

Scivantage Professional

Integrated Workstation for Today's Financial Advisor



Scivantage Professional is a browser-based, advisor workstation that brings together real-time data, advisory productivity tools, automated workflow and transaction processing in one, complete solution. From trading, account management, cost basis reporting and event notification management to automated account opening, maintenance and funding, Scivantage Professional offers a full suite of powerful applications that support the workflow of today's financial advisor.

Modular in design, Scivantage Professional can be configured to meet the needs of financial advisors, branch managers and home office personnel—offering them complete access to the latest technology and software needed to manage complex and sophisticated customer needs. This innovative, back-office independent solution seamlessly integrates with all major and proprietary back offices and select third-party software providers. Scivantage Professional helps financial institutions and financial advisors build profitable relationships, streamline workflow and improve productivity by incorporating key functionality, including:

- single, multi- and cross account order entry and processing of equities, mutual funds, ETFs and complex options
- real-time access to balances, positions, account activity and order status with immediate account opening, maintenance and funding
- integrated portfolio management tools including cost basis, portfolio reporting and asset allocation
- comprehensive search capabilities and book management features allow for grouping and analysis of critical customer data across multiple accounts, household, branch or rep ID
- configurable rules engine offers greater control over back office functions such as pre- and post trade routing, exception requests and restricted securities
- real-time actionable notification of critical events, such as trade rejection, new account status, ACAT status and compliance alerts

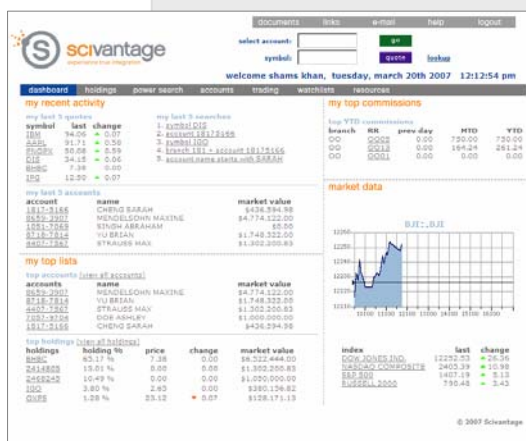
Scivantage Professional offers financial institutions a high performance technology solution that is proven, secure and 100% accessible—anytime, anywhere.

Real-time Advantage.

While most systems only offer end-of-day or limited real-time data, Scivantage Professional calculates and displays real-time information that takes into account intraday activity and intraday pricing.

Benefits of Scivantage Professional

- Attract, retain and empower advisors by providing tools that help them effectively manage their book of business
- Secure, reliable and 100% accessible – anytime, anywhere
- Automation of key business and advisory tasks reduces risks, improves productivity and increases client satisfaction
- Access to real-time, accurate information allows advisors to provide more timely and complete advice
- Workflow-focused design allows advisors to work more efficiently – spending more time with their best clients and prospects
- Back office independent – integrates to any back office; out-of-the-box integration to Thomson, ADP, Pershing and National Financial.



Whether a financial institution is looking to complement or replace an existing front-office solution, Scivantage Professional provides the flexibility banks, brokerage and correspondent clearing firms need to support their retail brokerage business.

Key Features of Scivantage Professional

Account Opening & Maintenance

- Real-time account opening and funding; including multiple accounts from one screen
- Workflow system with full audit trail of principal approval, exception processing and other defined rules
- Full account maintenance capabilities-profile changes and service additions
- Identity verification and authentication; OFAC, Patriot Act-compliant

Trade Processing

- Single, multi- and cross account order entry and processing
- Supports trading of equities, mutual funds, ETFs and options
- Complex options trading with support of numerous advanced techniques
- Order routing to all major Exchanges, ECNs and market makers for multiple instrument types

Account Management

- Real-time access to balances, positions, account activity and order status
- Asset allocation capabilities including rebalancing, straight-through trades and investment profiles
- One-click transactions from account screens
- Extended account history that goes beyond standard back office procedures
- Consolidation and display of accounts held outside of primary back office

Electronic Money Movement

- Comprehensive money movement options: ACH, transfers, wires, check requests
- Supports on demand, recurring or periodic transfers
- Bank account and identity verification

Online Document Delivery

- Electronic delivery of trade confirms, statements and 1099s
- Downloadable 1099 data to leading tax preparation software

Cost Basis & Portfolio Reporting

- Automatic processing of corporate actions, including voluntary events
- Wash sale identification, calculation and deferral
- Customized, on demand tax reporting capabilities, including realized and unrealized gains/losses, IRS Schedule D and Form 6781
- Real-time, actionable trade analysis of short- and long-term gain/loss opportunities

Event Notification & Alerts

- Personalized Inbox centralizes all enterprise alerts and notifications from firm-wide systems
- Actionable resolutions, complete audit trail and firm-defined workflow
- Advanced collaboration module allows teams to share notes, documents and set reminders
- Multi-device delivery including desktop, PDA and Phone

Cross Account Management

- Configurable advisor dashboard provides snapshot of relevant, timely information
- Power Search-comprehensive search utility enables reps to find clients and accounts based on multiple criteria
- Cross account views and reports, including stock record, maturing assets, trade journal, commission tally and moneyline report.

Market Data & Research

- Real-time and delayed quotes on North American and International Exchanges
- Premium research and analysis from leading third-party providers

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