

TRADE ORDER ENTRY

Automate and Control Trade Instructions from Point of Decision to Point of Execution

When considering a system to monitor investment changes, two important questions should be asked:

- Can it monitor an investment recommendation prior to execution?
- Does it completely track and control that recommendation from inception to settlement?

AddVantage Trade Order Entry does both.

With Trade Order Entry, investment changes are entered into the system at the point of decision. Without affecting cash balances or showing a real change in the asset position on a sale, the system reserves the number of units indicated in the order. The order can be cancelled at any time prior to execution.

Accurately Track the Order Process and Reduce Paper Flow

Trade Order Entry automates instructions to the trading desk, thereby eliminating written instructions. The status of each order is tracked from decision to actual trade execution. The system automatically dates and time stamps each order, and following execution, the order is integrated with the AddVantage Securities Movement and Control system.

Straight-through Processing

Trade Order Entry accepts orders promoted directly from AddVantage's Modeling and Dynamic Trading sub-systems. When used in conjunction with SunGard Global Network (SGN) Securities and Funds, straight-through processing is achieved from order recommendation to trade settlement.

Flexible Reporting Options

Reporting with the Trade Order Entry system has built-in flexibility required to meet the needs of the various departments involved in the trading process. Trade Order reports allow multiple sorting options and are available online, real-time throughout the entire trading cycle.

Benefits

- Orders can be entered with a minimum of information. Use security descriptions when CUSIP numbers are not available.
- Single or block orders can be established. Open orders can be blocked together while retaining individual account information. Partially execute any type of order. Block orders can be reallocated by individual account or on an account pro-rata basis.
- Orders can be entered before or after placement with a broker. Changes or deletions can be made any time before they are executed.
- Sell orders check available units on both settled and pending positions.
- Trade order tickets provide SEC regulatory information. Printing is optional and can be done at any time during the order cycle.
- Full audit tracking is done on all order activity.

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