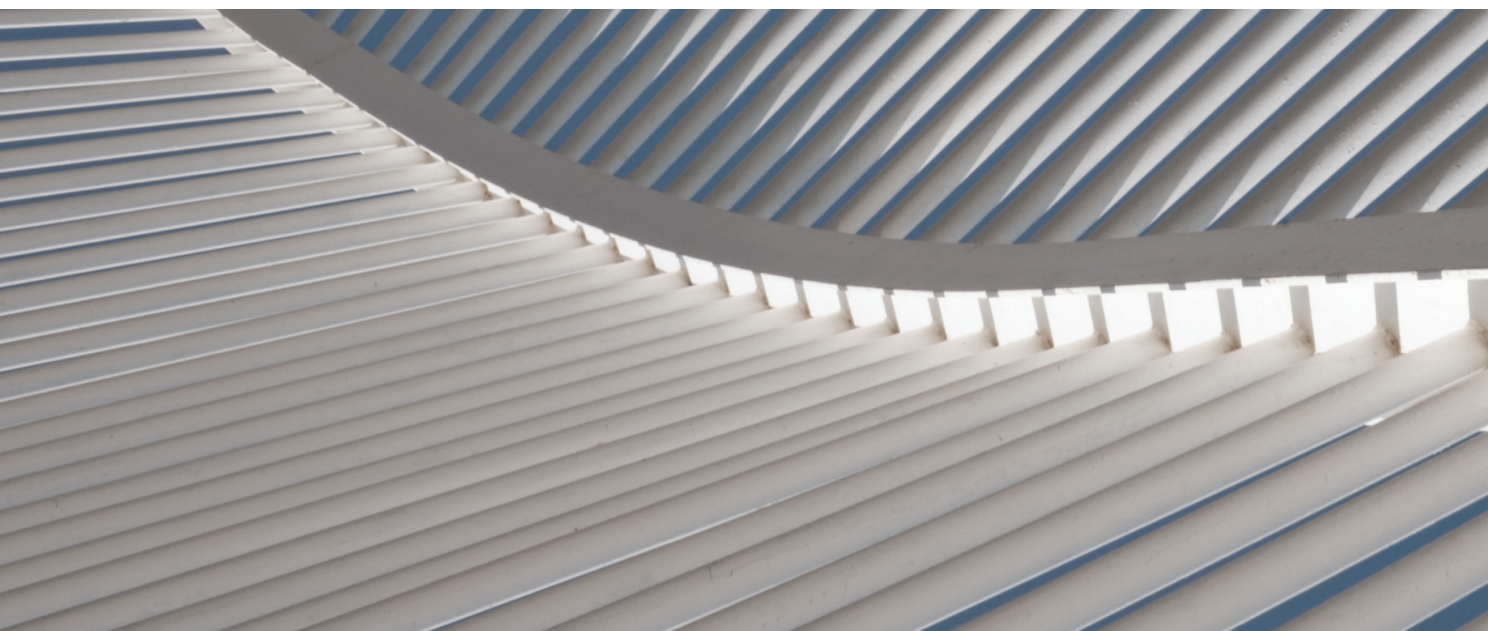
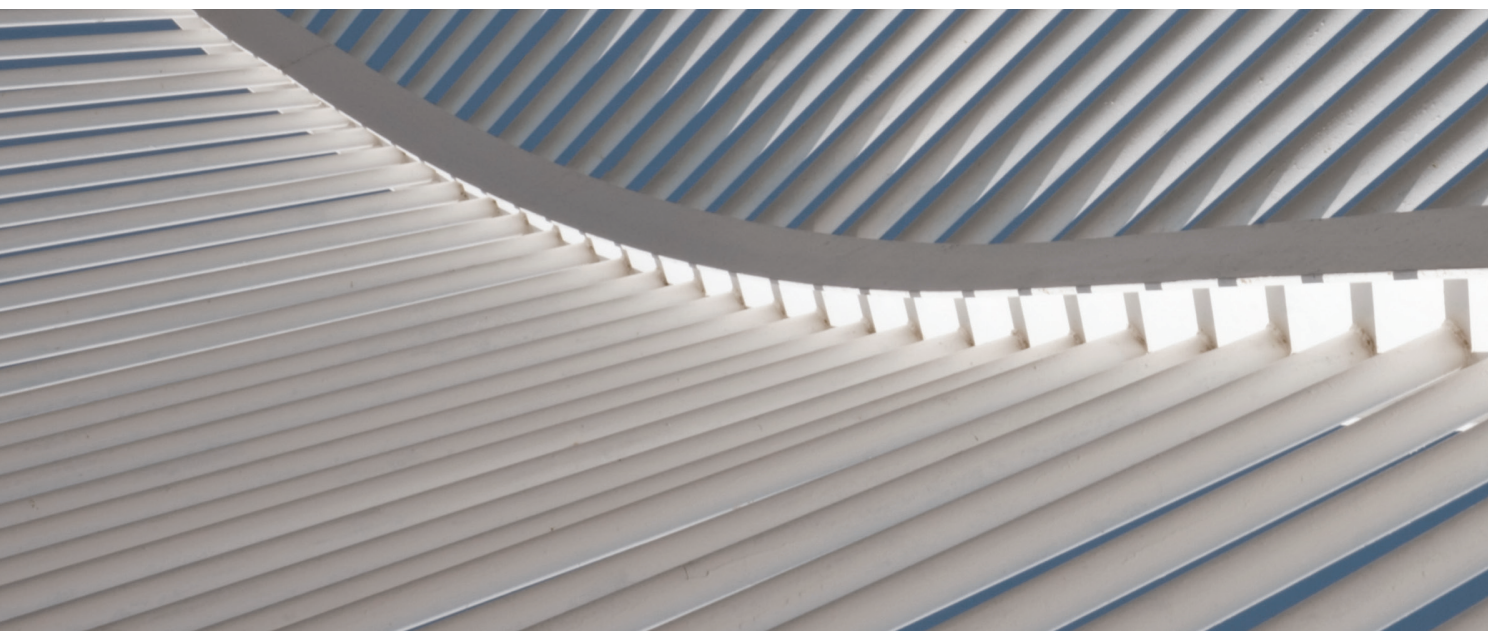




A Window to Your Financial World







NetXInvestor[®] provides you with online access to your investment accounts, night and day, seven days-a-week.¹ In addition, you can place trades and have instant access to balances, portfolio holdings, account activity, order status information and more.

View your investment account statements, tax statements and trade confirmations online. You also can access quotes, read news stories, and perform research using advanced screeners on thousands of stocks, mutual funds and exchange-traded funds (ETFs)—all online, at your convenience. Unlimited access and a user-friendly interface will help you manage your investments.

Organize Your Accounts.

Sign up for SelectLink[®] to combine statements for accounts that share the same address, and receive an easy-to-read summary page.

¹ System availability is contingent on volume, Internet bandwidth, market volatility and other factors that could interrupt system access.

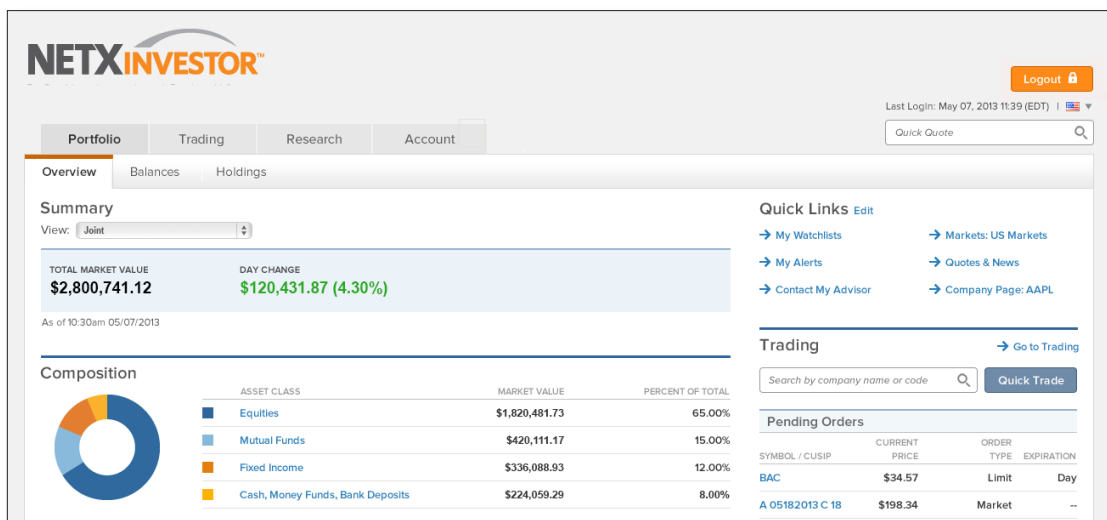
Your Critical Account Information at Your Fingertips

NetXInvestor enables you to view comprehensive account details. As you click through, you can obtain information including account balances, holdings, history, projected cash flow, asset allocation, statements and reports, BillSuite™ and profile information.

The intuitive interface makes it easy to find the information you need. You can also easily create and manage groups of accounts that are associated with your user IDs to view combined account balances and asset allocation.

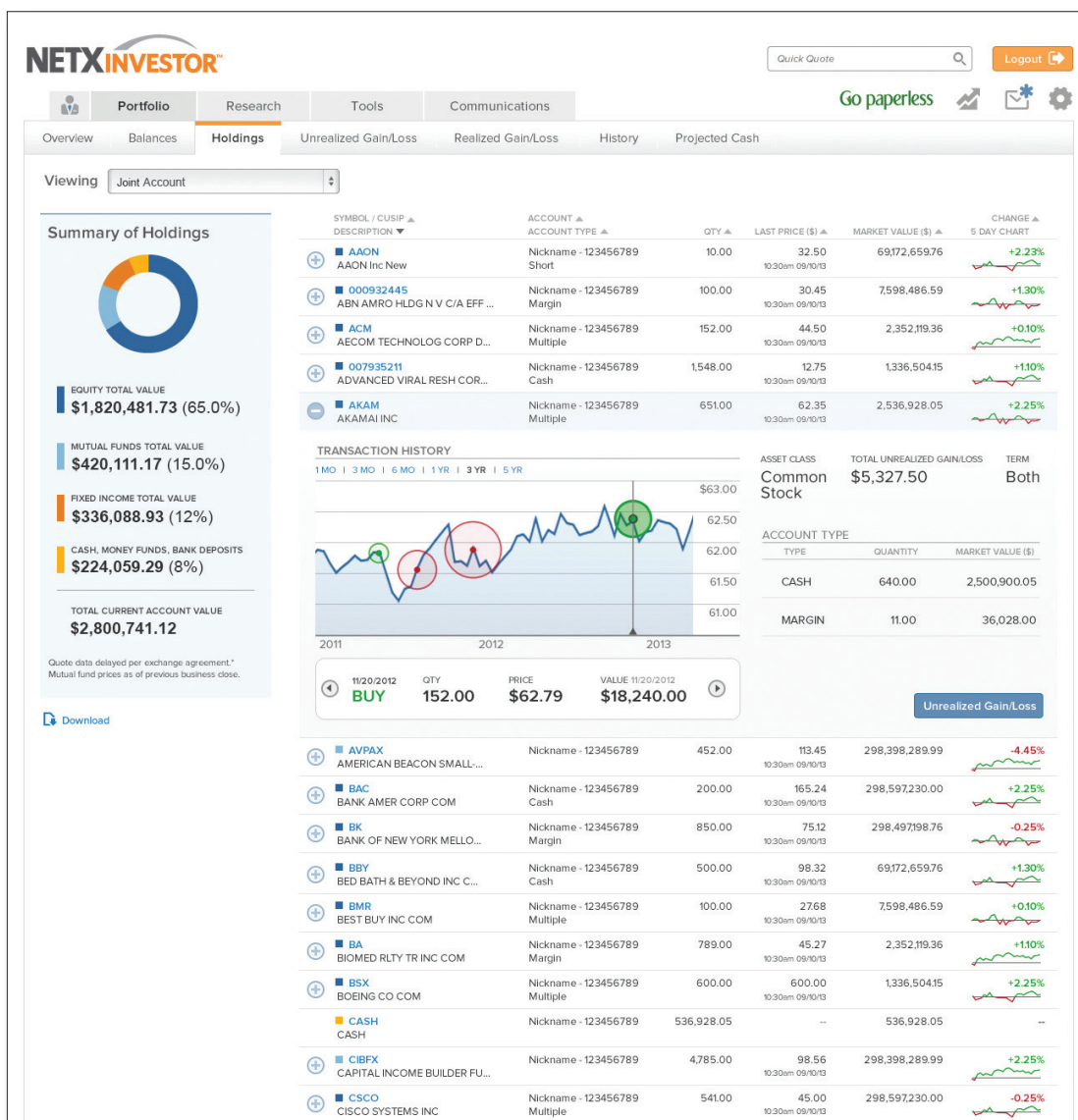
Comprehensive Summary on the Home Screen

Access a high level overview of your portfolio—clearly displaying market valuation of your accounts, a pie chart explaining your portfolio’s asset allocation and portfolio value changes by dollars and percentages. With one click of a button the dynamic links on this page enable you to view your detailed holdings or account balances.



All Your Holdings, Intelligently Organized

See a detailed summary of your holdings and quickly find your holdings by symbol or asset type. Detailed information on a security is only a few clicks away through the “Actions” drop-down selection. You can also easily access detailed information on your realized and unrealized gains and losses.²



² Realized and unrealized gain and loss calculation is an optional feature that may not be offered by your broker-dealer.

Account History

It's easy to keep track of your accounts' history. Review up to two years of transaction history for your accounts, filtered and categorized the way it makes sense to you. You can search by transaction type and stock symbol, and specify a time period or a date range to narrow your search.

NETXINVESTOR™

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Portfolio Research Tools Communications

Overview Balances Holdings Unrealized Gain/Loss Realized Gain/Loss **History** Projected Cash

Viewing: Joint Account

Filter by:

Symbol, name, CUSIP

TIME PERIOD: Year To Date

From date to To date

TRANSACTION: All

TRANSACTION: All Account Types

Apply Filters

Download

DATE	ACCOUNT	ACCOUNT TYPE	SYMBOL/CUSIP	DESCRIPTION	NET AMOUNT
09/13/2013	Nickname - 123456789	Short	AACN	Mark To Market	-\$1234.56
09/13/2013	Nickname - 123456789	Margin	000932445	Mark To Market	-\$1234.56
09/12/2013	Nickname - 123456789	Short	ACM	Dividend/Interest Reclassification	\$5.56
09/12/2013	Nickname - 123456789	Short	007935211	Cash Dividend Received	-\$1234.56
09/11/2013	Nickname - 123456789	Margin	AKAM	Buy 10000 Shares of IBM @ 11.00000	-\$1234.56
09/11/2013	Nickname - 123456789	Cash	FAMVX	Dividends - Reinvest Short Term Cap Gain - Reinv " FAMVX	32.93

DETAILS

From Margin Account to Short Account

09/11/2013	Nickname - 123456789	Cash	MMM	Dividend/Interest Reclassification	-\$127.00
09/09/2013	Nickname - 123456789	Cash	MSFT	Cash Dividend Received	\$127.00
09/08/2013	Nickname - 123456789	Cash	USD999997	Mark To Market	\$25.77
09/07/2013	Nickname - 123456789	Cash	HP	Buy 20.0000 Shares of HP @ 100.00000	\$2,000.00

TRADE DATE	ACCOUNT TYPE	QUANTITY	LAST PRICE	PRINCIPAL	COMMISSION / FEES	NET AMOUNT
09/07/2013	Cash	20	\$100.00	-\$2,000.00	\$0.00	\$2,000.00

SETTLEMENT DATE: 09/10/2013 [View E-Confirm](#)

09/07/2013	Nickname - 123456789	Cash	NDSN	Dividend/Interest Reclassification	\$126.43
09/05/2013	Nickname - 123456789	Cash	EMR	Cash Dividend Received	\$1300.42
09/05/2013	Nickname - 123456789	Short	PFE	Mark To Market	-\$645.27

Statements and Reports

View up to 10 years of account statements, seven years of tax statements, and three years of trade confirmations. Enroll for paperless statements and trade confirmations by clicking the “Go Paperless” link. You can also view and manage communications from your advisor via the notifications tab.

> **BillSuite™**. You can view, pay and manage your bills online. Bill Suite is available with Corestone™, Pershing’s asset management account.³

The screenshot displays the NETXINVESTOR web application interface. At the top, there is a navigation bar with tabs for Portfolio, Research, Tools, and Communications. The Communications tab is active, showing sub-tabs for All Communications and Settings. A search bar and a Logout button are also present. Below the navigation bar, there is a sidebar with links to Messages, All Documents (including Statements, Confirms, Tax Documents, Notifications, and Imaged Documents), and Help (including Frequently Asked Questions). The main content area is titled 'Statements' and features a 'Filter by:' section with a 'TIME PERIOD' dropdown set to 'Year To Date', and 'From date' and 'To date' fields. A table of statements is displayed with columns for DATE, TYPE, and INSERTS. The table lists monthly statements from 11/12/2012 to 09/12/2013, each with three insert links.

DATE	TYPE	INSERTS
09/12/2013	Monthly Statement	Insert 1, Insert 2, Insert 3
08/12/2013	Monthly Statement	Insert 1, Insert 2, Insert 3
07/12/2013	Monthly Statement	Insert 1, Insert 2, Insert 3
06/12/2013	Monthly Statement	Insert 1, Insert 2, Insert 3
05/12/2013	Monthly Statement	Insert 1, Insert 2, Insert 3
04/12/2013	Monthly Statement	Insert 1, Insert 2, Insert 3
03/12/2013	Monthly Statement	Insert 1, Insert 2, Insert 3
02/12/2013	Monthly Statement	Insert 1, Insert 2, Insert 3
01/12/2013	Monthly Statement	Insert 1, Insert 2, Insert 3
12/12/2012	Monthly Statement	Insert 1, Insert 2, Insert 3
11/12/2012	Monthly Statement	Insert 1, Insert 2, Insert 3

Award-Winning Statement

Every year since 2007, your statement has earned an “Excellent” designation by DALBAR INC. in the Trends and Best Practices in Investor Statements category.

³ Corestone is an optional feature. Contact your advisor for more information.

Electronic Delivery

More convenient, secure and flexible.



Convenience. Access account communications at any time, from any computer.⁴



Increased Security. Password-protected access to sensitive financial information reduces the risk of identity theft by eliminating paper delivery.



Centralized Record Keeping. Eliminate the clutter of extra paper; quickly search for the right account communication online.

Benefits Can Begin Today

View account statements, trade confirmations, tax documents and more, online. The environment benefits, as well.

Accessible to Everyone

Critical account information should be accessible to everyone. When the optional "Accessible Theme" is selected, the navigation and appearance of NetXInvestor will follow the American with Disabilities Association (ADA) guidelines, including disclaimers, disclosures, help and footnotes. NetXInvestor is among the first in the industry to offer a fully WCAG 2.0 compliant site and certification of the site by an independent third party.

⁴ Requires the ability to access the Internet and view PDFs.

Go paperless
MAKE A POWERFUL CHOICE

Intuitive Trading Features

NetXInvestor enables you to enter equity, option, mutual fund and ETF orders online, seven days a week, providing you with the flexibility of investing when it is most convenient for you.⁵

This easy-to-use navigation allows you to place trades and view your order status with a click of a button. You also can view available funds on the order ticket and the estimated transaction value on the order review page.

The screenshot displays the NetXInvestor trading platform interface. At the top, the NetXInvestor logo is on the left, and a 'Quick Quote' search bar and 'Logout' button are on the right. Below the logo is a navigation menu with tabs: Portfolio, Trade & Transact (selected), Research, Tools, and Communications. Under 'Trade & Transact', there are sub-tabs: New Order, Order Status, Commission Schedule, Pay Bills, and Transfers. The 'New Order' tab is active, showing a 'Trade:' dropdown set to 'Equity'. The main content area is divided into several sections. On the left, there's a section for 'IBM International Business Machines Inc' with a 'View Option Chain' link and a 'Select a different asset to trade' link. Below this, it shows the 'LAST PRICE' as \$448.35, 'TODAY'S CHANGE' as +\$3.98 (0.90%), and 'ASK / SIZE' as \$448.35/150. A 'FINANCIAL STRENGTH INDICATOR' shows 'Normal (Default): Issue is not currently deficient, delinquent or bankrupt.' Below this is a line chart showing price movement from 10am to 4pm. On the right, the 'Select Account to Trade From' section shows a donut chart indicating 60.0% of the portfolio. It also displays account details: 'ACCOUNT' as 'Joint', 'TOTAL FUNDS IN ACCOUNT' as \$216,294.45, 'SHARES HELD OF IBM' as 250, 'FUNDS AVAILABLE IN ACCOUNT' as \$163,644.45, and 'PENDING ORDERS IN ACCOUNT' as \$52,630.00. Below this is the 'Define Trade Instructions' section with dropdowns for 'TRANSACTION' (Select transaction), 'ORDER TYPE' (Select order type), 'DURATION' (Select duration), and 'ACCOUNT TYPE' (Select account type). It also has input fields for 'QUANTITY' (Enter quantity) and 'PRICE' (Enter price). At the bottom of this section, it shows the 'ESTIMATED TRANSACTION COST: \$1,234.56'. At the very bottom of the interface, there are two buttons: 'Review Order' and 'Cancel Trade'. A footer at the bottom contains legal disclaimers and copyright information.

NETXINVESTOR™

Quick Quote Logout

Go paperless

Portfolio Trade & Transact Research Tools Communications

New Order Order Status Commission Schedule Pay Bills Transfers

Trade:

IBM International Business Machines Inc
[View Option Chain](#)
[Select a different asset to trade](#)

LAST PRICE **\$448.35**
TODAY'S CHANGE **+\$3.98 (0.90%)**
ASK / SIZE **\$448.35/150**

FINANCIAL STRENGTH INDICATOR
Normal (Default): Issue is not currently deficient, delinquent or bankrupt.

10am 11 12 1 2 3 4pm

As of 10:30am 05/07/2013
Real time quotes are not available on this exchange.

Select Account to Trade From

ACCOUNT
TOTAL FUNDS IN ACCOUNT **\$216,294.45**
SHARES HELD OF IBM **250**
FUNDS AVAILABLE IN ACCOUNT **\$163,644.45**
PENDING ORDERS IN ACCOUNT **\$52,630.00**

60.0% OF PORTFOLIO

Define Trade Instructions

TRANSACTION
ORDER TYPE
DURATION
ACCOUNT TYPE
QUANTITY
PRICE

ESTIMATED TRANSACTION COST: **\$1,234.56**

This information is provided by your Broker Dealer through Pershing LLC, member FINRA/SIPC, a subsidiary of The Bank of New York Mellon Corporation.

Asset Protection | Pershing Privacy Policy | Margin Disclosure
© 2012 Pershing LLC. All Rights Reserved. | View the terms of use.
Trademark(s) belong to their respective owners

⁵ System availability is contingent on volume, Internet bandwidth, market volatility and other factors that could interrupt system access.

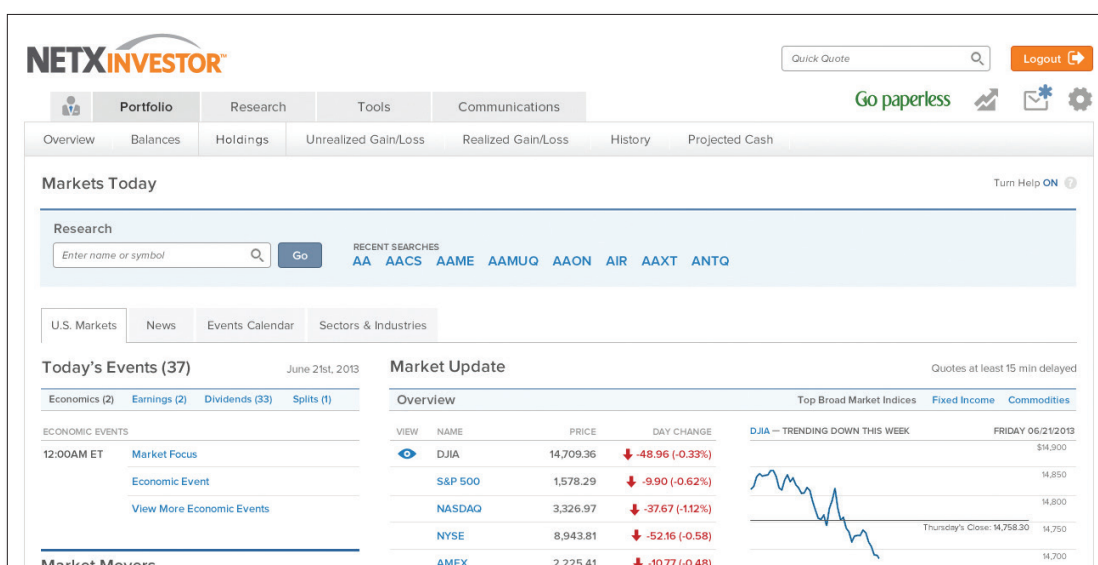
Insightful Research and Powerful Tools

NetXInvestor helps you make informed investment decisions by providing access to real-time and delayed quotes, late-breaking news stories and comprehensive information and research on thousands of stocks, options and mutual funds.⁶

Markets Today

NetXInvestor makes it easy to keep abreast of the latest market conditions on the Markets Today section—track market updates, market movers, access news headlines and more.

Get current information on major U.S. market indices, advances and decliners. Read through today's economic events and news stories by the latest date and top headlines before and after market closes. The Events Calendar allows you to follow a specific company and its scheduled events such as earnings announcements, dividends and splits, as well as events that affect the U.S. economy overall. Sector & Industry enables you to search news by topic, such as energy, healthcare and technology.



⁶ Some market data features (including real-time quotes) are optional features that may not be offered by your broker-dealer.

Quotes & News

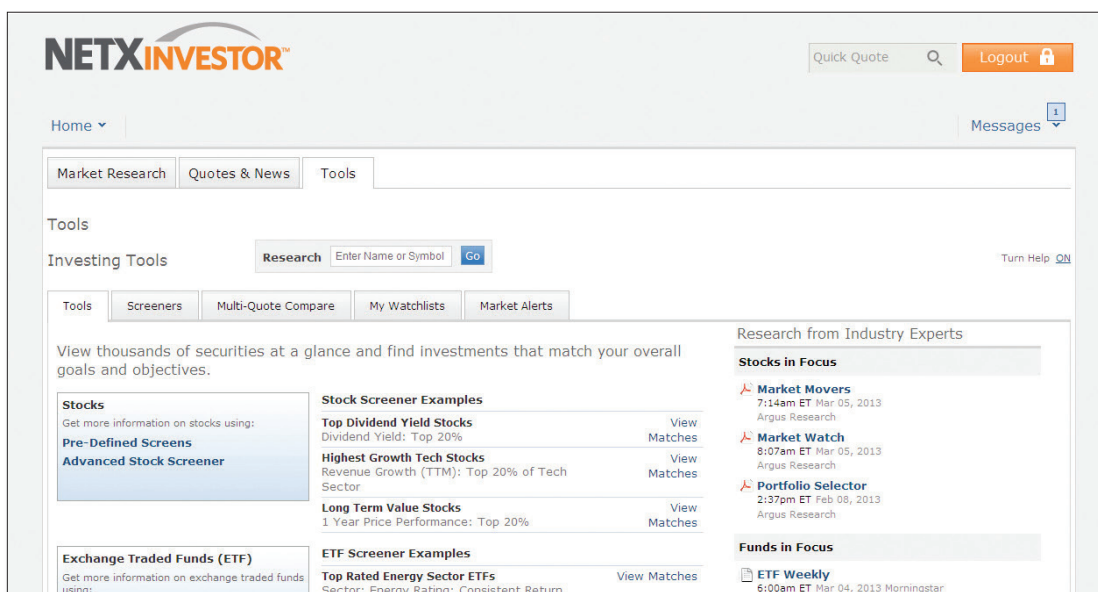
Get quotes for stocks, options, mutual funds or ETFs. Obtain the latest news headlines for each stock, as well as detailed information—including last bid, ask and volume numbers. You can also view charts for each security and modify the time series to track its price movement over time (up to 10 years). You will have access to consensus research ratings for equities, insider ownership, earnings, annual reports⁷ and SEC filings for the company you are researching. You can put your knowledge to work by creating watchlists of securities to track quotes and price performance. **You should carefully consider the investment objectives, risks, charges and expenses of mutual funds and ETFs before investing, and also know that they may not be available in all jurisdictions. Please request from your financial organization the prospectus and, if available, the summary prospectus of each individual mutual fund or ETF, and read carefully before investing. Information and content available on NetXInvestor is not intended as and does not constitute an offer, solicitation or recommendation to purchase or sell any security. Past performance is not indicative of and is not a guarantee of future performance.**

The screenshot displays the NetXInvestor website interface. At the top, the logo "NETXINVESTOR™" is on the left, and a "Quick Quote" search bar and "Logout" button are on the right. Below the logo is a navigation bar with tabs: "Portfolio", "Research", "Tools", and "Communications". Under "Portfolio", there are sub-tabs: "Overview", "Balances", "Holdings", "Unrealized Gain/Loss", "Realized Gain/Loss", "History", and "Projected Cash". The main content area is titled "Markets Today" and includes a "Research" section with a search bar and "Go" button. Below this are tabs for "U.S. Markets", "News", "Events Calendar", and "Sectors & Industries". The "News" tab is active, showing "Today's Events (37)" for June 21st, 2013, with categories like "Economics (2)", "Earnings (2)", "Dividends (33)", and "Splits (1)". A "Live News Briefs" section highlights an "ECONOMICS: National Bank of Canada Says Global GDP Growth Will Remain 'Tepid' This Year at Just 3.1%". The "News & Commentary" section features a bar chart for "TODAY'S TRENDING TOPICS" and a list of "Today's Headlines" with timestamps like "12:53pm ET" and "12:52pm ET".

⁷ Not all companies' annual reports are made available via this service.

Tools

The Tools section provides robust investment screening tools for equities, mutual funds, 529 plans and ETFs. You can evaluate over 20,000 mutual funds from 550 fund families including commission information, and evaluate funds that participate in Pershing's FundVest (non-transaction-fee funds) program. These straightforward screeners include pre-defined screens in which the criteria is preset and more advanced screens if you wish to filter your list of criteria (including fund family, profile, performance, risk, portfolio and analyst rating categories).



Watchlists

Create customized watchlists of your preferred equities, mutual funds or ETFs. Set price, news, volume and watchlist alerts on the securities you are most interested in following. It is easy to set up delivery to an e-mail address of your choice. You can even put a hold on alerts while on vacation and resume them when you return.

RateBoard

View interest rates, money fund rates, stock and option indices, commodity prices and currency exchange rates via the RateBoard.

Security Features

To help protect your information, multiple security measures are in place.

Upon log on, you will be prompted to enter your user ID and password on separate pages so that your security image and personal phrase can be displayed before you enter your password. This helps confirm that you're on the correct website. In addition, you will be prompted to set up an Identity Verification Code (IVC), a feature that allows you to authenticate devices or unlock a locked account after entering a code sent via voice or text message. Also, the site uses "time out" features, which will log you out in order to reduce the possibility of unauthorized access if you leave your computer unattended.

Get Connected to NetXInvestor

Having online access to your investments is critical in today's fast-paced environment. NetXInvestor provides the tools you need to manage your investments in a secure, user-friendly environment.

For more information about NetXInvestor, please contact your financial organization, or go to NetXInvestor.com.

Anytime, Anywhere Access

On the road, in the office or on a mobile device you have access to your accounts at your fingertips.

NetXInvestor Mobile

Now you can access your account information from your tablet or mobile device with NetXInvestor Mobile. With this app, available via the App Store on your iPad® and iPhone®, you will have fully-featured access to account information, such as balances, holdings, activity, order status and account documents such as statements and trade confirmations. You can also view real-time quotes and place trades for equities, ETFs and mutual funds to help you stay ahead of the market while on the go. By taking advantage of our Mobile Check Deposit feature, clients can quickly fund accounts simply by taking a picture of a check using their device's camera.

The NetXInvestor Mobile app is also available on the Apple Watch™⁸ to provide quick and easy glances at important financial activities. You can take advantage of the faster interactions on the watch to stay up-to-date on your balances detail, activity, holdings and also receive notifications.



⁸ Apple Watch is a trademark of Apple Inc.

Leveraging Adaptive Technology

NetXInvestor leverages responsive design technology. This means that NetXInvestor is able to automatically recognize the device being used. As a result, it will provide the optimum experience for the screen size of that device. Full site functionality is maintained on any device; the benefit of adaptive technology is enhanced navigation and interaction points, to provide ease of use on even smaller phone screens, so there is no need to “pinch” or “pull” with fingers to try to navigate to other screens.

To Access NetXInvestor Mobile:

You can download the NetXInvestor Mobile application directly to your iPad® or iPhone® by searching for ‘NetXInvestor Mobile’ in the App Store from your device.



Scan this code with your
iPhone or iPad to download
the app from the App Store

Please note that account access and system response may be affected by a variety of factors, including phone and computer networks.

