

Mt Sinai Project: IFA Portal Identical Bulk Trade Messaging

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



User Experience Design

Trade Configuration - Identical Transfer

PRINT

+ EXPAND ALL / - COLLAPSE ALL

Client Accounts

Below are the client accounts that will be included in your trade.

Search by name

LAST NAME	FIRST NAME	LAST 4 SSN	CONTRACT #	SUBPLAN / PLAN	LINE OF BUSINESS	AUTO REBALANCE
Johnson-Rodriguez	Elana	9998	N2809845 / N45678910	IRA201 / IR2001	IRA	Yes
Ball	Elana	9989	N8515800	IRA202 / IR2002	IRA	Yes
Barney	Joe	1562	L8731121	100867 / GA1001	GSRA	Yes
Bassett	Kurtis	7148	27288489	101214 / GR1001	GRA	No
Benn	Jack	5066	F05674J9	101215 / RS1001	RS	Yes
Birdcity	Yobani	4460	C8436739	151168 / RAM001	RA	No
Bloomsburg	Yuri	8988	27749910	102046 / GR1001	GRA	Yes

PREVIOUS

1 ... 25 26 27 ... 100

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NEXT

Download Client List

Print Client List

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)	\$842.61	\$ 1,200
Total			\$1,200

Enter Amount As

☒ US Dollars (\$)

or

☐ Percentages (%)

Funds Available

TICKER	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 CI	\$
TIAAS	TIAA Traditional (open)	\$
TIDRX	TIAA-CREF Bond Fund - Retirement Class	\$
TIEXX	TIAA-CREF Money Market Fund - Retirement Class	\$
TRERX	TIAA-CREF International Equity Fund - Retirement Class	\$
TRGIX	TIAA-CREF Growth & Income Fund - Retirement Class	\$
TRGMX	TIAA-CREF Mid-Cap Growth Fund - Retirement Class	\$
TRIEX	TIAA-CREF International Equity Index Fund - Retirement Class	\$
TRIRX	TIAA-CREF Large-Cap Growth Index Fund - Retirement Class	\$
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TRRSX	TIAA-CREF Real Estate Securities Fund - Retirement Class	\$
TRSCX	TIAA-CREF Social Choice Equity Fund - Retirement Class	\$
TRSEX	TIAA-CREF Small-Cap Equity Fund - Retirement Class	\$
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TRVRX	TIAA-CREF Mid-Cap Value Fund - Retirement Class	\$
TSBBX	TIAA-CREF Social Choice Bond Fund - Retirement Class	\$
TIFRX	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.

Cancel

Delete Bulk Trade

Clear All Entries

Submit

1.0.0 Identical Bulk Trade: trade
submittal

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

1

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Messages

1

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.

2

EXPAND ALL / -COLLAPSE ALL

VIEW BY MESSAGE

VIEW BY CLIENT

4

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.

5

CLIENT NAME (4)

CONTRACT #

SUBPLAN/PLAN

REMOVE FROM TRADE

7

BALLANTINE,SAUL

K1524830

SR1001/151167

8

BONNIEVILLE,BRENNEN

L5133073

GS1003/TIAA07

CARVER,LEONARDO

N3309944

IR2001/IRA201

DERBYLINE,JAIRUS

N7441099 / NE272298

IR1001/IRA101

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.

9

CLIENT AFFECTED BY WARNING (53)

You 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.

CLIENT AFFECTED BY WARNING (26)

Acknowledge that you have read and understand all of the above warnings:

10

☐ I agree with the statement above and want to continue with the transaction

CancelDelete Bulk TradeClear All EntriesSubmit

1.1.0 Identical Bulk Trade: Warning Message - By Message View

1 Introduction Copy: FPO directional copy

2 Expand/Collapse Table Controls: expands and collapse the embedded sub client tables.

3 View By Client toggle table control: Changes view to 1.1.2 Warning Message View

4 Warning Message: inline message style.

5 Client Sub Table-expanded: accordion controlled sub table of all clients affected by the parent message accordion

6 Remove all check box: selects all clients in the client sub table.

7 Client data: displays client's name, contract number and subplan/plan.

8 Client data row check box: selects client in the client sub table and displays the “remove selected client(s) from bulk trade” button. see 1.1.1 select - warning message view.

9 Client Sub Table-collapsed: when collapsed display the number of clients in subtable.

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

Trade Configuration - Identical Transfer

PRINT

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Download Client List

Print Client List

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)	\$842.61	\$ 1,200
Total			\$1,200

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Funds Available

TICKER	FUND NAME	
CBND#	CREF Bond Market	\$
CEQX#	CREF Equity Index	\$
CGLB#	CREF Global Equities	\$
CGRW#	CREF Growth	\$
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Total		\$0

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Messages

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Make edits your bulk trade that will address the warnings.

+EXPAND ALL / -COLLAPSE ALL

VIEW BY MESSAGE | VIEW BY CLIENT

MESSAGES

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CLIENT NAME (4)	CONTRACT #	SUBPLAN/PLAN	REMOVE FROM TRADE
BALLANTINE,SAUL	K1524830	SR1001/151167	<div><div></div></div> 1
BONNIEVILLE,BRENNEN	L5133073	GS1003/TIAA07	<div><div></div></div>
CARVER,LEONARDO	N3309944	IR2001/IRA201	<div><div></div></div>
DERBYLINE,JAIRUS	N7441099 / NE272298	IR1001/IRA101	<div><div></div></div>

Remove Selected Client(s) from Bulk Trade

2

The null 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.

CLIENT AFFECTED BY WARNING (53)

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.

CLIENT AFFECTED BY WARNING (26)

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

CancelDelete Bulk TradeClear All EntriesSubmit

3

1.1.1 Identical Bulk Trade: Selected Warning Message - By Message View

1 Selected Client data row: highlight row when selected and show “remove selected clients from bulk trade” button.

2 “Remove Selected clients from bulk trade” button: removes client from transaction and all other warnings that the client may be associated. Presents confirmation modal. see 1.1.4 confirm client removal.

3 Display error: If user attempts to submit trade while a client is selected. display error message.

Trade Configuration - Identical Transfer

PRINT

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<div><div>7</div><div><div>+</div><div>CARVER, LEONARDO</div></div></div>	N3309944	IR2001/IRA201	<div><div></div></div>
<div><div>+</div><div>BONNIEVILLE, BRENNEN</div></div>	L5133073	GS1003/TIAA07	<div><div></div></div>

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Acknowledge that you have read and understand all of the above warnings:

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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)	\$
TIDRX	TIAA-CREF Bond Fund - Retirement Class	\$
TIEXX	TIAA-CREF Money Market Fund - Retirement Class	\$
TRERX	TIAA-CREF International Equity Fund - Retirement Class	\$
TRGIX	TIAA-CREF Growth & Income Fund - Retirement Class	\$
TRGMX	TIAA-CREF Mid-Cap Growth Fund - Retirement Class	\$
TRIEX	TIAA-CREF International Equity Index Fund - Retirement Class	\$
TRIRX	TIAA-CREF Large-Cap Growth Index Fund - Retirement Class	\$
TRLCX	TIAA-CREF Large-Cap Value Fund - Retirement Class	\$
TRRSX	TIAA-CREF Real Estate Securities Fund - Retirement Class	\$
TRSCX	TIAA-CREF Social Choice Equity Fund - Retirement Class	\$
TRSEX	TIAA-CREF Small-Cap Equity Fund - Retirement Class	\$
TRSPX	TIAA-CREF S&P 500 Index Fund - Retirement Class	\$
TRVRX	TIAA-CREF Mid-Cap Value Fund - Retirement Class	\$
TSBBX	TIAA-CREF Social Choice Bond Fund - Retirement Class	\$
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.

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.

+EXPAND ALL / -COLLAPSE ALL

VIEW BY MESSAGE | VIEW BY CLIENT

CLIENT NAME	CONTRACT #	SUBPLAN/PLAN	REMOVE FROM TRADE
<div>BALLANTINE, SAUL</div>	K1524830	SR1001/151167	<div><div></div>1</div>
<div><div>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.</div><div>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.</div><div>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.</div></div>			
<div>CARVER, LEONARDO</div>	N3309944	IR2001/IRA201	<div><div></div></div>
<div>BONNIEVILLE, BRENNEN</div>	L5133073	GS1003/TIAA07	<div><div></div></div>
<div><div>Remove Selected Client(s) from Bulk Trade</div>2</div>			
<div><div>Acknowledge that you have read and understand all of the above warnings:</div><div><div>I agree with the statement above and want to continue with the transaction</div></div></div>			

1.1.3 Identical Bulk Trade: Selected Warning Message - By Client View

- 1 Selected Client data row: highlight row when selected and show “remove selected clients from bulk trade” button.
- 2 “Remove Selected clients from bulk trade” button: removes client from transaction and all other warnings that the client may be associated. Presents confirmation modal. see 1.1.4 confirm client removal.
- 3 Display error: If user attempts to submit trade while a client is selected. display error message.

Trade Configuration - Identical Transfer

PRINT

+ EXPAND ALL / - COLLAPSE ALL

Client Accounts

Below are the client accounts that will be included in your trade.

LAST NAME

FIRST NAME

SEARCH BY NAME

Johnson-Rodriguez

Ball

Barney

Bassett

Benn

Birdcity

Bloomsburg

PREVIOUS

NEXT

Print Client List

Print Client List

1

2

3

4

5

Remove client(s) from Bulk Transaction

You have elected to remove the following client(s) from your bulk trade. Click confirm to remove these clients from your trade or click cancel to return without processing this client removal.

CLIENT NAME

CONTRACT #

SUBPLAN/PLAN

BALLANTINE,SAUL

K1524830

SR1001/151167

CARVER,LEONARDO

N3309944

IR2001/IRA201

Confirm

Cancel

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)

\$842.61

\$ 1,200

Total

\$1,200

Enter Amount As

US Dollars (\$)

or

Percentages (%)

Funds Available

TICKER

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)

\$

TIDRX

TIAA-CREF Bond Fund - Retirement Class

\$

TIEXX

TIAA-CREF Money Market Fund - Retirement Class

\$

TRERX

TIAA-CREF International Equity Fund - Retirement Class

\$

TRGIX

TIAA-CREF Growth & Income Fund - Retirement Class

\$

TRGMX

TIAA-CREF Mid-Cap Growth Fund - Retirement Class

\$

TRIEX

TIAA-CREF International Equity Index Fund - Retirement Class

\$

TRIRX

TIAA-CREF Large-Cap Growth Index Fund - Retirement Class

\$

TRLCX

TIAA-CREF Large-Cap Value Fund - Retirement Class

\$

TRRSX

TIAA-CREF Real Estate Securities Fund - Retirement Class

\$

TRSCX

TIAA-CREF Social Choice Equity Fund - Retirement Class

\$

TRSEX

TIAA-CREF Small-Cap Equity Fund - Retirement Class

\$

TRSPX

TIAA-CREF S&P 500 Index Fund - Retirement Class

\$

TRVRX

TIAA-CREF Mid-Cap Value Fund - Retirement Class

\$

TSBBX

TIAA-CREF Social Choice Bond Fund - Retirement Class

\$

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.

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.

+EXPAND ALL / -COLLAPSE ALL

VIEW BY MESSAGE | VIEW BY CLIENT

CLIENT NAME

CONTRACT #

SUBPLAN/PLAN

REMOVE FROM TRADE

Ballantine, Saul

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.

Carver, Leonardo

N3309944

IR2001/IRA201

☐

Bonnievill, Brennen

L5133073

GS1003/TIAA07

☐

Delete Selected Client(s) from Bulk Trade

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

Cancel

Delete Bulk Trade

Clear All Entries

Submit

1.1.4 Identical Bulk Trade: Confirm Client Removal

1 Close Icon: closes modal with out saving changes.

2 Intro copy: FPO directional copy

3 Client data table: table list all clients that were selected for removal from the trade.

4 Confirm Button: processes removal of clients from trade and all messages.

5 Cancel Link: closes modal with out saving changes.

Trade Configuration - Identical Transfer

PRINT

+ EXPAND ALL / - COLLAPSE ALL

Client Accounts

Below are the client accounts that will be included in your trade.

Search by name

LAST NAME	FIRST NAME	LAST 4 SSN	CONTRACT #	SUBPLAN / PLAN	LINE OF BUSINESS	AUTO REBALANCE
Johnson-Rodriguez	Elana	9998	N2809845 / N45678910	IRA201 / IR2001	IRA	Yes
Ball	Elana	9989	N8515800	IRA202 / IR2002	IRA	Yes
Barney	Joe	1562	L8731121	100867 / GA1001	GSRA	Yes
Bassett	Kurtis	7148	27288489	101214 / GR1001	GRA	No
Benn	Jack	5066	F05674J9	101215 / RS1001	RS	Yes
Birdcity	Yobani	4460	C8436739	151168 / RAM001	RA	No
Bloomsburg	Yuri	8988	27749910	102046 / GR1001	GRA	Yes

PREVIOUS

1 ... 25 26 27 ... 100

Results Per Page: 5

NEXT

Download Client List

Print Client List

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)	\$842.61	\$ 1,200
Total			\$1,200

Enter Amount As

US Dollars (\$)

or

Percentages (%)

Funds Available

TICKER	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	\$
TEGSX	TIAA-CREF Emerging Markets Equity Index Fund - Retirement CI	\$
TIAAS	TIAA Traditional (open)	\$
TIDRX	TIAA-CREF Bond Fund - Retirement Class	\$
TIEXX	TIAA-CREF Money Market Fund - Retirement Class	\$
TRERX	TIAA-CREF International Equity Fund - Retirement Class	\$
TRGIX	TIAA-CREF Growth & Income Fund - Retirement Class	\$
TRGMX	TIAA-CREF Mid-Cap Growth Fund - Retirement Class	\$
TRIEX	TIAA-CREF International Equity Index Fund - Retirement Class	\$
TRIRX	TIAA-CREF Large-Cap Growth Index Fund - Retirement Class	\$
TRLCX	TIAA-CREF Large-Cap Value Fund - Retirement Class	\$
TRRSX	TIAA-CREF Real Estate Securities Fund - Retirement Class	\$
TRSCX	TIAA-CREF Social Choice Equity Fund - Retirement Class	\$
TRSEX	TIAA-CREF Small-Cap Equity Fund - Retirement Class	\$
TRSPX	TIAA-CREF S&P 500 Index Fund - Retirement Class	\$
TRVRX	TIAA-CREF Mid-Cap Value Fund - Retirement Class	\$
TSBBX	TIAA-CREF Social Choice Bond Fund - Retirement Class	\$
TFRX	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.

Messages

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

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

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

Make edits your bulk trade that will address the messages.

2

EXPAND ALL / - COLLAPSE ALL

VIEW BYMESSAGE

3

VIEW BY CLIENT

WARNING

4

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.

5

CLIENT NAME (4)

CONTRACT #

SUBPLAN/PLAN

REMOVE ALL

7

BALLANTINE,SAUL

K1524830

SR1001/151167

8

BONNIEVILLE,BRENNEN

L5133073

GS1003/TIAA07

CARVER,LEONARDO

N3309944

IR2001/IRA201

DERBYLINE,JAIRUS

N7441099 / NE272298

IR1001/IRA101

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.

9

+ CLIENT AFFECTED BY WARNING (53)

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.

+ CLIENT AFFECTED BY WARNING (26)

Cancel

Delete Bulk Trade

Clear All Entries

Submit

1.2.1 Identical Bulk Trade: Error Message – By Message View

1 Introduction Copy: FPO directional copy

2 Expand/Collapse Table Controls: expands and collapse the embedded sub client tables.

3 View By Client toggle table control: Changes view to 1.2.2 Error client view

4 Error Message: Bring all errors to the top of the table.

5 Client Sub Table-expanded: accordion controlled sub table of all clients affected by the parent message accordion

6 Remove all check box: selects all clients in the client sub table.

7 Client data: displays client's name, contract number and subplan/plan.

8 Client data row check box: selects client in the client sub table and displays the “remove selected client(s) from bulk trade” button. see 1.1.1 select - warning message view.

9 Client Sub Table-collapsed: when collapsed display the number of clients in subtable.

Trade Configuration - Identical Transfer

PRINT

+ EXPAND ALL / - COLLAPSE ALL

Client Accounts

Below are the client accounts that will be included in your trade.

Search by name

LAST NAME	FIRST NAME	LAST 4 SSN	CONTRACT #	SUBPLAN / PLAN	LINE OF BUSINESS	AUTO REBALANCE
Johnson-Rodriguez	Elana	9998	N2809845 / N45678910	IRA201 / IR2001	IRA	Yes
Ball	Elana	9989	N8515800	IRA202 / IR2002	IRA	Yes
Barney	Joe	1562	L8731121	100867 / GA1001	GSRA	Yes
Bassett	Kurtis	7148	27288489	101214 / GR1001	GRA	No
Benn	Jack	5066	F05674J9	101215 / RS1001	RS	Yes
Birdcity	Yobani	4460	C8436739	151168 / RAM001	RA	No
Bloomsburg	Yuri	8988	27749910	102046 / GR1001	GRA	Yes

PREVIOUS

1 ... 25 26 27 ... 100

Results Per Page: 5

NEXT

Download Client List

Print Client List

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)	\$842.61	\$ 1,200
Total			\$1,200

Enter Amount As

☒ US Dollars (\$)

or

☐ Percentages (%)

Funds Available

TICKER	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	\$
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TCLOX	TIAA-CREF Lifecycle 2040 Fund - Retirement Class	\$
TCLRX	TIAA-CREF Lifecycle 2035 Fund - Retirement Class	\$
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TEMSX	TIAA-CREF Emerging Markets Equity Fund - Retirement Class	\$
TEGSX	TIAA-CREF Emerging Markets Equity Index Fund - Retirement CI	\$
TIAAS	TIAA Traditional (open)	\$
TIDRX	TIAA-CREF Bond Fund - Retirement Class	\$
TIEXX	TIAA-CREF Money Market Fund - Retirement Class	\$
TRERX	TIAA-CREF International Equity Fund - Retirement Class	\$
TRGIX	TIAA-CREF Growth & Income Fund - Retirement Class	\$
TRGMX	TIAA-CREF Mid-Cap Growth Fund - Retirement Class	\$
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TRVRX	TIAA-CREF Mid-Cap Value Fund - Retirement Class	\$
TSBBX	TIAA-CREF Social Choice Bond Fund - Retirement Class	\$
TFRX	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

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Messages

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

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

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

Make edits your bulk trade that will address the messages.

2

EXPAND ALL / - COLLAPSE ALL

VIEW BYMESSAGE

VIEW BY CLIENT

CLIENT NAME	CONTRACT #	SUBPLAN/PLAN	REMOVE FROM TRADE
<div><div>4</div><div><div><div>5</div><div>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.</div></div><div><div><div>1</div><div>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.</div></div><div><div><div>1</div><div>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.</div></div></div></div></div><div><div>7</div><div><div><div><div><div>+</div><div>CARVER,LEONARDO</div><div>N3309944</div><div>IR2001/IRA201</div><div></div></div></div><div><div><div>+</div><div>BONNIEVILLE,BRENNEN</div><div>L5133073</div><div>GS1003/TIAA07</div><div></div></div></div></div></div></div></div>			

Cancel

Delete Bulk Trade

Clear All Entries

Submit

1.2.2 Identical Bulk Trade: Error Message – By Client View

1 Introduction Copy: FPO directional copy

2 Expand/Collapse Table Controls: expands and collapse the embedded sub client tables.

3 View By Message toggle table control: Changes view to 1.2.1 Error Message View

4 Client data accordion row-expanded: accordion controlled table of all clients data in parent row and messages affecting that client in subtable.

5 Error Message: inline message style.

6 Client data row check box: selects client in the client parent table and displays the “remove selected client(s) from bulk trade” button. see 1.1.3 select - warning client view.

7 Client data accordion row-collapsed: