

InnoVue User Guide

August 2014

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1. Introduction

InnoVue is an application that allows you to access account information anytime and anywhere. Using a Web browser, you can easily view high-level account information, as well as drill down to greater levels of detail. Account overviews, detailed lists of investments, tax lot listings, schedules of recent transaction activity, and graphical presentations of asset allocation percentages are among the options available to you. You also have the ability to view statements electronically in Adobe® Acrobat® PDF format, as well as other documentation including tax documents, newsletters, notices, and other materials provided to you.

InnoVue is quick and intuitive to use and all information is protected by a personalized login ID and password. Information displayed on the screen can be quickly printed or downloaded to Microsoft® Excel or similar products. This User Guide provides detailed instructions on how to navigate through the InnoVue system, and how to use its menu options to access portfolio information.

2. System Requirements

2.1. Browser Requirements

The InnoVue system supports the followings browsers for computers running the Windows operating system:

- Chrome
- Firefox
- Microsoft Internet Explorer

For MAC computers running on an IOS, the following browsers are supported:

- Chrome
- Firefox
- Safari

In addition to a Windows-based PC and MAC-based PC, InnoVue will run on the following personal devices:

- iPad
- iPhone

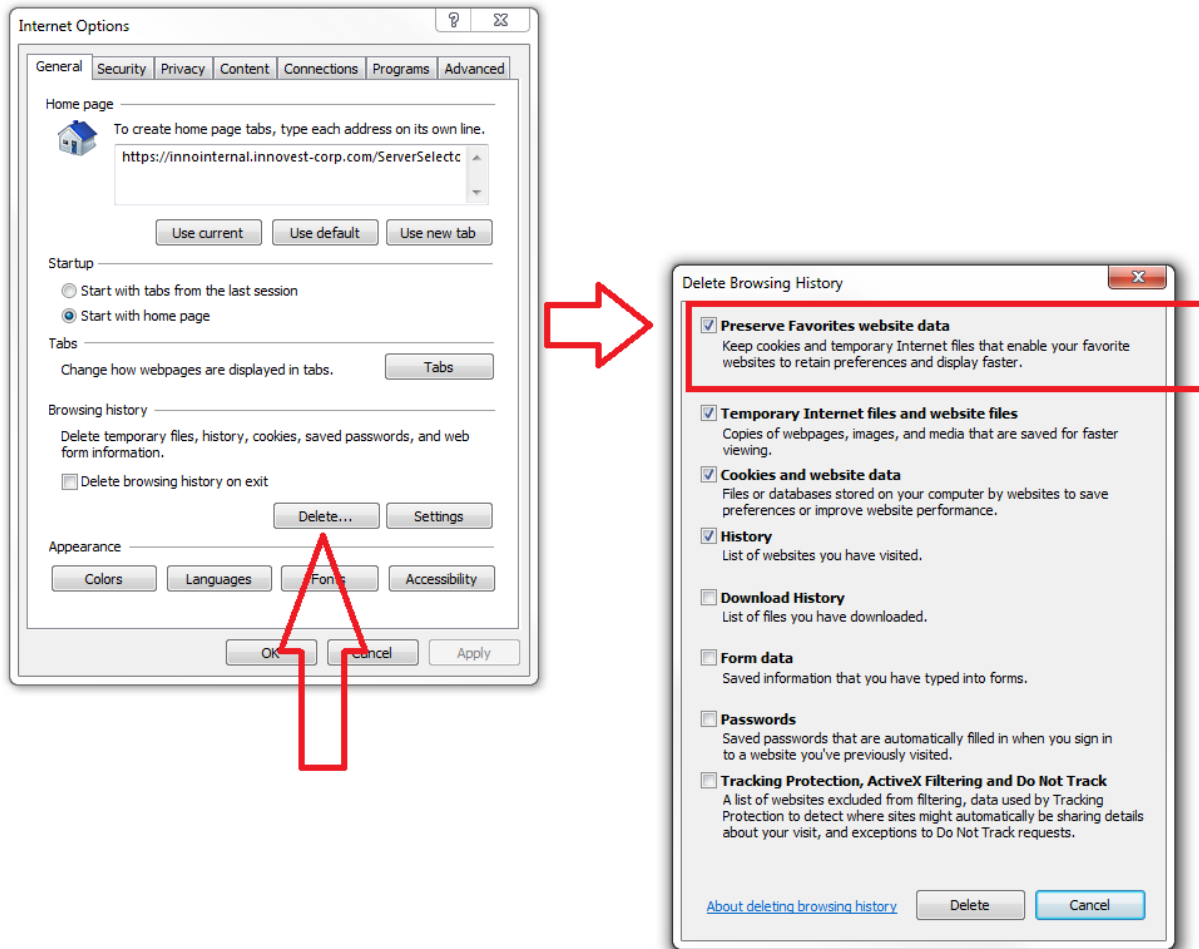
2.2. Browser Setup

When you first access the InnoVue system, the Login screen will appear. If you do not have one or more required components on your system, this message will appear above the login box:

“Please wait while your system is checked and any required components are downloaded.”

You will then see one or more dialog boxes from your browser asking you to install the missing components. Once the items are installed you will be able to log in. This should be a very brief process.

Please note: saving the page under you “Favorites” when using Explorer versions 10 or 11, you must also check the “Preserve Favorites Website Data” box in the Tools > Internet Options > General Delete button.



3. Customer Support

For System support please click the “Contact Us” link in the upper right-hand corner of the screen.

4. New User Login Process (Public/Shared)

All users must first login using the “Private/Trusted” radio button and setup their profile within InnoVue. This includes creating a security answer, setting the security image and listing a security passphrase.

SECURE LOG ON
Select the type of computer you are using to Log On:

Private/Trusted (home or work)
 Public/Shared (hotels, airports, library or café)

Enter User Name:

Password:



Click [here](#) if you've forgotten your password.
New User? Click [here](#) to Setup Online Access.

CLIENT ACCOUNT INFORMATION IS PROTECTED. UNAUTHORIZED ACCESS IS PROHIBITED.

For your protection, we remember the computers you normally use to access your account. To log on using a Private/Trusted computer, the computer must be registered through the confirmation process. If you select Public/Shared, you will need to have previously set-up your public profile after successfully logging in through a Private/Trusted Computer.

We do not guarantee the accuracy of prices reflected nor do these prices represent levels at which securities can be bought or sold. Market prices and values for securities are obtained from sources believed to be reliable but are not guaranteed. Corporate actions and capital changes (such as stock splits, spin-offs, and exchanges) may also affect market values and may not be reflected at the time you are viewing portfolio information.

As shown below, when attempting to login using the “Public/Shared” option, an error message will display for all first-time users and any existing user that does not have a profile setup.

 TRUST & WEALTH MANAGEMENT SYSTEMS  [Log On](#)

SECURE LOG ON
Select the type of computer you are using to Log On:

▶ In order to use the Public Computer option, you need to set up your public profile. You can set up your profile by logging on through a private computer, go to “My Account”, select Edit and update your public profile.

Private/Trusted (home or work)
 Public/Shared (hotels, airports, library or café)

Enter User Name:

New User? Click [here](#) to Setup Online Access.

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If your institution has the Terms and Conditions installed you must check the “Agree” box at the bottom of the page and click the “Submit” button.

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VIRUSES

Because of the marked increase in the fabrication and proliferation of computer viruses affecting the Internet, we want to warn you about infections or viral contamination on your system. It is your responsibility to scan any and all downloaded materials received from the Internet. We are not responsible or liable for any damage caused by such hazards.

SECURITY

We welcome your e-mail correspondence. But Internet and e-mail communications are not confidential. It is possible that information transmitted to us may be read or obtained by other parties. In an attempt to protect your privacy, our e-mail responses do not include personal account information such as social security numbers or account numbers.

LINKED SITES

This Website may provide links to other sites for your convenience in locating related information and services. We do not maintain all of these other sites and have no control over the organizations that maintain these sites or the information, products or services these organizations provide. Although we believe that the information from these organizations is reliable, we cannot guarantee their accuracy, completeness or suitability for any purpose.

I accept the agreement

Submit

After accepting the Agreement, an on screen notice will inform you that a confirmation email is being sent to your email address and requires action on your part. You will need to click the link provided for verification purposes.

CONFIRMING LOGON

A confirmation email has been sent to the email registered to this account. In order to access your account, you will need to click on the link provided in the email.

For security purposes all new users, users who are accessing their account from a different computer or using a new web browser will receive the confirmation email.

If you have not received the email within 1 hours, please contact us during normal business at 888-888-9999.

Upon receipt of the confirmation email you must click the link in the provided email in order to access InnoVue. From time to time you may be required to reconfirm your Private/Trusted machines.

Below is a sample of an email with the confirmation link embedded within.

Subject: Confirm your InnoVue Access

In order to access your account, please click on the link below. For security purposes, we require all new users to confirm their account along with users who are accessing their account from a different computer or using a new web browser.

<https://innovue2.innovestsystems.com/trunkdemo/in2/membership/ConfirmLogon?umid=d4bffb3b9844541b6b3261f9f6b3b28>

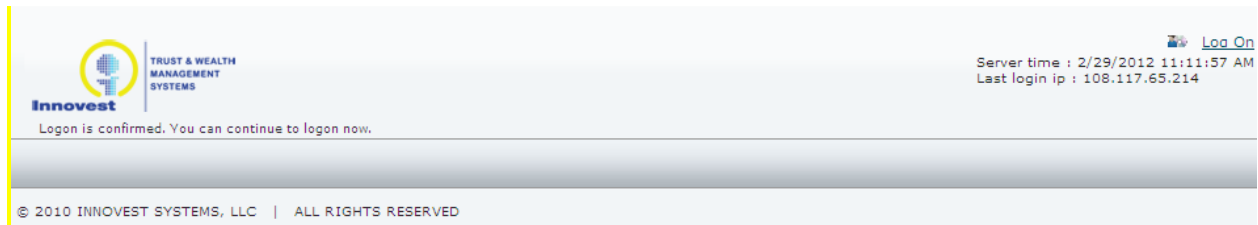
Once you click on the link above, simply click F5 to refresh your screen or may reenter your username and password.

Thank you,

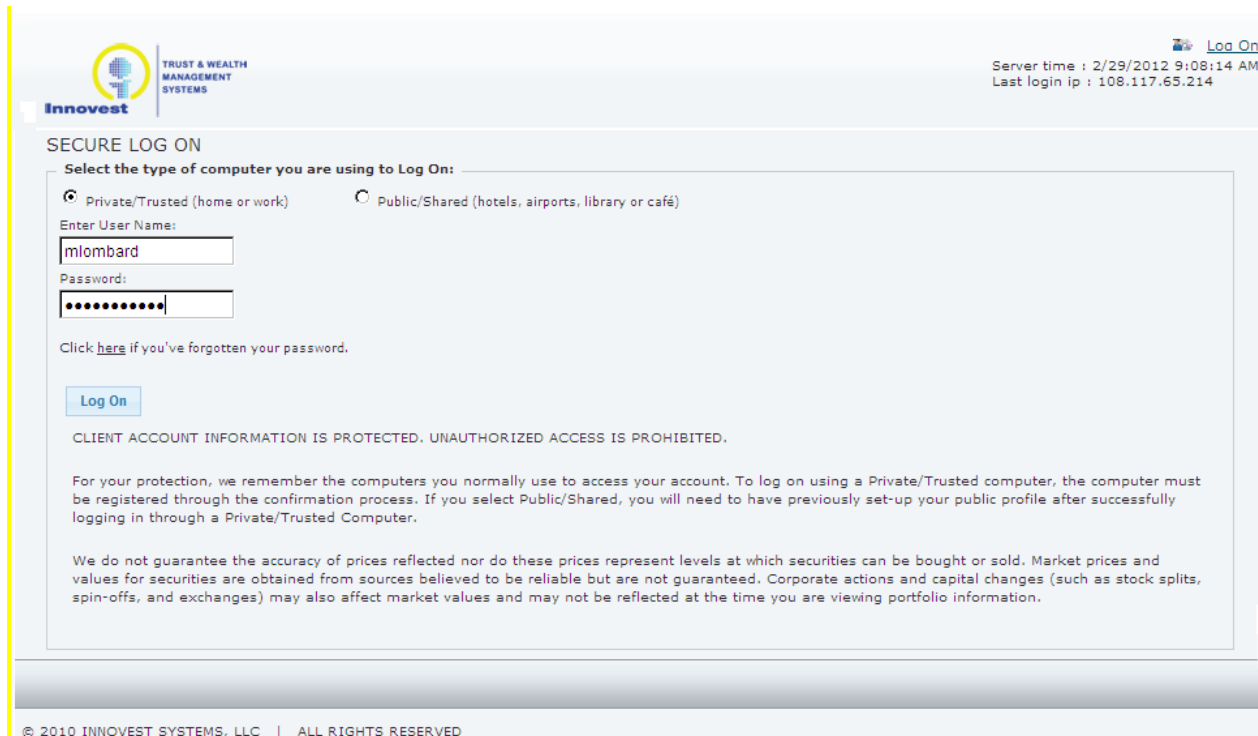
Innovest Systems

Please do not reply directly to this automatically generated e-mail.

After clicking the link, a new browser window will open and your access will be confirmed. You can now click on the “Log On” link to continue the process.



The first time logging in must be from a “Private/Trusted” machine. Enter a valid login and password in the provided spaces.



After the initial login, you may be prompted to change your password.

Note: It is not mandatory to change the password at this point in time, although the Change Password page will appear each time you log in until your password is changed.

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4.1. Personal Profile Setup

To access the system from a public machine the system requires the setup of the Security Image and Security Passphrase. To establish these settings you must go to the **User Edit** page by clicking the “My Account” link in the upper right hand corner of the screen.

The screenshot shows the user interface for 'Innovest TRUST & WEALTH MANAGEMENT SYSTEMS'. At the top right, it says 'Welcome JDoe' with links for 'My Account' and 'Log Off'. A red arrow points to the 'My Account' link. Below the header, there are navigation tabs for 'Portfolio', 'Trading', and 'Reporting'. The main content area is titled 'MY ACCOUNT INFO' and 'My Account Info'. It contains two buttons: 'Edit' and 'Change Password'. The account details are as follows:

- User Name: JDoe
- Last Name: Doe
- First Name: Jane
- Email: JDoe @innovestsystems.comxxx
- Phone: 2122666688
- Your Security Question: What was your childhood nickname?
- Your Security Answer: Jeanie
- Your Security Image:
- Your Pass Phrase: innovest
- Home Page:
- Role Name: superuser

Upon clicking the Edit button all of the fields on the page will revert to an editable state. You may now set up the

- User Name
- Last Name
- First Name
- Email
- Phone
- Your Security Question – selection from a provided list (required for login from a public computer)
- Your Security Answer – your personal response to the Security Question (required for login from a public computer)
- Your Security Image – select from a provided list (required for login from a public computer)
- Your Pass Phrase – a personal passphrase (required for login from a public computer)
- Home Page – the screen in which you will land upon logging into the system
- Role Description – the role is assigned at the time of user creation

USER EDIT Back

User Name

Last Name


First Name

Email

Phone

Your Security Question

Your Security Answer

Your Security Image 

Your Pass Phrase

Home Page

Role Description

After creating a pass phrase and security image you can log onto the system using a Public machine by selecting the "Public" radio button. The settings will display a page for the entry of the pass phrase and confirmation of the security image. Upon valid entry you will be able to enter your login and password to access the system.

SECURE LOG ON

Public/Shared Computer Secure Log On:

You selected to access your account through a Public or Shared Computer. In order to Log On using this computer, verify the information below.

Verify Your Security Image and Pass Phrase

If the information below matches your profile information, enter the security answer and your password and click SUBMIT. If not, click [here](#) to return to the Log On page.

Your Security Image:



Your Pass Phrase:

[lizzard](#)

Answer Security Question and Submit Password

Your Security Question:

[What was the name of your first stuffed animal?](#)

Your Security Answer:

Password:

Click [here](#) if you've forgotten your password.

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4.2. Resetting Passwords

In the event you have forgotten your password, clicking on the “here” hyperlink on the “Click [here](#) if you’ve forgotten your password.” will email you a temporary password.

Innovest TRUST & WEALTH MANAGEMENT SYSTEMS

Server time : 2/29/2012 9:08:14 AM
Last login ip : 108.117.65.214

SECURE LOG ON

Select the type of computer you are using to Log On:

Private/Trusted (home or work) Public/Shared (hotels, airports, library or cafe)

Enter User Name:
mlombard

Password:

Click [here](#) if you've forgotten your password.

[Log On](#)

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5. The Main Menu

The main screen has the options to manage your user information via the “My Account” hyperlink, the “Contact US” hyperlink where contact information for your firm is housed and a “Log off” button to exit the system plus four Main menu items. Clicking each main menu item will display the sub-menus associated with each menu.



- **Portfolio** – Provides various sub-tabs for account details and holdings information
 - Account List
 - Investment Summary
 - Holdings List
 - Investments Detail
 - Tax Lot Listings
 - Transaction
 - Account Group
- **Trading** - Provides the ability to trade equity and mutual fund securities.

- Enter Trades
- View Orders
- **Reporting:** Allows a user to view an electronic version of various statements, tax documentation and pending trades
 - Statements
 - Documents
 - Notices
 - Pending Trades
 - Pledge Assets
 - Portfolio Allocation Chart

5.1. Portfolio Tab

The portfolio tab consists of several pages that give basic information for your accounts.

5.2. Account List

The **Account List** page displays individual and aggregate market values for all accounts that have been granted access to.

Clicking the Account Number hyperlinks will move you to the **Investment Summary** page for the selected account.

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5.3. Investment Summary

The **Investment Summary** page displays market value, cost, unrealized gain, and loss and allocation percentage of the selected account or account group as of a selected date. The

allocation percentage is based on asset classification breakdowns displayed both in the Holdings Chart as well as on the page Pie Chart at the bottom of the page.

- Clicking on the [Holdings](#) hyperlink will take you to the **Holdings List** page for that account
- Clicking the individual investment type hyperlinks will take you to the **Investment Detail** page for that account
- You may also click the segments of the Pie Chart to get to the **Investment Detail** page

Portfolio Trading Reporting

Account List Investment Summary Holdings List Investment Detail Tax Lots Transactions Account Groups

INVESTMENT SUMMARY Help

Criteria

Account:

Account Group:

As Of Date: Date Basis:

PERSONAL INFORMATION

Account:	123456789
Name:	JANE DOE
Type:	Traditional
Owner :	MARY SMITH

HOLDINGS

Investment Type	Market Value	Cost	Unrealized Gain/(Loss)	Allocation
Cash	\$462,272.35	\$462,272.35	\$0.00	61.36 %
Private Limited Liability Co	\$200,040.00	\$141,000.00	\$59,040.00	26.55 %
Promissory Note - Secured	\$91,018.73	\$91,018.73	\$0.00	12.09 %
Total	\$753,331.08	\$694,291.08	\$59,040.00	100.00 %

Current Allocation

Assets

- Cash
- Private Limited Liability Co
- Promissory Note - Secured

5.4. Holdings List

The **Holdings List** page displays all held positions in the selected account or account group as of the defined date.

- Clicking the [Lots](#) hyperlink in the Action column (if available) will take you to the tax lots page for the selected security and account.
- Clicking the CSV or Excel buttons will extract the data to the desired file type.

HOLDINGS LIST [Help](#)

Criteria

Account: [Find](#)

Account Group:

As Of Date: Date Basis:

[View](#) [Clear](#) [CSV](#) [Excel](#)

Action	Ticker	Description	Balance Type	Shares (*restricted)	Price	Market Value	Cost	Unrealized Gain/(Loss)	Percentage
Cash									
		Cash	Principal	462,272.3500	\$1.00	\$462,272.35	\$462,272.35	\$0.00	61.37 %
Private Limited Liability Co									
		LMV-AL Ventures LLC	Principal	41,000.0000	\$2.44	\$100,040.00	\$41,000.00	\$59,040.00	13.28 %
		SoCo ATX Investments LLC	Principal	100,000.0000	\$1.00	\$100,000.00	\$100,000.00	\$0.00	13.27 %
Promissory Note - Secured									
		H.I. Junior Development Ltd. Note 7/22/14	Principal	91,018.7300	\$1.00	\$91,018.73	\$91,018.73	\$0.00	12.08 %
Total						\$753,331.08	\$694,291.08	\$59,040.00	100.00 %

5.5. Investment Detail

The **Investment Detail** page displays additional information for each position held in the selected account or Account Group as of the selected date.

Clicking the CSV or Excel buttons will extract the data to the desired file type.

INVESTMENT DETAIL Help													
Criteria													
Account:		123456789	Find		JANE DOE								
Account Group:		▼											
As Of Date:		07/16/2014	Date Basis:		Settlement Date ▼								
View		Clear		CSV		Excel							
Shares (*restricted)	Price	Cost	Book Value	Market Value	Last Priced	Estimated Annual Income	% Portfolio	% Segment	Unrealized Gain/ (Loss)	Average Unit Cost	EPS	Yield	Moo Rat
Cash													
Cash : CASH													
462,272.3500	\$1.00	\$462,272.35	\$462,272.35	\$462,272.35	3/31/2011	\$693.41	61.37 %	100.00 %	\$0.00	\$1.00	\$0.00	0.15 %	
Sub-Total		\$462,272.35	\$462,272.35	\$462,272.35		\$693.41	61.37 %		\$0.00				
Private Limited Liability Co													
LMV-AL Ventures LLC : 9202012019													
41,000.0000	\$2.44	\$41,000.00	\$41,000.00	\$100,040.00	12/31/2013	\$0.00	13.28 %	50.01 %	\$59,040.00	\$1.00	\$0.00	0.00 %	
Sub-Total		\$141,000.00	\$141,000.00	\$200,040.00		\$0.00	26.55 %		\$59,040.00				
Promissory Note - Secured													
H.I. Junior Development Ltd. Note 7/22/14 : HJRDEVNTE													
91,018.7300	\$1.00	\$91,018.73	\$91,018.73	\$91,018.73	5/15/2014	\$10,922.25	12.08 %	100.00 %	\$0.00	\$1.00	\$0.00	12.00 %	
Sub-Total		\$91,018.73	\$91,018.73	\$91,018.73		\$10,922.25	12.08 %		\$0.00				
Total		\$694,291.08	\$694,291.08	\$753,331.08		\$11,615.66	100.00 %		\$59,040.00				

5.6. Tax Lots

The **Tax Lots** page displays all active lots for the selected account as of the selected date. The presence of data on this page relies on the holding or account maintaining tax lot information.

Clicking the CSV or Excel buttons will extract the data to the desired file type.

Portfolio Trading Reporting

Account List Investment Summary Holdings List Investment Detail **Tax Lots** Transactions Account Groups

TAX LOTS [Help](#)

Criteria

Account: [Find](#)

As Of Date:

[View](#) [Clear](#) [CSV](#) [Excel](#)

Action	Ticker	Description	Acquired	Units	Unit Cost	Cost	Price	Market Value	Unrealized Gain/ (Loss)
		Collybus A2 SPV Ltd.		95,315.9900	\$0.00	\$0.00	\$1.00	\$95,315.99	\$95,315.99
		Cash		61,617.0900	\$1.00	\$61,617.09	\$1.00	\$61,617.09	\$0.00
		CA CORE FIXED INCOME OFFSHORE FUND, LTD		3,956.2000	\$8.48	\$33,546.46	\$1.00	\$3,956.20	(\$29,590.26)
		CA STRATEGIS OFFSHORE FUND LTD - CLASS I		342.8100	\$17.93	\$6,147.80	\$1.00	\$342.81	(\$5,804.99)

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5.7. Transactions

The **Transactions** page is an inquiry of all transactions posted for a specific date range for the selected account or Account Group.

- This page will display all transactions including those in an AUTH status from InnoTrust.
- Clicking the CSV or Excel buttons will extract the data to the desired file type.

TRANSACTIONS [Help](#)

Criteria

Account:

Account Group:

From Date: To Date:

Date Basis:

Date	Transaction#	Transaction Code	Amount	Security	Additional Information	Tax Code
8/31/2012	21224300	ACH Disbursement	(\$2,500.00)		ACH Disbursement Paid To: MARY ANDERSON distribution	Normal distribution
8/15/2012	21222800	Fee Invoice Generated			Fee Invoice Generated Amount : (\$420.00)	Annual Fee Invoice
8/1/2012	21221200	ACH Disbursement	(\$2,500.00)		ACH Disbursement Paid To: MARY ANDERSON distribution	Normal distribution
6/29/2012	21218100	ACH Disbursement	(\$2,500.00)		ACH Disbursement Paid To: MARY ANDERSON distribution	Normal distribution
					ACH Disbursement Paid To:	

5.8. Account Groups

The **Account Groups** page allows you or your administrators to create customized groups based on the linked accounts.

Once an account a group has been created, you have the ability to:

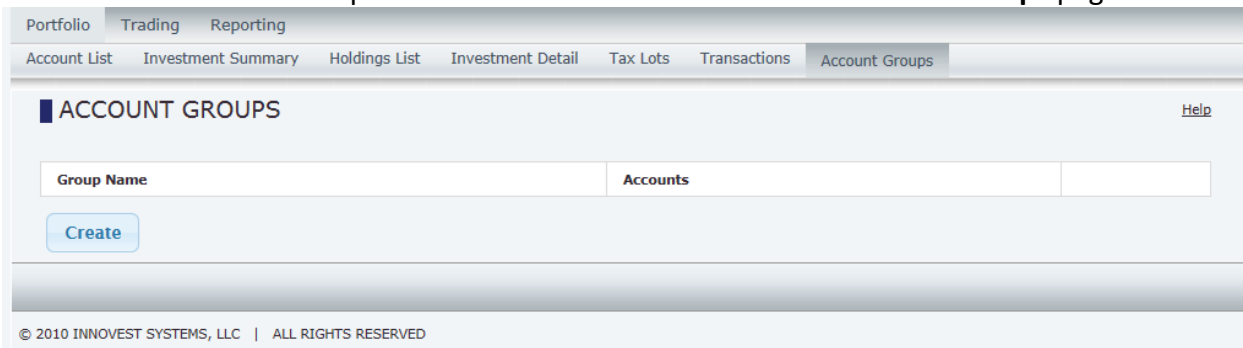
- Change the account group name
- Link accounts to the group
- Navigate to the **Investment Summary, Holding, Investment Detail** and **Transactions** pages and browse each report on an aggregated basis for the Account Group.

As an example, a family with five accounts might want to view the retirement accounts together as a whole. In this case a group would be created containing just the retirement accounts. When viewing any of the aforementioned pages (i.e. *Investment Summary*), you will

have the ability to view the retirement accounts as an aggregate or each account individually as desired.

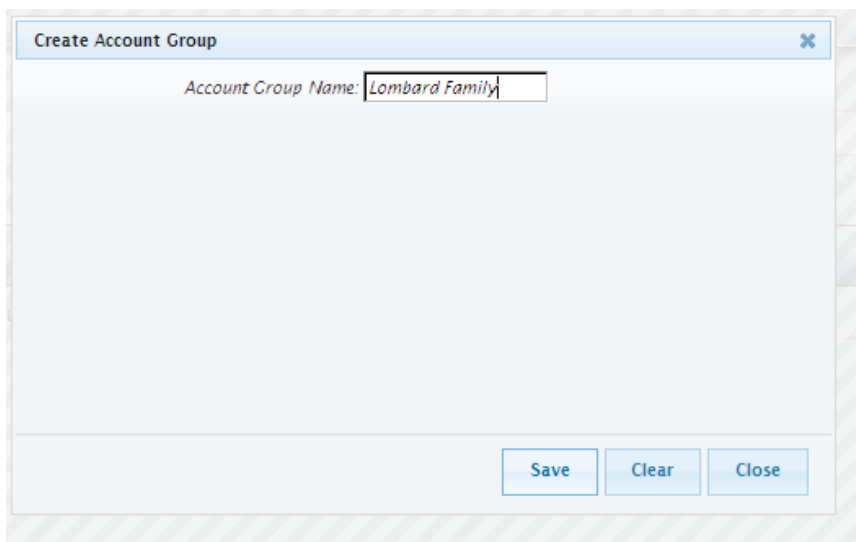
5.9. Creating Account Groups

To create an Account Group click on the “Create” button on the **Account Groups** page.



The screenshot shows the 'Account Groups' page within a web application. The top navigation bar includes 'Portfolio', 'Trading', and 'Reporting'. Below this, a secondary navigation bar lists 'Account List', 'Investment Summary', 'Holdings List', 'Investment Detail', 'Tax Lots', 'Transactions', and 'Account Groups'. The main content area is titled 'ACCOUNT GROUPS' and features a 'Help' link. There are two input fields: 'Group Name' and 'Accounts'. A 'Create' button is positioned below the 'Group Name' field. At the bottom of the page, a copyright notice reads '© 2010 INNOVEST SYSTEMS, LLC | ALL RIGHTS RESERVED'.

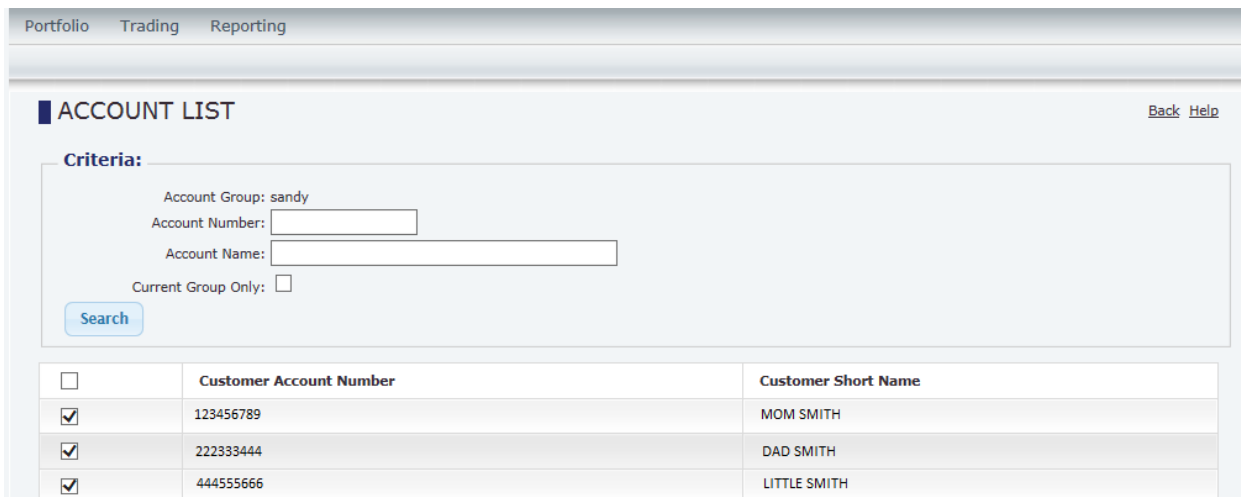
You will be prompted to enter an Account Group Name.



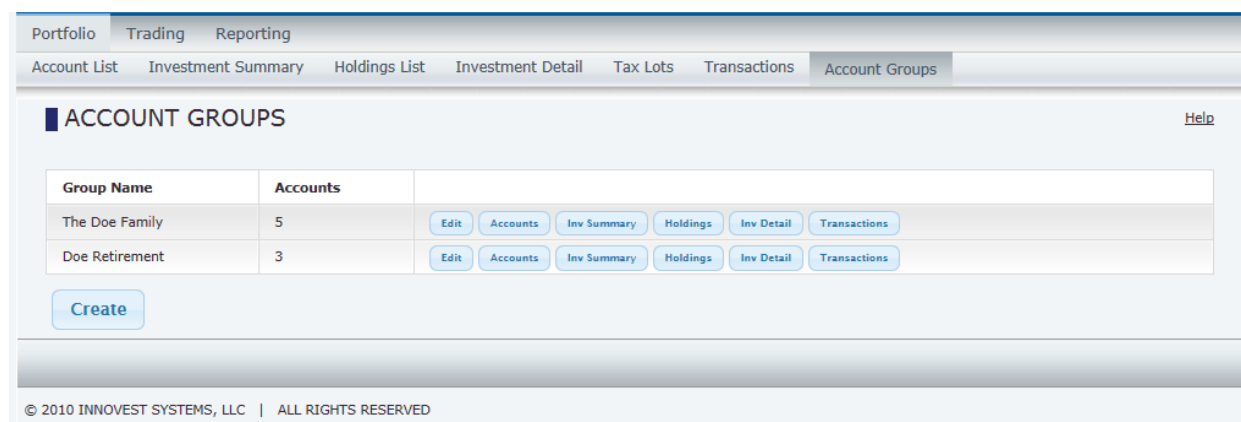
The screenshot shows a 'Create Account Group' dialog box. The title bar reads 'Create Account Group' with a close button. The main area contains the text 'Account Group Name:' followed by an input field containing 'Lombard Family'. At the bottom of the dialog, there are three buttons: 'Save', 'Clear', and 'Close'.

After clicking “Save” the **Account Groups** page displays the newly added account group.

Clicking on the “Accounts” button displays the **Account List** page where individual accounts can be selected using the check boxes to the left. After checking the desired account(s) to include into the group scroll down to the bottom of the page and click the “Save” button; the system will display a message of “x records inserted..”



You may now click either the “back” hyperlink located at the top right of the screen or the **Portfolio > Account Groups** menu option to view the created group. The page will now display the Account group name, the number of accounts in the group and shortcuts to the **Investment Summary, Holdings, Investment Detail** and **Transactions** pages for each group.



Groups that have been created by an administrator will have an asterisk next to the account group name.

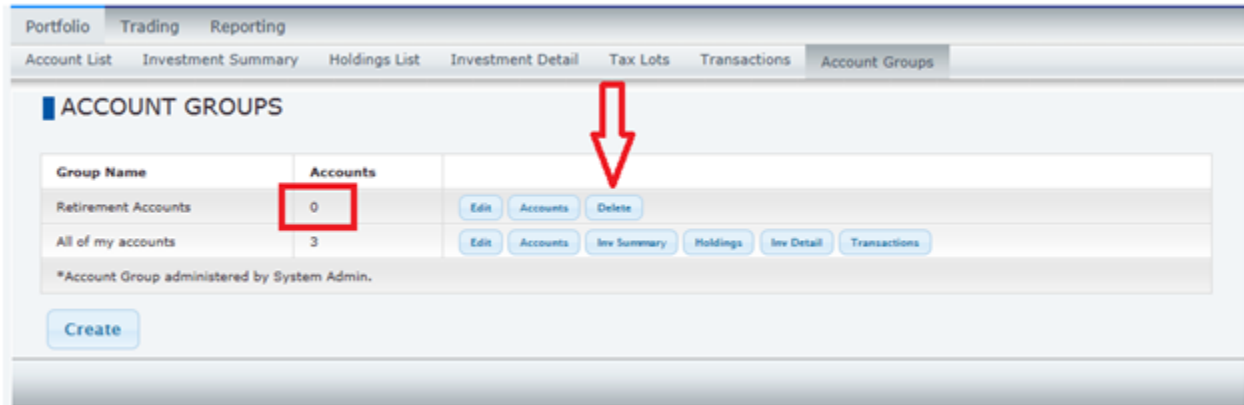
5.10. Editing Account Groups

To edit an existing Account Group name click the “Edit” button to the right of the Account Group name. A pop-out box will be presented that allows you to re-name the group.

To add or remove accounts from the Account Group click the “Accounts” button to the right of the Account Group name. The **Account List** page will be displayed where you will see the current accounts checked. Either check additional accounts or uncheck accounts and click the “Save” button at the bottom of the page to update the group with the desired accounts.

5.10.1.1. Deleting Account Groups

You may only delete a group when there are no accounts associated with the group. You must click “Accounts” button and uncheck all accounts that are part of the group, click “Save”, go back to the Account Groups page and now the “Delete” button will be visible. You may now click the Delete button and respond yes to confirm the deletion.



6. Trading

Users who have been given trading capabilities will be able to view and use one or both of the two sub-tabs contained in this part of the menu. The options are:

- Enter Trades
- View Orders

6.1. Enter Trades

Individual orders can be entered on this screen.

- Account Number – Required. Can be selected using the “find” button to the right of the account number field to display a search pop-up. This button will only be presented if you have access to more than 10 accounts, otherwise, a drop down menu will allow you to select the account you wish to trade.
- Ticker Symbol – the security you wish to trade. Upon entering a security in the Ticker Symbol field the right portion of the screen will populate with the security’s current information.
- Order Type –
 - Buy
 - Sale
- Category –
 - Market
 - Limit – if selected the screen will alter to present user with additional fields of
 - Limit Price
 - Timing – Day order/Good Till Date / Good Till Cancel
 - Stop – if selected the screen will alter to present user with additional fields of

- Stop Price
 - Timing – Day order/Good Till Date / Good Till Cancel
 - Stop Limit – if selected the screen will alter to present user with additional fields of
 - Stop Price
 - Limit Price
 - Timing – Day order/Good Till Date / Good Till Cancel
- Shares – The desired units to trade. This field will clear if any data is populated in the Amount field
- Amount – The desired dollar amount of the trade. This field will clear if any data is populated in the Shares field
- Cancel Date – this field will be displayed only when a timing of Good Till Date is selected.

ENTER TRADES

Criteria

Account: 123456789 JOHN SMITH

Ticker Symbol: IBM

Order Type:

Category:

Shares:

Amount:

International Bus			
IBM : 193.26 +1.19 +0.62% 7/15/2013 10:46am			
Ask	N/A	Bid	N/A
Open	192.39	Prev Close	192.07
Day's	191.68 -	52-Week	183.20 -
Range	193.43	Range	215.90
P/E	13.25	EPS	14.501
Volume	1319303	Exchange	NYSE

6.2. View Orders

The View Orders page enables you to view all or some orders for selected accounts or timeframes.

The page provides searching for:

- Account – Orders for a specific account. If left blank orders for all accounts you have access to will be displayed
- Order Type
 - Buy
 - Sell
- Status
 - Open – Not yet executed
 - Filled – Executed
 - Rejected – The order has been rejected by downstream systems
 - Cancelled – The order was cancelled

- From Date – search from a specified date
- To Date – search to a specified date

The screenshot shows a web application interface for viewing orders. At the top, there are tabs for 'Portfolio', 'Trading', and 'Reporting'. Below these are sub-tabs for 'Enter Trades' and 'View Orders'. The main heading is 'VIEW ORDERS'. Underneath, there is a 'Criteria' section with search filters: 'Account' (with a 'Find' button), 'Order Type' (dropdown menu), 'Status' (dropdown menu), 'From Date' (text input), and 'To Date' (text input). There are 'View' and 'Clear' buttons at the bottom of the criteria section. Below the criteria is a table with the following columns: Action, Date, Order #, Order Type, Quantity, Ticker, Description, Category, Timing, and Status.

Action	Date	Order #	Order Type	Quantity	Ticker	Description	Category	Timing	Status
	2/25/2013	21305600477	Purchase	\$3,876.72	THOPX	THOMPSON BOND FUND	Market	Immediate	Filled
	2/25/2013	21305600476	Purchase	\$1,621.02	PHIYX	PIMCO HIGH YIELD INST FUND #108	Market	Immediate	Filled
	2/25/2013	21305600475	Purchase	\$379.18	WBIGX	WILLIAM BLAIR INTL GROWTH CLASS N	Market	Immediate	Filled
	2/25/2013	21305600474	Purchase	\$288.76	FINSX	FIDELITY ADVISOR NEW INSIGHTS I	Market	Immediate	Filled
	2/25/2008	20805669300	Sale	\$4,972.79	CFICK	CALVERT INCOME FUND CL A	Market	Immediate	Open
	2/25/2008	20805669299	Sale	\$1,046.20	WBIGX	WILLIAM BLAIR INTL GROWTH CLASS N	Market	Immediate	Open
	2/25/2008	20805664397	Sale	\$1,208.63	VISGX	VANGUARD SM CAP GROWTH STOCK #861	Market	Immediate	Cancelled

7. Reporting

The Reporting pages display various reports such as customer statements and custom loaded reports for user viewing. One or some of these pages may be provided to you by your firms.

7.1. Statements

This page displays the statements that are available for you to view.

Innovest TRUST & HEALTH MANAGEMENT SYSTEMS

Welcome **mlombard**
 My Account | Contact Us | Log Off
 Server time : 2/29/2012 11:17:33 AM
 Last login ip : 108.117.65.214

Portfolio Trading Reporting

Statements Documents Notices Tax Documentation Pending Trades Pledged Assets Portfolio Allocations Chart

STATEMENTS

Criteria

Account:

Statement Date:

Account/Group	Frequency	Product	Statement Date
MITCHELL LOMBARD, IRREVOCABLE TRUST (10162065)	MONTH : Monthly	0002 : Administrative Trust Services	1/31/2011
MITCHELL LOMBARD, IRREVOCABLE TRUST (10162065)	MONTH : Monthly	0002 : Administrative Trust Services	2/28/2011
MITCHELL LOMBARD, IRREVOCABLE TRUST (10162065)	MONTH : Monthly	0002 : Administrative Trust Services	3/31/2011
MITCHELL LOMBARD, IRREVOCABLE TRUST (10162065)	MONTH : Monthly	0002 : Administrative Trust Services	4/30/2011
MITCHELL LOMBARD, IRREVOCABLE TRUST (10162065)	MONTH : Monthly	0002 : Administrative Trust Services	5/31/2011
MITCHELL LOMBARD, IRREVOCABLE TRUST (10162065)	MONTH : Monthly	0002 : Administrative Trust Services	6/30/2011
MITCHELL LOMBARD, IRREVOCABLE TRUST (10162065)	MONTH : Monthly	0002 : Administrative Trust Services	7/31/2011
MITCHELL LOMBARD, IRREVOCABLE TRUST (10162065)	MONTH : Monthly	0002 : Administrative Trust Services	8/31/2011
MITCHELL LOMBARD, IRREVOCABLE TRUST (10162065)	MONTH : Monthly	0002 : Administrative Trust Services	9/30/2011
MITCHELL LOMBARD, IRREVOCABLE TRUST (10162065)	MONTH : Monthly	0002 : Administrative Trust Services	10/31/2011
MITCHELL LOMBARD, IRREVOCABLE TRUST (10162065)	MONTH : Monthly	0002 : Administrative Trust Services	11/30/2011

Page Size: Download File:

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7.2. Documents

Documents other than Statements, Notices and Tax Worksheets can be viewed on this page.

Portfolio Trading Reporting

Statements Documents Notices Tax Documentation Pledged Assets Portfolio Allocations Chart

DOCUMENTS

Criteria

Account:

Document Type:

From Date:

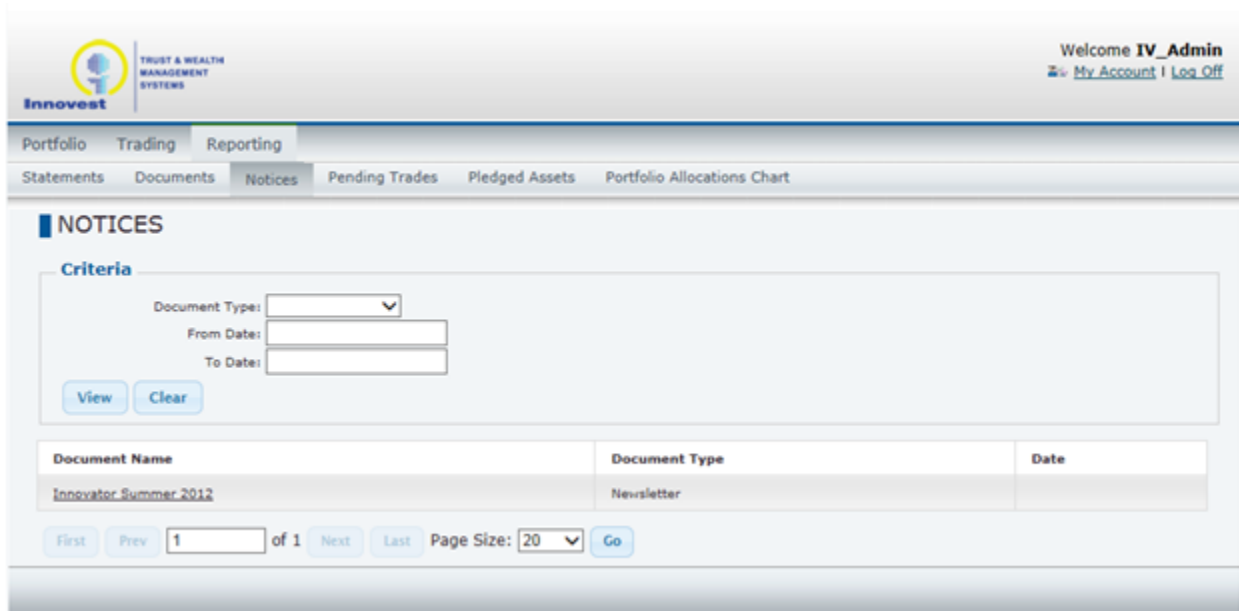
To Date:

Account Number	Account Name	Document Name	Document Type	Date
1234567	JOHN SMITH	Fee Invoice	Fee Invoice	3/27/2013
1234567	JOHN SMITH	Quarterly Performance	Performance Report	3/27/2013
1234567	JOHN SMITH	Tax Worksheet	Tax Worksheet	3/27/2013

Page Size:

7.3. Notices

Similar to the **Documents** tab, the **Notices** page will display general notices that have been supplied to you for viewing.



7.4. Tax Documentation

The **Tax Documentation** page displays account specific Tax Documents that have been provided to you. The page requires both an account number and a valid Tax ID to view the available documents.

TAX DOCUMENTS

Criteria

Account: 11111111 : JANE DOE

Tax Year: 2012

Tax ID #: 123456789

[View](#)

[Clear](#)

Select	Form Number	Tax Year	Tax State	Gross Amount	Dist Code	Recipient Name	Last Updated
<input type="checkbox"/>	1099-DIV	2012				JANE DOE	1/30/2013 9:05:35 PM
<input type="checkbox"/>	1099-B	2012				JANE DOE	2/15/2013 3:40:08 PM
<input type="checkbox"/>	1099-B	2012				JANE DOE	2/15/2013 3:40:08 PM
<input type="checkbox"/>	1099-B	2012				JANE DOE	2/15/2013 3:40:08 PM

[Check All](#)
[Uncheck All](#)
[Download](#)

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7.5. Pending Trades

The **Pending Trades** page will display account specific trades that are pending settlement in each account. Upon settlement the trades will be displayed on the **Portfolio Holdings List** and will no longer appear on this page.

PENDING TRADES

Criteria

Accounts: 1234567

[Find](#) JOHN SMITH

[View](#)

[Clear](#)

[CSV](#)

[Excel](#)

Date	Transaction #	Description	Amount
10/8/2013	21328100386	Buy Dell Inc Trade Date: 10/08/2013, Settle Date: 10/08/2013 3.0000 Shares @ 14.0000	(\$42.00)

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7.6. Pledged Assets

The **Pledged Assets** page will display any restricted securities for the specified Account or Account Group. The page will display the current holding and any shares and corresponding value that are restricted.

The screenshot displays the 'PLEGGED ASSETS' section of the Innovest system. At the top, there is a navigation bar with 'Reporting' selected. Below it, a sub-menu includes 'Pledged Assets'. The main area contains search criteria for account 12345678 and user JOHN DOE. A table below shows pledged assets for account 1112R489B, with one asset listed: Oppenheimer International Diversified Class A, with 300,000 restricted units and a market value of \$4,209.00.

Asset Description	Cusip	Registration	Location	Reason for Restriction	Total Units	Total Position Market Value	Restricted Units	Market Value Restricted
Account: 1112R489B				Name: TROUTMAN TOD IA, RONALD B				
Oppenheimer International Diversified Class A	68383C107	ABC	Matrix	ON LOAN	375.5750	\$5,269.32	300.0000	\$4,209.00
Total:							300.0000	\$4,209.00

7.7. Portfolio Allocations Chart

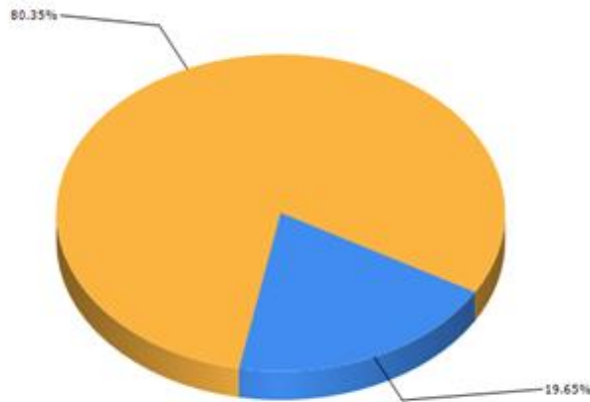
The **Portfolio Allocations Chart** page displays an Account or Account Group's allocation in a Pie Chart format. The breakdown of the assets use the Security Type of the holdings for classification.

PORTFOLIO ALLOCATIONS CHART

Criteria

Account:
Account Group:
As Of Date: Date Basis:

Current Allocation



Assets

- Common Stock
- Mutual Fund - Equity