Securities Monitor

Ticker	Curr Px	Time	Pct Chg Day	Chg Day		Volume	Bid	Ask
A	29.36	16:15:01	0.38	0.11	▲	1231400	29.36	29.38
AA	13.58	16:15:01	3.19	0.42	▲	5199300	13.58	13.6
AAPL	198.67	16:29:59	1.73	3.38	▲	7219137	198.69	198.79
ABC	27.52	16:15:01	1.21	0.33	▲	986800	27.52	27.54
ABT	53.54	16:15:01	0.53	0.28	▲	2862500	53.52	53.54
ADBE	32.64	16:29:59	-0.37	-0.12	▼	3087045	32.62	32.63
ADI	27.67	16:15:02	2.29	0.62	▲	1933000	27.64	27.67
ADM	30.03	16:15:02	0.13	0.04	▲	1938600	30.02	30.04
ADP	40.9	16:29:59	0.54	0.22	▲	833265	40.89	40.93
ADSK	24.18	16:29:59	2.5	0.59	▲	1060788	24.18	24.19
AEE	24.63	16:15:02	0.9	0.22	▲	564100	24.6	24.63
AEP	33.08	16:15:02	0.18	0.06	▲	763800	33.05	33.08
AES	11.95	16:15:02	0.08	0.01	▲	2416600	11.95	11.97

Securities Monitor Panel
The Securities Monitor panel is a simple clean design of a grid that allows the user can to visuall see through the use of up and down arrows the dirrection of market within a single security, before any alerts have been added.

The use of a Gear icon will be the section where the user can click on to add an alert.

1 To set an alert, the user clicks on the settings icon (Gear) the Securities Monitor panel will flip over. The user can select the tickers the user desires to track. The User can set the relative values to trigger an alert ie volume, price, time, or % change Day. If user would like to add more conditions he/she can click on the "Add Additional Conditions" link, the panel will expand down with additional conditions. To keep the user informed on the markets movement while they are setting an alert a stock ticker will be displayed on the top of the grid. with the ticker symbol, price and up/down arrow for a quick visual on the market while they are setting an alert.

2 The use of an Alerts icon is another visual indicator that gives the user the ability to view all alerts that have been set. The user will, also have the ability to view any other alerts set by another user if User A is covering for User B or on Behalf of Client X. The user will also have the ability to undock the panel and move it to another part of there screen or screens. Editing will also be avialible in the alerts panel.

Panel 1 (top-left)

Preferences

A 29.36 ▲ AA 13.58 ▲ AAPL 198.67 ▲ ABC 27.52▲ ABT 53.54 ▲ ADBE 32.64 ▼ ADI 27.67 ▲ ADM 40.9 ▲

| Set Alert | Customize Columns | Color Theme |

Alert Name: [   ]

Tickers: [   ] ⊕

Volume: [0 ▲▼]

Price: [0 ▲▼] [Bid] [Offer]

Comparator: [Greater Than ▼]

Time: [0:00:0 ▲▼] [AM ▲▼]

Trade: ☐ Auto Execution   ☐ Manual Execution

Add Additional Conditions

[Reset] [Set Alert] [Cancel]

Sticky Note (top-middle)

Preferences Panel

When the user clicks on the Serttings Icon   the panel will flip-over.

1 The grid info will change into a ticker tape, this will allow the user to countinue to watch the movement of the market while they are setting up an alert.

2 In the Preferance Panel the user will be presented with 3 options.
1. Set ALert
2. Customize Columns
3. Color Theme

By default "Set Alerts" will be selected. At this point the user can start to import the criteria for setting an Alert.

Panel 2 (bottom-left)

Preferences

A 29.36 ▲ AA 13.58 ▲ AAPL 198.67 ▲ ABC 27.52▲ ABT 53.54 ▲ ADBE 32.64 ▼ ADI 27.67 ▲ ADM 40.9 ▲

| Set Alert | Customize Columns | Color Theme |

Alert Name: [A, ADSK Alert   ]

Tickers: [   ] ⊕
A, ADSK

Volume: [1,000,000 ▲▼]

Price: [27.80 ▲▼] [Bid] [Offer]

Comparator: [> ▼]

Time: [14:32:00 ▲▼] [PM ▲▼]

Trade: ☐ Auto Execution   ☑ Manual Execution

Add Additional Conditions

[Reset] [Set Alert] [Cancel]

Sticky Note (bottom-middle)

Preferences Panel

1 In the Preferance Panel the user will be presented with 3 options. By default "Set Alerts" will be selected. At this point the user can start to import the criteria for setting an Alert.
1. Set ALert
2. Customize Columns
3. Color Theme

2 The user has the ability to give the alert a specific name, this is an added feature if the user is trading on behalf of another trader or on behalf of a client.

3 The user can added a the ticker by using the type-ahead field to select the desired ticker, to add multiple tickers the user can click on the "Add"   on. The tickers selected will be added to the bottom of the text box, to indicate what has been selected.

4 The user continues to select the remanding criteria, volume, price comparator, and time. The user can also select the side of the trade they want to bo on by clicking the Bid/Offer button. These fields will trigger the alert when they are met.

5 The user can select one of two trade types (Auto Execution or Manual Execution). If the User selects "Auto Execution" the trade will automatically happen, providing that all trade criteria are met, if it is set to "Manul Execution" the user will have to go and triger the trade manually. All trades will appear in the blotter after execution whether the trade is auto or manual.

6 When all criteria are set the user clicks the "Set Alert" button. The Alert is sent straight to the Alert section and to the Grid.

The user can choose to reset or cancel the alert which will bring them back to the grid view.

Panel 3 (bottom-right)

Preferences

A 29.36 ▲ AA 13.58 ▲ AAPL 198.67 ▲ ABC 27.52▲ ABT 53.54 ▲ ADBE 32.64 ▼ ADI 27.67 ▲ ADM 40.9 ▲

| Set Alert | Customize Columns | Color Theme |

Alert Name: [   ]

Tickers: [   ] ⊕

Volume: [0 ▲▼]

Price: [0 ▲▼] [Bid] [Offer]

Comparator: [Greater Than ▼]

Time: [0:00:0 ▲▼] [AM ▲▼]

Trade: ☐ Auto Execution   ☐ Manual Execution

Add Additional Conditions

[Reset] [Set Alert] [Cancel]

Sticky Note (bottom-right)

Preferences Panel

1 Once the alert has been set the system will rest the fields to blank, to allow the user to enter an new alert.

2 If the User is finished he/she can click on the Grid   Icon to return back to the grid view.

Left Panel

A 29.36 ▲ | AA 13.58 ▲ | AAPL 198.67 ▲ | ABC 27.52▲ | ABT 53.54▲ | ADBE 32.64 ▼ | ADI 27.67 ▲ | ADM 40.9 ▲

| Set Alert | Customize Columns | Color Theme |

Avaliable Columns

- Market %
- Market Cap
- % YTD
- % YTD Cur
- 1 Week Avg. %
- 1 Month Avg. %

Add →

← Remove

Selected Columns

- Curr Px
- Time
- Pct Chg Day
- Chg Day
- Volume
- Bid

Restore to Default | Set Columns | Cancel

Customicize Columns

In this section the user can custimize his/her columns on there grid view. The user can add or remove columns by selecting a field and clicking the add or remove button or by drag and drop.

The User can also reorder the coulumns as they desire by drag and dropping the field to the position dessired.

Right Panel

| Set Alert | Customize Columns | Color Theme |

Select Color

Restore to Default | Set | Cancel

Color Theme

The User can set a Theme of the Securities grid and the Alerts that they set. This will help set a visual distinction within the other product panels.

Securities Monitor

Tabs: A ADSK | Alert 2 | Alert 3 | Alert 4

Ticker	Curr Px	Time	Pct Chg Day	Chg Day		Volume	Bid	Ask
A	29.36	16:15:01	0.38	0.11	▲	1231400	29.36	29.38
AA	13.58	16:15:01	3.19	0.42	▲	5199300	13.58	13.6
AAPL	198.67	16:29:59	1.73	3.38	▲	7219137	198.69	198.79
ABC	27.52	16:15:01	1.21	0.33	▲	986800	27.52	27.54
ABT	53.54	16:15:01	0.53	0.28	▲	2862500	53.52	53.54
ADBE	32.64	16:29:59	-0.37	-0.12	▼	3087045	32.62	32.63
ADI	27.67	16:15:02	2.29	0.62	▲	1933000	27.64	27.67
ADM	30.03	16:15:02	0.13	0.04	▲	1938600	30.02	30.04
ADP	40.9	16:29:59	0.54	0.22	▲	833265	40.89	40.93
ADSK	24.18	16:29:59	2.5	0.59	▲	1060788	24.18	24.19
AEE	24.63	16:15:02	0.9	0.22	▲	564100	24.6	24.63
AEP	33.08	16:15:02	0.18	0.06	▲	763800	33.05	33.08
AES	11.95	16:15:02	0.08	0.01	▲	2416600	11.95	11.97

Securities Monitor Panel with Multiple Alert Set.

1. If the user has created multiple alerts the tabs will go across the top of the grid. The user can customize the alerts created by clicking the pop-out icon in the tab.

2. This functions allows the user to undock a single alert from the grid panel or they can undock all alerts by clicking on the undock icon. As the user undocks each alert he/she can dock them together which creates a customized alert panel section where they can quickly react if an alert is triggered.

---

2. A, ADSK

Volume: 1,000,000
Price: 27.80 BID
Comparator: >
Time: 14:32:00 pm
[Execute Trade]

A, ADSK

Volume: 1,000,000
Price: 27.80 BID
Comparator: >
Time: 14:32:00 pm
[Execute Trade]

Alert 2

Volume: 1,000,000
Price: 35.80 OFFER
Comparator: <
Time: 14:32:00 pm
[Execute Trade]

Alert 3

Volume: 1,000,000
Price: 10.80 BID
Comparator: >
Time: 14:32:00 pm
[Execute Trade]

Alert 4

Volume: 1,000,000
Price: 95.80 OFFER
Comparator: <
Time: 14:32:00 pm
[Execute Trade]

Securities Monitor Panel with Multiple Alert Set.

3. If the User undocks all the alerts they created, they can dock them together to create one panel with the alerts exposed for easy monitoring of the alerts. They can move the alert panel around and place it in another

---

A, ADSK

Volume: [1,000,000]
Price: [27.80] [Bid]
Comparator: [>]
Time: [14:32:0] [PM]
[Execute Trade]

Alert 2

Volume: 1,000,000
Price: 35.80 OFFER
Comparator: <
Time: 14:32:00 pm
[Execute Trade]

Alert 3

Volume: 1,000,000
Price: 10.80 BID
Comparator: >
Time: 14:32:00 pm
[Execute Trade]

Alert 4

Volume: 1,000,000
Price: 95.80 OFFER
Comparator: <
Time: 14:32:00 pm
[Execute Trade]

Securities Monitor Panel with Multiple Alert Set.

4. If the user clicks the Edit icon on the top right, the Alert panel will turn into edit mode, this function is for the user to edit the Alert without having to go to another part of the application to make edits.

Securities Monitor

A ADSK Alert

Ticker	Curr Px	Time	Pct Chg Day	Chg Day		Volume	Bid	Ask
A	29.36	16:15:01	0.38	0.11	▲	1231400	29.36	29.38
AA	13.58	16:15:01	3.19	0.42	▲	5199300	13.58	13.6
AAPL	198.67	16:29:59	1.73	3.38	▲	7219137	198.69	198.79
ABC	27.52	16:15:01	1.21	0.33	▲	986800	27.52	27.54
ABT	53.54	16:15:01	0.53	0.28	▲	2862500	53.52	53.54
ADBE	32.64	16:29:59	-0.37	-0.12	▼	3087045	32.62	32.63
ADI	27.67	16:15:02	2.29	0.62	▲	1933000	27.64	27.67
ADM	30.03	16:15:02	0.13	0.04	▲	1938600	30.02	30.04
ADP	40.9	16:29:59	0.54	0.22	▲	833265	40.89	40.93
ADSK	24.18	16:29:59	2.5	0.59	▲	1060788	24.18	24.19
AEE	24.63	16:15:02	0.9	0.22	▲	564100	24.6	24.63
AEP	33.08	16:15:02	0.18	0.06	▲	763800	33.05	33.08
AES	11.95	16:15:02	0.08	0.01	▲	2416600	11.95	11.97

Securities Monitor Panel with Alert Set.

Once the Alert is set the system will return the user back to the grid view.

(1) A Tab will be place on top of the tickers

(2) If the Alert is triggered, it will automatically expand and wait for further interaction.

The user can also click on the tab and the Alert will expand over the grid, once the alert expands the user can make changes to the criteria if they choose to.

Securities Monitor

A ADSK Alert

Tickers: [   ] ⊕ Volume: 1,000,000 Price: 27.80 Bid Comparator: > Time: 14:32:00 PM

A, ADSK

Execute Trade

AAPL	198.67	16:29:59	1.73	3.38	▲	7219137	198.69	198.79
ABC	27.52	16:15:01	1.21	0.33	▲	986800	27.52	27.54
ABT	53.54	16:15:01	0.53	0.28	▲	2862500	53.52	53.54
ADBE	32.64	16:29:59	-0.37	-0.12	▼	3087045	32.62	32.63
ADI	27.67	16:15:02	2.29	0.62	▲	1933000	27.64	27.67
ADM	30.03	16:15:02	0.13	0.04	▲	1938600	30.02	30.04
ADP	40.9	16:29:59	0.54	0.22	▲	833265	40.89	40.93
ADSK	24.18	16:29:59	2.5	0.59	▲	1060788	24.18	24.19
AEE	24.63	16:15:02	0.9	0.22	▲	564100	24.6	24.63
AEP	33.08	16:15:02	0.18	0.06	▲	763800	33.05	33.08
AES	11.95	16:15:02	0.08	0.01	▲	2416600	11.95	11.97

①

Securities Monitor ⚙ ⚠ ✖

Ticker	Curr Px	Time	Pct Chg Day	Chg Day		Volume	Bid	Ask
A	29.36	16:15:01	0.38	0.11	▲	1231400	29.36	29.38
AA	13.58	16:15:01	3.19	0.42	▲	5199300	13.58	13.6
AAPL	198.67	16:29:59	1.73	3.38	▲	7219137	198.69	198.79
ABC	27.52	16:15:01	1.21	0.33	▲	986800	27.52	27.54
ABT	53.54	16:15:01	0.53	0.28	▲	2862500	53.52	53.54
ADBE	32.64	16:29:59	-0.37	-0.12	▼	3087045	32.62	32.63
ADI	27.67	16:15:02	2.29	0.62	▲	1933000	27.64	27.67
ADM	30.03	16:15:02	0.13	0.04	▲	1938600	30.02	30.04
ADP	40.9	16:29:59	0.54	0.22	▲	833265	40.89	40.93
ADSK	24.18	16:29:59	2.5	0.59	▲	1060788	24.18	24.19
AEE	24.63	16:15:02	0.9	0.22	▲	564100	24.6	24.63
AEP	33.08	16:15:02	0.18	0.06	▲	763800	33.05	33.08
AES	11.95	16:15:02	0.08	0.01	▲	2416600	11.95	11.97

Alert Panel ✖ **②**

A, ADSK ✎ ☍ ✖

Volume: 1,000,000
Price: 27.80 BID
Comparator: >
Time: 14:32:00 pm

[Execute Trade]

Alert 2 ✎ ✖

Volume: 1,000,000
Price: 35.80 OFFER
Comparator: <
Time: 14:32:00 pm

[Execute Trade]

Alert 3 ✎ ✖

Volume: 1,000,000
Price: 10.80 BID
Comparator: >
Time: 14:32:00 pm

[Execute Trade]

Alert 4 ✎ ✖

Volume: 1,000,000
Price: 95.80 OFFER
Comparator: <
Time: 14:32:00 pm

[Execute Trade]

Securities Monitor Panel Alerts Icon Active

① If an alert was closed out, the Alerts ⚠ icon in the top right will apear in red to give the user a visual indicator that something has happened.

② The user can click the pop-out ☍ icon to retrieve the alert and dock it back to the panel.