SUNGARD WEALTHSTATION

WEALTHSTATION TRADING

A flexible, customizable, front-office solution that adapts to the constantly changing needs of today's financial professionals is essential to the continued growth and success of your business. WealthStation Trading is a browser-based, advisor desktop that integrates account management, trading, workflow, market data, and portfolio management within a single, personalized and standalone platform. Financial professionals, such as self-clearing broker/dealers, clearing firms, fully disclosed firms, wealth management organizations, and larger, independent registered investment advisors (RIAs), can benefit from the many capabilities WealthStation Trading delivers.

A comprehensive, portable and outsourced workstation, WealthStation Trading helps investment professionals execute trades without relying on back-office technology. WealthStation Trading provides advanced features and functionality that help to automate every step of the trading lifecycle. WealthStation Trading users can execute stocks, exchange traded funds (ETFs), options, and mutual funds via secure, real-time connections to service bureaus, back-offices, or order management systems (OMS). Along with its real-time account information, portfolio rebalancing, performance reporting, and trading abilities, this tool is designed to help empower financial professionals to grow assets, efficiently manage their client base, and strengthen client relationships. Because it integrates with all major back-offices to supplement their capabilities, WealthStation Trading helps reduce the number of systems normally needed for similar trading functionality.

WealthStation Trading delivers a breadth of tools useful to all business lines within a financial services firm, and provides financial professionals and their clients with real-time brokerage account information and online trading access 24/7.

CUSTOMIZABLE AND CAPABLE

WealthStation Trading employs a service-oriented architecture (SOA) technology platform and service model that can be fully customized to meet your individual firm's specific needs. As a private-labeled solution, WealthStation Trading incorporates your firm's unique corporate identity to help enhance your firm's name recognition and marketplace positioning.

REAL-TIME MARKET AND ACCOUNT DATA

WealthStation Trading provides real-time account information, as well as seamlessly integrated real-time, up-to-the-minute market data and research to help financial professionals make timelier, fully informed decisions. Real-time (additional exchange fees may apply) or delayed quotes, real-time or delayed option chains and watch lists, or streaming level-one quotes, are available through the system. WealthStation Trading also is integrated with more than 20 other market data and research providers.

ADVANCED TRADING

WealthStation Trading offers advanced stock, mutual fund, option, and ETF trading capabilities that help you meet clients' trading needs, as well as your books and records compliance. The system handles both discretionary orders and riskless principal orders. Its capabilities include basket trading, percentage order entry, multiple-trade quick-order entry, power trading, specific lot versus purchase trading, block and bunched trading, inventory trading, and advanced order types, such as trailing stops, bracketed, and contingency orders.

With WealthStation Trading, you can perform two-, three-, and four-leg, complex options trades, such as spread, straddle, combination, covered write, strip strap, buy write, married put, condor, and ratio, collar, butterfly, condor, and box spread. You even can override commissions and sales credits, if necessary.

More than 200 built-in, pre-trade order and compliance rules help to reduce risk, and trap out-of-bounds orders. By processing trades efficiently and accurately, WealthStation Trading helps assure reliability so that financial professionals can maintain client trust and confidence.

END-TO-END CLIENT AND ACCOUNT MANAGEMENT

The system's data interfaces in real-time with all major back-offices to help ensure accurate, timely presentation of client account information. In addition to managing essential account information, WealthStation Trading includes householding capabilities and aggregation, Tax ID and short name search, account wizards, preference editing, alerts and notifications, a document center, and Microsoft® Outlook® compatibility. The system's new account opening module helps make tasks related to adding new accounts less manual and more efficient. WealthStation Trading streamlines navigation and, by helping to reduce clicks and maximize data displays, you gain easy and immediate access to client account information.

To help create a more collaborative experience with the client and support critical compliance monitoring, WealthStation Trading allows you to view investment performance online and generate performance reports. In addition, you have immediate online access to statements, confirms and tax documents.

REPORTING

WealthStation Trading allows you to build custom, personalized reports easily and quickly, using its report tools and advanced report filters. Rep, office, firm-wide, and OSJ reporting level searches are included for compliance support purposes, as well. Most standard reports are already available, including:

- Commissions
- Stock record
- Moneyline
- Action items
- Maturity
- Activity
- Trade blotter
- Account list
- Cash In/Cash Out
- P&L
- Percent of holdings positions
- Percent of MV positions

Reports can be viewed on screen, in a printer-friendly format, downloaded to Excel®, or exported to a PDF.

PORTFOLIO REBALANCING

Trading and rebalancing functions are usually found on separate platforms, resulting in manual process intervention, time loss and an increase in information error risk. WealthStation Trading integrates both trading and rebalancing capabilities. Financial professionals can view either firm-defined models or set up their own, and then rebalance one account in the model, or rebalance all accounts in a model.

ADVANCED NAVIGATION AND INTERFACE

Financial professionals can navigate through a simple, yet powerful, next-generation interface designed with the investment professional in mind. Helping to reduce data display and streamline navigation is central to WealthStation Trading's design philosophy. The interface's dynamic presentation layer can be personalized to show specific asset allocations, graphic pie charts, distributions, activity status, and real-time orders, UR outs, balances and positions. WealthStation Trading's intuitive interface benefits your firm by helping to ensure both novice and experienced financial professionals experience highly productive and informative sessions.

LEARN MORE

To learn more about WealthStation Trading's usability and comprehensive capabilities that are based on SunGard's more than 10 years of experience delivering front-office solutions to the financial services industry, contact SunGard at 1-800-825-2518.

www.sungard.com/wealthstation