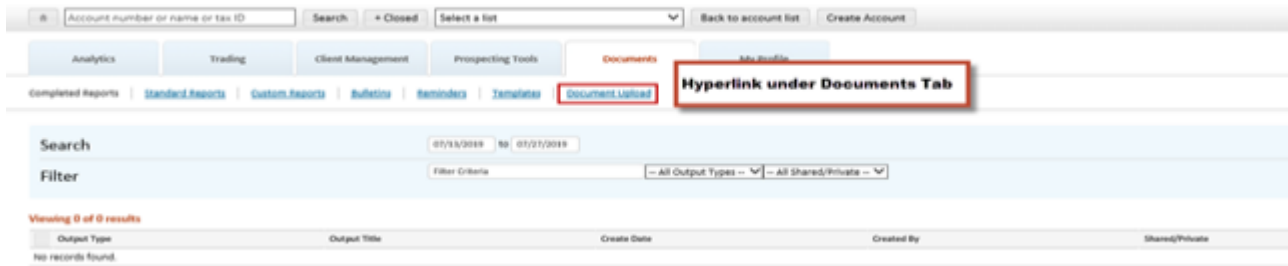


Upload your pdf documents securely via our new Liberty Upload feature



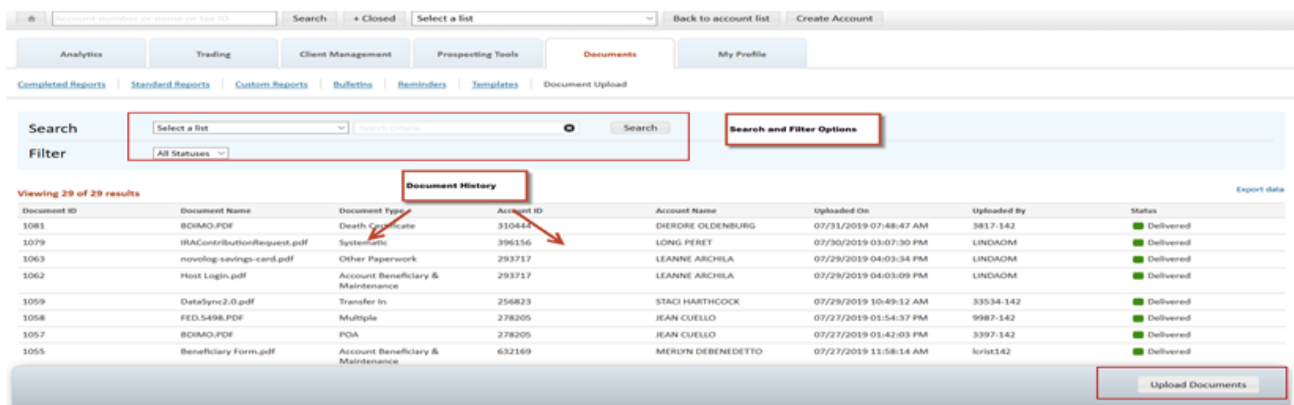
Uploading your PDF documents directly to Liberty is a new and secure way to send your documents to E*TRADE Advisor Services. The goal of the Liberty file upload functionality is to leverage the secure infrastructure that Liberty provides and to provide you with a one-stop solution for your processing needs. This feature will gradually phase out the use of email by having a secure mechanism to send documents that include PII and other confidential information.

The functionality resides under the Documents tab on Liberty as a new hyperlink: **Document Upload**.



When the user clicks the hyperlink, the page will display the history and search and filter sections of previous uploads.

The bottom of the page has an **Upload Documents** button.



Upload your pdf documents securely via our new Liberty Upload feature



If there are no uploads, it will display the standard "no content" message.

Welcome back, sign out.
LKC TEST324

Home | Bulletins 00 | Forms | User Guides | Agreement | Suggestions | Diagnostics

Account number or name or tax ID Search + Closed Select a list Back to account list Create Account

Analytics Trading Client Management Prospecting Tools **Documents** My Profile

Completed Reports Standard Reports Custom Reports Bulletins Reminders Templates Document Upload

Search Select a list Search Criteria Search

Filter All Statuses

Viewing 0 of 0 results

Document ID	Document Name	Document Type	Account ID	Account Name	Uploaded On	Uploaded By	Status
No records found.							

Export data

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Investment Products: Not FDIC Insured • No Bank Guarantee • May Lose Value
*Values calculated using most recent closing price. †Values calculated using 20 minute delayed price, if available, or most recent closing price. ‡Cost Basis excludes Cash. Cost basis information for mutual funds reflects average cost, unless your Investment Advisor has elected to report actual cost for all securities. Cost basis information for all other securities is based on actual cost. Both average and actual costs may reflect adjustments for events such as wash sales and corporate actions.
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Upload Forms

Search: Users will be able to sort on the various columns.

Account number or name or tax ID Search + Closed Select a list Back to account list Create Account

Analytics Trading Client Management Prospecting Tools **Documents** My Profile

Completed Reports Standard Reports Custom Reports Bulletins Reminders Templates Document Upload

Search Select a list 539574 Search Search by Account Number

Filter All Statuses

Viewing 2 of 2 results

Document ID	Document Name	Document Type	Account ID	Account Name	Uploaded On	Uploaded By	Status
1036	0589_001.pdf	POA	539574	CORDELL PIZZA	07/26/2019 03:05:22 PM	lcrst142	Delivered
1035	BDIMO.PDF	POA	539574	CORDELL PIZZA	07/26/2019 03:00:18 PM	lcrst142	Delivered

Export data

Upload your pdf documents securely via our new Liberty Upload feature

Filters: Users can filter the list by various statuses.

The screenshot shows the 'Documents' section of the E*TRADE interface. At the top, there are navigation tabs: Analytics, Trading, Client Management, Prospecting Tools, Documents (highlighted), and My Profile. Below these are sub-tabs: Completed Reports, Standard Reports, Custom Reports, Bulletins, Reminders, Templates, and Document Upload. A search bar is present with a dropdown for 'Select a list', a 'Search Criteria' input, and a 'Search' button. A 'Filter' dropdown is set to 'All Statuses', with a 'Filter Selections' button. Below the filter, it says 'Viewing 15 of 15 results'. A table lists the following documents:

Document ID	Document Name	Document Type	Account ID	Account Name	Uploaded On	Uploaded By	Status
1041	Picture.pdf	Multiple	380078	CHANTAY FRANNEY	07/26/2019 03:05:30 PM	lcrist142	Delivered
1040	Beneficiary Form.pdf	Transfer In	286165	GRANVILLE MESTER	07/26/2019 03:05:30 PM	lcrist142	Delivered

When users click the Upload Documents button, it will bring up a dialog box. Click the **Browse** button to upload documents or use the drag and drop feature to drop documents. Up to five documents can be uploaded at once. The platform supports PDF and TIF file formats for upload. The file size of 10MB or less is accepted.

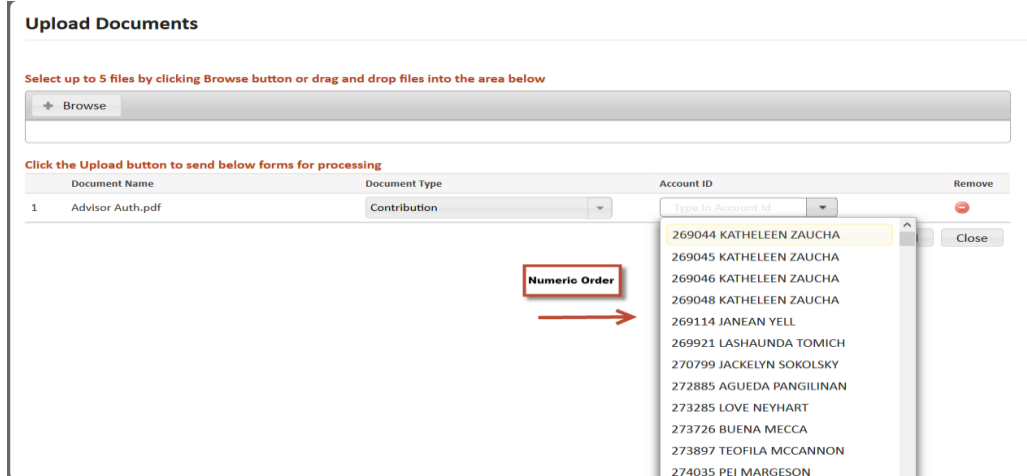
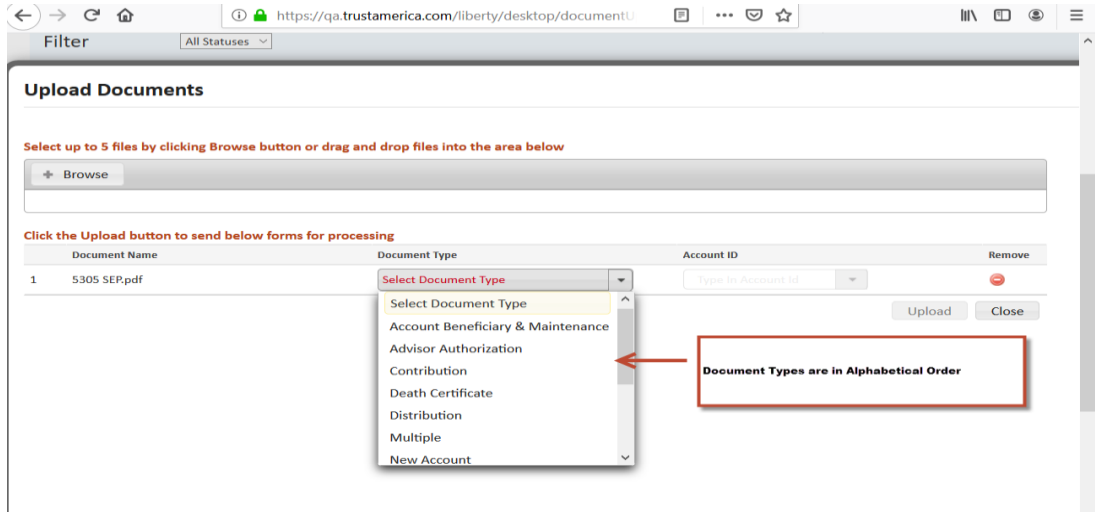
The 'Upload Documents' dialog box contains the following elements:

- A red box with the text: "Select up to 5 files by clicking Browse button or drag and drop files into the area below".
- A "Browse" button with a plus icon.
- A red box with the text: "Click the Upload button to send below forms for processing".
- Form fields for "Document Name", "Document Type", and "Account ID", each with a red box around it.
- A "Remove" button.
- A message: "No files set for upload".
- "Upload" and "Close" buttons.

Once the document(s) is selected for upload, the user will be prompted to enter the document type from the drop-down, as well as the account number.

Click **Upload** when all the values have been entered (the upload button will be deactivated until applicable mandatory fields have been entered).

Upload your pdf documents securely via our new Liberty Upload feature



A successful upload message will be displayed, providing details of files uploaded.

Upload your pdf documents securely via our new Liberty Upload feature

Upload Documents

i File Advisor Auth.pdf successfully uploaded
1 files uploaded for import Close the dialog to see updated history

Successful upload message

Select up to 5 files by clicking Browse button or drag and drop files into the area below

+ Browse

Click the Upload button to send below forms for processing

Document Name	Document Type *	Account ID	Remove
No files set for upload			

Upload Close

Upload Documents

i File 0589_001.pdf successfully uploaded
File 5305 SEP.pdf successfully uploaded
File 630408.PDF successfully uploaded
File Advisor Auth.pdf successfully uploaded
File Beneficiary Form.pdf successfully uploaded
5 files uploaded for import Close the dialog to see updated history

List of documents uploaded with Success Message

Select up to 5 files by clicking Browse button or drag and drop files into the area below

+ Browse

The list of documents uploaded will also be shown in the uploads section on the main screen.

Upload your pdf documents securely via our new Liberty Upload feature

Account number or name or tax ID Search + Closed Select a list Back to account list Create Account

Analytics Trading Client Management Prospecting Tools Documents My Profile

Completed Reports Standard Reports Custom Reports Bulletins Reminders Templates Document Upload

Search Select a list Search Criteria Search

Filter All Statuses

Viewing 15 of 15 results

Document ID	Document Name	Document Type	Account ID	Account Name	Uploaded On	Uploaded By	Status
1049	Advisor Auth.pdf	Advisor Authorization	291209	CHRISTIE DECOSTE	07/27/2019 11:22:05 AM	lcrist142	Delivered
1041	Picture.pdf	Multiple	380078	CHANTAY FRANNEY	07/26/2019 03:05:30 PM	lcrist142	Delivered
1040	Beneficiary Form.pdf	Transfer In	286165	GRANVILLE MESTER	07/26/2019 03:05:30 PM	lcrist142	Delivered
1039	Advisor Auth.pdf	Systematic	307304	ROY MURIN	07/26/2019 03:05:28 PM	lcrist142	Delivered
1038	630408.PDF	Transfer In	423475	TRACEY PUCHALSKI	07/26/2019 03:05:25 PM	lcrist142	Delivered
1037	5305 SEP.pdf	New Account	302481	AURELIO AMYOT	07/26/2019 03:05:24 PM	lcrist142	Delivered
1036	0589_001.pdf	POA	539574	CORDELL PIZZA	07/26/2019 03:05:22 PM	lcrist142	Delivered
1035	BRIMM PDF	POA	539574	CORDELL PIZZA	07/26/2019 03:05:18 PM	lcrist142	Delivered

As we refine the Liberty Upload document functionality, stay tuned for upcoming enhancements.

Please contact your Relationship Manager for a demo of the feature and/or if you have any questions.