

# **Mt Sinai Project: IFA Portal Unique Bulk Trade Messaging**

Prepared By: Rahsaan Hunter  
Date: Sept 4th, 2013  
version 1



## **User Experience Design**

Trade Configuration - Unique Transfer

PRINT

+ EXPAND ALL / - COLLAPSE ALL

Client Information

| NAME             | LAST 4 SSN | CONTRACT # | SUBPLAN # / NAME | PLAN # / NAME |
|------------------|------------|------------|------------------|---------------|
| Ballantine, Saul | 9888       | K1524830   | SR1001 / Name    | 151167 / Name |

Enter Amount As

US Dollars (\$)

 or 

Percentages (%)

Common Funds Owned

Click on the fund symbol to view The Fund Prospectus and Fund Fact Sheet

| TICKER | FUND NAME                 |            |        |
|--------|---------------------------|------------|--------|
| TIAAS  | TIAA Traditional (closed) | \$1,637.18 | \$ 100 |
| Total  |                           | \$100      |        |

Common Funds Available

| FUND # | FUND NAME  |     |
|--------|--|-----|
| CBND#  | CREF Bond Market   | \$  |
| CEQX#  | CREF Equity Index  | \$  |
| CGLB#  | CREF Global Equities   | \$  |
| CGRW#  | CREF Growth  | \$  |
| CILB#  | CREF Inflation-Linked Bond                                   | \$  |
| CMMA#  | CREF Money Market  | \$  |
| CSCL#  | CREF Social Choice   | \$  |
| CSTK#  | CREF Stock   | \$  |
| TBIRX  | TIAA-CREF Bond Index Fund - Retirement Class                 | \$  |
| TCBRX  | TIAA-CREF Bond Plus Fund - Retirement Class                  | \$  |
| TCLEX  | TIAA-CREF Lifecycle 2010 Fund - Retirement Class             | \$  |
| TCLNX  | TIAA-CREF Lifecycle 2030 Fund - Retirement Class             | \$  |
| TCLOX  | TIAA-CREF Lifecycle 2040 Fund - Retirement Class             | \$  |
| TCLRX  | TIAA-CREF Lifecycle 2035 Fund - Retirement Class             | \$  |
| TCLTX  | TIAA-CREF Lifecycle 2020 Fund - Retirement Class             | \$  |
| TEMSX  | TIAA-CREF Emerging Markets Equity Fund - Retirement Class    | \$  |
| TEQSX  | TIAA-CREF Emerging Markets Equity Index Fund - Retirement Cl | \$  |
| TIAAS  | TIAA Traditional (open)                                      | \$  |
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| TTFRX  | TIAA-CREF Lifecycle 2045 Fund - Retirement Class             | \$  |
| TTRLX  | TIAA-CREF Lifecycle 2055 Fund - Retirement Class             | \$  |
| Total  |  | \$0 |

Click on the fund symbol to view The Fund Prospectus and Fund Fact Sheet

There are limits to the number of transactions you can make during a specified time period. For more detailed information regarding these restrictions, please refer to our Intermediary Frequent Trading Policy and the applicable prospectus for your investment. If your investment is an annuity, there also may be additional restrictions on the number of transfers, as described in more detail in the applicable annuity contract.

**Important information about holding periods**  
Certain mutual funds require a holding period specified in the fund's prospectus and may impose a redemption fee on the amount redeemed or exchanged out of the fund during the holding periods following the initial purchase date.

Unique Bulk Trade Progress

Client Account(s): 4 of 55

(2) confirmed

(1) removed

(52) remaining

1.0.0 Unique Bulk Trade: trade submittal

1 Change button label from “Confirm” to “Submit”



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**Important information about holding periods**  
Certain mutual funds require a holding period specified in the fund's prospectus and may impose a redemption fee on the amount redeemed or exchanged out of the fund during the holding periods following the initial purchase date.

Messages

We found some important information about the your trade.

Lorem ipsum dolor sit amet, consectetur adipisicing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua.

Here are the ways you can respond to the below messages:

Acknowledge that you have you are aware of the messages and move on to submit your trade.

Remove the clients from your trade that are causing the warnings below.

Make edits your bulk trade that will address the warnings.

| CLIENT NAME                                      | CONTRACT # | SUBPLAN/PLAN  |
|--|------------|---------------|
| <div><div></div><div>BALLANTINE,SAUL</div></div> | K1524830   | SR1001/151167 |

The TIAA Traditional (closed) and the TIAA Real Estate (closed) are not open to contributions, rollovers or Transfers. Any allocation of future contributions to TIAA Traditional and / or TIAA Real Estate will go into the (open) accounts. Any money transferred out of TIAA Traditional (closed) and/or the TIAA Real Estate (closed) cannot be transferred back in. Any money moved out of TIAA Traditional (closed) will no longer be credited with the 3% guaranteed minimum rate or with any applicable additional amounts.

You will be charged a 2% fee of the amount redeemed or exchanged out of the null within 60 calendar days of the initial purchase date. Please see the prospectus for details about this redemption fee and certain exemptions that may apply.

When you transfer out of TIAA Traditional and transfer back within 120 days, the amount, up to your original transfer, will be credited with the same interest rate(s) that would have applied if the transfer out had not taken place. Such interest will be credited from the date the transfer in was made. Interest will not be paid for the period from the date of transfer out to the date of transfer in.

Acknowledge that you have read and understand all of the above warnings:I agree with the statement above and want to continue with the transaction

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(52) remaining

### 1.1.2 Unique Bulk Trade: Warning Message

- 1

Introduction Copy: FPO directional copy
- 2

**Client data Table:** table displaying client data in parent row and messages affecting that client in subtable.
- 3

**Warning Message:** inline message style.
- 4

**Acknowledgement Check box:** selection is required to continue with process bulk trade. error provoked by trying to proceed without selecting has accounted for.



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1

We have found some problems with the trade you submitted.

Due to these errors, none of the individual trades in this bulk trade were submitted to the Trade Blotter for processing. You must correct all these errors, then resubmitt these trades to be processed

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| 2 BALLANTINE,SAUL | K1524830   | SR1001/151167 |

3

ERROR: Lorem ipsum dolor sit amet, consectetur adipisicing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam, quis nostrud exercitation ullamco laboris nisi ut aliquip ex ea commodo consequat. Duis aute irure dolor in reprehenderit in voluptate velit esse cillum dolore eu fugiat nulla pariatur. Lorem ipsum dolor sit amet, consectetur adipisicing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam, quis nostrud exercitation ullamco laboris nisi ut aliquip ex ea commodo consequat.

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### 1.1.2 Unique Bulk Trade: Error Message

1 Introduction Copy: FPO directional copy

2 Client data Table: table displaying client data in parent row and messages affecting that client in subtable.

3 Error Message: inline message style.

Previous

Cancel

Skip

Remove

Cancel All Remaining

Save and Continue Later

Submit