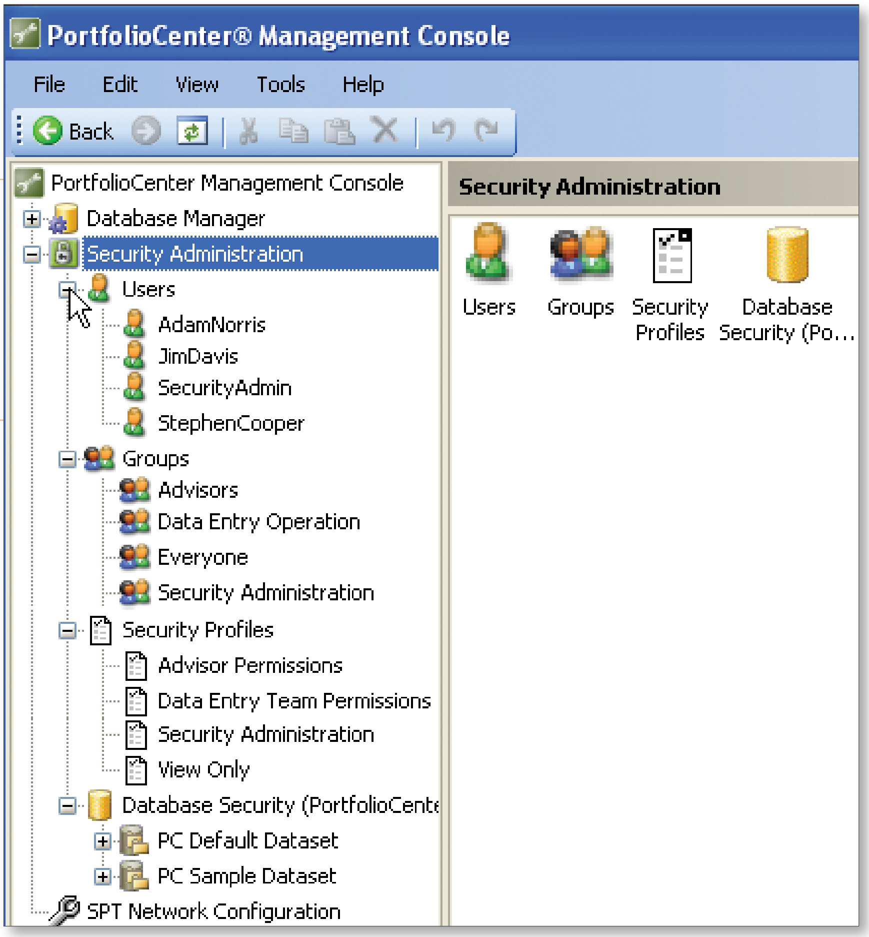
PortfolioCenter® Security Rights & Roles Module

Monitor and Control Security Access to Protect Your Firm

You have always been careful to protect your clients' vital account information. But today, given the growing sophistication of online security threats, heightened investor concern about fraud and stringent regulations around protecting consumer data, you need to pay more attention than ever to your firm's system and data security.

Consider the tremendous amount of sensitive client data housed in PortfolioCenter, from account details and Social Security numbers to client contact information. Securing this data is essential to your firm's reputation and financial standing. No matter how your firm is structured, Security Rights & Roles, an add-on module for PortfolioCenter, can dramatically strengthen your data security plan and help protect your clients' information.

The Security Rights & Roles module expands PortfolioCenter's capabilities by providing the tools you need to effectively manage user access to data. Easily customize settings for individual users, groups of users, security profiles and datasets.



Features and Benefits

Security Rights & Roles gives you the control to establish parameters around the data a user can view and the actions a user can perform. This means you can provide PortfolioCenter® access to advisors, data entry and operations staff without risk that users will make unauthorized changes or gain access to accounts they do not service. With the Security Rights & Roles module you can:

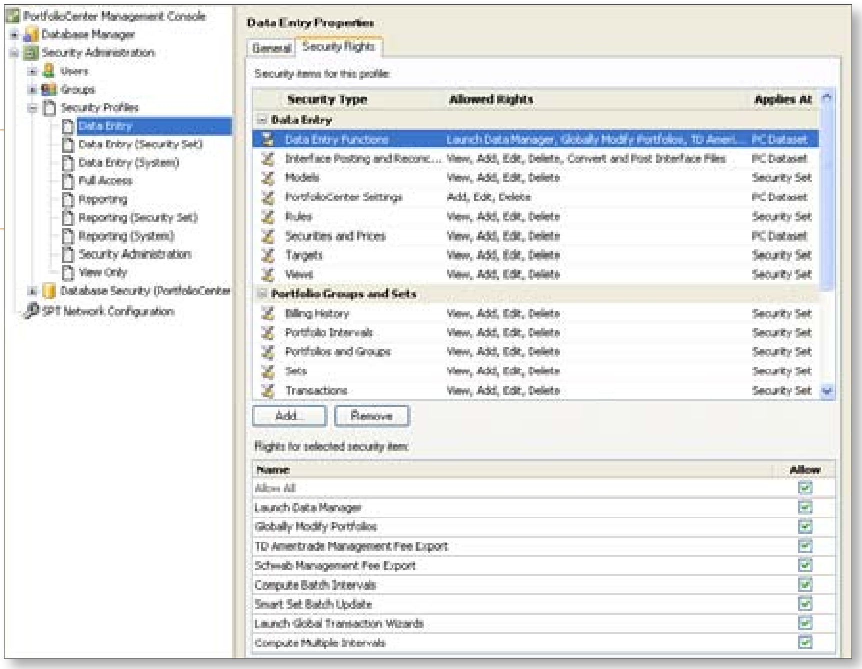
Limit the portfolios a user can see. Restrict access to sensitive information.

Regulate the actions a user performs. Provide firm-wide access to PortfolioCenter while protecting against potentially costly errors by locking down sensitive information.

Monitor user activity. Know that your security plan is effective by auditing user activity to ensure that it conforms with your firm's security policy.

Ease of Use

We made Security Rights & Roles easy to implement. Simply specify what actions various roles are allowed to perform and what portfolios various users are allowed to view, and assign attributes to each user accordingly.



The security templates provided can be customized for each role in your firm.

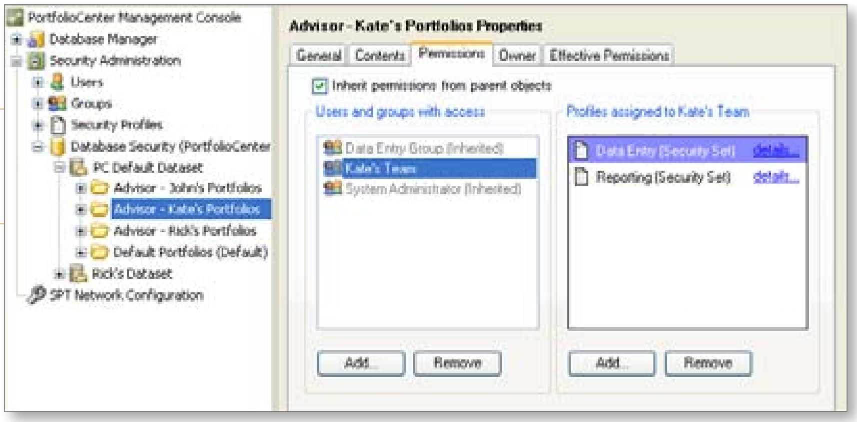
Data Entry Properties

Security items for this profile:

Security Type	Allowed Rights	Applies At
Data Entry		
Data Entry Functions	Launch Data Manager, Globally Modify Portfolios, TD Ameri...	PC Dataset
Interface Posting and Reconc...	View, Add, Edit, Delete, Convert and Post Interface Files	PC Dataset
Models	View, Add, Edit, Delete	Security Set
PortfolioCenter Settings	Add, Edit, Delete	PC Dataset
Rules	View, Add, Edit, Delete	Security Set
Securities and Prices	View, Add, Edit, Delete	PC Dataset
Targets	View, Add, Edit, Delete	Security Set
Views	View, Add, Edit, Delete	Security Set
Portfolio Groups and Sets		
Billing History	View, Add, Edit, Delete	Security Set
Portfolio Intervals	View, Add, Edit, Delete	Security Set
Portfolios and Groups	View, Add, Edit, Delete	Security Set
Sets	View, Add, Edit, Delete	Security Set
Transactions	View, Add, Edit, Delete	Security Set

Rights for selected security item:

Name	Allow
Allow All	☑
Launch Data Manager	☑
Globally Modify Portfolios	☑
TD Ameritrade Management Fee Export	☑
Schwab Management Fee Export	☑
Compute Batch Intervals	☑
Smart Set Batch Update	☑
Launch Global Transaction Wizards	☑
Compute Multiple Intervals	☑


PortfolioCenter Management Console
Database Manager
Security Administration
Users
Groups
Security Profiles
Database Security (PortfolioCenter
PC Default Dataset
Advisor - John's Portfolios
Advisor - Kate's Portfolios
Advisor - Rick's Portfolios
Default Portfolios (Default)
Rick's Dataset
SPT Network Configuration
General
Contents
Permissions
Owner
Effective Permissions
Add...
Remove
Add...
Remove

Create security sets to specify which portfolios a user or group of users can see.

Advisor - Kate's Portfolios Properties

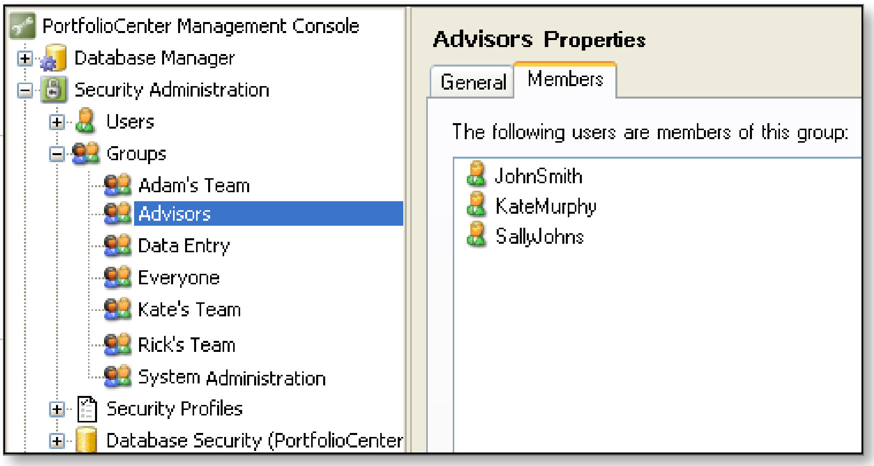
☑ Inherit permissions from parent objects

Users and groups with access

- Data Entry Group (Inherited)
- Kate's Team
- System Administrator (Inherited)

Profiles assigned to Kate's Team

- Data Entry (Security Set) details...
- Reporting (Security Set) details...



PortfolioCenter Management Console
Database Manager
Security Administration
Users
Groups
Adam's Team
Advisors
Data Entry
Everyone
Kate's Team
Rick's Team
System Administration
Security Profiles
Database Security (PortfolioCenter

Advisors Properties

General | Members

The following users are members of this group:

JohnSmith
KateMurphy
SallyJohns

Using groups streamlines security management even further by allowing you to quickly add new employees or change permissions for recently promoted employees simply by adding them to the proper group.

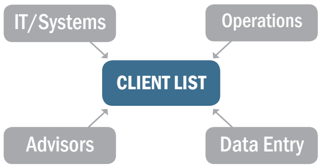
Practical Applications

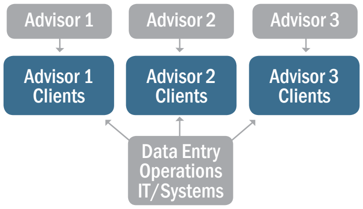
Every firm has unique security requirements and challenges. The following examples show how limiting actions to various roles can create a powerful set of checks and balances:

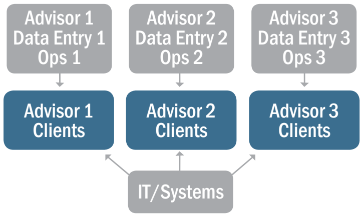
- Advisory—Advisors can add new clients, manage portfolio models and run reports. They cannot manage transaction data or establish security controls.
- Data Entry—Individuals in this role can add new clients, manage transaction data and run reports. They cannot manage portfolio models or establish security controls.
- Operations—Operations staff can view data. They cannot perform any other actions.
- Administrator/Security—Administrators can view data and establish security controls. They cannot edit client data, run reports or manage portfolio models.

By adding controls around which portfolios each role can access, you can further tailor your security to vastly different organizational structures, as shown in the figure below.

Firm Organizational Structures







Shared Client Firm

At this type of firm, any employee may serve any client, and all users, regardless of role, have access to all client data.

Individual Advisor Firm

In this scenario, each individual advisor views the data only for his or her clients, but the data entry team can view and access all client accounts.

Advisor Team Firm

An advisor team firm typically divides employees into teams, with each team serving a specific set of clients. Employees need to see only the accounts serviced by their specific team.

Advantages of Security Rights & Roles

Security Rights & Roles complements the basic protection offered by PortfolioCenter®:

Security Need	PortfolioCenter **without** Rights & Roles	PortfolioCenter **with** Rights & Roles
Basic username and password protection	X	X
Supports full disk encryption	X	X
Assign security profiles to define or limit what data users can see and what they can do with the data (create, read-only, edit, delete)		X
Limit who can add or change portfolio data		X
Limit access to subsets of portfolios for certain employees		X
View an audit trail to see when users have logged in and out of PortfolioCenter		X
View an audit trail to see edited data as well as who edited it		X
Create user groups for common personnel profiles, including data entry operation, full access, report operation, security administration and view-only access		X

Service and Support

Training, support and online documentation resources are available to help you get started with the Security Rights & Roles module quickly and easily. As part of your purchase, you will receive a complimentary implementation phone call with a technical support representative to walk you through the setup process.

For more than 20 years, Schwab Performance Technologies (SPT) has been a trusted provider of portfolio data management and reporting solutions to independent advisors. Our commitment and experience translate to reliable solutions, professional service and industry expertise to help you run your firm.

Contact Us Today to Learn More About Security Rights & Roles

Let us show you how Security Rights & Roles can help bolster your firm's security plan to better protect client data. For more information, visit **www.schwabpt.com** or call us at **800-528-9595**.

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