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Liberty Standard Reports User Guide

Table of Contents

Liberty Standard Reports..... 5

Navigation 5

Report Library Search 5

Report Selection 6

Defining and Running Reports..... 6

Viewing Reports 8

Searching Completed Reports..... 9

Appendix A - Standard Reports List..... 10

1099 Detail Report 10

Account List 10

Account Value/Contribution Report 10

Account Model Tax Status Conflicts..... 10

ACH Deposits 10

AUM Summary Reports..... 10

Active Trade Restrictions..... 10

Address Change Detail..... 10

Allocation Deviation - Cash Report..... 11

Allocation Deviation Report 11

Annual Composite Dispersion Report (GIPS Annual Dispersion Report) 11

Annuity Detail Report..... 12

Asset Holders Report..... 12

Asset Transfer CSV Report..... 12

Asset and Transaction Report 12

Assets in Transfer 12

Audit Report 12

Available Cash Report..... 12

Blotter Report..... 12

Blue Sky/Red Sky Report 12

Cash Demands 12

Change in Market Value	13
Closed Fund Report	13
Cross Model Validation	13
Composite Model Value	13
Equity Model View	14
Family Accounts in Waiting Status	14
Family Report	14
Fee Account Reconciliation	14
Fee Assess Report.....	14
Fee Invoice Conversion.....	14
Fees Owed to Money Managers	14
Fees Owed to Trust and Money Manager.....	14
Gain/Loss Report	14
Generate Fee Invoices	15
Historical Account Position.....	15
Intermodel Transfers - Completed	15
Market Value by Rep.	15
Model Allocation by Account	15
Model Average Daily Balance.....	15
Model Cash Report.....	15
Model Detail Excl. Mkt Value	15
Model Detail Report.....	16
Model Market Value Report.....	16
Model Allocations and TWR	16
Null Model Report	17
Online Dist Standard Report.....	17
Overdraft Report	17
Pending Transfers Report.....	17
Primary Accounts for Date Range	17
Primary Acnts with Term Date	17
RMD Report.....	17

RMD Report for One Representative 17

Receipts Report 17

Representative Activity Report 18

Reregistration Report..... 18

Security Aging Report..... 18

Security Net Trade Report..... 18

Statement Family Changes 18

Systematic Dist/Cont Report..... 18

Terminated Accounts 18

Time Weighted Return (TWR) Report 18

TWR Variance Report 19

TWR Adhoc Period for Accounts 19

TWR Adhoc Period for a Model..... 19

TWR Adhoc Period for all Models 19

TWR Monthly Model Composite Method 19

TWR Statement Periods Method 20

Trade Confirms Report 20

Trade Report..... 20

Trade Rollup Report 20

Transfer-In Report 20

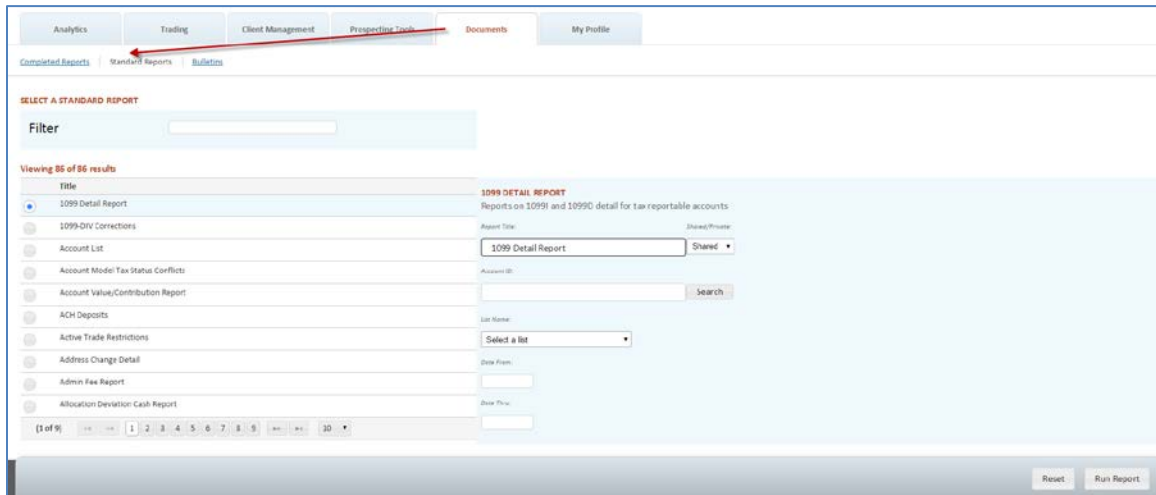
Transfers By Rep Report..... 21

Liberty Standard Reports

Liberty has a robust set of pre-defined reports available for Investment Advisors. To view a complete list of the available reports and descriptions, see the Standard Reports List in Appendix A of this document.

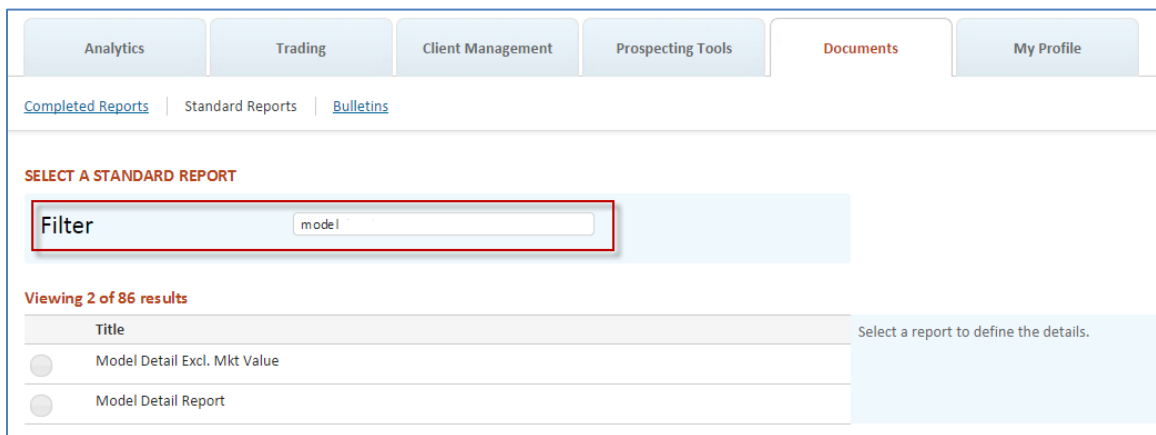
Navigation

The tabs at the top of the screen define major areas of functionality within Liberty. Standard Reports are located under the Documents tab.



Report Library Search

Reports can be searched by name using the Filter function:



Report Selection

Reports are listed alphabetically by title in a paginated table. Click on the corresponding radio button to select the report you wish to run. Once selected, the report title will be highlighted with a blue background, and entry criteria will appear on the right hand side of the page. There will be a brief description of the selected Report.

The screenshot shows a web interface for selecting reports. On the left, a list of reports is displayed with radio buttons. The 'Active Trade Restrictions' report is selected and highlighted in blue. On the right, configuration options for this report are shown, including a 'Report Title' field with the value 'Active Trade Restrictions', a 'Shared/Private' dropdown menu set to 'Shared', and a 'Report Type' dropdown menu set to 'Select One'. There is also a 'Search' button and a pagination bar at the bottom of the list.

Defining and Running Reports

Criteria will vary depending on the selected report. However there are a number of common criteria.

Report Title is a freeform field containing the default Report title. The title can be changed to run and save the Report with a custom title.

This close-up shows the configuration fields for the 'ACTIVE TRADE RESTRICTIONS' report. The title is 'ACTIVE TRADE RESTRICTIONS' with the subtitle 'Reports on account or security trade restrictions'. Below this, there is a 'Report Title:' label and a text input field containing 'Active Trade Restrictions Q1 2015'. To the right, there is a 'Shared/Private:' label and a dropdown menu currently showing 'Shared'.

Reports can be run as Shared or Private Reports. Reports are set to Shared by default. Reports which are run with a Shared status will be visible and retrievable by other users within your business who have access to Standard Reports. Reports which are run with a private status will only be visible and retrievable to the user who ran the Report.

Required input fields are outlined in red. Once a value is input in the required field, the red outline will disappear.

ACTIVE TRADE RESTRICTIONS
Reports on account or security trade restrictions

Report Title: Shared/Private:

Report Type: **Input Required**

Account ID: Search

Output Type: **Input Required**

Once all criteria have been input, click on the Run Report button within the action dock at the bottom of the page:

Viewing 86 of 86 results

Title	Report Title	Shared/Private
1099 Detail Report	Active Trade Restrictions Q1 2015	Shared
1099-DIV Corrections		
Account List		
Account Model Tax Status Conflicts		
Account Value/Contribution Report		
ACH Deposits		
Active Trade Restrictions	Account	
Address Change Detail		
Admin Fee Report		
Allocation Deviation Cash Report		

Account ID: 294043 COBIA, CLEMENTE Search


Output Type: CSV

(1 of 9) 1 2 3 4 5 6 7 8 9 10

Reset Run Report

Note: Clicking on the Reset button will clear all entered criteria and the Report will not be run

After running the report, a confirmation message will appear at the top of the page:

 **Report queued** Your report is being processed.

Viewing Reports

After the Run Report button is selected, Liberty will submit the requested report and confirm the receipt of the request. While the report is being generated, you may leave the Reports area and perform other functions in Liberty.

Typically, reports take only a few minutes to complete. However, if the request is for a large number of accounts or for a past date, it may take longer to generate the report. Once completed, the report will be available in the Completed Reports link located under the Documents tab.

Output Type	Output Title	Create Date	Created By	Shared/Private	Format	Status
Std Rpt - Active Trade Restrictions	Active Trade Restrictions Q1 2015	05/12/2015 at 01:40:46 PM	cmoloney-32	Shared	csv	Complete
Std Rpt - TWR Variance Report	TWR Variance Report	05/12/2015 at 01:19:22 PM	darpar32	Shared	txt	Complete
Std Rpt - Model Allocations and TWR	Model Allocations and TWR	05/12/2015 at 10:51:50 AM	darpar32	Shared	txt	Complete
Std Rpt - TWR Adhoc Period for all Model	TWR Adhoc Period for all Models	05/12/2015 at 10:50:58 AM	darpar32	Shared	txt	Complete
Std Rpt - TWR Report	TWR Report	05/12/2015 at 10:51:17 AM	darpar32	Shared	txt	Complete
Std Rpt - TWR Report	TWR Report	05/12/2015 at 10:28:47 AM	darpar32	Shared	txt	Complete
Std Rpt - Annual Composite Dispersion	Annual Composite Dispersion	05/12/2015 at 08:25:46 AM	darpar32	Shared	csv	Complete
Std Rpt - Annual Composite Dispersion	Annual Composite Dispersion	05/12/2015 at 08:24:56 AM	darpar32	Shared	csv	Complete
Std Rpt - Annual Composite Dispersion	Annual Composite Dispersion	05/12/2015 at 08:24:16 AM	darpar32	Shared	csv	Complete

Note: Completed Reports will be available on Liberty for 30 days.

To view a completed report, click on the hyperlinked report title located in the “Output Title” in the results table.

Output Type	Output Title	Create Date	Created By	Shared/Private	Format	Status
Std Rpt - Active Trade Restrictions	Active Trade Restrictions Q1 2015	05/12/2015 at 01:40:46 PM	cmoloney-32	Shared	csv	Complete
Std Rpt - TWR Variance Report	TWR Variance Report	05/12/2015 at 01:19:22 PM	darpar32	Shared	txt	Complete
Std Rpt - Model Allocations and TWR	Model Allocations and TWR	05/12/2015 at 10:51:50 AM	darpar32	Shared	txt	Complete
Std Rpt - TWR Adhoc Period for all Model	TWR Adhoc Period for all Models	05/12/2015 at 10:50:58 AM	darpar32	Shared	txt	Complete
Std Rpt - TWR Report	TWR Report	05/12/2015 at 10:51:17 AM	darpar32	Shared	txt	Complete
Std Rpt - TWR Report	TWR Report	05/12/2015 at 10:28:47 AM	darpar32	Shared	txt	Complete
Std Rpt - Annual Composite Dispersion	Annual Composite Dispersion	05/12/2015 at 08:25:46 AM	darpar32	Shared	csv	Complete
Std Rpt - Annual Composite Dispersion	Annual Composite Dispersion	05/12/2015 at 08:24:56 AM	darpar32	Shared	csv	Complete
Std Rpt - Annual Composite Dispersion	Annual Composite Dispersion	05/12/2015 at 08:24:16 AM	darpar32	Shared	csv	Complete

Reports with CSV format will be downloaded and opened by the browser download manger. Reports with TXT format will be downloaded and opened in a new browser tab.

Searching Completed Reports

Completed Reports can be searched by a number of different criteria:

- Date Range based on Report create date
- Free text search
- Report title search
- Private or Shared Status

The screenshot shows a web application interface for searching reports. At the top, there is a navigation bar with tabs for 'Analytics', 'Trading', 'Client Management', 'Prospecting Tools', 'Documents', and 'My Profile'. Below this, there are sub-tabs for 'Completed Reports', 'Standard Reports', and 'Bulletins'. The main search area is divided into two sections: 'Search' and 'Filter'. The 'Search' section includes a date range selector with '04/28/2015' and '05/12/2015' and a 'Go' button. The 'Filter' section includes a text input field for 'Filter Criteria', a dropdown menu for '-- All Output Types --', and another dropdown menu for '-- All Shared/Private --'.

Appendix A - Standard Reports List

1099 Detail Report

Displays 1099 interest and dividend detail information for tax-reportable accounts.

1099 Div Corrections

Displays 1099 DIV corrections & reallocations.

Account List

For the selected date and date type, this report displays the account number, tax ID, account name, total worth or cash, and may include the market value, if Cash Market & Total Worth is selected. This report also provides options for including terminated accounts (default) and excluding tax identification numbers (default).

Account Value/Contribution Report

Displays account total cash and total worth for all accounts requested as of the date. This report includes all accounts in the list (pending, open and terminated).

Account Model Tax Status Conflicts

Displays accounts with a model tax status different than the account type tax status.

ACH Deposits

Lists one-time ACH (Automated Clearing House) deposits with date created, creator, amount, status, model, and contribution year (on non-taxable accounts). The report can be run for a date range, a single account, an account list or all accounts, by model or for all models, and by status.

AUM Summary Reports

Provides three Assets Under Management summary reports in text format.

Active Trade Restrictions

Displays all active trade restrictions by Account or Security and the information included on the report may be limited to a specified Account(s) or Account List. The report is available in standard Comma Separated Value (CSV) format.

Address Change Detail

Displays address change information for one account, list of accounts, or all accounts for the selected date range. In addition, when a date is not provided, the report defaults to the current date. The report includes the old and new addresses as well as the user login and date the address had been last updated.

Allocation Deviation - Cash Report

Displays the cash in accounts' models, their actual percentage, goal percentage deviation, actual shares, actual value, and goal value. Accounts are listed only if they have a higher allocation to Cash than the deviation percentage selected. Your selection in the "Including Pending" field determines what is reported in the actual shares column.

- All – Actual Shares column includes all pending activity, including trades in Recommend status
- Approved Only – Actual Shares column includes pending activity in Approved status or higher
- None – Actual Shares column includes only posted activity

For investment advisors utilizing account and model level tactics, the goal percentages for the tactic associated to the account are reflected on the report. For investment advisors utilizing model level only tactics, the goal percentages of the last tactic saved are reflected on the report. The report is available in text or standard Comma Separated Value (CSV) format.

Allocation Deviation Report

Displays the assets in accounts' models, their actual percentage, goal percentage, deviation, actual shares, actual value, and goal value. Accounts are listed only if they meet or exceed the deviation percentage. Your selection in the "Including Pending" field determines what is reported in the actual shares column.

- All – Actual Shares column includes all pending activity, including trades in Recommend status
- Approved Only – Actual Shares column includes pending activity in Approved status or higher
- None – Actual Shares column includes only posted activity

For investment advisors utilizing account and model level tactics, the goal percentages for the tactic associated to the account are reflected on the report. For investment advisors utilizing model level only tactics, the goal percentages of the last tactic saved are reflected on the report. The report is available in text or standard Comma Separated Value (CSV) format.

Annual Composite Dispersion Report (GIPS Annual Dispersion Report)

Displays model level account performance for every account included in a composite model for the year selected. The report is run for a single model for a single year. The report displays only those accounts that were in the selected model for each entire month of the selected year. The report is available in standard Comma Separated Value (CSV) format.

Annuity Detail Report

Reports on annuity holdings as of run date. Among other things, the report lists accounts, annuity contracts, annuity values, annuity holdings, and annuity sub-products.

Asset Holders Report

Displays holders of selected securities as of the selected date.

Asset Transfer CSV Report

Displays in standard Comma Separated Value (CSV) file format account assets that are being transferred from another entity.

Asset and Transaction Report

Displays client account statements.

Assets in Transfer

Displays account assets that are being transferred from another entity.

Audit Report

Displays any update made to account or model including user name, date, and time of the change as well as the old data and new data in the fields as of the run date.

Available Cash Report

Displays the cash breakdown amount for all models and per model. This report includes all accounts in the list (pending, open, and terminated).

Blotter Report

Displays Trade Blotter information for a selected Model based on From and Thru Dates and Trade Status sorted by Instruction or Model ID & Instruction. The report includes Trade Order number, Model, Instruction, Product Exchange To Product, Symbol, Cash, Shares/Exchange Shares, Limit, Price/Exchange Price, Status, Trade Date, Trade Time, Trade Basis, and Confirm number.

Blue Sky/Red Sky Report

Displays a fund's qualified and non-qualified holdings. While blue sky laws vary from state to state, it is important that each state's statutes and regulations be reviewed.

Cash Demands

Displays all cash demand requests or may be filtered to include an account, account list, or cash demand status based on the From Date and Through Dates. The report may be sorted By Account By Status or By Status By Account and the model details may also be included. The report is available in either Text (TXT) or standard Comma Separated Value (CSV) formats to easily import the information into other standard spreadsheet applications.

Change in Market Value

Displays detailed security information. The report is listed by account and includes security description, model, symbol, quantity of shares, beginning date for the report, security cost, market value, short-term gains/losses, long-term gains/losses, total gains/losses, and percent of change for each security.

The report may be used to view the changes in market value of a security or analyze unrealized gains/losses. The title printed on the report indicates the type of request. Also, it may be useful to customize the Report Title field prior to clicking on the Run Report button to reflect the purpose of the report.

- Change in Market Value Report - Enter a From Date to view period-to-period changes in security value
- Unrealized Gain/Loss Report - Do NOT enter a From Date to view security information since inception

Note: If a date range is entered, ONLY use this report to validate the Changes in Market Value calculations on client statements. Inaccurate information may be presented if a date range is entered and the report is used to analyze unrealized gains and losses.

Closed Fund Report

Displays a listing by firm of all mutual funds that have been closed to new advisor accounts, investor accounts, and all new purchases. The report is generated in a Comma Separated Value (CSV) format to easily import the information into other standard spreadsheet applications.

Cross Model Validation

Displays accounts whose actual model percentages deviate from those defined in the trade setup. For deviation of asset holdings within a model, see the Allocation Deviation Report.

Composite Model Value

Reports the balance of a composite model for the previous business day. Available as a text or .csv file and can include one, several, or all of a given IA's models. If multiple models are requested, the report will include a total of the average daily balances of all the models. Available report types are Account Detail, Model Summary, or Security Detail.

Cost Basis – Open Tax Lots

Reports open tax lot information for taxable accounts(s)

Cost Basis for Transfers Out

Reports open cost basis on in-kind transfers out for an account(s)

Cost Basis Not Received for Transfers In

Reports on transfers in for taxable accounts

Equity Model View

Displays model allocations and current holdings. Similar to the Model Detail Report with some formatting differences.

Family Accounts in Waiting Status

Displays a list of accounts in a statement family with the status of Waiting.

Family Report

Displays accounts related to a family type.

Fee Account Reconciliation

Displays Money Manager fee account debits and credits. There is an option to include a detailed "Fees by Rep" report section and an option to include terminated accounts.

Fee Assess Report

Displays the dollar amount of fees assessed per model.

Fee Invoice Conversion

This program is for advisors who bill their management fees. After the advisor has generated and sent invoices for their management fees, they can use this program to convert the fee invoices into fee assessments in their clients' accounts.

Fees Owed to Money Managers

Displays accounts that owe Money Manager fees. Displays the information by model and shows the amount of cash available and the fees owing.

Fees Owed to Trust and Money Manager

Provides a list of accounts that owe either Trust or money manager fees for the selected IA.

Gain/Loss Report

For non-equity securities, displays actual cost and average cost as well as the associated gain or loss amounts for all 1099-B reportable events. In addition, the report header displays the investment advisor's election for determining the cost basis on transfers. For equity securities,

cost basis is based on actual amounts. When selecting the report for an account list, the report will also include pending, open, and terminated accounts associated with the list.

Generate Fee Invoices

This program is for advisors who bill their management fees. Running this program will create invoices that advisors may send to their clients for payment.

Historical Account Position

Displays an account's total cash, total worth, and detailed asset information as of the date requested. The report includes all accounts in the list (pending, open and terminated).

Intermodel Transfers - Completed

Reports processed intermodel transfers for the specified account(s).

Market Value by Rep.

Reports on the market value of accounts market value (in proportion to the rep split percentage) associated with each representative. Users have the option of generating a report on a specific representative, as of a specific date, or by date type (journal, statement, or trade).

Model Allocation by Account

Displays the models and the model allocations in a selected account, an account list, or all accounts. For all accounts, leave the Account ID field blank and do not choose an Account List. The report is provided in a standard Comma Separated Value (CSV) format.

Model Average Daily Balance

Reports the average daily balance of a model for a specified date range. Available as a text or .csv file and can include one, several, or all of a given IA's models. If multiple models are requested, the report will include a total of the average daily balances of all the models. Available report types are Account Detail, Model Summary, or Security Detail.

Model Cash Report

Displays the allocated and excess cash available to invest for accounts. The information in this report is the same as the information that is viewed in the Available Cash screen for a model in TCAdvisor.

Model Detail Excl. Mkt Value

Displays model allocations and current holdings, but excludes the market value. If no model is chosen from the drop-down list, all models will show in the report.

Model Detail Report

Displays model allocations and current holdings. If no model is chosen from the drop-down list, all models will show in the report. The report is available in either Text (TXT) or standard Comma Separated Value (CSV) formats.

Model Market Value Report

Displays breakdown of asset and cash amounts per model with account detail and account type. The report is available in either Text (TXT) or standard Comma Separated Value (CSV) formats.

Model Allocations and TWR

Report for account-level returns, model allocations, and the variance from the average for specified periods of time. The output title may be customized for easier identification. The report is available in either Text (TXT) or standard Comma Separated Value (CSV) formats to easily import the information into other standard spreadsheet applications.

Null Model Report

Displays cash and assets in the non-model.

Online Dist Standard Report

Displays details for distributions processed online through Liberty. The report can be processed for a single account, all accounts, or an account list for a customizable date range. The report is available in Comma Separated Value format.

Overdraft Report

Displays accounts with potential overdraft situations. In addition, accounts that are not overdrawn and are below the required minimum cash may be excluded from the report. The report is available in either Text (TXT) or standard Comma Separated Value (CSV) formats to easily import the information into other standard spreadsheet applications.

Pending Transfers Report

Creates a CSV file of pending asset transfer information.

Primary Accounts for Date Range

Lists the primary account of the statement family for the selected account and date range.

Primary Acnts with Term Date

Reports primary accounts in a statement family that have a term date established.

RMD Report

Displays the ending balance as of the prior year, required minimum distribution amount, the total amount of distributions, and the total remaining distributions for accounts for the selected tax year. The report may be generated for Traditional IRAs, SIMPLE IRAs, or both. It also includes the option to include terminated accounts or accounts with Life Expectancy Payments (LEP) in the report output.

RMD Report for One Representative

Displays the ending balance as of the prior year, required minimum distribution amount, the total amount of distributions, and the total remaining distributions for accounts for the selected tax year. The report may be generated for Traditional IRAs, SIMPLE IRAs, or both and may also be limited to a specified Representative ID. The report includes the option to include accounts with Life Expectancy Payments (LEP) in the report output.

Receipts Report

Displays journals for received assets and cash holdings including cash deposits, IRA contributions, transfer-in assets, model transfers created by dollar cost average schedules, interest payments, principal payments, and cash dividends for a selected date range. The report is available in either Text (TXT) or standard Comma Separated Value (CSV) format to easily import the information into other standard spreadsheet applications.

Representative Activity Report

Displays account information to assist investment advisors and their representatives with managing their book of business. The report includes information by representative for the number accounts, assets, average funded accounts, and estimated annual income from funded accounts.

Reregistration Report

For accounts that have an established exit termination date and are reregistering assets, this report shows the account numbers, account names, and the established termination dates.

Security Aging Report

Displays the number of days a security has been held. It selects positions for one, several, or all securities and will list account ID, account name, model, purchase date, number of days held, current share holdings, pending sells, and net shares available.

Security Net Trade Report

Displays the net amount traded on a specific day or date range for a security. The report is available in either Text (TXT) or standard Comma Separated Value (CSV) format.

Statement Family Changes

Reports changes made to the account family for the selected account or statement family.

Systematic Dist/Cont Report

For accounts that have systematic distributions and contributions, this report displays account ID, account name, the date of the event, the amount, frequency of the event, the amount of federal withholding (if any), a description of the activity, the ACH/ABA number for fund transfer, whether or not to hold payment, and Representative ID and Name. The report is available in text or standard Comma Separated Value (CSV) format.

Terminated Accounts

Displays closed accounts that have cash, assets, or outstanding fees.

Time Weighted Return (TWR) Report

Displays an account's (TWR) percentage for specified periods of time for all models and for each model. The output title may be customized for easier identification. This report includes all accounts in the list (pending, open, and terminated). TWR will NOT be reported for accounts with established termination dates. Note: Prior to generating this report, the file containing the figures to accurately calculate the percentage must be built (contact Trust Company of America representative before this report is generated).

TWR Variance Report

Report for account level returns and provides the variance from the average for specified periods of time. The output title may be customized for easier identification. The report is available in either Text (TXT) or standard Comma Separated Value (CSV) formats to easily import the information into other standard spreadsheet applications.

TWR Adhoc Period for Accounts

Reports account level returns for all accounts and lists for specified periods of time. The output title may be customized for easier identification and may be created using Annualized, Cumulative, or Net Gain values. The report is generated in a Comma Separated Value (CSV) format to easily import the information into other standard spreadsheet applications.

TWR Adhoc Period for a Model

Reports returns for a selected model by account for specified periods of time. The output title may be customized for easier identification and may be run for all accounts in the model or using an account list. The report may be created using Annualized, Cumulative, or Net Gain values and is generated in a Comma Separated Value (CSV) format to easily import the information into standard spreadsheet applications.

TWR Adhoc Period for all Models

Reports returns for ALL models by account for specified periods of time. The output title may be customized for easier identification and may be run for all accounts in the model or using an account list. The report may be created using Annualized, Cumulative, or Net Gain values and is generated in a Comma Separated Value (CSV) format to easily import the information into other standard spreadsheet applications.

Note: If an account participates in more than one model, the account will be listed multiple times on the report with returns calculated for each model.

TWR Monthly Model Composite Method

Displays returns for a selected model by account for a specific month based on the month end date. The output title may be customized for easier identification and may be run for all accounts in the model or using an account list. This report may be used by Investment Advisors in calculating composite Time Weighted Return (TWR) information and is generated in a Comma Separated Value (CSV) format to easily import the information into other standard spreadsheet applications. .

TWR Statement Periods Method

Reports performance for a statement end date as it will appear on client statements. This report may be used by Investment Advisors to review Time Weighted Return (TWR) information prior to releasing client statements. The output title may be customized for easier identification and the report is generated in a Comma Separated Value (CSV) format to easily import the information into other standard spreadsheet applications.

Trade Confirms Report

Displays a list of all trade transactions for a client's account or named account list. This report may be used to satisfy individual client requests for specific trades.

Note: The information contained in this report satisfies trade confirmation reporting obligations required for banks and may differ in some content from a trade confirmation issued by a broker-dealer. The report is intended for use by investment advisors who custody client assets in order to obtain a record of client account trade confirmations.

Trade Report

Displays trade transactions for the specified trade dates. The Summary display includes ticket, product, shares and cash information. The Detail display includes ticket, product, shares and cash information as well as a list of accounts participating in each trade.

Trade Rollup Report

Reports trade order requests (TORs) that reflect a recommend status and results if requested trades are approved which includes the symbol, product, instruction, trade basis, quantity, and dollars.

Transfer-In Report

Displays transfer-in notes entered from TCAdvisor for a selected date and includes the transfer notes, follow-up dates for actionable items, and transfer note types. The report may be requested for all accounts or a specified account and may be limited to a specified firm. In addition, the report information may be sorted by the Oldest note, Most Recent note, Account, Firm, or Date.

Note: When selecting a report for a specific account, enter the criteria in the Account(s) field and click on the Search button.

Transfers By Rep Report

Reports transfers that have been submitted by representatives for any date range.