

# Alert Parameter Report

## Alert1001 : TR1001\_Age\_Max\_Product

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	This rule set identifies a client (owner/insured) with an age equal to or greater than the recommended threshold for the product type being reviewed. Exceptions are generated for buy trades where the principal amount exceeds the trade threshold for the given product type. This must occur in accounts with balances exceeding the asset threshold and where the client age is greater than or equal to the age threshold for the given product type. If the product type is a VA, FA, or VL, and the owner is not the same as the insured, then the age of the annuitant is compared to the age threshold for the given product type. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. They also determine whether to include accounts classified as non-natural person entities. Additionally, a parameter allows a choice for which household account grouping is used in calculation of account value. Exceptions will not generate if the client date of birth or insured data of birth is unavailable.				

## General

Param Name	Code	Description	Value
Include Non-Natural Accounts	A	Determines whether the alert is applied to non-natural account owners.	No
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Asset Amount Threshold	D	Triggers the alert when the account value exceeds the threshold.	\$10,000.00
Household Type Use	E	Determines which account relationship type to use for this alert.	Account
First Trade Lot Only	F	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes
Exclude Money Markets	G	Determines whether money market securities are excluded from triggering this alert.	Yes

## PROD

Item	Age Threshold (B)	Trade Principal Amount Threshold (C)	Trade Amount Percent Of Assets Threshold (H)
	Triggers an alert when the age of the client equals or exceeds the threshold set by product type.	Triggers an alert when the trade principal amount exceeds the threshold set by product type.	Triggers an alert when the trade amount as a percentage of assets across the selected household relationship exceeds the threshold by product type.
Equity	75	\$5,000.00	40.00%
Exchange Traded Fund	75	\$5,000.00	40.00%
Option	75	\$0.00	40.00%
Mutual Fund	75	\$50,000.00	40.00%

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Fixed Income	75	\$25,000.00	40.00%
Structured Product	75	\$5,000.00	40.00%
Unit Investment Trust	70	\$5,000.00	40.00%
REIT	70	\$5,000.00	40.00%
Limited Partnership	65	\$0.00	40.00%
Variable Annuity	65	\$10,000.00	40.00%
Equity Indexed Annuity	65	\$10,000.00	40.00%
Fixed Annuity	85	\$25,000.00	40.00%
Variable Universal Life	65	\$0.00	40.00%
Cash Equivalents	199	\$9,999,999,999.00	40.00%
Term Life	75	\$0.00	40.00%
Whole Life	75	\$0.00	40.00%
Universal Life	75	\$0.00	40.00%
Long Term Care	200	\$0.00	40.00%
Disability Income Replacement	65	\$0.00	40.00%
Unknown	0	\$0.00	40.00%

### Alert1002 : TR1002\_Affordability\_Age

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	<p>This rule set evaluates the client's immediate ability to pay for the product being purchased. Calculates the purchase amount as a percent of the clients account asset amount or their stated net worth. The client must establish their desire to use either Net Worth or Liquid Net Worth in the data mapping process as only one can be used in the rules. Rules compare the percentage against thresholds set by product type. Exceptions are generated for buy trades where the principal amount exceeds the trade threshold for the given product type. This must occur in accounts with balances exceeding the asset threshold, where the client age is greater than the age threshold for the given product type. The account balance must be greater than or equal to the client's stated net worth and the total order amount as a percentage of the account value must be greater than the established threshold. Or, the account balance must be less than the client's stated net worth and the total order amount as a percentage of the client's stated net worth, must be greater than the established threshold. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. Additionally, a parameter allows a choice of which account grouping is used in calculation of account value.</p>				

### General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Asset Amount Threshold	C	Triggers the alert when the account value exceeds the threshold.	\$10,000.00
Household Type Use	E	Determines which account relationship type to use for this alert.	Account

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First Trade Lot Only	H	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes
Exclude Money Markets	I	Determines whether money market securities are excluded from triggering this alert.	Yes
Include Other Side	K	Selecting "Yes" will cause the alert to consider "Other" side trades to be included in analysis along with "Buy" side trades. Selecting "No" will cause only "Buy" side trades to be considered.	Yes

### PROD

Item	Percent Of Net Worth (A)	Trade Principal Amount Threshold (B)	Age Threshold High (D)	Age Threshold Low (F)	Percent Of Income (G)	Percent Of Asset Amount (J)
	Triggers an alert when the total order as a percentage of the stated net worth exceeds the threshold by product type.	Triggers an alert when the trade principal amount exceeds the threshold set by product type.	Establishes the HIGH age threshold by product type when exceeded will trigger the Asset and NW alerts.	Establishes the LOW age threshold by product type when less than or equal to will trigger the Income alert.	Triggers an alert when the total order as a percentage of the stated income exceeds the threshold by product type.	Triggers an alert when the total order as a percentage of the account asset amount exceeds the threshold by product type.
Equity	5.00%	\$5,000.00	75	35	5.00%	5.00%
Exchange Traded Fund	5.00%	\$5,000.00	75	35	5.00%	5.00%
Option	1.00%	\$0.00	75	35	1.00%	1.00%
Mutual Fund	10.00%	\$50,000.00	75	35	10.00%	10.00%
Fixed Income	10.00%	\$25,000.00	75	35	10.00%	10.00%
Structured Product	5.00%	\$5,000.00	75	35	5.00%	5.00%
Unit Investment Trust	10.00%	\$5,000.00	70	35	10.00%	10.00%
REIT	10.00%	\$5,000.00	70	35	10.00%	10.00%
Limited Partnership	10.00%	\$0.00	65	35	10.00%	10.00%
Variable Annuity	5.00%	\$10,000.00	65	35	5.00%	5.00%
Equity Indexed Annuity	5.00%	\$10,000.00	65	35	5.00%	5.00%
Fixed Annuity	10.00%	\$25,000.00	65	35	10.00%	10.00%
Variable Universal Life	5.00%	\$0.00	75	35	5.00%	5.00%
Cash Equivalents	100.00%	\$999,999,999.00	199	35	100.00%	100.00%
Term Life	0.00%	\$0.00	0	35	0.00%	0.00%
Whole Life	0.00%	\$0.00	0	35	0.00%	0.00%
Universal Life	0.00%	\$0.00	0	35	0.00%	0.00%
Long Term Care	0.00%	\$0.00	0	35	0.00%	0.00%
Disability Income Replacement	0.00%	\$0.00	0	35	0.00%	0.00%

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Unknown	0.00%	\$0.00	0	35	0.00%	0.00%
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## Alert1003 : TR1003\_As\_Of\_Trades

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies trades backdated outside the expected range for the product being evaluated. Exceptions are generated for any trade where the number of business days since the As Of date are greater than the number of business days normally expected to pass for the given product type. As of business days are calculated by counting the total number of days between the As Of date and the actual trade date, subtracting out any weekend days and holidays that may have occurred. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. Exceptions will not generate for any trade classified as a Syndicate trade.				

## General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

## PROD

Item	As Of Days Threshold (A)
	Triggers an alert when the number of business days between the As Of date and the actual trade date exceed the threshold by product type.
Equity	1
Exchange Traded Fund	1
Option	1
Mutual Fund	2
Fixed Income	1
Structured Product	1
Unit Investment Trust	1
REIT	1
Limited Partnership	1
Variable Annuity	5

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Equity Indexed Annuity	5
Fixed Annuity	5
Variable Universal Life	5
Cash Equivalents	0
Term Life	0
Whole Life	0
Universal Life	0
Long Term Care	0
Disability Income Replacement	0
Unknown	0

## Alert1004 : TR1004\_Affordability\_Income

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	This rule set evaluates the clients immediate ability to pay for the product being purchased. It calculates the purchase amount as a percent of the clients stated income. Rules compare the percentage against thresholds set by product type. Exceptions are generated for buy or other trades where the principal amount exceeds the trade threshold for the given product type and the client age is greater than the age threshold for the given product type. The total order amount as a percentage of the client's stated income must be greater than the established threshold by product type. Order lots are aggregated by totaling all trades with the same order ID. If an order ID isn't present then all trades of the same security, same side of the market, on the same day as the trade being reviewed, are aggregated together as an order. Cancelled trades are not included in the aggregation. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Exclude Money Markets	D	Determines whether money market securities are excluded from triggering this alert.	Yes
Include Other Side	E	Selecting "Yes" will cause the alert to consider "Other" side trades to be included in analysis along with "Buy" side trades. Selecting "No" will cause only "Buy" side trades to be considered.	Yes

## PROD

Item	Percent Of Income (A)	Trade Principal Amount Threshold (B)	Age Threshold (C)
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## Alert Parameter Report

	Triggers an alert when the total order as a percentage of the stated income exceeds the threshold by product type.	Triggers an alert when the trade principal amount exceeds the threshold set by product type.	Triggers an alert when the age of the client exceeds the threshold set by product type.
Equity	5.00%	\$5,000.00	75
Exchange Traded Fund	5.00%	\$5,000.00	75
Option	1.00%	\$0.00	75
Mutual Fund	10.00%	\$5,000.00	75
Fixed Income	10.00%	\$5,000.00	75
Structured Product	5.00%	\$5,000.00	75
Unit Investment Trust	10.00%	\$5,000.00	70
REIT	10.00%	\$5,000.00	70
Limited Partnership	10.00%	\$0.00	65
Variable Annuity	5.00%	\$5,000.00	65
Equity Indexed Annuity	5.00%	\$5,000.00	65
Fixed Annuity	10.00%	\$5,000.00	65
Variable Universal Life	5.00%	\$0.00	65
Cash Equivalents	100.00%	\$99,999,999.00	199
Term Life	0.00%	\$0.00	0
Whole Life	0.00%	\$0.00	0
Universal Life	0.00%	\$0.00	0
Long Term Care	0.00%	\$0.00	0
Disability Income Replacement	0.00%	\$0.00	0
Unknown	0.00%	\$0.00	65

### Alert1050 : TR1050\_Breakpoint\_Proximity\_A\_Shares

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		

## Alert Parameter Report

Description	This rule set calculates the total A share aggregated fund family holdings and identifies amounts within a specified proximity of a breakpoint. Exceptions are generated for buy trades of an A share mutual fund where the principal amount exceeds the trade threshold, and the total aggregated position value of all A shares in the same fund family are within the percentage threshold of a sales load breakpoint. Appropriate sales loads are identified using the total aggregated value of all A shares in the trade fund family, the ROA/LOI amount passed with the trade, or the higher of the two (as specified by a parameter) compared to the next breakpoint level of the trade security. The sales load on the trade must be higher than the next applicable sales load percentage from the breakpoint schedule. If the breakpoint schedule for the trade security is not available, a default schedule will be used to identify breakpoint levels. The sales load percentages for all default schedules are set to zero. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. Additionally, a parameter allows a choice of which account grouping is used for the position aggregation totals. Exceptions will not generate if the trade is classified as an exchange trade, a sell trade, a non-A share trade, or if there is no sales load charged on the trade. It will also not generate if an available LOI/ROA amount exceeds the next applicable breakpoint amount based on current fund family A share holdings. The exception will be suppressed deferring to the TR1750_Sales_Load_Excess alert to identify an inappropriate sales charge applied.
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### General

Param Name	Code	Description	Value
Breakpoint Proximity Threshold	A	Triggers an alert when the total household position amount of all A shares in the trade fund family exceeds the percentage proximity of the next breakpoint level for the fund being purchased.	10.00%
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include Commission Based Only
Trade Principal Amount Threshold	B	Triggers an alert when the trade principal amount exceeds the threshold.	\$1,000.00
Default Breakpoint CUSIP	C	Establishes the default breakpoint schedule to use in the event a breakpoint schedule isn't found for the security being reviewed.	999999999
Sales Load Adjustment	D	Establishes the percentage amount added to the sales load for rounding issues (should generally be a small amount).	0.00
Household Type Use	E	Determines which account relationship type to use for this alert.	Household
Breakpoint Holding Value	F	Determines whether the rule will use the calculated holdings in the trade fund family, the ROA/LOI amount passed with the trade, or the higher of the two.	Greater of holdings or ROA/LOI
Exclude Money Markets	G	Determines whether money market securities are excluded from triggering this alert.	Yes
Exclude Exchange Traded Funds	H	Determines whether exchange trade fund (ETF) securities are excluded from triggering this alert.	Yes
Exclude Closed-End Funds	I	Determines whether closed-end fund securities are excluded from triggering this alert.	Yes
Exclude Money Market Positions	J	Determines whether money market positions are excluded from triggering this alert.	Yes

### Alert1051 : TR1051\_Breakpoint\_Proximity\_All\_Shares

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		

## Alert Parameter Report

Description	This rule set calculates the total aggregated fund family holdings and identifies amounts within a specified proximity of a breakpoint. Exceptions are generated for buy trades of an A share mutual fund where the principal amount exceeds the trade threshold, and the total aggregated position value of all shares in the same fund family, or the ROA/LOI amount passed with the trade, or the higher of the two (as determined by a parameter) are within the percentage threshold of a sales load breakpoint. Appropriate sales loads are identified using the total aggregated position value of all shares in the trade fund family compared to the next breakpoint level of the trade security. The sales load on the trade must be higher than the next applicable sales load percentage from the breakpoint schedule. If the breakpoint schedule for the trade security is not available, a default schedule will be used to identify breakpoint levels. The sales load percentages for all default schedules are set to zero. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. Additionally, a parameter allows a choice of which account grouping is used for the household relationship. Exceptions will not generate if the trade is classified as an exchange trade, there is no sales load charged, or the total value of trade fund family All shares does not exceed the value of any trade fund family A shares. It will also not generate if an available LOI/ROA amount exceeds the next applicable breakpoint amount based on current fund family A share holdings. The exception will be suppressed deferring to the TR1750_Sales_Load_Excess alert to identify an inappropriate sales charge applied.
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### General

Param Name	Code	Description	Value
Breakpoint Proximity Threshold	A	Triggers an alert when the total household position amount of all non-A shares in the trade fund family exceeds the percentage proximity of the next breakpoint level for the fund being purchased.	10.00%
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include Commission Based Only
Trade Principal Amount Threshold	B	Triggers an alert when the trade principal amount exceeds the threshold.	\$1,000.00
Default Breakpoint CUSIP	C	Establishes the default breakpoint schedule to use in the event a breakpoint schedule isn't found for the security being reviewed.	999999999
Sales Load Adjustment	D	Establishes the percentage amount added to the sales load for rounding issues (should generally be a small amount).	0.00
Household Type Use	E	Determines which account relationship type to use for this alert.	Household
Breakpoint Holding Value	F	Determines whether the rule will use the calculated holdings in the trade fund family, the ROA/LOI amount passed with the trade, or the higher of the two.	Greater of holdings or ROA/LOI
Exclude Money Markets	G	Determines whether money market securities are excluded from triggering this alert.	Yes
Exclude Exchange Traded Funds	H	Determines whether exchange trade fund (ETF) securities are excluded from triggering this alert.	Yes
Exclude Closed-End Funds	I	Determines whether closed-end fund securities are excluded from triggering this alert.	Yes
Exclude Money Market Positions	J	Determines whether money market positions are excluded from triggering this alert.	Yes

### Alert1052 : TR1052\_Blue\_Sky\_Security

Category		Type	0	Process	Trade Review
Base Score	10	High Score	0	Firm	Default
Active	Yes	Visible	Yes		



## Alert Parameter Report

Description	This rule set identifies either a solicited or unsolicited trade for a security that has not been blue-skied in the clients state of residence. Exceptions are generated for buy trades of a security, or underlying security, where the security has not been cleared for sale in the legal state of residence listed on the account, or where the security has a Blue Sky restriction. The alert accommodates blue sky data feeds that are either inclusive or exclusive of approved securities via an orientation parameter. Separate exceptions are generated based on whether the trade was solicited or unsolicited. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. Exceptions are not generated for cancelled or syndicate trades, or for securities listed on an approved exchange where the orientation of the blue sky data is inclusive of all APPROVED CUSIPs. Securities without a listed CUSIP on either the security or underlying security will also not generate an exception. This exception requires a data feed from Blue-Sky Corporation or other vendor providing blue-sky security information.
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### General

Param Name	Code	Description	Value
Unsolicited Trade Inclusion	A	Determines whether the alert is applied to unsolicited trades as well as solicited trades.	Yes
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Blue Sky Data Orientation	B	Identifies whether the blue sky data feed includes all approved (or blue skied) securities or all non-approved (not blue skied) securities. A = Includes approved securities; N = Includes non-approved securities	Blue Sky data includes approved securities

### Setting\_Exchange

Approved
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### Alert1100 : TR1100\_Concentration\_High\_Yield\_Bond

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Calculates the concentration level of high-yield bonds in the account and flags levels exceeding the threshold based on the account's risk tolerance when a high-yield bond is purchased. Exceptions are generated for buy trades of non-investment grade individual bond securities where the total account balance (or total balances in related accounts, as chosen by parameter) exceeds the account asset threshold, and the percentage of non-investment grade holdings in the account (or in related accounts, as chosen by parameter) exceeds the percentage threshold by risk tolerance. Non-investment grade bonds are identified using the primary and secondary ratings available in the security table. The firm should specify the list of ratings for both the primary and secondary fields considered Investment Grade. Any rating outside either of these lists is considered non-investment grade by the system. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. Parameters also define the bond types to include in the analysis, categorized as government, agency, and municipal. Corporate bonds are always included.				

### General

## Alert Parameter Report

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Government Bond Inclusion	B	Determines whether the alert is applied to government bonds	Yes
Municipal Bond Inclusion	C	Determines whether the alert is applied to municipal bonds.	Yes
Agency Bond Inclusion	D	Determines whether the alert is applied to agency bonds.	Yes
Asset Amount Threshold	E	Triggers the alert when the account value exceeds the threshold.	\$25,000.00
Concentration Divisor	F	Determines which balance field to use as the divisor for concentration percentage calculations.	Asset Amount
Household Type Use	G	Determines which account relationship type to use for this alert.	Account

## RISK

Item	Concentration High Yield Bond Threshold (A)
	Triggers an alert when the total position value of high yield bonds as a percentage of the overall account value exceeds the percentage threshold by risk tolerance.
Unknown	10.00%
Conservative	10.00%
Mod Conservative	20.00%
Moderate	30.00%
Mod Aggressive	60.00%
Aggressive	200.00%

## Setting\_Grade

Rating	Risk	Source
A	Unknown	Primary
A	Conservative	Primary
A	Mod Conservative	Primary
A	Moderate	Primary
A1	Unknown	Primary
A1	Conservative	Primary
A1	Mod Conservative	Primary
A1	Moderate	Primary
A2	Unknown	Primary
A2	Conservative	Primary
A2	Mod Conservative	Primary
A2	Moderate	Primary
A3	Unknown	Primary
A3	Conservative	Primary

## Alert Parameter Report

A3	Mod Conservative	Primary
A3	Moderate	Primary
Aa	Unknown	Primary
Aa	Conservative	Primary
Aa	Mod Conservative	Primary
Aa	Moderate	Primary
Aa1	Unknown	Primary
Aa1	Conservative	Primary
Aa1	Mod Conservative	Primary
Aa1	Moderate	Primary
Aa2	Unknown	Primary
Aa2	Conservative	Primary
Aa2	Mod Conservative	Primary
Aa2	Moderate	Primary
Aa3	Unknown	Primary
Aa3	Conservative	Primary
Aa3	Mod Conservative	Primary
Aa3	Moderate	Primary
Aaa	Unknown	Primary
Aaa	Conservative	Primary
Aaa	Mod Conservative	Primary
Aaa	Moderate	Primary
Aaa1	Unknown	Primary
Aaa1	Conservative	Primary
Aaa1	Mod Conservative	Primary
Aaa1	Moderate	Primary
Aaa2	Unknown	Primary
Aaa2	Conservative	Primary
Aaa2	Mod Conservative	Primary
Aaa2	Moderate	Primary
Aaa3	Unknown	Primary
Aaa3	Conservative	Primary
Aaa3	Mod Conservative	Primary
Aaa3	Moderate	Primary
B	Unknown	Primary
B	Conservative	Primary
B	Mod Conservative	Primary
B	Moderate	Primary
B1	Unknown	Primary
B1	Conservative	Primary

## Alert Parameter Report

B1	Mod Conservative	Primary
B1	Moderate	Primary
B2	Unknown	Primary
B2	Conservative	Primary
B2	Mod Conservative	Primary
B2	Moderate	Primary
B3	Unknown	Primary
B3	Conservative	Primary
B3	Mod Conservative	Primary
B3	Moderate	Primary
Ba	Unknown	Primary
Ba	Conservative	Primary
Ba	Mod Conservative	Primary
Ba	Moderate	Primary
Ba1	Unknown	Primary
Ba1	Conservative	Primary
Ba1	Mod Conservative	Primary
Ba1	Moderate	Primary
Ba2	Unknown	Primary
Ba2	Conservative	Primary
Ba2	Mod Conservative	Primary
Ba2	Moderate	Primary
Ba3	Unknown	Primary
Ba3	Conservative	Primary
Ba3	Mod Conservative	Primary
Ba3	Moderate	Primary
Baa	Unknown	Primary
Baa	Conservative	Primary
Baa	Mod Conservative	Primary
Baa	Moderate	Primary
Baa1	Unknown	Primary
Baa1	Conservative	Primary
Baa1	Mod Conservative	Primary
Baa1	Moderate	Primary
Baa2	Unknown	Primary
Baa2	Conservative	Primary
Baa2	Mod Conservative	Primary
Baa2	Moderate	Primary
Baa3	Unknown	Primary
Baa3	Conservative	Primary

## Alert Parameter Report

Baa3	Mod Conservative	Primary
Baa3	Moderate	Primary
A	Unknown	Secondary
A	Conservative	Secondary
A	Mod Conservative	Secondary
A	Moderate	Secondary
A1	Unknown	Secondary
A1	Conservative	Secondary
A1	Mod Conservative	Secondary
A1	Moderate	Secondary
A2	Unknown	Secondary
A2	Conservative	Secondary
A2	Mod Conservative	Secondary
A2	Moderate	Secondary
A3	Unknown	Secondary
A3	Conservative	Secondary
A3	Mod Conservative	Secondary
A3	Moderate	Secondary
Aa	Unknown	Secondary
Aa	Conservative	Secondary
Aa	Mod Conservative	Secondary
Aa	Moderate	Secondary
Aa1	Unknown	Secondary
Aa1	Conservative	Secondary
Aa1	Mod Conservative	Secondary
Aa1	Moderate	Secondary
Aa2	Unknown	Secondary
Aa2	Conservative	Secondary
Aa2	Mod Conservative	Secondary
Aa2	Moderate	Secondary
Aa3	Unknown	Secondary
Aa3	Conservative	Secondary
Aa3	Mod Conservative	Secondary
Aa3	Moderate	Secondary
Aaa	Unknown	Secondary
Aaa	Conservative	Secondary
Aaa	Mod Conservative	Secondary
Aaa	Moderate	Secondary
Aaa1	Unknown	Secondary
Aaa1	Conservative	Secondary

## Alert Parameter Report

Aaa1	Mod Conservative	Secondary
Aaa1	Moderate	Secondary
Aaa2	Unknown	Secondary
Aaa2	Conservative	Secondary
Aaa2	Mod Conservative	Secondary
Aaa2	Moderate	Secondary
Aaa3	Unknown	Secondary
Aaa3	Conservative	Secondary
Aaa3	Mod Conservative	Secondary
Aaa3	Moderate	Secondary
B	Unknown	Secondary
B	Conservative	Secondary
B	Mod Conservative	Secondary
B	Moderate	Secondary
B1	Unknown	Secondary
B1	Conservative	Secondary
B1	Mod Conservative	Secondary
B1	Moderate	Secondary
B2	Unknown	Secondary
B2	Conservative	Secondary
B2	Mod Conservative	Secondary
B2	Moderate	Secondary
B3	Unknown	Secondary
B3	Conservative	Secondary
B3	Mod Conservative	Secondary
B3	Moderate	Secondary
Ba	Unknown	Secondary
Ba	Conservative	Secondary
Ba	Mod Conservative	Secondary
Ba	Moderate	Secondary
Ba1	Unknown	Secondary
Ba1	Conservative	Secondary
Ba1	Mod Conservative	Secondary
Ba1	Moderate	Secondary
Ba2	Unknown	Secondary
Ba2	Conservative	Secondary
Ba2	Mod Conservative	Secondary
Ba2	Moderate	Secondary
Ba3	Unknown	Secondary
Ba3	Conservative	Secondary

## Alert Parameter Report

Ba3	Mod Conservative	Secondary
Ba3	Moderate	Secondary
Baa	Unknown	Secondary
Baa	Conservative	Secondary
Baa	Mod Conservative	Secondary
Baa	Moderate	Secondary
Baa1	Unknown	Secondary
Baa1	Conservative	Secondary
Baa1	Mod Conservative	Secondary
Baa1	Moderate	Secondary
Baa2	Unknown	Secondary
Baa2	Conservative	Secondary
Baa2	Mod Conservative	Secondary
Baa2	Moderate	Secondary
Baa3	Unknown	Secondary
Baa3	Conservative	Secondary
Baa3	Mod Conservative	Secondary
Baa3	Moderate	Secondary
AAA	Unknown	Primary
AAA	Conservative	Primary
AAA	Mod Conservative	Primary
AAA	Moderate	Primary
AAA-	Unknown	Primary
AAA-	Conservative	Primary
AAA-	Mod Conservative	Primary
AAA-	Moderate	Primary
AA+	Unknown	Primary
AA+	Conservative	Primary
AA+	Mod Conservative	Primary
AA+	Moderate	Primary
AA	Unknown	Primary
AA	Conservative	Primary
AA	Mod Conservative	Primary
AA	Moderate	Primary
AA-	Unknown	Primary
AA-	Conservative	Primary
AA-	Mod Conservative	Primary
AA-	Moderate	Primary
A+	Unknown	Primary
A+	Conservative	Primary

## Alert Parameter Report

A+	Mod Conservative	Primary
A+	Moderate	Primary
A-	Unknown	Primary
A-	Conservative	Primary
A-	Mod Conservative	Primary
A-	Moderate	Primary
BBB+	Unknown	Primary
BBB+	Conservative	Primary
BBB+	Mod Conservative	Primary
BBB+	Moderate	Primary
BBB	Unknown	Primary
BBB	Conservative	Primary
BBB	Mod Conservative	Primary
BBB	Moderate	Primary
BBB-	Unknown	Primary
BBB-	Conservative	Primary
BBB-	Mod Conservative	Primary
BBB-	Moderate	Primary
BB+	Unknown	Primary
BB+	Conservative	Primary
BB+	Mod Conservative	Primary
BB+	Moderate	Primary
AAA	Unknown	Secondary
AAA	Conservative	Secondary
AAA	Mod Conservative	Secondary
AAA	Moderate	Secondary
AAA-	Unknown	Secondary
AAA-	Conservative	Secondary
AAA-	Mod Conservative	Secondary
AAA-	Moderate	Secondary
AA+	Unknown	Secondary
AA+	Conservative	Secondary
AA+	Mod Conservative	Secondary
AA+	Moderate	Secondary
AA	Unknown	Secondary
AA	Conservative	Secondary
AA	Mod Conservative	Secondary
AA	Moderate	Secondary
AA-	Unknown	Secondary
AA-	Conservative	Secondary



# Alert Parameter Report

AA-	Mod Conservative	Secondary
AA-	Moderate	Secondary
A+	Unknown	Secondary
A+	Conservative	Secondary
A+	Mod Conservative	Secondary
A+	Moderate	Secondary
A-	Unknown	Secondary
A-	Conservative	Secondary
A-	Mod Conservative	Secondary
A-	Moderate	Secondary
BBB+	Unknown	Secondary
BBB+	Conservative	Secondary
BBB+	Mod Conservative	Secondary
BBB+	Moderate	Secondary
BBB	Unknown	Secondary
BBB	Conservative	Secondary
BBB	Mod Conservative	Secondary
BBB	Moderate	Secondary
BBB-	Unknown	Secondary
BBB-	Conservative	Secondary
BBB-	Mod Conservative	Secondary
BBB-	Moderate	Secondary
BB+	Unknown	Secondary
BB+	Conservative	Secondary
BB+	Mod Conservative	Secondary
BB+	Moderate	Secondary

## Alert1101 : TR1101\_Concentration\_Industry

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		

# Alert Parameter Report

Description	Calculates the concentration level in the industry associated with the trade equity. Concentration level is then compared against the threshold specified for that particular industry and flags accounts where concentration levels exceed the threshold. Exceptions are generated for equity buy trades where the total account balance (or total balances in related accounts, as chosen by parameter) exceeds the account asset threshold, and the total position value of any industry as a percentage of the total account balance (or total balances in related accounts, as chosen by parameter) exceeds the industry percentage threshold by risk tolerance. The initial concentration percentage threshold is set by risk tolerance. That threshold is then adjusted up/down based on the risk or volatility of individual industries. A firm may turn off this alert for a specific industry by setting the percentage adjustment parameter to 100% or higher. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.
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## General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Asset Amount Threshold	B	Triggers the alert when the account value exceeds the threshold.	\$25,000.00
Household Type Use	E	Determines which account relationship type to use for this alert.	Account
First Trade Lot Only	F	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes
Concentration Divisor	G	Determines which balance field to use as the divisor for concentration percentage calculations.	Asset Amount

## RISK

Item	Concentration Industry Threshold (A)
	Establishes the total industry concentration percentage threshold by risk tolerance.
Unknown	15.00%
Conservative	15.00%
Mod Conservative	25.00%
Moderate	40.00%
Mod Aggressive	60.00%
Aggressive	200.00%

## Setting Industry

Adjust Rate	Data	Display
0.000%	2_10208014	Advertising Agencies
0.000%	2_30820010	Advertising Agencies
0.000%	2_31010010	Aerospace & Defense
0.000%	2_31052107	Aerospace & Defense
0.000%	2_10101001	Agricultural Inputs
0.000%	2_10110010	Agricultural Inputs

## Alert Parameter Report

0.000%	2_31053108	Airlines
0.000%	2_31080020	Airlines
0.000%	2_31062123	Airports & Air Services
0.000%	2_31080010	Airports & Air Services
0.000%	2_10106008	Aluminum
0.000%	2_10150010	Aluminum
0.000%	2_10212026	Apparel Manufacturing
0.000%	2_10240020	Apparel Manufacturing
0.000%	2_10280010	Apparel Retail
0.000%	2_10217033	Apparel Stores
0.000%	2_10310010	Asset Management
0.000%	2_10319042	Asset Management
0.000%	2_10200010	Auto & Truck Dealerships
0.000%	2_10209016	Auto & Truck Dealerships
0.000%	2_10200020	Auto Manufacturers
0.000%	2_10209017	Auto Manufacturers
0.000%	2_10200030	Auto Parts
0.000%	2_10209018	Auto Parts
0.000%	2_10320010	Banks - Diversified
0.000%	2_10320043	Banks - Global
0.000%	2_10320020	Banks - Regional
0.000%	2_10320044	Banks - Regional - Africa
0.000%	2_10320045	Banks - Regional - Asia
0.000%	2_10320046	Banks - Regional - Australia
0.000%	2_10320047	Banks - Regional - Canada
0.000%	2_10320048	Banks - Regional - Europe
0.000%	2_10320049	Banks - Regional - Latin America
0.000%	2_10320050	Banks - Regional - US
0.000%	2_20510010	Beverages - Brewers
0.000%	2_20529071	Beverages - Brewers
0.000%	2_20520010	Beverages - Non-Alcoholic
0.000%	2_20530073	Beverages - Soft Drinks
0.000%	2_20510020	Beverages - Wineries & Distilleries
0.000%	2_20529072	Beverages - Wineries & Distilleries
0.000%	2_20610010	Biotechnology
0.000%	2_20635084	Biotechnology
0.000%	2_30820030	Broadcasting
0.000%	2_10210021	Broadcasting - Radio
0.000%	2_10210022	Broadcasting - TV
0.000%	2_10102002	Building Materials

## Alert Parameter Report

0.000%	2_10120010	Building Materials
0.000%	2_31040030	Building Products & Equipment
0.000%	2_31061118	Business Equipment
0.000%	2_31070010	Business Equipment & Supplies
0.000%	2_31054109	Business Services
0.000%	2_10321053	Capital Markets
0.000%	2_10330010	Capital Markets
0.000%	2_10103003	Chemicals
0.000%	2_10130010	Chemicals
0.000%	2_10104005	Coal
0.000%	2_10160010	Coking Coal
0.000%	2_31120010	Communication Equipment
0.000%	2_31166135	Communication Equipment
0.000%	2_31167136	Computer Distribution
0.000%	2_31120020	Computer Hardware
0.000%	2_31167137	Computer Systems
0.000%	2_20525010	Confectioners
0.000%	2_20531074	Confectioners
0.000%	2_31030010	Conglomerates
0.000%	2_31055110	Conglomerates
0.000%	2_31020020	Consulting Services
0.000%	2_31120030	Consumer Electronics
0.000%	2_31167138	Consumer Electronics
0.000%	2_31167139	Contract Manufacturers
0.000%	2_10106009	Copper
0.000%	2_10150020	Copper
0.000%	2_10322056	Credit Services
0.000%	2_10360010	Credit Services
0.000%	2_31167140	Data Storage
0.000%	2_10217034	Department Stores
0.000%	2_10280020	Department Stores
0.000%	2_20640091	Diagnostics & Research
0.000%	2_20660010	Diagnostics & Research
0.000%	2_20533079	Discount Stores
0.000%	2_20550010	Discount Stores
0.000%	2_31061119	Diversified Industrials
0.000%	2_20620010	Drug Manufacturers - General
0.000%	2_20636085	Drug Manufacturers - Major
0.000%	2_20620020	Drug Manufacturers - Specialty & Generic
0.000%	2_20636086	Drug Manufacturers - Specialty & Generic

## Alert Parameter Report

0.000%	2_20532078	Education & Training Services
0.000%	2_20540010	Education & Training Services
0.000%	2_31070060	Electrical Equipment & Parts
0.000%	2_31120040	Electronic Components
0.000%	2_31167141	Electronic Components
0.000%	2_30830020	Electronic Gaming & Multimedia
0.000%	2_31165130	Electronic Gaming & Multimedia
0.000%	2_31120050	Electronics & Computer Distribution
0.000%	2_31167142	Electronics Distribution
0.000%	2_31040010	Engineering & Construction
0.000%	2_31058114	Engineering & Construction
0.000%	2_30820040	Entertainment
0.000%	2_31059116	Farm & Construction Equipment
0.000%	2_31050010	Farm & Heavy Construction Machinery
0.000%	2_20525020	Farm Products
0.000%	2_20531075	Farm Products
0.000%	2_10350020	Financial Conglomerates
0.000%	2_10330020	Financial Data & Stock Exchanges
0.000%	2_10321054	Financial Exchanges
0.000%	2_20533081	Food Distribution
0.000%	2_20550020	Food Distribution
0.000%	2_10212027	Footwear & Accessories
0.000%	2_10240030	Footwear & Accessories
0.000%	2_10220010	Furnishings, Fixtures & Appliances
0.000%	2_10218038	Gambling
0.000%	2_10290010	Gambling
0.000%	2_10106010	Gold
0.000%	2_10150040	Gold
0.000%	2_20533082	Grocery Stores
0.000%	2_20550030	Grocery Stores
0.000%	2_20637087	Health Care Plans
0.000%	2_20645030	Health Information Services
0.000%	2_31165131	Health Information Services
0.000%	2_20630010	Healthcare Plans
0.000%	2_10212028	Home Furnishings & Fixtures
0.000%	2_10280030	Home Improvement Retail
0.000%	2_10217035	Home Improvement Stores
0.000%	2_20525030	Household & Personal Products
0.000%	2_20531076	Household & Personal Products
0.000%	2_31060010	Industrial Distribution

## Alert Parameter Report

0.000%	2_31060117	Industrial Distribution
0.000%	2_10106011	Industrial Metals & Minerals
0.000%	2_31110010	Information Technology Services
0.000%	2_31165132	Information Technology Services
0.000%	2_31040020	Infrastructure Operations
0.000%	2_31058115	Infrastructure Operations
0.000%	2_10323057	Insurance - Diversified
0.000%	2_10340060	Insurance - Diversified
0.000%	2_10324058	Insurance - Life
0.000%	2_10340010	Insurance - Life
0.000%	2_10325059	Insurance - Property & Casualty
0.000%	2_10340020	Insurance - Property & Casualty
0.000%	2_10326060	Insurance - Reinsurance
0.000%	2_10340030	Insurance - Reinsurance
0.000%	2_10326061	Insurance - Specialty
0.000%	2_10340040	Insurance - Specialty
0.000%	2_10321055	Insurance Brokers
0.000%	2_10340050	Insurance Brokers
0.000%	2_31080060	Integrated Freight & Logistics
0.000%	2_31062124	Integrated Shipping & Logistics
0.000%	2_30830010	Internet Content & Information
0.000%	2_31168144	Internet Content & Information
0.000%	2_10280050	Internet Retail
0.000%	2_10218039	Leisure
0.000%	2_10290020	Leisure
0.000%	2_10218040	Lodging
0.000%	2_10290030	Lodging
0.000%	2_20638088	Long-Term Care Facilities
0.000%	2_10105006	Lumber & Wood Production
0.000%	2_10140010	Lumber & Wood Production
0.000%	2_10217036	Luxury Goods
0.000%	2_10280040	Luxury Goods
0.000%	2_31080040	Marine Shipping
0.000%	2_10208015	Marketing Services
0.000%	2_10210023	Media - Diversified
0.000%	2_20638089	Medical Care
0.000%	2_20645010	Medical Care Facilities
0.000%	2_20639090	Medical Devices
0.000%	2_20650010	Medical Devices
0.000%	2_20641092	Medical Distribution

## Alert Parameter Report

0.000%	2_20670010	Medical Distribution
0.000%	2_20642093	Medical Instruments & Supplies
0.000%	2_20650020	Medical Instruments & Supplies
0.000%	2_31061120	Metal Fabrication
0.000%	2_31070030	Metal Fabrication
0.000%	2_10320030	Mortgage Finance
0.000%	2_30910010	Oil & Gas Drilling
0.000%	2_30946101	Oil & Gas Drilling
0.000%	2_30910020	Oil & Gas E&P
0.000%	2_30947102	Oil & Gas E&P
0.000%	2_30910060	Oil & Gas Equipment & Services
0.000%	2_30951106	Oil & Gas Equipment & Services
0.000%	2_30910030	Oil & Gas Integrated
0.000%	2_30948103	Oil & Gas Integrated
0.000%	2_30910040	Oil & Gas Midstream
0.000%	2_30949104	Oil & Gas Midstream
0.000%	2_30910050	Oil & Gas Refining & Marketing
0.000%	2_30950105	Oil & Gas Refining & Marketing
0.000%	2_10150030	Other Industrial Metals & Mining
0.000%	2_10150060	Other Precious Metals & Mining
0.000%	2_20525040	Packaged Foods
0.000%	2_20531077	Packaged Foods
0.000%	2_10213029	Packaging & Containers
0.000%	2_10250010	Packaging & Containers
0.000%	2_10105007	Paper & Paper Products
0.000%	2_10140020	Paper & Paper Products
0.000%	2_30845099	Pay TV
0.000%	2_10214030	Personal Services
0.000%	2_10260010	Personal Services
0.000%	2_20533080	Pharmaceutical Retailers
0.000%	2_20645020	Pharmaceutical Retailers
0.000%	2_31061121	Pollution & Treatment Controls
0.000%	2_31070040	Pollution & Treatment Controls
0.000%	2_10215031	Publishing
0.000%	2_30820020	Publishing
0.000%	2_31062125	Railroads
0.000%	2_31080030	Railroads
0.000%	2_10410010	Real Estate - Development
0.000%	2_10410030	Real Estate - Diversified
0.000%	2_10427062	Real Estate - General

## Alert Parameter Report

0.000%	2_10410020	Real Estate Services
0.000%	2_10427063	Real Estate Services
0.000%	2_10200040	Recreational Vehicles
0.000%	2_10209019	Recreational Vehicles
0.000%	2_10420090	REIT - Diversified
0.000%	2_10428064	REIT - Diversified
0.000%	2_10420010	REIT - Healthcare Facilities
0.000%	2_10428065	REIT - Healthcare Facilities
0.000%	2_10420020	REIT - Hotel & Motel
0.000%	2_10428066	REIT - Hotel & Motel
0.000%	2_10420030	REIT - Industrial
0.000%	2_10428067	REIT - Industrial
0.000%	2_10420070	REIT - Mortgage
0.000%	2_10420040	REIT - Office
0.000%	2_10428068	REIT - Office
0.000%	2_10420050	REIT - Residential
0.000%	2_10428069	REIT - Residential
0.000%	2_10420060	REIT - Retail
0.000%	2_10428070	REIT - Retail
0.000%	2_10420080	REIT - Specialty
0.000%	2_31020030	Rental & Leasing Services
0.000%	2_31056111	Rental & Leasing Services
0.000%	2_10211024	Residential Construction
0.000%	2_10230010	Residential Construction
0.000%	2_10218041	Resorts & Casinos
0.000%	2_10290040	Resorts & Casinos
0.000%	2_10216032	Restaurants
0.000%	2_10270010	Restaurants
0.000%	2_10209020	Rubber & Plastics
0.000%	2_10320051	Savings & Cooperative Banks
0.000%	2_31120060	Scientific & Technical Instruments
0.000%	2_31167143	Scientific & Technical Instruments
0.000%	2_31020040	Security & Protection Services
0.000%	2_31056112	Security & Protection Services
0.000%	2_31130010	Semiconductor Equipment & Materials
0.000%	2_31169145	Semiconductor Equipment & Materials
0.000%	2_31169146	Semiconductor Memory
0.000%	2_31130020	Semiconductors
0.000%	2_31169147	Semiconductors
0.000%	2_10350010	Shell Companies



## Alert Parameter Report

0.000%	2_31062126	Shipping & Ports
0.000%	2_10106012	Silver
0.000%	2_10150050	Silver
0.000%	2_31110020	Software - Application
0.000%	2_31165133	Software - Application
0.000%	2_31110030	Software - Infrastructure
0.000%	2_31165134	Software - Infrastructure
0.000%	2_31130030	Solar
0.000%	2_31169148	Solar
0.000%	2_31020010	Specialty Business Services
0.000%	2_10103004	Specialty Chemicals
0.000%	2_10130020	Specialty Chemicals
0.000%	2_10320052	Specialty Finance
0.000%	2_31070020	Specialty Industrial Machinery
0.000%	2_10217037	Specialty Retail
0.000%	2_10280060	Specialty Retail
0.000%	2_31020050	Staffing & Employment Services
0.000%	2_31057113	Staffing & Outsourcing Services
0.000%	2_10107013	Steel
0.000%	2_10160020	Steel
0.000%	2_30810010	Telecom Services
0.000%	2_30845100	Telecom Services
0.000%	2_10211025	Textile Manufacturing
0.000%	2_10240010	Textile Manufacturing
0.000%	2_30920010	Thermal Coal
0.000%	2_20534083	Tobacco
0.000%	2_20560010	Tobacco
0.000%	2_31061122	Tools & Accessories
0.000%	2_31070050	Tools & Accessories
0.000%	2_10290050	Travel Services
0.000%	2_31063128	Truck Manufacturing
0.000%	2_31062127	Trucking
0.000%	2_31080050	Trucking
0.000%	2_30920020	Uranium
0.000%	2_20720040	Utilities - Diversified
0.000%	2_20744095	Utilities - Diversified
0.000%	2_20710010	Utilities - Independent Power Producers
0.000%	2_20743094	Utilities - Independent Power Producers
0.000%	2_20720020	Utilities - Regulated Electric
0.000%	2_20744096	Utilities - Regulated Electric

# Alert Parameter Report

0.000%	2 20720030	Utilities - Regulated Gas
0.000%	2 20744097	Utilities - Regulated Gas
0.000%	2 20720010	Utilities - Regulated Water
0.000%	2 20744098	Utilities - Regulated Water
0.000%	2 20710020	Utilities - Renewable
0.000%	2 31064129	Waste Management
0.000%	2 31090010	Waste Management

## Alert1102 : TR1102\_Concentration\_Low\_Priced\_Security

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Calculates the concentration level of low-priced stocks in the account and flags levels exceeding the threshold based on the account's risk tolerance when a low-priced stock is purchased. Exceptions are generated for buy trades of equities priced below the threshold by risk tolerance, where the percentage of low priced equity holdings in the account (or in related accounts, as chosen by parameter) exceed the concentration percentage threshold and the total account balance (or total balances in related accounts, as chosen by parameter) exceeds the balance threshold. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Asset Amount Threshold	C	Triggers the alert when the account value exceeds the threshold.	\$25,000.00
Household Type Use	D	Determines which account relationship type to use for this alert.	Account
Exclude Non-Bulletin Board Stocks	E	Determines whether stocks other than bulletin board traded stocks are excluded in the alert analysis.	No
First Trade Lot Only	F	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes
Concentration Divisor	G	Determines which balance field to use as the divisor for concentration percentage calculations.	Asset Amount

## RISK

Item	Security Price Threshold (A)	Concentration Low Price Security Threshold (B)
	Triggers an alert when the unit price of the security being purchased is lower than the threshold by risk tolerance.	Triggers an alert when the percentage concentration in low price securities exceeds the threshold by risk tolerance.
Unknown	\$5.00	0.00%

# Alert Parameter Report

Conservative	\$5.00	0.00%
Mod Conservative	\$5.00	5.00%
Moderate	\$5.00	10.00%
Mod Aggressive	\$5.00	20.00%
Aggressive	\$5.00	100.00%

## Setting\_BB

Exchange
Over the Counter

## Alert1103 : TR1103\_Concentration\_Single\_Security

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Calculates the concentration level of a single security in the account and flags levels exceeding the threshold based on the account's risk tolerance when the over-concentrated security is being purchased. Exceptions are generated for buy trades in accounts where the total account balance (or total balances in related accounts, as chosen by parameter) exceeds the threshold and the percentage holdings in the trade security exceed the position percentage threshold. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. This alert applies only to the following security types: Corporate Bonds, Equities, Limited Partnerships, Options, REIT, UIT				

## General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Asset Amount Threshold	B	Triggers the alert when the account value exceeds the threshold.	\$25,000.00
Household Type Use	C	Determines which account relationship type to use for this alert.	Account
First Trade Lot Only	D	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes
Concentration Divisor	E	Determines which balance field to use as the divisor for concentration percentage calculations.	Asset Amount

## RISK

Item	Concentration Security Threshold (A)
	Triggers an alert when the percentage concentration in any security exceeds the threshold by risk tolerance.
Unknown	5.00%
Conservative	5.00%
Mod Conservative	10.00%

# Alert Parameter Report

Moderate	20.00%
Mod Aggressive	30.00%
Aggressive	100.00%

## Alert1104 : TR1104\_Corporate\_Owner

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies tax-advantaged securities held in a corporate owned account where the benefits of the security may be forfeited by corporate ownership. Exceptions are generated for buy trades of a muni bond or muni fund where the trade amount exceeds the threshold amount and the account is classified as a corporate owned account. This will trigger on the initial purchase only. (Initial purchases are determined by comparing the purchase security and quantity to account, or related account [by parameter], positions in the security). Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
Trade Principal Amount Threshold	A	Triggers an alert when the trade principal amount exceeds the threshold.	\$0.00
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Household Type Use	B	Determines which account relationship type to use for this alert.	Account

## Alert1105 : TR1105\_CDSC\_Charge

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies trades where a substantial CDSC charge may be inappropriate. Exceptions are generated on trades where the CDSC amount exceeds both the dollar threshold and the CDSC percentage threshold as a percentage of the net trade amount. CDSC amounts will be evaluated whether contained on the trade or application. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
CDSC Amount Threshold	A	Triggers an alert when the CDSC amount exceeds the threshold.	\$200.00
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
CDSC Percent Of Trade Net Amount	B	Triggers an alert when the CDSC as a percentage of the net trade amount exceeds the threshold.	2.00%

# Alert Parameter Report

## Alert1106 : TR1106\_Concentration\_Intl\_Region

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Calculates the concentration level by international region associated with the trade security. Concentration level is then compared against the threshold specified for that particular region and flags accounts where concentration levels exceed the threshold. Exceptions are generated for buy trades in accounts where the total account balance (or total balances in related accounts, as chosen by parameter) exceeds the dollar threshold and the percentage of account holdings in the international region of trade security exceed the account percentage threshold by risk tolerance. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Asset Amount Threshold	B	Triggers the alert when the account value exceeds the threshold.	\$25,000.00
Household Type Use	C	Determines which account relationship type to use for this alert.	Account
Concentration Divisor	D	Determines which balance field to use as the divisor for concentration percentage calculations.	Asset Amount

## RISK

Item	Concentration Region Threshold (A)
	Triggers an alert when the account holdings in the same international region as the trade security exceeds the threshold by risk tolerance.
Unknown	10.00%
Conservative	10.00%
Mod Conservative	25.00%
Moderate	35.00%
Mod Aggressive	50.00%
Aggressive	100.00%

## Alert1107 : TR1107\_Concentration\_Alt\_Funds

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		

# Alert Parameter Report

Description	Identifies purchases in alternative funds when the concentration in those funds exceeds the firm-defined threshold by age and risk tolerance. Exceptions are generated when a buy of product considered an alternative fund causes the account concentration in alternative funds to exceed the threshold by age and risk tolerance. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. Additionally, parameters allow the inclusion of Morningstar sub-categories and CUSIPs for identifying funds/products to include in the analysis and the setting of concentration thresholds by age and risk tolerance.
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## General

Param Name	Code	Description	Value
Principal Amount Threshold	A	Triggers an alert when the trade principal amount exceeds the threshold.	\$25,000.00
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
First Trade Lot Only	B	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes

## Setting\_Alt\_Fund\_SubCategory\_Include

Alt Fund Sub Category	Include
Global Macro	Yes
Market Neutral	Yes
Long/Short Credit	Yes
Multialternative	Yes
Options Trading	Yes
Alternative Miscellaneous	Yes

## Setting\_Security\_Include

Security Key
09250J742
46141T224
92205G104
37960A875
35241W104
19766M295
46148X632
46149V684
367829884
45782C797
46645V394
362073JH2
41013MVQ0

# Alert Parameter Report

00762L9BC
0079719AC
VPUSA00018

## Setting\_Alt\_Fund\_Concentration

Age	Concentration Pct	Risk Tolerance
0-18	3.000%	Unknown
0-18	5.000%	Conservative
0-18	8.000%	Mod Conservative
0-18	11.000%	Moderate
0-18	15.000%	Mod Aggressive
0-18	20.000%	Aggressive
19-65	5.000%	Unknown
19-65	10.000%	Conservative
19-65	15.000%	Mod Conservative
19-65	20.000%	Moderate
19-65	25.000%	Mod Aggressive
19-65	30.000%	Aggressive
66+	3.000%	Unknown
66+	5.000%	Conservative
66+	8.000%	Mod Conservative
66+	11.000%	Moderate
66+	15.000%	Mod Aggressive
66+	20.000%	Aggressive

## Alert1110 : TR1110\_Commission\_Excess

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies trades where the commission as a percentage of the total trade amount exceeds the percentage threshold. Exceptions are generated for trades with commission amounts that exceed the commission dollar threshold, and as a percentage of the trade principal amount, exceed the percentage threshold. Both parameters are by product type and must be exceeded to trigger the alert. Only the first execution lot reviewed will trigger the exception. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

# Alert Parameter Report

First Trade Lot Only	C	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes
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## PROD

Item	Commission Amount Threshold (A)	Commission Percent Of Trade Amount (B)
	Triggers an alert when the trade commission amount exceeds the parameter by product type.	Triggers an alert when the commission amount as a percentage of the trade principle amount exceeds the percentage threshold by product type.
Equity	\$50.00	4.00%
Exchange Traded Fund	\$50.00	4.00%
Option	\$50.00	4.00%
Mutual Fund	\$50.00	8.00%
Fixed Income	\$0.00	0.00%
Structured Product	\$50.00	4.00%
Unit Investment Trust	\$50.00	4.00%
REIT	\$50.00	4.00%
Limited Partnership	\$100.00	8.00%
Variable Annuity	\$100.00	8.00%
Equity Indexed Annuity	\$100.00	8.00%
Fixed Annuity	\$100.00	10.00%
Variable Universal Life	\$100.00	8.00%
Cash Equivalents	\$25.00	4.00%
Term Life	\$0.00	0.00%
Whole Life	\$0.00	0.00%
Universal Life	\$0.00	0.00%
Long Term Care	\$0.00	0.00%
Disability Income Replacement	\$0.00	0.00%
Unknown	\$0.00	0.00%

## Alert1150 : TR1150\_Direct\_Participation\_Suitability

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		



# Alert Parameter Report

Description	Detects products that do not meet basic suitability requirements as outlined by the State of Missouri's amended suitability guidelines for DPPs. This alert was based on the State of Missouri Securities Division amended Investor Suitability Guidelines for Direct Participation Programs under its state Securities Act. According to these guidelines, the client must have: EITHER A gross income of seventy thousand dollars (\$70,000) and a net worth of seventy thousand dollars (\$70,000) (exclusive of home, home furnishings, and automobiles) OR a net worth of two hundred fifty thousand dollars (\$250,000) (exclusive of home, home furnishings, and automobiles) AND no more than ten percent (10%) of any individual Missouri investor's liquid net worth shall be invested in the securities being registered with the Missouri Securities Division. Assuming the security is appropriately registered for the state, this alert looks at the total order amount as a percent of the liquid net worth. REF: 15 CSR 30-52.030 NASAA Statements of Policy. Clients may specify other states in addition to Missouri in the table below.
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## General

Param Name	Code	Description	Value
Income Threshold	A	Triggers an alert when the income level does not exceed this amount.	\$69,999.00
Net Worth Low Threshold	B	Triggers an alert when the net worth level (exclusive of home, home furnishings, and automobiles) does not exceed this amount.	\$69,999.00
Net Worth High Threshold	C	Triggers an alert when the net worth level (exclusive of home, home furnishings, and automobiles) does not exceed this amount.	\$249,999.00
Percent of Liquid Net Worth	D	Triggers an alert when the order amount as a percentage of the liquid net worth (exclusive of home, home furnishings, and automobiles) exceeds this threshold.	10.00%

## Setting\_State

State Code
Missouri

## Alert1200 : TR1200\_Employee\_Trading\_Proprietary

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies trades placed in an employee account where the security or underlying security being traded is proprietary to the firm. Exceptions are generated for trades in options or equities in firm proprietary securities where the total trade amount exceeds the trade dollar threshold, and the account is designated as an employee owned account. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. This alert is excluded when the TR1201_Employee_Short_Selling_Proprietary alert triggers.				

## General

Param Name	Code	Description	Value
Trade Principal Amount Threshold	A	Triggers an alert when the trade principal amount exceeds the threshold.	\$1,000.00

# Alert Parameter Report

Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
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## Setting\_Proprietary

Description	CUSIP or Internal Security Key
Any security with a CUSIP base of 0010	0010
Any security with a CUSIP base of 86800C9LG	86800C9LG
AAG HLDGS 7.25% SR DEBMAT 1/23/34CALLABLE 1/22/09	000336305
CALL 100 AKAMAITECHNOLOGIESEXP 01-20-07 @ 50	00971T9AJ
PUT 100 APPLECOMPUTER INCEXP 12-16-06 @ 80	037833100
CALL 100 SUNTECHPWR HLDGS COEXP 12-16-06 @ 30	86800C9LF
CANETIC RES EFF 1/11/081 CU707885109 PENN TRUST	137513107
CALL 100 APPLEINC COMEXP 12-20-08 @ 85	0378379LQ
CORNERSTONESTRATEGIC EFF12/22/08 =.25CU#21924B203	21924B104
NASDAQ 100 TR EFF3/21/07 1 OLD=1 CU#73935A104 SER	631100104
GENENTECH INCCOM NEW	368710406
UTEK CORP COM	91759P106
PC MALL INC COM	69323K100
CALL 100 KINETICCONCEPTS INCEXP 01-20-07 @ 35	49460W9AG
DELL INC COM	24702R101
AIRTRAN HLDGS INCCOM	00949P108
CALL 100TURBOCHEFTECHNOLOGIES INC 01-19-08@12 1/2	900006206

## Alert1201 : TR1201\_Employee\_Short\_Selling\_Proprietary

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies short sale trades of proprietary firm securities placed in an employee account. Exceptions are generated for sell trades of firm proprietary equities placed in type 3 (short accounts) where the total trade amount exceeds the trade dollar threshold, and the account is designated as an employee owned account. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
Trade Principal Amount Threshold	A	Triggers an alert when the trade principal amount exceeds the threshold.	\$1,000.00
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

# Alert Parameter Report

## Setting\_Proprietary

Description	CUSIP or Internal Security Key
Any security with a CUSIP base of 0010	0010
Any security with a CUSIP base of 86800C9LG	86800C9LG
AAG HLDGS 7.25% SR DEBMAT 1/23/34CALLABLE 1/22/09	000336305
CALL 100 AKAMAITECHNOLOGIESEXP 01-20-07 @ 50	00971T9AJ
PUT 100 APPLECOMPUTER INCEXP 12-16-06 @ 80	037833100
CALL 100 SUNTECHPWR HLDGS COEXP 12-16-06 @ 30	86800C9LF
CANETIC RES EFF 1/11/081 CU707885109 PENN TRUST	137513107
CALL 100 APPLEINC COMEXP 12-20-08 @ 85	0378379LQ
CORNERSTONESTRATEGIC EFF12/22/08 =.25CU#21924B203	21924B104
NASDAQ 100 TR EFF3/21/07 1 OLD=1 CU#73935A104 SER	631100104
GENENTECH INCCOM NEW	368710406
UTEK CORP COM	91759P106
PC MALL INC COM	69323K100
CALL 100 KINETICCONCEPTS INCEXP 01-20-07 @ 35	49460W9AG
DELL INC COM	24702R101
AIRTRAN HLDGS INCCOM	00949P108
CALL 100TURBOCHEFTECHNOLOGIES INC 01-19-08@12 1/2	900006206

## Alert1202 : TR1202\_Employee\_Client\_Trading

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies trades placed in an employee owned account that were executed prior to client trades placed by the same employee, where the client trade did not receive a better price than the employee. Exceptions are generated for trades in employee owned accounts where the trade occurs prior to a client trade in the same security. Trades must be on the same day and same side of the market in accounts owned by the same employee who placed the client trade. Analysis is performed on split rep codes and individual rep codes. Inclusion parameters define if the alert considers only trades where the employee received a better price than the client trade and whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. Firms may specify in the data loader process the exact definition of an employee account, and whether that should include related party accounts. Only the first execution lot reviewed will be tagged with the violation. This rule also assumes the employee is the rep of record on their own account.				

## General

Param Name	Code	Description	Value
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# Alert Parameter Report

Non Price Advantaged Trade Inclusion	A	Determines whether price advantage is ignored in the analysis. (Can only use this when execution time is available. Price advantage includes time of trade with corresponding price.)	No
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
First Trade Lot Only	B	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes

## Alert1203 : TR1203\_Employee\_Client\_Soliciting

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies trades placed in employee owned accounts where solicited client trades were placed on the same day for the same security on the opposite side of the market from which the employee trade was placed. Analysis is performed on split rep codes and individual rep codes. Inclusion parameters define whether only solicited client trades are included in the analysis and if the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. Firms should specify in the data loader process the exact definition of an employee account, and whether that includes related party accounts. Only the first execution lot reviewed will be tagged with the violation.				

## General

Param Name	Code	Description	Value
Unsolicited Trade Inclusion	A	Determines whether the alert is applied to unsolicited trades as well as solicited trades.	Yes
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
First Trade Lot Only	B	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes

## Alert1204 : TR1204\_Exchange\_1035

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies a trade that was included as part of a 1035 exchange. Exceptions are generated for trades included as part of a 1035 exchange where the principal amount exceeds the dollar threshold. Trades must include an application containing the 1035 indicator. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
Trade Principal Amount Threshold	A	Triggers an alert when the trade principal amount exceeds the threshold.	\$1,000.00

# Alert Parameter Report

Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
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## Alert1205 : TR1205\_Elimination\_Period

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies potential issues with the elimination period on the policy included in the transaction. Exceptions are generated on disability and long term care applications where the elimination period exceeds a parameter that represents a multiple of the client's stated household net worth.				

## PROD

Item	Elimination Period Multiple (A)
	Establishes the acceptable multiple of the client's net worth.
Equity	0.00
Exchange Traded Fund	0.00
Option	0.00
Mutual Fund	0.00
Fixed Income	0.00
Structured Product	0.00
Unit Investment Trust	0.00
REIT	0.00
Limited Partnership	0.00
Variable Annuity	0.00
Equity Indexed Annuity	0.00
Fixed Annuity	0.00
Variable Universal Life	0.00
Cash Equivalents	0.00
Term Life	0.00
Whole Life	0.00
Universal Life	0.00
Long Term Care	1.00
Disability Income Replacement	1.00
Unknown	0.00

## Alert1215 : TR1215\_Face\_Amount\_Need

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default

# Alert Parameter Report

Active	Yes	Visible	Yes		
Description	This rule evaluates the face amount of the insurance policy in relation to a needs analysis-derived need amount. Exceptions are generated on life applications where a needs analysis was done and where the applied-for face amount (exclusive of existing coverage) exceeds the stated amount of life insurance needed (rounded up to the next \$25,000).				

## General

Param Name	Code	Description	Value
Life Needs Rounding Level	A	Establishes the face amount rounding level.	\$25,000.00

## Alert1216 : TR1216\_Face\_Amount\_Income\_Multiple

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	This rule evaluates the face amount of the insurance policy in relation to a needs analysis-derived need amount. Exceptions are generated on life applications where a needs analysis was done and where the applied-for face amount (exclusive of existing coverage) exceeds the stated amount of life insurance needed (rounded up to the next \$25,000).				

## General

Param Name	Code	Description	Value
Life Income Multiple Rounding Level	A	Establishes the face amount rounding level.	\$25,000.00
Age Threshold High	B	Establishes the high age threshold.	65
Age Threshold Low	C	Establishes the low age threshold.	35
Age Income Multiple Threshold High	D	Establishes an income multiple for those whose ages are above the high age threshold.	6.00
Age Income Multiple Threshold Mid	E	Establishes an income multiple for those whose ages are above the low age threshold, but below the high age threshold.	8.00
Age Income Multiple Threshold Low	F	Establishes an income multiple for those whose ages are below the low age threshold.	10.00

## Alert1217 : TR1217\_Face\_Amount\_Net\_Worth

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	This rule evaluates the face amount of the insurance policy in relation to a multiple of the insured's net worth. Exceptions are generated on life applications where no needs analysis was done and where the applied-for face amount plus existing coverage exceeds an age-weighted parameter multiple of the insured's net worth (rounded up to the next \$25,000).				

## General

## Alert Parameter Report

Param Name	Code	Description	Value
Life Net Worth Multiple Rounding Level	A	Establishes the face amount rounding level.	\$25,000.00
Net Worth High Threshold	B	Establishes the high net worth threshold.	\$1,000,000.00
Net Worth Multiple High	C	Establishes the net worth multiple to be used for those with a net worth equal to or exceeding the high threshold.	1.00
Net Worth Multiple	D	Establishes the net worth multiple for those with a net worth below the high threshold.	1.50

### Alert1225 : TR1225\_Fund\_Family\_Diversification

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies new fund family purchases where the new fund family being purchased may be over-diversifying the client into unnecessary fund families, causing the client to potentially forfeit future breakpoint sales load reductions. Exceptions are generated under two scenarios. First, for buy trades in a fund family not already held in the account (or in related accounts, as chosen by parameter) where the investment style of the new fund already exists in one of the other fund family positions. (Investment Style is a Morningstar data field that can be provided by FIS.) Second, for buy trades in a fund family not already held in the account and the number of different fund families exceed the fund family count threshold. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

### General

Param Name	Code	Description	Value
Multiple Fund Family Threshold	A	Triggers an alert when the number of fund families in the account exceeds the threshold.	3
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include Commission Based Only
Household Type Use	B	Determines which account relationship type to use for this alert.	Account
Exclude Exchange Traded Funds	C	Determines whether exchange trade fund (ETF) securities are excluded from triggering this alert.	Yes
Exclude Closed-End Funds	D	Determines whether closed-end fund securities are excluded from triggering this alert.	Yes

### Alert1226 : TR1226\_Fee\_Based\_Commission

Category		Type	0	Process	Trade Review
Base Score	10	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies trades in fee-based accounts that were assessed a commission.				

### General

Param Name	Code	Description	Value
Commission Amount Threshold	A	Triggers an alert when the trade commission amount exceeds the parameter.	\$0.00

## Alert Parameter Report

### Alert1240 : TR1240\_Flip\_Trade

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies trades where the client sells a recently purchased security with minimal gains. Exceptions are generated on sell trades where the trade history within the lookback period contains one or more buys and the gain from the buy transaction(s) in history to the current sale transaction is between the gain and loss percent thresholds. Parameters for minimum commission for buys and sells allow commission thresholds to be applied on historical buy trades before considering them part of a flip trade against the current sell trade being reviewed. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

### General

Param Name	Code	Description	Value
Lookback Days	A	Determines the number of lookback days for the analysis (Maximum 365 days of data available for lookbacks).	30
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Gain Percent Threshold	B	Triggers the alert when the estimated gain as a percent of the sell is less than this threshold.	3.00%
Trade Net Amount Threshold	C	Triggers an alert when the trade net amount equals or exceeds the threshold.	\$3,000.00
Household Type Use	D	Determines which account relationship type to use for this alert.	Account
Buy Commission Amount Threshold	E	Establishes the commission amount necessary for historical buy transactions to be included in the analysis.	\$10.00
Commission Amount Threshold	F	Triggers an alert when the commission amount of the historical sell transaction exceeds the threshold.	\$10.00
Loss Percent Threshold	G	Triggers the alert when the estimated gain as a percent of the sell is greater than this threshold. (enter as a negative percentage)	-30.00%
First Trade Lot Only	H	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes

### Alert1300 : TR1300\_High\_Yield\_Bond

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		



# Alert Parameter Report

Description	Identifies trades in high-yield bonds where the account owner is a conservative investor. Exceptions are generated for buy trades of non-investment grade individual bond securities where the principal amount of the trade exceeds the dollar amount threshold and the account's risk tolerance is lower than the risk threshold. Non-investment grade bonds are identified using the primary and secondary ratings available in the security table. The firm should specify the list of ratings for both the primary and secondary fields considered Investment Grade. Any rating outside either of these lists is considered non-investment grade by the system. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. Parameters also define the bond types to include in the analysis, categorized as government, agency, and municipal. Corporate bonds are always included.
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## General

Param Name	Code	Description	Value
Risk Tolerance Threshold	A	Triggers an alert when the account risk tolerance is lower than the tolerance threshold.	Moderate
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Government Bond Inclusion	B	Determines whether the alert is applied to government bonds	Yes
Municipal Bond Inclusion	C	Determines whether the alert is applied to municipal bonds.	Yes
Agency Bond Inclusion	D	Determines whether the alert is applied to agency bonds.	Yes
Trade Principal Amount Threshold	E	Triggers an alert when the trade principal amount exceeds the threshold.	\$5,000.00

## Setting\_Grade

Rating	Risk	Source
A	Unknown	Primary
A	Conservative	Primary
A	Mod Conservative	Primary
A	Moderate	Primary
A1	Unknown	Primary
A1	Conservative	Primary
A1	Mod Conservative	Primary
A1	Moderate	Primary
A2	Unknown	Primary
A2	Conservative	Primary
A2	Mod Conservative	Primary
A2	Moderate	Primary
A3	Unknown	Primary
A3	Conservative	Primary
A3	Mod Conservative	Primary
A3	Moderate	Primary
Aa	Unknown	Primary

## Alert Parameter Report

Aa	Conservative	Primary
Aa	Mod Conservative	Primary
Aa	Moderate	Primary
Aa1	Unknown	Primary
Aa1	Conservative	Primary
Aa1	Mod Conservative	Primary
Aa1	Moderate	Primary
Aa2	Unknown	Primary
Aa2	Conservative	Primary
Aa2	Mod Conservative	Primary
Aa2	Moderate	Primary
Aa3	Unknown	Primary
Aa3	Conservative	Primary
Aa3	Mod Conservative	Primary
Aa3	Moderate	Primary
Aaa	Unknown	Primary
Aaa	Conservative	Primary
Aaa	Mod Conservative	Primary
Aaa	Moderate	Primary
Aaa1	Unknown	Primary
Aaa1	Conservative	Primary
Aaa1	Mod Conservative	Primary
Aaa1	Moderate	Primary
Aaa2	Unknown	Primary
Aaa2	Conservative	Primary
Aaa2	Mod Conservative	Primary
Aaa2	Moderate	Primary
Aaa3	Unknown	Primary
Aaa3	Conservative	Primary
Aaa3	Mod Conservative	Primary
Aaa3	Moderate	Primary
B	Unknown	Primary
B	Conservative	Primary
B	Mod Conservative	Primary
B	Moderate	Primary
B1	Unknown	Primary
B1	Conservative	Primary
B1	Mod Conservative	Primary
B1	Moderate	Primary
B2	Unknown	Primary

## Alert Parameter Report

B2	Conservative	Primary
B2	Mod Conservative	Primary
B2	Moderate	Primary
B3	Unknown	Primary
B3	Conservative	Primary
B3	Mod Conservative	Primary
B3	Moderate	Primary
Ba	Unknown	Primary
Ba	Conservative	Primary
Ba	Mod Conservative	Primary
Ba	Moderate	Primary
Ba1	Unknown	Primary
Ba1	Conservative	Primary
Ba1	Mod Conservative	Primary
Ba1	Moderate	Primary
Ba2	Unknown	Primary
Ba2	Conservative	Primary
Ba2	Mod Conservative	Primary
Ba2	Moderate	Primary
Ba3	Unknown	Primary
Ba3	Conservative	Primary
Ba3	Mod Conservative	Primary
Ba3	Moderate	Primary
Baa	Unknown	Primary
Baa	Conservative	Primary
Baa	Mod Conservative	Primary
Baa	Moderate	Primary
Baa1	Unknown	Primary
Baa1	Conservative	Primary
Baa1	Mod Conservative	Primary
Baa1	Moderate	Primary
Baa2	Unknown	Primary
Baa2	Conservative	Primary
Baa2	Mod Conservative	Primary
Baa2	Moderate	Primary
Baa3	Unknown	Primary
Baa3	Conservative	Primary
Baa3	Mod Conservative	Primary
Baa3	Moderate	Primary
A	Unknown	Secondary

## Alert Parameter Report

A	Conservative	Secondary
A	Mod Conservative	Secondary
A	Moderate	Secondary
A1	Unknown	Secondary
A1	Conservative	Secondary
A1	Mod Conservative	Secondary
A1	Moderate	Secondary
A2	Unknown	Secondary
A2	Conservative	Secondary
A2	Mod Conservative	Secondary
A2	Moderate	Secondary
A3	Unknown	Secondary
A3	Conservative	Secondary
A3	Mod Conservative	Secondary
A3	Moderate	Secondary
Aa	Unknown	Secondary
Aa	Conservative	Secondary
Aa	Mod Conservative	Secondary
Aa	Moderate	Secondary
Aa1	Unknown	Secondary
Aa1	Conservative	Secondary
Aa1	Mod Conservative	Secondary
Aa1	Moderate	Secondary
Aa2	Unknown	Secondary
Aa2	Conservative	Secondary
Aa2	Mod Conservative	Secondary
Aa2	Moderate	Secondary
Aa3	Unknown	Secondary
Aa3	Conservative	Secondary
Aa3	Mod Conservative	Secondary
Aa3	Moderate	Secondary
Aaa	Unknown	Secondary
Aaa	Conservative	Secondary
Aaa	Mod Conservative	Secondary
Aaa	Moderate	Secondary
Aaa1	Unknown	Secondary
Aaa1	Conservative	Secondary
Aaa1	Mod Conservative	Secondary
Aaa1	Moderate	Secondary
Aaa2	Unknown	Secondary

## Alert Parameter Report

Aaa2	Conservative	Secondary
Aaa2	Mod Conservative	Secondary
Aaa2	Moderate	Secondary
Aaa3	Unknown	Secondary
Aaa3	Conservative	Secondary
Aaa3	Mod Conservative	Secondary
Aaa3	Moderate	Secondary
B	Unknown	Secondary
B	Conservative	Secondary
B	Mod Conservative	Secondary
B	Moderate	Secondary
B1	Unknown	Secondary
B1	Conservative	Secondary
B1	Mod Conservative	Secondary
B1	Moderate	Secondary
B2	Unknown	Secondary
B2	Conservative	Secondary
B2	Mod Conservative	Secondary
B2	Moderate	Secondary
B3	Unknown	Secondary
B3	Conservative	Secondary
B3	Mod Conservative	Secondary
B3	Moderate	Secondary
Ba	Unknown	Secondary
Ba	Conservative	Secondary
Ba	Mod Conservative	Secondary
Ba	Moderate	Secondary
Ba1	Unknown	Secondary
Ba1	Conservative	Secondary
Ba1	Mod Conservative	Secondary
Ba1	Moderate	Secondary
Ba2	Unknown	Secondary
Ba2	Conservative	Secondary
Ba2	Mod Conservative	Secondary
Ba2	Moderate	Secondary
Ba3	Unknown	Secondary
Ba3	Conservative	Secondary
Ba3	Mod Conservative	Secondary
Ba3	Moderate	Secondary
Baa	Unknown	Secondary

## Alert Parameter Report

Baa	Conservative	Secondary
Baa	Mod Conservative	Secondary
Baa	Moderate	Secondary
Baa1	Unknown	Secondary
Baa1	Conservative	Secondary
Baa1	Mod Conservative	Secondary
Baa1	Moderate	Secondary
Baa2	Unknown	Secondary
Baa2	Conservative	Secondary
Baa2	Mod Conservative	Secondary
Baa2	Moderate	Secondary
Baa3	Unknown	Secondary
Baa3	Conservative	Secondary
Baa3	Mod Conservative	Secondary
Baa3	Moderate	Secondary
AAA	Unknown	Primary
AAA	Conservative	Primary
AAA	Mod Conservative	Primary
AAA	Moderate	Primary
AAA-	Unknown	Primary
AAA-	Conservative	Primary
AAA-	Mod Conservative	Primary
AAA-	Moderate	Primary
AA+	Unknown	Primary
AA+	Conservative	Primary
AA+	Mod Conservative	Primary
AA+	Moderate	Primary
AA	Unknown	Primary
AA	Conservative	Primary
AA	Mod Conservative	Primary
AA	Moderate	Primary
AA-	Unknown	Primary
AA-	Conservative	Primary
AA-	Mod Conservative	Primary
AA-	Moderate	Primary
A+	Unknown	Primary
A+	Conservative	Primary
A+	Mod Conservative	Primary
A+	Moderate	Primary
A-	Unknown	Primary

## Alert Parameter Report

A-	Conservative	Primary
A-	Mod Conservative	Primary
A-	Moderate	Primary
BBB+	Unknown	Primary
BBB+	Conservative	Primary
BBB+	Mod Conservative	Primary
BBB+	Moderate	Primary
BBB	Unknown	Primary
BBB	Conservative	Primary
BBB	Mod Conservative	Primary
BBB	Moderate	Primary
BBB-	Unknown	Primary
BBB-	Conservative	Primary
BBB-	Mod Conservative	Primary
BBB-	Moderate	Primary
BB+	Unknown	Primary
BB+	Conservative	Primary
BB+	Mod Conservative	Primary
BB+	Moderate	Primary
AAA	Unknown	Secondary
AAA	Conservative	Secondary
AAA	Mod Conservative	Secondary
AAA	Moderate	Secondary
AAA-	Unknown	Secondary
AAA-	Conservative	Secondary
AAA-	Mod Conservative	Secondary
AAA-	Moderate	Secondary
AA+	Unknown	Secondary
AA+	Conservative	Secondary
AA+	Mod Conservative	Secondary
AA+	Moderate	Secondary
AA	Unknown	Secondary
AA	Conservative	Secondary
AA	Mod Conservative	Secondary
AA	Moderate	Secondary
AA-	Unknown	Secondary
AA-	Conservative	Secondary
AA-	Mod Conservative	Secondary
AA-	Moderate	Secondary
A+	Unknown	Secondary

# Alert Parameter Report

A+	Conservative	Secondary
A+	Mod Conservative	Secondary
A+	Moderate	Secondary
A-	Unknown	Secondary
A-	Conservative	Secondary
A-	Mod Conservative	Secondary
A-	Moderate	Secondary
BBB+	Unknown	Secondary
BBB+	Conservative	Secondary
BBB+	Mod Conservative	Secondary
BBB+	Moderate	Secondary
BBB	Unknown	Secondary
BBB	Conservative	Secondary
BBB	Mod Conservative	Secondary
BBB	Moderate	Secondary
BBB-	Unknown	Secondary
BBB-	Conservative	Secondary
BBB-	Mod Conservative	Secondary
BBB-	Moderate	Secondary
BB+	Unknown	Secondary
BB+	Conservative	Secondary
BB+	Mod Conservative	Secondary
BB+	Moderate	Secondary

## Alert1350 : TR1350\_Large\_Order

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies orders that exceed a dollar amount and / or quantity threshold. Exceptions are generated for buy trades where the order share quantity exceeds the quantity threshold by product type, or the total order dollar amount exceeds the dollar threshold by product type, or the order amount as percent of the market value exceeds the percentage threshold. Individual trades are aggregated at an order level when an order ID is available. If no order ID is available on the trade, all trades in the same security on the same side of the market will be aggregated to represent an order. Only the first execution lot reviewed will be tagged with the violation. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
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## Alert Parameter Report

Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Household Type Use	D	Determines which account relationship type to use for this alert.	Account
First Trade Lot Only	E	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes
Exclude Money Markets	F	Determines whether money market securities are excluded from triggering this alert.	Yes
Include Other Side	G	Selecting "Yes" will cause the alert to consider "Other" side trades to be included in analysis along with "Buy" side trades. Selecting "No" will cause only "Buy" side trades to be considered.	Yes

## PROD

Item	Order Quantity Threshold (A)	Order Amount Threshold (B)	Asset Amount Percent Threshold (C)
	Triggers an alert when the total order quantity exceeds the threshold by product type.	Triggers an alert when the total order amount exceeds the threshold by product type.	Triggers an alert when the total order as a percent of the account asset amount exceeds the threshold by product type.
Equity	10,000.00	\$500,000.00	20.00%
Exchange Traded Fund	10,000.00	\$500,000.00	20.00%
Option	20.00	\$100,000.00	5.00%
Mutual Fund	999,999,999.00	\$1,000,000.00	20.00%
Fixed Income	999,999,999.00	\$1,000,000.00	20.00%
Structured Product	10,000.00	\$500,000.00	20.00%
Unit Investment Trust	999,999,999.00	\$250,000.00	20.00%
REIT	999,999,999.00	\$250,000.00	10.00%
Limited Partnership	999,999,999.00	\$500,000.00	10.00%
Variable Annuity	999,999,999.00	\$1,000,000.00	30.00%
Equity Indexed Annuity	999,999,999.00	\$1,000,000.00	30.00%
Fixed Annuity	999,999,999.00	\$1,000,000.00	30.00%
Variable Universal Life	999,999,999.00	\$1,000,000.00	30.00%
Cash Equivalents	10,000,000.00	\$10,000,000.00	300.00%
Term Life	0.00	\$0.00	0.00%
Whole Life	0.00	\$0.00	0.00%
Universal Life	0.00	\$0.00	0.00%
Long Term Care	0.00	\$0.00	0.00%
Disability Income Replacement	0.00	\$0.00	0.00%
Unknown	0.00	\$0.00	5.00%

# Alert Parameter Report

## Alert1353 : TR1353\_Long\_Term\_Hold\_Tax\_Lot

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies trades that liquidate shares before the end of the expected product hold period for a product that is designed to be held long term. Exceptions are generated for trades that liquidate shares where the number of days that the product was held (based on the most recent open/purchase date) is less than the expected hold days based on the type of product or security key. When the expected hold days value is set by security key, the value overrides the setting at the product type level. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. Inclusion parameters also include whether to consider the net realized gain as a percent of cost basis.				

## General

Param Name	Code	Description	Value
Trade Principal Amount Threshold	A	Triggers an alert when the trade principal amount exceeds the threshold.	\$500.00
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

## PROD

Item	Realized Gain Inclusion (B)	Realized Gain Percent Threshold (C)
	Determines which product types to include for considering the gain percent in the analysis.	Triggers an alert when the realized gain as a percent of the cost basis is under the threshold.
Equity	Yes	10.00%
Exchange Traded Fund	Yes	10.00%
Option	Yes	10.00%
Mutual Fund	Yes	10.00%
Fixed Income	Yes	10.00%
Structured Product		0.00%
Unit Investment Trust	Yes	10.00%
REIT		0.00%
Limited Partnership		0.00%
Variable Annuity		0.00%
Equity Indexed Annuity		0.00%
Fixed Annuity		0.00%
Variable Universal Life		0.00%

# Alert Parameter Report

Cash Equivalents	Yes	10.00%
Term Life		0.00%
Whole Life		0.00%
Universal Life		0.00%
Long Term Care		0.00%
Disability Income Replacement		0.00%
Unknown	No	10.00%

## Setting\_Nature\_Exclusion

Nature Source
EXEC-Executor

## Setting\_Hold\_Default\_Long\_Term

Expected Hold Days	Include	Product Type	Share Class
1460	Yes	Mutual Fund	A
1240	Yes	Exchange Traded Fund	A

## Setting\_Hold\_Long\_Term

Expected Hold Days	Security Key
450	35063R100
30	464287465
120	46428Q109
500	743315103
240	863667101

## Alert1355 : TR1355\_Low\_Price\_Security\_Solicited

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies solicited low-priced stock trades. Exceptions are generated for solicited buy trades of stocks with a unit price lower than the low price threshold by risk tolerance, and the total order amount exceeds the amount threshold. Individual trades are aggregated at an order level when an order ID is available. If no order ID is available on the trade, all trades in the same security on the same side of the market will be aggregated to represent an order. Only the first execution lot reviewed will be tagged with the violation. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

# Alert Parameter Report

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Order Amount Threshold	B	Triggers an alert when the total order amount exceeds the threshold by risk tolerance.	\$5,000.00
Include Non-Bulletin Board Stocks	C	Determines whether stocks other than bulletin board traded stocks are included in the alert analysis.	Yes
First Trade Lot Only	D	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes

## RISK

Item	Security Price Threshold (A)
	Triggers an alert when the unit price of the security being purchased is lower than the threshold by risk tolerance.
Unknown	\$5.00
Conservative	\$5.00
Mod Conservative	\$5.00
Moderate	\$5.00
Mod Aggressive	\$5.00
Aggressive	\$5.00

## Setting\_BB

Exchange
Over the Counter

## Alert1356 : TR1356\_Low\_Price\_Security\_Unsolicited

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies unsolicited low-priced stock trades. Exceptions are generated for unsolicited buy trades of stocks with a unit price lower than the low price threshold by risk tolerance, and the total order amount exceeds the amount threshold. Individual trades are aggregated at an order level when an order ID is available. If no order ID is available on the trade, all trades in the same security on the same side of the market will be aggregated to represent an order. Only the first execution lot reviewed will be tagged with the violation. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
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# Alert Parameter Report

Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Order Amount Threshold	B	Triggers an alert when the total order amount exceeds the threshold by risk tolerance.	\$5,000.00
Include Non-Bulletin Board Stocks	C	Determines whether stocks other than bulletin board traded stocks are included in the alert analysis.	No
First Trade Lot Only	D	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes

## RISK

Item	Security Price Threshold (A)
	Triggers an alert when the unit price of the security being purchased is lower than the threshold by risk tolerance.
Unknown	\$0.00
Conservative	\$3.00
Mod Conservative	\$3.00
Moderate	\$3.00
Mod Aggressive	\$3.00
Aggressive	\$3.00

## Setting\_BB

Exchange
Over the Counter

## Alert1370 : TR1370\_Licensing\_Carrier\_Appointment

Category		Type	0	Process	Trade Review
Base Score	10	High Score	0	Firm	Default
Active	No	Visible	Yes		
Description	Identifies representatives included on an application that are not appointed with the product carrier. Exceptions are generated for insurance products where the executing rep or the TTO rep is not appointed by the carrier of the annuity or insurance product in the state of residence for the account. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
Rep and TTO Review	A	Determines whether the rep code is included in the analysis in addition to the TTO rep code when both exist.	Yes
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

# Alert Parameter Report

## Alert1371 : TR1371\_Licensing\_FINRA

Category		Type	0	Process	Trade Review
Base Score	10	High Score	0	Firm	Default
Active	No	Visible	Yes		
Description	Identifies trades that include a product type where one or more representatives associated with the trades are not sufficiently FINRA licensed. Exceptions are generated for trades where the executing rep, or reps assigned to a split rep code, or the TTO rep do not have an appropriate FINRA license to sell the product being traded. Exceptions are not generated if the trade rep is identified by the system as an invalid rep. These will be identified by TR1710_Rep_Invalid. Licenses currently checked are FINRA Series: 1, 6, 7, 62, 52, and 72. Product mapping for each license is as follows: Product FINRA Series Equity (1, 7, 62), Option (1, 7), Mutual Fund (1, 6, 7), Fixed Income (1, 7, 52, 62, 72), UIT (1, 6, 7), REIT (1, 7, 62), Limited Partnership (1, 6, 7, 22) Variable Annuity (1, 6, 7), Fixed Annuity ( ), VL (1, 6, 7), Cash Equivalent ( ), ET(1, 7, 62). Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

### General

Param Name	Code	Description	Value
Rep and TTO Review	A	Determines whether the rep code is included in the analysis in addition to the TTO rep code when both exist.	Yes
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

## Alert1372 : TR1372\_Licensing\_Advisory

Category		Type	0	Process	Trade Review
Base Score	10	High Score	0	Firm	Default
Active	No	Visible	Yes		
Description	Identifies trades where one or more representatives associated with the trades may not hold the firm's required advisory license. Exceptions are generated for trades where the executing rep, the account rep, or reps assigned to a split rep code or the TTO rep may not have an appropriate firm required advisory license. Exceptions are not generated if the application rep is identified by the system as an invalid rep. These will be identified by TR1710_Rep_Invalid. Inclusion parameters define whether the alert is applied to fee-based accounts, commission-based accounts, or all accounts regardless of the fee structure. The alert allows firms to select approved advisory licenses (63, 65, 63/65 combined, or 66) and to select whether the alert renders a 0 (zero) score for all but one relevant trade for a given Submit Date (when more than one trade exist).				

### General

Param Name	Code	Description	Value
Rep and TTO Review	A	Determines whether the rep code is included in the analysis in addition to the TTO rep code when both exist.	Yes
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

# Alert Parameter Report

First Trade Lot Only	B	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes
One Trade of Day Only	C	Determines whether the alert renders a 0 (zero) score for all but one relevant trade for a given Submit Date (when more than one trade exist).	No

## Setting\_Advisory\_Licensing

Required License
Series 66

## Alert1373 : TR1373\_Licensing\_State\_Registration

Category		Type	0	Process	Trade Review
Base Score	10	High Score	0	Firm	Default
Active	No	Visible	Yes		
Description	Identifies trades where one or more representatives associated with the trades are not registered in the client's state of residence. Exceptions are generated for trades where the executing rep, the account rep, or reps assigned to a split rep code or the TTO rep are not registered in client's state of residence. Trades in accounts with no state code are excluded from the analysis. Exceptions are not generated if the application rep is identified by the system as an invalid rep. These will be identified by TR1710_Rep_Invalid. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
Rep and TTO Review	A	Determines whether the rep code is included in the analysis in addition to the TTO rep code when both exist.	Yes
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

## Setting\_Country

Country Code	Risk Type
United States of America	

## Alert1385 : TR1385\_Long\_Term\_Care

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	These rules evaluate issues specific to Long-Term Care insurance. Exceptions are generated under three different conditions: Rule 1 flags LTC purchases where the client's net worth is below a dollar parameter threshold. Rule 2 flags LTC purchases where the client's net worth is greater than a dollar parameter threshold. Rule 3 flags LTC purchases where the annual premium exceeds a parameter percentage of annual income.				

# Alert Parameter Report

## General

Param Name	Code	Description	Value
Net Worth Low Threshold	A	Establishes the lowest net worth where Long Term Care insurance is appropriate.	\$50,000.00
Net Worth High Threshold	B	Establishes the highest net worth amount where Long Term Care insurance is appropriate.	\$1,000,000.00
Percent Of Income	C	Triggers an alert when the premium as a percentage of income exceeds this threshold.	15.00%

## Alert1500 : TR1500\_Missing\_Breakpoint\_Schedule

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies trades in mutual fund A shares where no breakpoint schedule is found for the fund being purchased. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. Exclusions can be established based upon sales charge percentage threshold or money market products.				

## General

Param Name	Code	Description	Value
Sales Load Amount Threshold	A	Triggers an alert when the sales charge assessed on a trade exceeds the threshold.	\$0.00
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include Commission Based Only
Exclude Money Markets	B	Determines whether money market securities are excluded from triggering this alert.	Yes
Exclude Exchange Traded Funds	C	Determines whether exchange trade fund (ETF) securities are excluded from triggering this alert.	Yes
Exclude Closed-End Funds	D	Determines whether closed-end fund securities are excluded from triggering this alert.	Yes

## Alert1501 : TR1501\_Market\_Timing

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies round-trip purchase/sales in the same mutual fund within a lookback period that may be considered market timing. Exceptions are generated for mutual fund sell trades where the principal trade amount exceeds the dollar amount threshold and the number of complete round trips in the trade security exceeds the count threshold. Complete round trips are identified by counting all sells preceded with a buy of the trade security over the past 365 days in the account or related accounts (as specified by a parameter). Of these, only trades exceeding the dollar amount threshold are considered in the analysis. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
Trade Principal Amount Threshold	A	Triggers an alert when the trade principal amount exceeds the threshold.	\$5,000.00



# Alert Parameter Report

Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Round Trip Count Threshold	B	Triggers an alert when the number of buys and sells each equal or exceed this threshold.	1
Lookback Days	C	Determines the number of lookback days for the analysis (Maximum 365 days of data available for lookbacks)	10
Household Type Use	D	Determines which account relationship type to use for this alert.	Account
Exclude Money Markets	E	Determines whether money market securities are excluded from triggering this alert.	Yes

## Alert1502 : TR1502\_Municipal\_Security\_State

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies trades in municipal bonds or single-state municipal bond funds outside the client's state of residence. Exceptions are generated for buy trades in a municipal bond or municipal bond fund where the municipality state does not match the client's state of residence. Trades for clients with no state identified or who reside in states with no income tax or states which extend state tax exemptions to municipal bonds regardless of states are excluded from the analysis. These states are currently as follows: Alaska, District of Columbia, Florida, Nevada, South Dakota, Texas, Washington, Wyoming Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. The ability to define additional states with no income tax or states which extend state tax exemptions to municipal bonds is available by entering the state within the list.				

## General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

## Setting\_State

State Code
Alaska
Nevada
Florida
South Dakota
Texas
Washington
Wyoming
District of Columbia

## Alert1503 : TR1503\_Markup

Category		Type	0	Process	Trade Review
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# Alert Parameter Report

Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Exclusions are generated for principal trades where the mark-up percentage rate exceeds the percentage threshold. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
Markup Percentage Threshold (Non FI Products)	A	Triggers an alert when the markup rate exceeds the percentage threshold.	5.00%
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Concession Amount Threshold (Non FI products)	B	Triggers an alert when the concession amount exceeds the threshold. These thresholds apply to non-Fixed Income principal trades. For Fixed Income trades, a sliding scale commission schedule is used as indicated below.	\$150.00
Exclude Syndicate Trades	C	Determines whether syndicate trades are excluded from triggering this alert.	No

## Setting\_Markup

Days To Maturity	Market Value Max	Markup Rate Max	Product Sub Type
999999999	\$999,999,999.00	0.500%	
999999999	\$999,999,999.00	2.000%	Corporate Bond
999999999	\$999,999,999.00	2.000%	Municipal Bond
999999999	\$999,999,999.00	2.000%	Agency Bond
999999999	\$999,999,999.00	2.000%	Government Bond
999999999	\$999,999,999.00	2.000%	CD
999999999	\$999,999,999.00	2.000%	Other

## Alert1560 : TR1560\_Net\_Worth\_Product

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Compares the percentage of the client's net worth that is allocated to this annuity. Exceptions are generated when the amount of the initial premium is greater than a product-specific parameter that can also be customized for low, medium and high net worth ranges.				

## General

Param Name	Code	Description	Value
Include Other Side	F	Selecting "Yes" will cause the alert to consider "Other" side trades to be included in analysis along with "Buy" side trades.Selecting "No" will cause only "Buy" side trades to be considered.	Yes

# Alert Parameter Report

PROD

Item	Net Worth Low Threshold (A)	Net Worth High Threshold (B)	Low Percent Threshold (C)	Mid Percent Threshold (D)	High Percent Threshold (E)
	Establishes the low net worth threshold for use in the alert analysis.	Establishes the high net worth threshold for use in the alert analysis.	Establishes an allowable allocation percentage for those whose net worth is below the low net worth threshold.	Establishes an allowable allocation percentage for those whose net worth is above the low net worth threshold, but below the high net worth threshold.	Establishes an allowable allocation percentage for those whose net worth is above the high net worth threshold.
Equity	\$0.00	\$0.00	0.00%	0.00%	0.00%
Exchange Traded Fund	\$0.00	\$0.00	0.00%	0.00%	0.00%
Option	\$0.00	\$0.00	0.00%	0.00%	0.00%
Mutual Fund	\$0.00	\$0.00	0.00%	0.00%	0.00%
Fixed Income	\$0.00	\$0.00	0.00%	0.00%	0.00%
Structured Product	\$0.00	\$0.00	0.00%	0.00%	0.00%
Unit Investment Trust	\$0.00	\$0.00	0.00%	0.00%	0.00%
REIT	\$0.00	\$0.00	0.00%	0.00%	0.00%
Limited Partnership	\$0.00	\$0.00	0.00%	0.00%	0.00%
Variable Annuity	\$100,000.00	\$500,000.00	50.00%	35.00%	25.00%
Equity Indexed Annuity	\$100,000.00	\$500,000.00	50.00%	35.00%	25.00%
Fixed Annuity	\$100,000.00	\$500,000.00	50.00%	35.00%	25.00%
Variable Universal Life	\$0.00	\$0.00	0.00%	0.00%	0.00%
Cash Equivalents	\$0.00	\$0.00	0.00%	0.00%	0.00%
Term Life	\$0.00	\$0.00	0.00%	0.00%	0.00%
Whole Life	\$0.00	\$0.00	0.00%	0.00%	0.00%
Universal Life	\$0.00	\$0.00	0.00%	0.00%	0.00%
Long Term Care	\$0.00	\$0.00	0.00%	0.00%	0.00%
Disability Income Replacement	\$0.00	\$0.00	0.00%	0.00%	0.00%
Unknown	\$0.00	\$0.00	0.00%	0.00%	0.00%

## Alert1600 : TR1600\_Options\_Discretion

Category		Type	0	Process	Trade Review
Base Score	10	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies option trades placed with discretion. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

# Alert Parameter Report

## General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

## Alert1650 : TR1650\_Principal\_Trade

Category		Type	0	Process	Trade Review
Base Score	10	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Exceptions are generated for principal trades placed with discretion or in a fee-based account. This identifies a potential conflict of interest where the firm may be double-dipping on commissions.				

## Alert1651 : TR1651\_Purchase\_With\_Sale\_Proceeds

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies trades where a potential for free riding exists based on previous trading activity in the account for amounts similar to the current trade amount. Exceptions are generated for buy trades of equity or fixed income securities where the net trade amount exceeds the dollar trade threshold and one or more qualified sells exist within the lookback threshold in the current account or related accounts (specified by parameter). Qualified sells are trades with net amounts within a percentage range above or below the current trade amount. Inclusion parameters define whether closing short purchases are included in the analysis and if the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
Proximity Percentage Sell to Purchase	A	Triggers an alert when the principal amount of a previous sell trade is within proximity above or below the current trade net amount.	50.00%
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Lookback Days	B	Determines the number of lookback days for the analysis (Maximum 365 days of data available for lookbacks)	2
Trade Principal Amount Threshold	C	Triggers an alert when the trade principal amount exceeds the threshold.	\$0.00
Closing Short Purchase Inclusion	D	Determines whether closing short purchase trades are evaluated.	No
Household Type Use	E	Determines which account relationship type to use for this alert.	Account

## Alert1652 : TR1652\_Proceeds\_Transaction\_Commission

Category		Type	0	Process	Trade Review
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## Alert Parameter Report

Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies buy trades where the combined commissions of the buy and a previous sell as a percent of the principal trade amount exceed a firm specified threshold. Exceptions are generated for buys exceeding the trade dollar threshold when matched against a sell where the two commissions as a percentage of the buy principal amount exceed a threshold. Buys are only matched against sells of similar products types having trade amounts within proximity of the buy amount. Sell trades must fall within the lookback threshold to be considered and can be in the account or in related accounts (specified in a parameter). Inclusion parameters define whether closing short purchases are included in the analysis and if the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. Mutual Funds, Annuities, Fixed Life, Variable Annuities and Variable Life product types are excluded from this exception.				

### General

Param Name	Code	Description	Value
Proximity Percentage Sell to Purchase	A	Triggers an alert when the principal amount of a previous sell trade is within proximity above or below the current trade net amount.	5.00%
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Lookback Days	B	Determines the number of lookback days for the analysis (Maximum 365 days of data available for lookbacks).	2
Trade Net Amount Threshold	C	Triggers an alert when the trade net amount equals or exceeds the threshold.	\$5,000.00
Closing Short Purchase Inclusion	D	Determines whether closing short purchase trades are evaluated.	No
Commission Percent of Trade Amount Threshold	E	Triggers an alert when the combined commissions of a buy and sell exceed the threshold as a percentage of the current buy trade principal amount.	10.00%
Household Type Use	F	Determines which account relationship type to use for this alert.	Account
Commission Amount Threshold	G	Triggers an alert when the trade commission amount equals or exceeds the parameter.	\$0.00

### Alert1656 : TR1656\_Profile\_Missing\_Info

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies accounts with missing account/profile information. The exception is generated when one or more fields that have been included in the alert are missing. Fields are included in the alert using parameter settings. Each field may then be filtered for ownership types of natural persons. A natural person is defined as an individual or individuals rather than an entity such as a corporation or a trust.				

### General

Param Name	Code	Description	Value
Include Discretionary Indicator	A	Determines whether the alert will trigger on missing Discretionary indicator.	Yes
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

## Alert Parameter Report

Include Non-Natural Discretionary Indicator	AB	Determines whether the alert will trigger on missing Discretionary indicator for non-natural accounts.	Yes
Include Employee Indicator	B	Determines whether the alert will trigger on missing Employee indicator.	Yes
Include Non-Natural Employee Indicator	BA	Determines whether the alert will trigger on missing Employee indicator for non-natural accounts.	Yes
Include Fee Based Account Indicator	C	Determines whether the alert will trigger on missing Fee-Based indicator.	Yes
Include Non-Natural Fee Based Account Indicator	CA	Determines whether the alert will trigger on missing Fee-Based indicator for non-natural accounts.	Yes
Include Household Key	D	Determines whether the alert will trigger on missing Household Key information. This field is optional and may not be used in most implementations.	No
Include Non-Natural Household Key	DA	Determines whether the alert will trigger on missing Household Key information for non-natural accounts. This field is optional and may not be used in most implementations.	No
Include Managed Account Indicator	E	Determines whether the alert will trigger on missing Managed Account indicator.	Yes
Include Non-Natural Managed Account Indicator	EA	Determines whether the alert will trigger on missing Managed Account indicator.	Yes
Include Nature Source (Registration)	F	Determines whether the alert will trigger on missing Nature Source information.	Yes
Include Non-Natural Nature Source (Registration)	FA	Determines whether the alert will trigger on missing Nature Source information for non-natural accounts.	Yes
Include Fiduciary Exemption Source (Registration)	FE	Determines whether the alert will trigger on missing Fiduciary Exemption Source information.	Yes
Include Non-Natural Fiduciary Exemption Source (Registration)	FF	Determines whether the alert will trigger on missing Fiduciary Exemption Source information for non-natural accounts.	Yes
Include Plan Type Source (Registration)	G	Determines whether the alert will trigger on missing Plan Type Source information.	Yes
Include Non-Natural Plan Type Source (Registration)	GA	Determines whether the alert will trigger on missing Plan Type Source information for non-natural accounts.	Yes
Include Pledge Account Indicator	H	Determines whether the alert will trigger on missing Pledge indicator.	Yes
Include Non-Natural Pledge Account Indicator	HA	Determines whether the alert will trigger on missing Pledge indicator for non-natural accounts.	Yes
Include Restricted Account Indicator	I	Determines whether the alert will trigger on missing Restricted indicator.	No
Include Non-Natural Restricted Account Indicator	IA	Determines whether the alert will trigger on missing Restricted indicator for non-natural accounts.	No
Include Account Title	J	Determines whether the alert will trigger on missing Account Title information.	Yes
Include Non-Natural Account Title	JA	Determines whether the alert will trigger on missing Account Title information for non-natural accounts.	Yes
Include Birth Date	K	Determines whether the alert will trigger on missing Birth Date information.	No

## Alert Parameter Report

Include Non-Natural Birth Date	KA	Determines whether the alert will trigger on missing Birth Date information for non-natural accounts.	Yes
Include Citizenship	L	Determines whether the alert will trigger on missing Citizenship information.	Yes
Include Non-Natural Citizenship	LA	Determines whether the alert will trigger on missing Citizenship information for non-natural accounts.	Yes
Include Income	M	Determines whether the alert will trigger on missing Income information.	Yes
Include Non-Natural Income	MA	Determines whether the alert will trigger on missing Income information for non-natural accounts.	Yes
Missing Value - Income	MB	The value that will be passed to indicate that the Income field is missing.	0
Include Income Range	N	Determines whether the alert will trigger on missing Income Range information.	Yes
Include Non-Natural Income Range	NA	Determines whether the alert will trigger on missing Income Range information for non-natural accounts.	Yes
Include Net Worth	O	Determines whether the alert will trigger on missing Net Worth information.	Yes
Include Non-Natural Net Worth	OA	Determines whether the alert will trigger on missing Net Worth information for non-natural accounts.	Yes
Missing Value - Net Worth	OB	The value that will be passed to indicate that the Net Worth field is missing.	0
Include Net Worth Range	P	Determines whether the alert will trigger on missing Net Worth Range information.	Yes
Include Non-Natural Net Worth Range	PA	Determines whether the alert will trigger on missing Net Worth Range information for non-natural accounts.	Yes
Include Secondary Net Worth	Q	Determines whether the alert will trigger on missing Secondary Net Worth (NetWorth2) information.	Yes
Include Non-Natural Secondary Net Worth	QA	Determines whether the alert will trigger on missing Secondary Net Worth (NetWorth2) information for non-natural accounts.	Yes
Missing Value - Secondary Net Worth	QB	The value that will be passed to indicate that the Secondary Net Worth field is missing.	0
Include Secondary Net Worth Range	R	Determines whether the alert will trigger on missing Secondary Net Worth Range information.	Yes
Include Non-Natural Secondary Net Worth Range	RA	Determines whether the alert will trigger on missing Secondary Net Worth Range information for non-natural accounts.	Yes
Include Objective	S	Determines whether the alert will trigger on missing Investment Objective information.	Yes
Include Non-Natural Objective	SA	Determines whether the alert will trigger on missing Investment Objective information for non-natural accounts.	Yes
Include Occupation	T	Determines whether the alert will trigger on missing Occupation information.	Yes
Include Non-Natural Occupation	TA	Determines whether the alert will trigger on missing Occupation information for non-natural accounts.	Yes
Include Risk Tolerance	U	Determines whether the alert will trigger on missing Risk Tolerance information.	Yes
Include Non-Natural Risk Tolerance	UA	Determines whether the alert will trigger on missing Risk Tolerance information for non-natural accounts.	Yes
Include State of Residence	V	Determines whether the alert will trigger on missing State Of Residence information.	Yes
Include Non-Natural State of Residence	VA	Determines whether the alert will trigger on missing State Of Residence information for non-natural accounts.	Yes
Include Tax Bracket	W	Determines whether the alert will trigger on missing Tax Bracket information.	Yes
Include Non-Natural Tax Bracket	WA	Determines whether the alert will trigger on missing Tax Bracket information for non-natural accounts.	Yes
Missing Value - Tax Bracket	WB	The value that will be passed to indicate that the Tax Bracket field is missing.	0
First Trade Lot Only	X	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes



## Alert Parameter Report

Include Held Away Assets	YA	Determines whether the alert will trigger on missing Held Away Assets information.	Yes
Include Non-Natural Held Away Assets	YB	Determines whether the alert will trigger on missing Held Away Assets information for non-natural accounts.	Yes
Include Decision Making	YC	Determines whether the alert will trigger on missing Decision Making information.	Yes
Include Non-Natural Decision Making	YD	Determines whether the alert will trigger on missing Decision Making information for non-natural accounts.	Yes
Include Special Liquidity Needs	YE	Determines whether the alert will trigger on missing Special Liquidity Needs information.	Yes
Include Non-Natural Special Liquidity Needs	YF	Determines whether the alert will trigger on missing Special Liquidity Needs information for non-natural accounts.	Yes
Include Special Liquidity Time and Year	YG	Determines whether the alert will trigger on missing both Special Liquidity Time and Special Liquidity Year information.	Yes
Include Non-Natural Special Liquidity Time and Year	YH	Determines whether the alert will trigger on missing both Special Liquidity Time and Special Liquidity Year information for non-natural accounts.	Yes
Include Needs	YI	Determines whether the alert will trigger on missing Needs information.	Yes
Include Non-Natural Needs	YJ	Determines whether the alert will trigger on missing Needs information for non-natural accounts.	Yes
Include Institutional Exemption	YK	Determines whether the alert will trigger on missing Institutional Exemption information.	Yes
Include Non-Natural Institutional Exemption	YL	Determines whether the alert will trigger on missing Institutional Exemption information for non-natural accounts.	Yes
Include Special Liquidity Needs Range	YM	Determines whether the alert will trigger on missing Special Liquidity Needs Range information.	Yes
Include Non-Natural Special Liquidity Needs Range	YN	Determines whether the alert will trigger on missing Special Liquidity Needs Range information for non-natural accounts.	Yes
Include Ongoing Liquidity Needs	YO	Determines whether the alert will trigger on missing Ongoing Liquidity Needs information.	Yes
Include Non-Natural Ongoing Liquidity Needs	YP	Determines whether the alert will trigger on missing Ongoing Liquidity Needs information for non-natural accounts.	Yes
Include Ongoing Liquidity Needs Range	YQ	Determines whether the alert will trigger on missing Ongoing Liquidity Needs Range information.	Yes
Include Non-Natural Ongoing Liquidity Needs Range	YR	Determines whether the alert will trigger on missing Ongoing Liquidity Needs Range information for non-natural accounts.	Yes
Missing Value - Held Away Assets	YS	The value that will be passed to indicate that the Held Away Assets field is missing.	0
Missing Value - Special Liquidity Needs	YT	The value that will be passed to indicate that the Special Liquidity Needs field is missing.	0
Missing Value - Special Liquidity Time and Year	YU	The value that will be passed to indicate that the Special Liquidity Time and Year field is missing.	0
Missing Value - Ongoing Liquidity Needs	YV	The value that will be passed to indicate that the Ongoing Liquidity Needs field is missing.	0
Account Days Open Low	Z	Determines the number of days the account must be open greater than before the alert will trigger.	0
Account Days Open High	ZA	Determines the number of days the account must be open less than before the alert will trigger.	999999999



## Alert Parameter Report

### Alert1680 : TR1680\_Qualified\_Plan

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies the purchase of an annuity or municipal security in a qualified plan. Exceptions are generated for annuity, municipal fund, or municipal bond purchases in qualified plan accounts where the benefits of holding this type of security may be reduced by the tax-deferred status of the qualified plan. Inclusion parameters define whether annuity products are included in the analysis and if the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

### General

Param Name	Code	Description	Value
Annuity Products Inclusion	A	Determines whether annuity products to be evaluated.	Yes
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

### Alert1692 : TR1692\_Recommendation\_Not\_Found

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies a trade for which no purchase recommendation was found for the investor from the RightBridge sales tool. Exceptions are generated for trades for which recommendation was not made to the investor during the lookback period.				

### General

Param Name	Code	Description	Value
Initial Purchase Only	A	Determines whether the analysis is limited to only the initial purchase in the account.	Yes
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Lookback Days	B	Determines the number of lookback days for the analysis (Maximum 365 days of data available for lookbacks).	180
Trade Principal Amount Threshold	C	Triggers an alert when the trade principal amount exceeds the threshold.	\$5,000.00
First Trade Lot Only	D	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes

### Setting\_Trans\_Type

Trans Type Source
Option Write
Short Cover

# Alert Parameter Report

Option Cover
Deliver In
Funds In
Wire Transfer In (Domestic)
Deposit

## Setting\_Nature\_Exclusion

Nature Source
BKCL-Other
CLUB-Other
COD-Other
CORP-Corporation
CPPS-Corporation
CUST-Trust
DLJQ-Other
ESTT-Trust
EXEC-Executor
FINL-Corporation
LLCP-Corporation
MISC-Other
PART-Other
PWRA-Trust
RETQ-Other
TRST-Trust

## Alert1694 : TR1694\_Recommendation\_To\_Trade

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies trades that appears to be out of alignment with purchase recommendation(s) made to the investor via the RightBridge sales tool. Exceptions are generated for trades for which a match is not found between a comparison of the account type and/or product type on the trade relative to corresponding factors found within any available recommendation that was made to the investor during the lookback period.				

## General

Param Name	Code	Description	Value
Initial Purchase Only	A	Determines whether the analysis is limited to only the initial purchase in the account.	Yes
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include Commission Based Only

## Alert Parameter Report

Lookback Days	B	Determines the number of lookback days for the analysis (Maximum 365 days of data available for lookbacks).	180
Trade Principal Amount Threshold	C	Triggers an alert when the trade principal amount exceeds the threshold.	\$5,000.00
First Trade Lot Only	D	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes

### Setting\_RB\_Product\_Map\_AW

Data Source	Fee Based	Plan Type	Product Sub Type	Product Type	RB Recommendation
	Blank			VA	Variable Annuity with LB
	Blank			VA	Variable Annuity
	Blank		DF	IA	Fixed indexed annuity with LB
	Blank		IM	IA	Fixed indexed annuity with LB
	Blank		DF	IA	Fixed indexed annuity
	Blank		IM	IA	Fixed indexed annuity
	Blank		IM	FA	SPIA DIA
	Blank		DF	FA	Fixed deferred annuity
	Blank		DF	IA	Fixed indexed deferred annuity
	Blank			VA	Structured Annuity

### Setting\_RB\_Product\_Map\_IW

Data Source	Fee Based	Plan Type	Product Sub Type	Product Type	RB Recommendation
DTCC	Blank			MF	Single Fund - Asset Allocation
Pershing	Blank				Brokerage Account
	Blank	IRA		MF	Voya Select Advantage IRA
	Blank	IRA		MF	Sammons LiveWell IRA
DTCC	Blank			MF	Direct with Vendor Account
Pershing	Blank	IRA		MF	Mutual Fund Only IRA - Brokerage

## Alert Parameter Report

	Yes			MF	Advisory 3
	Yes			MF	Advisory 4
	Yes			MF	Advisory 5
	Yes			MF	Advisory 6
	Yes			MF	Advisory 7
	Yes			MF	Third Party Asset Managers

## Setting\_RB\_Product\_Map\_PP

Data Source	Fee Based	Plan Type	Product Sub Type	Product Type	RB Recommendation
	Blank	529 Plan		MF	529 Saving Plans
DTCC	Blank			MF	Mutual Funds
DTCC	Blank			SP	Alternative Investments
DTCC	Blank			ET	ETF
	Yes				Advisor Directed
	Yes			MF	Mutual Fund Advisory
Pershing	Blank				Self-directed or Brokerage
National Financial	Blank				Self-directed or Brokerage
	Blank			WL	Insurance Solutions
	Blank			TL	Insurance Solutions
	Blank			UL	Insurance Solutions
	Blank			VL	Insurance Solutions
	Blank			LT	Insurance Solutions
	Blank			DI	Insurance Solutions
DTCC	Blank		IM	FA	Fixed Annuity
DTCC	Blank		DF	FA	Fixed Annuity
DTCC	Blank		DF	FA	Accumulation Annuity
DTCC	Blank		DF	VA	Accumulation Annuity
DTCC	Blank		IM	FA	Income Annuity
DTCC	Blank		IM	VA	Income Annuity
DTCC	Blank		IM	IA	Fixed Indexed Annuity (w/o LIR)
DTCC	Blank		DF	IA	Fixed Indexed Annuity (w/o LIR)
DTCC	Blank		IM	IA	Fixed-Indexed Annuity (w/LIR)
DTCC	Blank		DF	IA	Fixed-Indexed Annuity (w/LIR)
DTCC	Blank		IM	VA	Variable Annuity (w/LIR)
DTCC	Blank		DF	VA	Variable Annuity (w/LIR)

## Alert Parameter Report

DTCC	Blank		IM	VA	Variable Annuity (w/o LIR)
DTCC	Blank		DF	VA	Variable Annuity (w/o LIR)
DTCC	Blank		IM	VA	Structured Annuity
DTCC	Blank		DF	VA	Structured Annuity
DTCC	Blank		DF	FA	Deferred Income Annuity
DTCC	Blank		DF	VA	Deferred Income Annuity

### Alert1700 : TR1700\_Restricted\_Security\_Firm

Category		Type	0	Process	Trade Review
Base Score	10	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies a trade where the security is restricted at the firm level for the type of activity involved in the trade. Exceptions are generated for trades of securities where the specified activity is restricted by the firm. The activity types used to trigger the alert include: No Trading, No Buys, No Solicited Buys, No Margin, No Short Sales, No Employee Trading. The parameter table storing restricted securities may be a feed or may be managed by the firm using the FIS interface. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

### General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

### Setting\_Restricted

Reason Code	Restrict Key
No Trading	82966U103
No Trading	62936P103
No Trading	866615107
No Trading	369604103
No Trading	039483102
No Solicited Buys	Y1771G102
No Solicited Buys	903844108
No Buys	007582380
No Buys	55024R106
No Margin	44043J204
No Margin	02148M100
No Short Sales	760975102
No Short Sales	00949P108
No Employee Trades	170404107
No Employee Trades	91759P106

# Alert Parameter Report

No Employee Trades	19765H263
No Employee Trades	3825929XK
No Employee Trades	0378379LQ

## Alert1701 : TR1701\_Restricted\_Security\_Acct

Category		Type	0	Process	Trade Review
Base Score	10	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies a trade where the security is restricted at the account level for the type of activity involved in the trade. Exceptions are generated for trades of securities where the specified activity is restricted for the account. The activity types used to trigger the alert include: No Trading, No Buys, No Solicited Buys, No Margin, No Short Sales. The parameter table storing restricted securities may be a feed or may be managed by the firm using the FIS interface. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

## Setting\_Restricted

Reason Code	Restrict Key
No Trading	984332106_A_1080631
No Trading	53954R105_A_1091995
No Trading	00772F789_A_1091412
No Buys	97651M109_A_1012591
No Buys	001413152_A_1008197
No Buys	903844108_A_1097008
No Solicited Buys	37184C9FD_A_1039061
No Solicited Buys	00772F789_A_1091412
No Short Sales	0378379XP_A_1082678
No Margin	42330P107_A_1062193
No Solicited Buys	40051D105_A_1027274

## Alert1702 : TR1702\_Restricted\_Security\_Rep

Category		Type	0	Process	Trade Review
Base Score	10	High Score	0	Firm	Default
Active	Yes	Visible	Yes		

# Alert Parameter Report

Description	Identifies a trade where the security is restricted at the rep level for the type of activity involved in the trade. Exceptions are generated for trades of securities where the specified activity is restricted for the rep on the trade. The activity types used to trigger the alert include: No Trading, No Buys, No Solicited Buys, No Margin, No Short Sales. The parameter table storing restricted securities may be a feed or may be managed by the firm using the FIS interface. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.
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## General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

## Setting\_Restricted

Reason Code	Restrict Key
No Buys	91759P106_R_R2154
No Trading	09249Y107_R_R2082
No Solicited Buys	53954R105_R_R2603
No Short Sales	0378379XP_R_R1637
No Margin	42330P107_R_R1176
No Buys	09251X500_R_R1774
No Trading	037833100_R_R2397

## Alert1703 : TR1703\_Restricted\_Account

Category		Type	0	Process	Trade Review
Base Score	10	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Exceptions are generated for trades placed in accounts with account level activity restrictions. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
First Trade Lot Only	A	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Exclude Sells	B	Determines whether sell transactions are excluded from triggering this alert.	Yes

## Alert1710 : TR1710\_Rep\_Invalid

Category		Type	0	Process	Trade Review
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## Alert Parameter Report

Base Score	10	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies an invalid and/or missing or inactive/terminated rep code on the trade. Exceptions are generated when the one or more reps included on the trade are not found in the Rep file supplied by the client, or are flagged as inactive or terminated. This alert also checks the TTO (This Trade Only) rep code to determine if it is valid. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

### General

Param Name	Code	Description	Value
Rep and TTO Review	A	Determines whether the rep code is included in the analysis in addition to the TTO rep code when both exist.	Yes
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

### Alert1730 : TR1730\_Risk

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Calculates the weighted average standard deviation of the portfolio and compares it with a recommended threshold based on the account's risk tolerance. Exceptions are generated for buy or sell trades of equity, fixed income, mutual fund, or variable annuity securities where the weighted standard deviation of the account (or related accounts, determined by parameter) after the transaction is higher than the weighted standard deviation of the account before the transaction, and the weighted standard deviation exceeds the threshold by risk tolerance. Bond fund standard deviations are used as proxies for similar fixed income securities where standard deviation figures normally are not available. (See FIS's Risk Analysis Methodology document for details and a list of the proxy funds used.) Inclusion parameters define whether sells are analyzed and if the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

### General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Include Sell Trades	B	Determines whether sell trades are included in the analysis.	Yes
Standard Deviation Default - Equity	C	Establishes the default standard deviation for Equity products when the actual standard deviation of an equity trade or position security isn't found.	30.00
Household Type Use	D	Determines which account relationship type to use for this alert.	Account
Maturity Date Default	E	Establishes the default maturity for a fixed income product without a maturity date available in the security feed.	10+ Years
Standard Deviation Default - CD	F	Establishes the default standard deviation for all CD product types since standard deviation data isn't typically available for these products.	0.10



## Alert Parameter Report

Standard Deviation Default - Other Fixed Income	G	Establishes the default standard deviation for non-specified product types, or products with a type of Other since standard deviation data isn't typically available for these products.	30.00
Standard Deviation Default - Money Market	H	Establishes the default standard deviation for money market products since standard deviation data isn't typically available for these products.	0.10
First Trade Lot Only	I	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes
Standard Deviation Default - Sub Accounts	J	Establishes the default standard deviation for annuity sub accounts where standard deviation data is not available.	30.00
Standard Deviation Default - Fixed Income	K	Establishes the default standard deviation for Fixed Income products that are not classified with a sub-product type of CD or Other where standard deviation data is not available.	30.00
Standard Deviation Default - MF Non-Money Market	L	Establishes the default standard deviation for mutual fund non-money market products where standard deviation data is not available.	30.00
Standard Deviation Default - Exchange Trade Fund	M	Establishes the default standard deviation for Exchange Trade Fund products where standard deviation data is not available.	30.00

## RISK

Item	Standard Deviation Score Threshold (A)
	Triggers an alert when the weighted account standard deviation exceeds the threshold by risk tolerance.
Unknown	8.00
Conservative	8.00
Mod Conservative	14.00
Moderate	18.00
Mod Aggressive	26.00
Aggressive	99.00

## Setting\_Risk\_Proxy

Bond Description	Security Key	Sort Order
Corporate Maturing < 5 Years	922031406	1
Corporate Maturing 5-9 Years	922031885	2
Corporate Maturing 10+ Years	922031109	3
Municipal Maturing < 5 Years	922907100	4
Municipal Maturing 5-9 Years	922907209	5
Municipal Maturing 10+ Years	922907308	6

# Alert Parameter Report

Agency Maturing < 10 Years	922031604	7
Agency Maturing 5-9 Years	922031604	8
Agency Maturing 10+ Years	922031307	9
Government Maturing < 5 Years	922031703	10
Government Maturing 5-9 Years	922031802	11
Government Maturing 10+ Years	922031505	12
Government Maturing 10+ Years	000361105	13

## Alert1740 : TR1740\_Rollover\_Transaction

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies purchases in rollover accounts to ensure that transactions are reviewed to determine whether they satisfy the relief conditions for prohibited transaction exemptions and are in the best interest of clients. Exception are generated when a transaction is part of a rollover in a retirement investor's account. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure; and whether the trade was solicited, unsolicited, or either. In addition, settings tables are provided to allow the analysis to be limited to selected transaction types and selected account types.				

## General

Param Name	Code	Description	Value
Initial Purchase Only	A	Determines whether the analysis is limited to only the initial purchase in the account.	No
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Solicited Trade	B	The analysis is limited to only Solicited trades, Unsolicited trades, or all trades regardless of solicitation.	Blank
Trade Principal Amount Threshold	C	Triggers an alert when the trade principal amount exceeds the threshold.	\$1,000.00
First Trade Lot Only	D	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes

## Setting\_Trans\_Type

Trans Type Source
Purchase
Deliver In
Funds In
Journal In
Wire Transfer In (Domestic)
Deposit
Check Received

# Alert Parameter Report

Contribution
Wire Transfer In (Foreign)

## Setting\_Plan\_Type

Plan Type Source
IRA
Spousal
Other Qualified
Roth
SEP

## Alert1749 : TR1749\_Share\_Class\_C\_Auto\_Conversion

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies purchases following sells of shares of a C share mutual fund shortly before the auto conversion date. Exceptions are generated when a purchase (of any product type) follows a sell of shares of a C share mutual fund within the lookback period several years after the tax lot open date and before the auto conversion date. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure; whether a sales load, commission, or concession on the purchase is required for the alert to trigger; and whether all qualifying sells in the lookback period are aggregated for comparison to the buy principal amount.				

## General

Param Name	Code	Description	Value
Trade Principal Amount Threshold	A	Triggers an alert when the trade principal amount exceeds the threshold.	\$1,000.00
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Aggregate Sells	B	Determines whether to compare the aggregate amount of all qualifying sells (Y) or only each individual sell (N) to the buy principal amount.	Yes
Sells Aggregate Threshold	C	Triggers an alert when the aggregate amount of all qualifying sells exceeds the minimum sells threshold.	\$1,000.00
Lookback Days	D	Determines the number of lookback days for the analysis (Maximum 365 days of data available for lookbacks).	180
Household Type Use	E	Determines which account relationship type to use for this alert.	Account
Include Sales Load Rate	F	Determines whether sales load rate is considered in the alert analysis	Yes
Include Commission	G	Determines whether commission amount is considered in the alert analysis.	Yes
Include Concession	H	Determines whether concession amount is considered in the analysis.	Yes
Sales Load Rate Threshold	I	Triggers an alert when the sales charge assessed on a trade exceeds the threshold.	0.00%

## Alert Parameter Report

Commission Amount Threshold	J	Establishes the commission amount threshold to be used in the alert analysis.	\$0.00
Concession Amount Threshold	K	Triggers an alert when the concession amount exceeds the threshold.	\$0.00
Exclude Money Markets	L	Determines whether money market securities are excluded from triggering this alert.	Yes
Exclude Closed-End Funds	M	Determines whether closed-end fund securities are excluded from triggering this alert.	Yes
Minimum Days Held	N	Triggers an alert when the number of days that the shares were held before they were sold reaches or exceeds the threshold.	2555
Include Auto Conversion Default Days	O	Determines whether the analysis utilizes a default number of days for the auto conversion period.	Yes
Auto Conversion Default Days	P	Determines the number of days that the analysis uses by default to calculate the auto conversion date for each qualifying sell.	2920
Buy Principal Amt Comparison Percent	Q	Triggers an alert when the aggregate or individual sell proceed amt(s) is/are within this percent of the buy principal amt.	10.00%

### Setting\_C\_Share\_Auto\_Conversion\_Days

Auto Conversion Days	Fund Family Code
3285	Franklin Templeton Investments (US)

### Setting\_Include\_Sales\_Charge

Data Source	Include	Product Type
DTCC	Yes	Mutual Fund
Pershing	Yes	Mutual Fund

### Alert1750 : TR1750\_Sales\_Load\_Excess

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies trades where the sales load charged was excessive based on the higher of all aggregated household fund family holdings or a Rights of Accumulation / Letter of Intent amount on file with the account. Exceptions are generated for buy trades of mutual fund A shares that have an existing breakpoint schedule and the sales load amount charged exceeds the amount recommended by the breakpoint schedule. Recommended sales load amounts are calculated using the higher of the total household positions (household relationship determined by parameter) in the trade fund family, the ROI / LOA amount if available, or the higher of the two (also determined by parameter). A sales load buffer may be added to the recommended rate to account for miscellaneous/processing fees included in the actual sales load charged. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

### General

Param Name	Code	Description	Value
Sales Load Buffer	A	Triggers an alert when the actual sales load percentage exceeds the recommended sales load plus the buffer percentage.	0.00

## Alert Parameter Report

Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include Commission Based Only
Household Type Use	B	Determines which account relationship type to use for this alert.	Household
Breakpoint Holding Value	C	Determines whether the rule will use the calculated holdings in the trade fund family, the ROA/LOI amount passed with the trade, or the higher of the two.	Greater of holdings or ROA/LOI

### Alert1751 : TR1751\_Share\_Class\_529

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies purchases in 529 plan accounts that may not be appropriate given the beneficiary's age and the share class purchased. Class A shares are typically suitable for clients who have a relatively long investment horizon. Class C shares are typically suitable for clients who have a relatively short investment horizon and do not qualify for Class A share breakpoints or when the beneficiary age is relatively close to the time of the planned use of the funds. Inclusion parameters define whether the alert is applied to fee-based accounts, commission-based accounts, or all accounts regardless of the fee structure. Firms can choose whether to include liquidity time, time horizon, or K12 expense in the analysis. Firms can also exclude fund families from the analysis (e.g., a 529 plan offering C shares that function similar to A shares or a 529 plan that offers only one share class that displays as an A share).				

### General

Param Name	Code	Description	Value
Initial Purchase Only	A	Determines whether the analysis is limited to only the initial purchase in the account.	No
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.	Include All Accounts
Exclude Product Exchanges	B	Determines whether exchanges within a carrier or fund family are excluded from triggering this alert.	Yes
A Share Beneficiary Age Threshold	C	Establishes the age at which the purchase of A shares is suitable for the beneficiary.	13.00
C Share Beneficiary Age Threshold	D	Establishes the age at which the purchase of C shares is suitable for the beneficiary.	13.00
Time Horizon Inclusion	E	Determines whether the analysis considers the account time horizon.	Yes
A Share Time Horizon Threshold	F	Establishes the account time horizon threshold at which the purchase of A shares is suitable for the beneficiary.	11.00
C Share Time Horizon Threshold	G	Establishes the account time horizon threshold at which the purchase of C shares is suitable for the beneficiary.	11.00
Liquidity Time Horizon Inclusion	H	Determines whether the analysis considers the client liquidity time horizon.	Yes
A Share Liquidity Time Horizon Threshold	I	Establishes the client liquidity time horizon threshold at which the purchase of A shares is suitable for the beneficiary.	11.00
C Share Liquidity Time Horizon Threshold	J	Establishes the client liquidity time horizon threshold at which the purchase of C shares is suitable for the beneficiary.	11.00

# Alert Parameter Report

K12 Expense Inclusion	K	Determines whether the analysis considers K12 expense for the planned use of the funds in the account.	Yes
Sales Load Rate Inclusion	L	Determines whether the analysis considers the sales load rate on the purchase.	Yes
Sales Load Rate Threshold	M	Establishes the sales load rate threshold to be used in the alert analysis.	\$5.75
Commission Inclusion	N	Determines whether the analysis considers the commission on the purchase.	Yes
Commission Amount Threshold	O	Establishes the commission amount threshold to be used in the alert analysis.	\$500.00
Concession Inclusion	P	Determines whether the analysis considers the dealer concession on the purchase.	Yes
Commission Amount Threshold	Q	Establishes the concession amount threshold to be used in the alert analysis.	\$500.00
Non-existing Position Only	R	Determines whether the analysis considers accounts that already have a position in the 529 plan prior to the current trade.	No
Minimum Trade Amount	S	Establishes the minimum trade amount threshold to be used in the alert analysis.	\$500.00
Exclude Systematics	T	Determines whether systematic purchases are excluded from triggering the alert.	No
Missing Value - Time Horizon	U	The value that will be passed to indicate that the Account Time Horizon field is missing.	0
Missing Value - Liquidity Time	V	The value that will be passed to indicate that the Entity Liquidity Time field is missing.	0

## Setting\_Restricted\_529\_Share\_Class

Restrict Key	Share Class
00078UAN1	A Share
00078UAN3	C Share

## Setting\_Alert\_Entity\_Account\_Role

Entity Account Role
Beneficiary

## Alert1753 : TR1753\_Share\_Class\_Alternate

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies share-class-related issues with purchases of mutual funds: 1) identifies purchases of a restricted product or share class; 2) identifies purchases in a share class that may not be the lowest-cost-alternative share class within a given fund based on the anticipated cost of the holding over the duration of the account time horizon; and 3) identifies purchases in a qualified investment account where the product purchased is not in a retirement share class (R). The identifier used to trigger the Restricted Product rule is the Fund Family Code. Inclusion parameters define whether the alert is applied to fee-based accounts, commission-based accounts, or all accounts regardless of the fee structure. Also identifies purchases in retirement accounts in share classes other than R. Firms can choose whether to include product exchanges, money market securities, exchange trade fund securities, closed-end fund securities, and systematic purchases.				

## General

Param Name	Code	Description	Value
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# Alert Parameter Report

Trade Principal Amount Threshold	A	Triggers an alert when the trade principal amount exceeds the threshold.	\$1,000.00
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.	Include All Accounts
Exclude Product Exchanges	B	Determines whether exchanges within a carrier or fund family are excluded from triggering this alert.	Yes
Exclude Money Markets	C	Determines whether money market securities are excluded from triggering this alert.	Yes
Exclude ETF	D	Determines whether exchange trade fund (ETF) securities are excluded from triggering this alert.	Yes
Exclude Closed-End Funds	E	Determines whether closed-end fund securities are excluded from triggering this alert.	Yes
Exclude Systematic Trades	F	Determines whether system generated trades are excluded from the alert analysis.	Yes
Missing Value - Time Horizon	G	The value that will be passed to indicate that the Account Time Horizon field is missing.	0
A Share CDSC Time Horizon Threshold	H	Establishes the account time horizon threshold at which the purchase of A shares may result in a Contingent Deferred Sales Charge (CDSC).	1.00
C Share CDSC Time Horizon Threshold	I	Establishes the account time horizon threshold at which the purchase of C shares may result in a Contingent Deferred Sales Charge (CDSC).	1.00
A Share CDSC	J	Contingent Deferred Sales Charge (CDSC) on an A share security.	\$0.01
C Share CDSC	K	Contingent Deferred Sales Charge (CDSC) on an C share security.	\$0.01
A Share CDSC Market Value	L	Minimum Asset Amount needed on all A share holdings in the same fund family to incur a Contingent Deferred Sales Charge (CDSC).	\$1,000,000.00
Default Breakpoint CUSIP	M	Establishes the default breakpoint schedule to use in the event a breakpoint schedule isn't found for the security being reviewed.	999999999

## Setting\_Restricted

Reason Code	Restrict Key
	1

## Setting\_Share\_Class

Recognized
A
B
C
D
M
I
R

## Setting\_Plan\_Type

Plan Type Source
401k

# Alert Parameter Report

4
529 Plan
Education IRA
IRA
Spousal
Keogh
Simple
Other Qualified
Roth
SEP

## Alert1755 : TR1755\_Share\_Class\_B

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies the purchase of a B share where the account/household holdings in B shares exceed the firm threshold. Exceptions are generated for buy trades of mutual fund B shares where the total household B share holdings of the trade fund family exceed the threshold. Inclusion parameters define whether the analysis is to be performed also at the account level and across all fund families held in the account. They also define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. In addition, the account and household relationships are defined by a parameter. Accounts with no household positions will be automatically excluded from the household analysis.				

## General

Param Name	Code	Description	Value
Account Level Analysis Inclusion	A	Determines whether the analysis is to be performed at the account level in addition to the household level.	Yes
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Multiple Fund Family Analysis Inclusion	B	Determines whether the analysis is to be performed across all fund families.	Yes
Multi FF - B Share Amount Threshold (Acct Level)	C	Triggers an alert when the total value of all B shares across all fund families exceeds the threshold at the account level.	\$100,000.00
Trade FF - B Share Amount Threshold (Acct Level)	D	Triggers an alert when the total value of all B shares for the trade fund family exceeds the threshold at the account level.	\$100,000.00
Trade FF - B Share Amount Threshold (HH Level)	E	Triggers an alert when the total value of all B shares for the trade fund family exceeds the threshold at the household level.	\$150,000.00
Multi FF - B Share Amount Threshold (HH Level)	F	Triggers an alert when the total value of all B shares across all fund families exceeds the threshold at the household level.	\$150,000.00
Household Type Account Use	G	Determines which account relationship type to use for this alert at the account level.	Account



## Alert Parameter Report

Household Type Household Use	H	Determines which account relationship type to use for this alert at the household level.	Household
Exclude Product Exchanges	I	Determines whether exchanges within a carrier or fund family are excluded from triggering this alert.	Yes
Exclude Money Markets	J	Determines whether money market securities are excluded from triggering this alert.	Yes
Exclude Exchange Traded Funds	K	Determines whether exchange trade fund (ETF) securities are excluded from triggering this alert.	Yes
Exclude Closed-End Funds	L	Determines whether closed-end fund securities are excluded from triggering this alert.	Yes

### Alert1756 : TR1756\_Share\_Class\_C

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies the purchase of a C share where the account/household holdings in C shares exceed the firm threshold. Exceptions are generated for buy trades of mutual fund C shares where the total household C share holdings of the trade fund family exceed the threshold. Inclusion parameters define whether the analysis is to be performed also at the account level and across all fund families held in the account. They also define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. In addition, the account and household relationships are defined by a parameter. Accounts with no household positions will be automatically excluded from the household analysis.				

### General

Param Name	Code	Description	Value
Account Level Analysis Inclusion	A	Determines whether the analysis is to be performed at the account level in addition to the household level.	Yes
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Multiple FF - Analysis Inclusion	B	Determines whether the analysis is to be performed across all fund families.	Yes
Multi FF - C Share Amount Threshold (Acct Level)	C	Triggers an alert when the total value of all C shares across all fund families exceeds the threshold at the account level.	\$250,000.00
Trade FF - C Share Amount Threshold (Acct Level)	D	Triggers an alert when the total value of all C shares for the trade fund family exceeds the threshold at the account level.	\$250,000.00
Trade FF - C Share Amount Threshold (HH Level)	E	Triggers an alert when the total value of all C shares for the trade fund family exceeds the threshold at the household level.	\$300,000.00
Multi FF - C Share Amount Threshold (HH Level)	F	Triggers an alert when the total value of all C shares across all fund families exceeds the threshold at the household level.	\$300,000.00
Household Type Account Use	G	Determines which account relationship type to use for this alert at the account level.	Account
Household Type Household Use	H	Determines which account relationship type to use for this alert at the household level.	Household
Exclude Product Exchanges	I	Determines whether exchanges within a carrier or fund family are excluded from triggering this alert.	Yes
Exclude Money Markets	J	Determines whether money market securities are excluded from triggering this alert.	Yes
Exclude Exchange Traded Funds	K	Determines whether exchange trade fund (ETF) securities are excluded from triggering this alert.	Yes
Exclude Closed-End Funds	L	Determines whether closed-end fund securities are excluded from triggering this alert.	Yes

# Alert Parameter Report

## Alert1757 : TR1757\_Share\_Class\_New

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies the purchase of a non-A share class not currently held in positions to ensure the new share class is appropriate for the client's needs. Exceptions are generated under two scenarios, uncommon share classes and common share classes. New uncommon share classes are identified as a buy trade of a non-A share mutual fund share class, which is not on the firm's authorized share class list and not already held as a position in the account (or related accounts, as determined by parameter). New common share classes are identified as a buy trade of a non-A share mutual fund share class, which is on the firm's approved share class list and not already held as a position in the account (or related accounts, as determined by parameter). Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Household Type Use	B	Determines which account relationship type to use for this alert.	Account
Exclude Money Markets	C	Determines whether money market securities are excluded from triggering this alert.	Yes
Exclude Exchange Traded Funds	D	Determines whether exchange trade fund (ETF) securities are excluded from triggering this alert.	Yes
Exclude Closed-End Funds	E	Determines whether closed-end fund securities are excluded from triggering this alert.	Yes
Sales Load Threshold	F	Triggers an exception when the sales load rate equals or exceeds the threshold.	0.00%
Exclude Product Exchanges	G	Determines whether trades marked as product exchanges are excluded from triggering this alert.	Yes

## Setting\_Share\_Class

Recognized
A
B
C
D
M
I
R

## Alert1758 : TR1758\_Share\_Class\_Uncommon

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		

# Alert Parameter Report

Description	Identifies the purchase of an uncommon non-A share where the account/household holdings in non-A shares exceed the firm threshold. Exceptions are generated for buy trades of a mutual fund share class not on the firm's recognized share class list where the total household uncommon share holdings of the trade fund family exceed the threshold. Inclusion parameters define whether the analysis is to be performed also at the account level and across all fund families held in the account. They also define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. In addition, the account and household relationships are defined by a parameter. Accounts with no household positions will be automatically excluded from the household analysis.
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## General

Param Name	Code	Description	Value
Account Level Analysis Inclusion	A	Determines whether the analysis is to be performed at the account level in addition to the household level.	Yes
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Trade FF - Uncommon Shr Amt Thresh (Acct Level)	D	Triggers an alert when the total value of all uncommon shares for the trade fund family exceeds the threshold at the account level.	\$100,000.00
Trade FF - Uncommon Shr Amt Thresh (HH Level)	E	Triggers an alert when the total value of all uncommon shares for the trade fund family exceeds the threshold at the household level.	\$100,000.00
Household Type Account Use	F	Determines which account relationship type to use for this alert at the account level.	Account
Household Type Household Use	G	Determines which account relationship type to use for this alert at the household level.	Household
Exclude Money Markets	H	Determines whether money market securities are excluded from triggering this alert.	Yes
Exclude Exchange Traded Funds	I	Determines whether exchange trade fund (ETF) securities are excluded from triggering this alert.	Yes
Exclude Closed-End Funds	J	Determines whether closed-end fund securities are excluded from triggering this alert.	Yes

## Setting\_Share\_Class

Recognized	
A	
B	
C	
D	
M	
I	
R	

## Alert1759 : TR1759\_Share\_Class\_Time\_Horizon

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		

## Alert Parameter Report

Description	Identifies mutual fund share class purchases that may not be appropriate given the account's time horizon. Exceptions are triggered for B and C mutual fund share classes when the account's time horizon is less than (for B shares) or exceeds (for C shares) the firm stated time horizon parameter for the respective share class being traded, and the principal amount of the trade exceeds the threshold for that share class. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.
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### General

Param Name	Code	Description	Value
B Share Time Horizon Threshold	A	Determines the account holder investment timeframe under which the alert will trigger when not exceeded.	6-10 Years
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
B Share Trade Principal Amount Threshold	B	Triggers an alert when the trade principal amount exceeds the threshold.	\$5,000.00
C Share Time Horizon Threshold	C	Determines the account holder investment timeframe at which the alert will trigger when exceeded.	11-15 Years
C Share Trade Principal Amount Threshold	D	Triggers an alert when the trade principal amount exceeds the threshold.	\$5,000.00

### Alert1760 : TR1760\_Short\_Sale

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies short sale trades for clients at or below the selected risk tolerance threshold. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of fee structure.				

### General

Param Name	Code	Description	Value
Risk Tolerance Threshold	A	Triggers an alert when the risk tolerance of the short sale account is lower than the risk tolerance threshold.	Aggressive
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
First Trade Lot Only	B	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes

### Alert1775 : TR1775\_State\_529

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		

# Alert Parameter Report

Description	Identifies trades in 529 plan accounts where the plan state does not match the client's state of residence. Exceptions are generated for buy trades of a 529 plan where the plan state does not match the client's state of residence. Trades for clients with no state identified or who reside in states with no income tax are excluded from the analysis. These states are currently as follows: Alaska, Florida, Nevada, South Dakota, Texas, Washington, Wyoming Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.
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## General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

## Setting\_State

State Code
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## Alert1780 : TR1780\_Solicit\_Proprietary

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies a solicited trade for a proprietary security. Exceptions are generated for solicited buy trades or sell trades of mutual funds, equities, or options that are proprietary to the firm. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
Include Sell Trades	A	Triggers on sell trades in addition to buy trades.	Yes
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

## Setting\_Proprietary

Description	CUSIP or Internal Security Key
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## Alert1781 : TR1781\_Solicited\_Bulletin\_Board

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		

# Alert Parameter Report

Description	Identifies a Bulletin Board security trade. Exceptions are generated for trades listed on the Bulletin Board where the principal trade amount exceeds the threshold. Inclusion parameters define whether unsolicited trades and sell trades are included in the analysis, which risk tolerance levels should be reviewed, and if the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.
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## General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Trade Principal Amount Threshold	B	Triggers an alert when the trade principal amount exceeds the threshold.	\$5,000.00
Include Sell Trades	C	Determines whether sell trades are included in the analysis.	Yes
Unsolicited Trade Inclusion	D	Determines whether the alert is applied to unsolicited trades as well as solicited trades.	Yes

## RISK

Item	Risk Tolerance Inclusion (A)
	Determines whether the risk tolerance level is marked for review of BB solicited trades.
Unknown	Yes
Conservative	Yes
Mod Conservative	Yes
Moderate	Yes
Mod Aggressive	Yes
Aggressive	No

## Setting\_BB

Exchange
Over the Counter

## Alert1790 : TR1790\_Swap

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		

## Alert Parameter Report

Description	Exceptions are generated for mutual fund buy trades where the principal trade amount exceeds the threshold and a sell in the same fund family as the trade occurred within the lookback threshold in the account (or related accounts, as determined by a parameter). Potential swaps on the buy side must have been charged a sales load or commission and the total aggregate amount of all potential sell swaps must exceed the sales swap threshold. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. NOTE: At least one of the Sales Load Rate, Commissions or Concessions parameters need to be set to YES in order for this rule to function properly.
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### General

Param Name	Code	Description	Value
Trade Principal Amount Threshold	A	Triggers an alert when the trade principal amount exceeds the threshold.	\$1,000.00
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Swap Potential Aggregate Threshold	B	Triggers an alert when the aggregate amount of all potential sell swaps exceeds the threshold.	\$1,000.00
Lookback Days	C	Determines the number of lookback days for the analysis (Maximum 365 days of data available for lookbacks)	90
Household Type Use	D	Determines which account relationship type to use for this alert.	Account
Exclude Money Markets	E	Determines whether money market securities are excluded from triggering this alert.	Yes
Include Sales Load Rate	F	Determines whether sales load rate is considered in the alert analysis	Yes
Include Commission	G	Determines whether commission amount is considered in the alert analysis.	Yes
Include Concession	H	Determines whether concession amount is considered in the analysis.	Yes
Sales Load Rate Threshold	I	Triggers an alert when the sales charge assessed on a trade exceeds the threshold.	0.00%
Commission Amount Threshold	J	Establishes the commission amount threshold to be used in the alert analysis.	\$0.00
Concession Amount Threshold	K	Triggers an alert when the concession amount exceeds the threshold.	\$0.00
Exclude Exchange Traded Funds	L	Determines whether exchange trade fund (ETF) securities are excluded from triggering this alert.	Yes
Exclude Closed-End Funds	M	Determines whether closed-end fund securities are excluded from triggering this alert.	Yes

### Alert1791 : TR1791\_Switch

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies potential product switches for mutual funds, annuities, and UITs. Exceptions are generated for FA, VA, MF, or UIT buy trades where the principal amount of the trade exceeds the threshold, and a sell from a different fund family or carrier occurred within the lookback threshold in the account (or related accounts, as determined by a parameter). The buy must have been charged a sales load or commission to be considered a potential switch (optional, as controlled by settings), and the total aggregate amount of all potential sell switches must exceed the sales switch threshold. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. NOTE: At least one of the Sales Load Rate, Commissions or Concessions parameters need to be set to YES in order for this rule to function properly (per the settings).				

# Alert Parameter Report

## General

Param Name	Code	Description	Value
Trade Principal Amount Threshold	A	Triggers an alert when the trade principal amount exceeds the threshold.	\$1,000.00
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Switch Potential Aggregate Threshold	B	Triggers an alert when the aggregate amount of all potential sell switches exceeds the threshold.	\$1,000.00
Lookback Days	C	Determines the number of lookback days for the analysis (Maximum 365 days of data available for lookbacks)	90
Household Type Use	D	Determines which account relationship type to use for this alert.	Account
Include Sales Load Rate	E	Determines whether sales load rate is considered in the alert analysis	Yes
Include Commission	F	Determines whether commission amount is considered in the alert analysis.	Yes
Include Concession	G	Determines whether concession amount is considered in the analysis.	Yes
Sales Load Rate Threshold	H	Triggers an alert when the sales charge assessed on a trade exceeds the threshold.	0.00%
Commission Amount Threshold	I	Establishes the commission amount threshold to be used in the alert analysis.	\$0.00
Concession Amount Threshold	J	Triggers an alert when the concession amount exceeds the threshold.	\$0.00
Exclude Money Markets	K	Determines whether money market securities are excluded from triggering this alert.	Yes
Exclude Closed-End Funds	M	Determines whether closed-end fund securities are excluded from triggering this alert.	Yes

## Setting Include Sales Charge

Data Source	Include	Product Type
DST	Yes	Variable Annuity
DST	Yes	Equity Indexed Annuity
DST	Yes	Fixed Annuity
DST	Yes	Mutual Fund
DST	Yes	Variable Universal Life
DST	Yes	Whole Life
DST	Yes	Term Life
DST	Yes	Disability Income Replacement
DTCC	No	Variable Annuity
DTCC	No	Equity Indexed Annuity
DTCC	No	Fixed Annuity
DTCC	No	Mutual Fund
DTCC	No	Variable Universal Life
DTCC	No	Whole Life
DTCC	No	Term Life
DTCC	No	Disability Income Replacement



## Alert Parameter Report

Pershing	Yes	Equity
Pershing	Yes	Mutual Fund
Pershing	Yes	Option
Pershing	Yes	Unit Investment Trust
Pershing	Yes	Exchange Traded Fund

### Alert1792 : TR1792\_Switch

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies potential product switches. Exceptions are generated for buy trades where the principal amount of the trade exceeds the threshold and a sell occurred within the lookback period in the account (or related accounts, as determined by parameter). The buy must have been charged a sales load or commission to be considered a potential switch, and the total aggregate amount of all potential sell switches must exceed the sales switch threshold. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure and whether all qualifying sells in the lookback period are aggregated for comparison to the buy principal amount.				

### General

Param Name	Code	Description	Value
Trade Principal Amount Threshold	A	Triggers an alert when the trade principal amount exceeds the threshold.	\$1,000.00
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Switch Potential Aggregate Threshold	B	Triggers an alert when the aggregate amount of all potential sell switches exceeds the threshold.	\$1,000.00
Lookback Days	C	Determines the number of lookback days for the analysis (Maximum 365 days of data available for lookbacks)	90
Household Type Use	D	Determines which account relationship type to use for this alert.	Account
Include Sales Load Rate	E	Determines whether sales load rate is considered in the alert analysis	Yes
Include Commission	F	Determines whether commission amount is considered in the alert analysis.	Yes
Include Concession	G	Determines whether concession amount is considered in the analysis.	Yes
Sales Load Rate Threshold	H	Triggers an alert when the sales charge assessed on a trade exceeds the threshold.	0.00%
Commission Amount Threshold	I	Establishes the commission amount threshold to be used in the alert analysis.	\$0.00
Concession Amount Threshold	J	Triggers an alert when the concession amount exceeds the threshold.	\$0.00
Exclude Money Markets	K	Determines whether money market securities are excluded from triggering this alert.	Yes
Exclude Exchange Traded Funds	L	Determines whether exchange trade fund (ETF) securities are excluded from triggering this alert.	Yes
Exclude Closed-End Funds	M	Determines whether closed-end fund securities are excluded from triggering this alert.	Yes
First Trade Lot Only	N	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	No

## Alert Parameter Report

Include Hold Period - Brokerage	O	Determines whether hold period should be included or not for brokerage products.	No
Tax Lot Data Available	P	Indicates whether Tax Lot data are available.	Yes
Aggregate Sells	Q	Determines whether to compare the aggregate amount of all qualifying sells (Y) or only each individual sell (N) to the buy principal amount.	Yes
Buy Principal Amt Comparison Percent	R	Triggers an alert when the aggregate or individual sell principal amt(s) is/are within this percent of the buy principal amt.	10.00%

## Setting Include Sales Charge

Data Source	Include	Product Type
DTCC	Yes	Equity
DTCC	Yes	Mutual Fund
DTCC	Yes	Exchange Traded Fund
DTCC	Yes	Unit Investment Trust
DTCC	Yes	Option
DTCC	Yes	Fixed Income
DTCC	Yes	Fixed Annuity
DTCC	Yes	Variable Annuity
DTCC	Yes	Equity Indexed Annuity
DTCC	Yes	Variable Universal Life
DTCC	Yes	Whole Life
DST	Yes	Equity
DST	Yes	Mutual Fund
DST	Yes	Exchange Traded Fund
DST	Yes	Unit Investment Trust
DST	Yes	Option
DST	Yes	Fixed Income
DST	Yes	Fixed Annuity
DST	Yes	Variable Annuity
DST	Yes	Equity Indexed Annuity
DST	Yes	Variable Universal Life
DST	Yes	Whole Life
Pershing	Yes	Equity
Pershing	Yes	Mutual Fund
Pershing	Yes	Exchange Traded Fund
Pershing	Yes	Unit Investment Trust
Pershing	Yes	Option
Pershing	Yes	Fixed Income
Pershing	Yes	Fixed Annuity
Pershing	Yes	Variable Annuity

## Alert Parameter Report

Pershing	Yes	Equity Indexed Annuity
Pershing	Yes	Variable Universal Life
Pershing	Yes	Whole Life
National Financial	Yes	Equity
National Financial	Yes	Mutual Fund
National Financial	Yes	Exchange Traded Fund
National Financial	Yes	Unit Investment Trust
National Financial	Yes	Option
National Financial	Yes	Fixed Income
National Financial	Yes	Fixed Annuity
National Financial	Yes	Variable Annuity
National Financial	Yes	Equity Indexed Annuity
National Financial	Yes	Variable Universal Life
National Financial	Yes	Whole Life

## Setting\_Product\_Include\_Buy

Data Source	Include	Product Sub Type	Product Type
DTCC	No	N/A	Equity
DTCC	Yes	N/A	Mutual Fund
DTCC	No	N/A	Exchange Traded Fund
DTCC	Yes	N/A	Unit Investment Trust
DTCC	No	N/A	Option
DTCC	No	N/A	Fixed Income
DTCC	Yes	N/A	Fixed Annuity
DTCC	Yes	N/A	Variable Annuity
DTCC	Yes	N/A	Equity Indexed Annuity
DTCC	Yes	N/A	Variable Universal Life
DTCC	No	N/A	Whole Life
DST	No	N/A	Equity
DST	Yes	N/A	Mutual Fund
DST	No	N/A	Exchange Traded Fund
DST	Yes	N/A	Unit Investment Trust
DST	No	N/A	Option
DST	No	N/A	Fixed Income
DST	Yes	N/A	Fixed Annuity
DST	Yes	N/A	Variable Annuity
DST	Yes	N/A	Equity Indexed Annuity
DST	Yes	N/A	Variable Universal Life
DST	No	N/A	Whole Life

## Alert Parameter Report

Pershing	No	N/A	Equity
Pershing	Yes	N/A	Mutual Fund
Pershing	No	N/A	Exchange Traded Fund
Pershing	Yes	N/A	Unit Investment Trust
Pershing	No	N/A	Option
Pershing	No	N/A	Fixed Income
Pershing	Yes	N/A	Fixed Annuity
Pershing	Yes	N/A	Variable Annuity
Pershing	Yes	N/A	Equity Indexed Annuity
Pershing	Yes	N/A	Variable Universal Life
Pershing	No	N/A	Whole Life
National Financial	No	N/A	Equity
National Financial	Yes	N/A	Mutual Fund
National Financial	No	N/A	Exchange Traded Fund
National Financial	Yes	N/A	Unit Investment Trust
National Financial	No	N/A	Option
National Financial	No	N/A	Fixed Income
National Financial	Yes	N/A	Fixed Annuity
National Financial	Yes	N/A	Variable Annuity
National Financial	Yes	N/A	Equity Indexed Annuity
National Financial	Yes	N/A	Variable Universal Life
National Financial	No	N/A	Whole Life

## Setting\_Product\_Include\_Sell

Brokerage Ind	Data Source	Expected Hold Days	Include	Product Sub Type	Product Type
Brokerage	DTCC	1460	No	N/A	Equity
Brokerage	DTCC	1460	Yes	N/A	Mutual Fund
Brokerage	DTCC	1240	No	N/A	Exchange Traded Fund
Brokerage	DTCC	570	Yes	N/A	Unit Investment Trust
Brokerage	DTCC	120	No	N/A	Option
Brokerage	DTCC	0	No	N/A	Fixed Income
Non-Brokerage	DTCC	0	Yes	N/A	Fixed Annuity
Non-Brokerage	DTCC	0	Yes	N/A	Variable Annuity
Non-Brokerage	DTCC	0	Yes	N/A	Equity Indexed Annuity
Non-Brokerage	DTCC	0	Yes	N/A	Variable Universal Life
Non-Brokerage	DTCC	0	No	N/A	Whole Life

## Alert Parameter Report

Brokerage	DST	1460	No	N/A	Equity
Brokerage	DST	1460	Yes	N/A	Mutual Fund
Brokerage	DST	1240	No	N/A	Exchange Traded Fund
Brokerage	DST	570	Yes	N/A	Unit Investment Trust
Brokerage	DST	130	No	N/A	Option
Brokerage	DST	0	No	N/A	Fixed Income
Non-Brokerage	DST	0	Yes	N/A	Fixed Annuity
Non-Brokerage	DST	0	Yes	N/A	Variable Annuity
Non-Brokerage	DST	0	Yes	N/A	Equity Indexed Annuity
Non-Brokerage	DST	0	Yes	N/A	Variable Universal Life
Non-Brokerage	DST	0	No	N/A	Whole Life
Brokerage	Pershing	1460	No	N/A	Equity
Brokerage	Pershing	1460	Yes	N/A	Mutual Fund
Brokerage	Pershing	1240	No	N/A	Exchange Traded Fund
Brokerage	Pershing	570	Yes	N/A	Unit Investment Trust
Brokerage	Pershing	150	No	N/A	Option
Brokerage	Pershing	0	No	N/A	Fixed Income
Non-Brokerage	Pershing	0	Yes	N/A	Fixed Annuity
Non-Brokerage	Pershing	0	Yes	N/A	Variable Annuity
Non-Brokerage	Pershing	0	Yes	N/A	Equity Indexed Annuity
Non-Brokerage	Pershing	0	Yes	N/A	Variable Universal Life
Non-Brokerage	Pershing	0	No	N/A	Whole Life
Brokerage	National Financial	1460	No	N/A	Equity
Brokerage	National Financial	1460	Yes	N/A	Mutual Fund
Brokerage	National Financial	1240	No	N/A	Exchange Traded Fund
Brokerage	National Financial	570	Yes	N/A	Unit Investment Trust
Brokerage	National Financial	150	No	N/A	Option
Brokerage	National Financial	0	No	N/A	Fixed Income
Non-Brokerage	National Financial	0	Yes	N/A	Fixed Annuity
Non-Brokerage	National Financial	0	Yes	N/A	Variable Annuity
Non-Brokerage	National Financial	0	Yes	N/A	Equity Indexed Annuity
Non-Brokerage	National Financial	0	Yes	N/A	Variable Universal Life
Non-Brokerage	National Financial	0	No	N/A	Whole Life

### Alert1800 : TR1800\_Tax\_Bracket\_Low

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		

## Alert Parameter Report

Description	Identifies a tax-advantaged product being purchased where the client's tax bracket is lower than the threshold. Exceptions are generated for trades in products that are typically used for tax-deferral, and the client's tax bracket indicates a low need for tax deferral. Logic is included to prevent the rules from firing if the account is a qualified account. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.
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### General

Param Name	Code	Description	Value
Tax Bracket Threshold	A	Triggers an alert when the client's tax bracket is lower than or equal to the threshold.	23.00%
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Include Annuities	B	Determines whether annuity products are included in the analysis.	No

### Alert1806 : TR1806\_Time\_Horizon\_Need

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	This rule evaluates the account's time horizon in relation to the product being purchased. (NOTE: This time horizon is different than the account's time horizon.) Exceptions are generated under two different conditions: Rule 1 flags situations where the client's age plus time horizon is less than age 59-1/2 (less an adjustable buffer). Rule 2 flags situations where the stated time horizon is less than the surrender charge period for the product.				

### General

Param Name	Code	Description	Value
Age Threshold for IRS Penalty	A	Establishes the age at which the IRS penalty for early withdrawal expires.	59.50
Age Threshold Buffer	B	Establishes a buffer to apply to the age calculation for triggering the alert.	2.00
Include Trust Accounts	C	Determines whether Trust accounts are included in the analysis.	Yes

### Alert1830 : TR1830\_Fiduciary

Category		Type	0	Process	Trade Review
Base Score	10	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies a trade in a qualified account that is subject to the fiduciary standard and does not show an exemption to be on file.				

### General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include Commission Based Only

# Alert Parameter Report

Trade Principal Amount Threshold	B	Triggers an alert when the trade principal amount exceeds the threshold.	\$1,500.00
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## Setting\_Plan\_Type

Plan Type Source
D
Education IRA
F
IRA

## Setting\_Fiduciary\_Exemption

Fiduciary Exemption Source
84-24 Account
Existing BIC Account
ERISA Account
Grandfathered Account
Level Fee Account
Self-directed Account

## Alert1831 : TR1831\_Fiduciary\_Principal\_Trade

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies principal trades in fiduciary accounts. Exceptions are generated for principal buy trades in qualified accounts that are subject to the fiduciary standard.				

## General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include Commission Based Only
Trade Principal Amount Threshold	B	Triggers an alert when the trade principal amount exceeds the threshold.	\$1,000.00
Alert TR1830 Inclusion	C	Determines whether alert TR1830 should be considered and has triggered.	Yes

## Setting\_Plan\_Type

Plan Type Source
D
Education IRA

# Alert Parameter Report

F
IRA

## Alert1832 : TR1832\_Fiduciary\_Restricted\_Product

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies trades in restricted products in fiduciary accounts. Exceptions are generated for trades in qualified accounts that are subject to the fiduciary standard and are in products that are restricted by the firm.				

## General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include Commission Based Only
Trade Principal Amount Threshold	B	Triggers an alert when the trade principal amount exceeds the threshold.	\$2,000.00
Alert TR1830 Inclusion	C	Determines whether alert TR1830 should be considered and has triggered.	No
Use Restricted	D	Determines whether Setting_Restricted should be used. If set to No, then Setting_Non_Restricted would be considered.	No

## Setting\_Restricted

Reason Code	Restrict Key
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## Setting\_Plan\_Type

Plan Type Source
D
Education IRA
F
IRA

## Setting\_Non\_Restricted

Restrict Key
170404107
001413152
G29438101

## Alert1850 : TR1850 UIT\_Sell\_Before\_Maturity

Category		Type	0	Process	Trade Review
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## Alert Parameter Report

Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies sells of UIT shares prior to maturity. Exceptions are generated when a sell of UIT shares occurred a significant number of days (as determined by parameter) before the maturity date. Alternatively if tax lot data are available, the calculation involves the percentage of the maturity period that the shares were held (separate parameters based on days vs. percentage of hold period).A parameter defines whether the alert uses Maturity Date, Termination Date, or both (using the earlier of the two when both are available).				

### General

Param Name	Code	Description	Value
Trade Principal Amount Threshold	A	Triggers an alert when the trade principal amount exceeds the threshold.	\$1,000.00
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include Commission Based Only
Days Before Maturity Threshold	B	Triggers an alert when the numbers of days before the maturity date at which the shares were sold exceeds the threshold.	30
Hold Period Percent Threshold	C	Triggers an alert when the percentage of the maturity period at which the shares were sold is less than the threshold.	90.00%
Tax Lot Data Available	D	Indicates whether Tax Lot data are available.	Yes
First Trade Lot Only	E	Determines whether the alert should only trigger on the first execution lot reviewed in the analysis rather than each executed lot of the same order.	Yes
UIT Maturity Date Selection	F	Determines whether the alert uses Maturity Date, Termination Date, or both (using the earlier of the two when both are available).	Maturity Date

### Alert1851 : TR1851\_UIT\_Discount\_Breakpoint

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Exceptions are generated for UIT purchases where the applied sales load rate exceeds a qualifying sales load breakpoint. Qualifying sales load breakpoints are identified by comparing the maximum breakpoint level that is less than or equal to the aggregated household value of all UIT purchases for the same sponsor, on the same day.				

### General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include Commission Based Only
Trade Principal Amount Threshold	B	Triggers an alert when the trade principal amount exceeds the threshold.	\$1,000.00

## Alert Parameter Report

Default Breakpoint CUSIP	C	Establishes the default breakpoint schedule to use in the event a breakpoint schedule isn't found for the security being reviewed.	999999997
Sales Load Adjustment	D	Establishes the percentage amount added to the sales load for rounding issues (should generally be a small amount).	0.03%
Household Type Use	E	Determines which account relationship type to use for this alert.	Household
Load Rate Selector	F	Determines if concession or sales load drives breakpoint analysis.	Sales Load

### Alert1852 : TR1852 UIT Discount Rollover

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies UIT purchases for which a rollover credit existed but no rollover discount was applied. Rollover credits are calculated daily based on the difference of the previous <XX> days of aggregated household redeeming UIT transaction values (i.e., principal amount) and aggregated household UIT purchase transaction values over the same period.				

### General

Param Name	Code	Description	Value
Lookback Days	A	Determines the number of lookback days for the analysis (Maximum 365 days of data available for lookbacks).	10
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts
Minimum Trade Amount	B	Triggers an alert when the trade principal amount exceeds the threshold.	\$10,000.00
Default Breakpoint CUSIP	C	Establishes the default breakpoint schedule to use in the event a breakpoint schedule isn't found for the security being reviewed.	999999997
Rollover UIT Credit Load Rate	D	Rollover UIT Credit Load Rate.	1.00%
Load Rate Selector	E	Determines if concession or sales load drives breakpoint analysis.	Sales Load
Sales Load Adjustment	G	Establishes the percentage amount added to the sales load for rounding issues (should generally be a small amount).	0.03%
Household Type Use	H	Determines which account relationship type to use for this alert.	Household

### Alert1853 : TR1853 UIT Missing Data

Category		Type	0	Process	Trade Review
Base Score	0	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Exceptions are generated when key data required for review of a UIT trade--such as breakpoint schedule or Fund Family Code related to the trade--is missing from the data feed.				

### Alert1855 : TR1855 UIT Liquidations

Category		Type	0	Process	Trade Review
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## Alert Parameter Report

Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Exceptions are generated for UIT redemptions where a prior UIT purchase was made within the lookback period.				

### General

Param Name	Code	Description	Value
Lookback Days	A	Determines the number of lookback days for the analysis (Maximum 365 days of data available for lookbacks).	10
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include Commission Based Only
Minimum UIT Sells Principal Amount	B	Triggers an alert when the trade principal amount exceeds the threshold.	\$10,000.00
Ratio (i.e., percentage) of sell amount to total buys amount	C	Triggers an alert when ratio of total Sells to total Buys is equal to or greater than the threshold.	50.00%
Household Type Use	H	Determines which account relationship type to use for this alert.	Household

### Alert1856 : TR1856\_UIT\_Structuring

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Exceptions are generated for UIT purchases where household UIT purchases from the same or all sponsors were made over the lookback period, and the aggregate household value of those purchases may have qualified for a breakpoint discount.				

### General

Param Name	Code	Description	Value
Lookback Days	A	Determines the number of lookback days for the analysis (Maximum 365 days of data available for lookbacks).	10
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include Commission Based Only
Trade Principal Amount Threshold	B	Triggers an alert when the trade principal amount exceeds the threshold.	\$1,000.00
Default Breakpoint CUSIP	C	Establishes the default breakpoint schedule to use in the event a breakpoint schedule isn't found for the security being reviewed.	999999997
Load Rate Selector	D	Determines if concession or sales load drives breakpoint analysis.	Sales Load
Sales Load Adjustment	G	Establishes the percentage amount added to the sales load for rounding issues (should generally be a small amount).	0.03%
Household Type Use	H	Determines which account relationship type to use for this alert.	Household

### Alert1858 : TR1858\_Unauthorized\_Trading\_Activity

## Alert Parameter Report

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies multiple trades in the same security in unrelated accounts of the same rep within a specified time proximity. Exceptions are generated for trades where the trades occur within the specified time proximity (specified in minutes) on the same day in the same security as trades in unrelated (i.e., not in the same household, as applicable) accounts of the same rep. Inclusion parameters define whether the alert is applied to fee-based accounts, commission-based accounts, or all accounts regardless of the fee structure; applied to discretionary accounts, non-discretionary accounts, or all accounts regardless of discretion; applied to discretionary trades, non-discretionary trades, or all trades regardless of discretion; applied to solicited, non-solicited, or all trades regardless of solicitation; and applied to limit orders. Additionally, parameters support exclusion of selected product types. Analysis includes individual rep codes and split rep codes.				

### General

Param Name	Code	Description	Value
Trade Principal Amount Threshold	A	Triggers an alert when the trade principal amount exceeds the threshold.	\$1,000.00
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include Commission Based Only
Limit Orders Inclusion	C	Determines whether limit orders are to be included in the analysis.	Yes
Execution Time Proximity	D	Triggers an alert when the trades in unrelated accounts were executed within the number of minutes specified of the execution time of the current trade.	1
Account Discretion Inclusion	E	Determines whether the alert is applied to discretionary accounts, non-discretionary accounts, or all accounts regardless of discretion. (D/N/A)	Include All Accounts
Account Discretion Unknown Inclusion	F	When the account discretion is unknown, determines whether the alert is applied to discretionary accounts, non-discretionary accounts, all accounts regardless of discretion, or no accounts. (D/N/A/X)	Treat Unknown Account Discretion As Exclude Accounts
Trade Discretion Inclusion	G	Determines whether the alert is applied to discretionary trades, non-discretionary trades, or all trades regardless of discretion. (D/N/A)	Include All Trades
Trade Discretion Unknown Inclusion	H	When the trade discretion is unknown, determines whether the alert is applied to discretionary trades, non-discretionary trades, all trades regardless of discretion, or no trades. (D/N/A/X)	Treat Unknown Trade Discretion As Exclude Trades
Trade Solicitation Inclusion	I	Determines whether the alert is applied to solicited trades, unsolicited trades, or all trades regardless of solicitation. (S/U/A)	Include All Trades
Trade Solicitation Unknown Inclusion	J	When the trade solicitation is unknown, determines whether the alert is applied to solicited trades, unsolicited trades, all trades regardless of solicitation, or no trades. (S/U/A/X)	Treat Unknown Trade Solicitation As Exclude Trades
Unrelated Account Count Threshold	K	Triggers an alert when the number of accounts having a trade on the same side on the same day in the same security for the same rep and within the execution time proximity as the trade being reviewed exceeds the threshold.	3

# Alert Parameter Report

PROD

Item	Product Type Inclusion (B)
	Determines which products are to be considered in the analysis.
Equity	Yes
Exchange Traded Fund	Yes
Option	Yes
Mutual Fund	No
Fixed Income	Yes
Structured Product	
Unit Investment Trust	Yes
REIT	
Limited Partnership	
Variable Annuity	
Equity Indexed Annuity	
Fixed Annuity	
Variable Universal Life	
Cash Equivalents	No
Term Life	
Whole Life	
Universal Life	
Long Term Care	
Disability Income Replacement	
Unknown	Yes

## Alert1860 : TR1860\_Unidentified\_Product

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	Identifies trades/applications where the product type was not identified. Exceptions are generated for trades where the product type is not available or is an unrecognized product type. Inclusion parameters define whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure.				

## General

Param Name	Code	Description	Value
Account Fee Type Inclusion	AA	Determines whether the alert is applied to fee-based accounts, commission based accounts, or all accounts regardless of the fee structure. (F/C/A)	Include All Accounts

# Alert Parameter Report

## Alert1990 : TR1990\_Exclusions

Category		Type	0	Process	Trade Review
Base Score	1	High Score	0	Firm	Default
Active	Yes	Visible	Yes		
Description	This alert set identifies categorical types of trades and accounts that can be excluded from the automated review process. Exclusion alerts include exceptions for Broker Dealer or House accounts, cancelled trades, externally managed accounts, and DVP accounts, small and systematic small trades.				

## General

Param Name	Code	Description	Value
Exclude Systematic Trades	A	Determines whether small system generated trades are excluded from the alert analysis.	Yes
Systematic Exclusion Threshold	B	Establishes the trade dollar amount or less for which any systematic trade will be excluded from analysis by all other alerts.	\$500.00
Exclude DVP Accounts	C	Determines whether trades in DVP accounts are excluded from the alert analysis.	Yes
Exclude Canceled Trades	D	Determines whether cancelled trades are excluded from the alert analysis.	Yes
Exclude Small Trades	E	Determines whether small trades are excluded from the alert analysis.	Yes
Small Trade Exclusion Threshold	F	Establishes the trade amount threshold which defines whether a trade is small enough to be excluded from analysis by all other alerts.	\$100.00
Exclude House Accounts	G	Determines whether trades from any of the accounts listed in the Setting House Acct table below are excluded from the alert analysis.	Yes
Exclude Broker Dealer Accounts	H	Determines whether accounts with any of the prefixes listed in the Setting Dealer Acct table below are excluded from the alert analysis.	Yes
BD Account Prefix Character Length (5 Char Max)	I	Sets the character length used to identify a common account type prefix.	3
Exclude External Managed Accounts	J	Determines whether trades in externally (or third party) managed accounts are excluded from the alert analysis.	Yes

## Setting\_House\_Acct

Account Number	Module Code
12345566677	Portfolio Rank

## Setting\_Dealer\_Acct

Account Prefix	Module Code
ACC	Portfolio Rank