

WEALTHSTATION CLIENT ACCESS: INVESTOR — TECHNICAL FEATURES

WealthStation Client Access: Investor is an Internet trading platform for brokerages and clearing firms. A high-performance, multi-threaded, asynchronous routing system developed to support high-volume securities trading applications, its trading engine is composed of more than 200 standardized, database-driven rules. It also contains a flexible commission module, order routing capabilities to major U.S. back-office systems, and a FIX engine that can be used for routing to other execution points. WealthStation Client Access: Investor provides a reliable, time-tested process for transmitting significant trade volumes.

AN ARCHITECTURAL PHILOSOPHY

To address the database, power and protocol issues that normally surround online trading systems in an ASP environment, SunGard implemented several architectural philosophies in its WealthStation Client Access:

Investor product:

- > Uses database centricity to enhance the system performance, reliability and flexibility. Sensitive data is consolidated into a single data store that can be firewalled and maintained with strict access authorization to increase security. Performance scales at the rate of relational databases, which handle thousands of transactions per second and terabytes of data.
- > Supports distributed CPU horsepower that is load-balanced and interoperates along a logical network bus. Power can simply be expanded by adding more machines.
- > Leverages open standard protocols such as XML and Java, so that SunGard can quickly incorporate new technologies and tools when building new features.

An open API called the Brokerage Object Model (BOM) powers your WealthStation Client Access: Investor site. BOM is an XML specification that ties modules together in a standardized fashion. Third-party developers can interact with WealthStation software through BOM API calls, either over a secure Internet connection or through private leased lines. The BOM allows for the integration of development environments such as .NET and J2EE.

A ROBUST, CAPABLE PLATFORM

A cost-effective, outsourced solution for online Internet trading and account-lookup systems, WealthStation Client Access: Investor is a robust, capable platform that:

- Runs on Windows® 2003 servers and genuine Intel hardware using Microsoft® SQL® server
- Features a trading engine, tested to process 670 trades per second, and the dynamic rules/routing engine can process 420 trades per minute using a dual Xeon® 3.0 GHz processor
- Scales linearly through a redundant array of inexpensive machines (RAIM) that support 6,000 to 10,000 orders per minute through a FIX server farm (five servers minimum), and a rules engine server farm (30 servers minimum)
- Delivers real-time order status and executions, balances, money funds, positions and activities, including trades and bookkeeping
- Pays maximum attention to debugging and auditing
- Logs transactions for future analysis, allowing reconstruction of any trading condition after the fact
- Reports executions with pop-up messages and e-mail
- Provides Web-based access to system controls
- Tracks trading history, manages customer access, and reviews audit trails
- Streamlines many day-to-day tasks, such as enabling accounts and changing entitlements
- Self-detects errors and invariants to trigger internal alarms
- Connects to Quicken®, MS Money® and TurboTax®, and downloads to Excel®
- Delivers turnkey online trading with advanced features and seamless back-office integration
- Provides native support for every major back-office with direct API connectivity to Broadridge BPS, Broadridge SIS, BETA, SunGard's Phase3, NFS, and Pershing

TRADING FEATURES

Account Info

- Executions
- Real-time order status with UROUT support, balances, positions, account and trade activity
- User-customizable settings
- Pop-up messages
- Portfolio tracker
- Unrealized and realized gains/losses (tax lots) summary
- Projected cash flow
- TWRR performance reporting

Trading

- Equities, options, complex options, mutual funds and ETFs
- Advanced and contingent orders, including trailing stops, OCOs, OTOs and OT2s
- Stop, limit and stop-limit orders
- Order execution notification
- One-click cancels
- Modify orders
- More than 200 order-checking and compliance rules
- Commission module
- Order routing module
- Review and release module
- Complete order history and audit trail

Quotes

- Real-time level I streamer
- Real-time or delayed quotes, watch lists and option chains

My Records

- Account information
- Agreements on file
- Settlement instructions on file

Home Page Features

- Market indices
- Rep information
- Customizable help screens
- Contact us information
- Account overview screen
- Linked accounts overview screen
- Graphical overview of accountse
- Last login time/date stamp

Add-On Features

- Online account opening
- Research package
- User self-enrollment module
- Account linking

WealthStation Client Access: Investor can help decrease your time to market, and help reduce the risks of building a one-off solution from scratch. Open standards and ongoing service ensure that WealthStation Client Access: Investor continues to evolve to meet the ongoing needs of your business and the industry.

For more information on WealthStation Client Access: Investor, see SunGard's related marketing materials online or talk to your SunGard account representative.