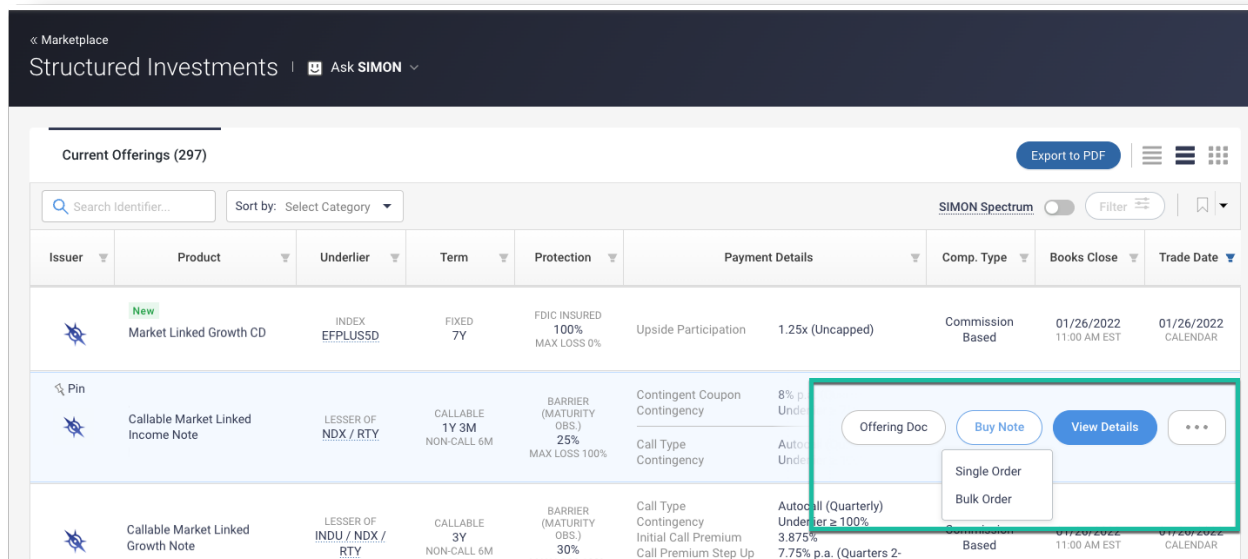


NOW AVAILABLE ON SIMON

# A STREAMLINED ORDER ENTRY PROCESS

As of early April, you can expect to enter orders for all your structured notes business across all issuers. This new feature will enable you to enter new orders, track the status of pending orders, and manage your existing book of business all in one centralized location.



Marketplace  
Structured Investments | Ask SIMON

Current Offerings (297) Export to PDF

Search Identifier... Sort by: Select Category SIMON Spectrum Filter

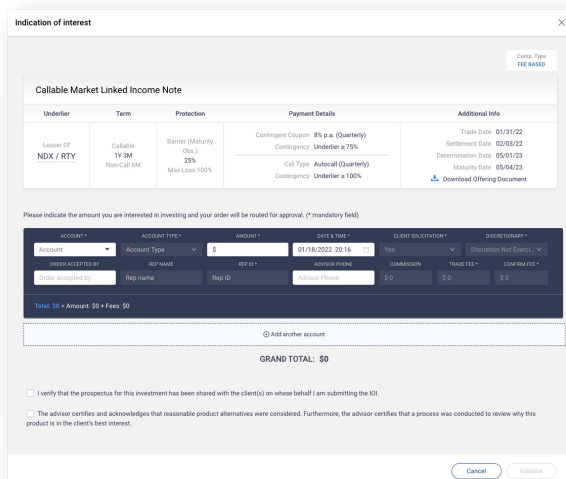
Issuer	Product	Underlier	Term	Protection	Payment Details	Comp. Type	Books Close	Trade Date	
	Market Linked Growth CD	INDEX EFPLUS5D	FIXED 7Y	FDIC INSURED 100% MAX LOSS 0%	Upside Participation	1.25x (Uncapped)	Commission Based	01/26/2022 11:00 AM EST	01/26/2022 CALENDAR
	Callible Market Linked Income Note	LESSER OF NDX / RTY	CALLABLE 1Y 3M NON-CALL 6M	BARRIER (MATURITY OBS.) 25% MAX LOSS 100%	Contingent Coupon Contingency	8% p.a. Underlier			
	Callible Market Linked Growth Note	LESSER OF INDU / NDX / RTY	CALLABLE 3Y NON-CALL 6M	BARRIER (MATURITY OBS.) 30% MAX LOSS 100%	Call Type Contingency Initial Call Premium Call Premium Step Up	Autocall (Quarterly) Underlier ≥ 100% 3.875% 7.75% p.a. (Quarters 2-	Commission Based	01/26/2022 11:00 AM EST	01/26/2022 CALENDAR

Offering Doc Buy Note View Details ...

Single Order Bulk Order

## BUYING A NOTE

From the Marketplace, choose Current Offerings to see a list of all structured notes available on the SIMON platform. Hover over Buy Note to choose between placing a single or bulk order.



Indication of Interest

Callible Market Linked Income Note

Underlier	Term	Protection	Payment Details	Additional Info
Lesser of NDX / RTY	Callable 1Y 3M Non-Call 6M	Barrier (Maturity Obs.) 25% Max Loss 100%	Contingent Coupon: 8% p.a. (Quarterly) Contingency: Underlier ≥ 75% Call Type: Autocall (Quarterly) Contingency: Underlier ≥ 100%	Trade Date: 01/31/22 Settlement Date: 02/03/22 Determination Date: 05/01/23 Maturity Date: 05/04/23 <a href="#">Download Offering Document</a>

Please indicate the amount you are interested in investing and your order will be routed for approval. (\* mandatory field)

ACCOUNT	ACCOUNT TYPE	AMOUNT	DATE TIME	CLIENT QUALIFICATION	DISCLOSURE
Account	Account Type	\$	01/18/2022 05:14	Yes	Disclosure Not Event

ORDER ACCEPTED BY: Rep Name Rep ID Account Phone COMMISSION TRADE FEE CONFIRM FEE

Total: \$0 + Amount: \$0 + Fees: \$0

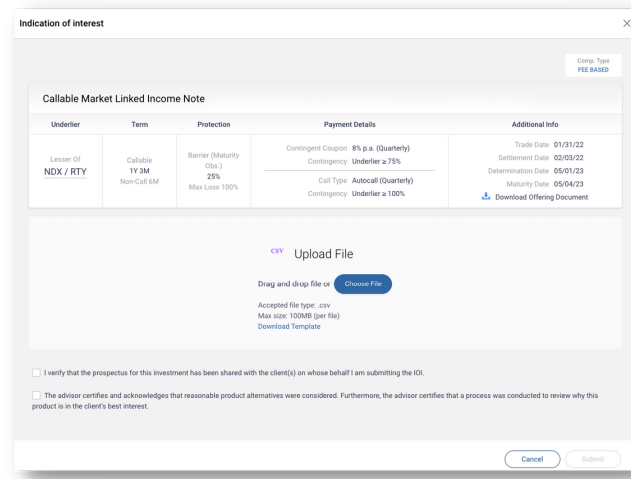
GRAND TOTAL: \$0

I verify that the prospectus for this investment has been shared with the client(s) on whose behalf I am submitting the IOI.  
 The advisor certifies and acknowledges that reasonable product alternatives were considered. Furthermore, the advisor certifies that a process was conducted to review why this product is in the client's best interest.

Cancel Validate

## PLACING A SINGLE ORDER

Choose Single Order if placing an order for one client. After selecting the account that you want to buy a note in, make sure to complete all items that don't pre-fill and check the boxes at the bottom of the page to validate order.



Indication of Interest

Callible Market Linked Income Note

Underlier	Term	Protection	Payment Details	Additional Info
Lesser of NDX / RTY	Callable 1Y 3M Non-Call 6M	Barrier (Maturity Obs.) 25% Max Loss 100%	Contingent Coupon: 8% p.a. (Quarterly) Contingency: Underlier ≥ 75% Call Type: Autocall (Quarterly) Contingency: Underlier ≥ 100%	Trade Date: 01/31/22 Settlement Date: 02/03/22 Determination Date: 05/01/23 Maturity Date: 05/04/23 <a href="#">Download Offering Document</a>

Upload File

Drag and drop file or [Choose File](#)

Accepted file type: .csv  
Max size: 10MB (per file)  
[Download Template](#)

I verify that the prospectus for this investment has been shared with the client(s) on whose behalf I am submitting the IOI.  
 The advisor certifies and acknowledges that reasonable product alternatives were considered. Furthermore, the advisor certifies that a process was conducted to review why this product is in the client's best interest.

Cancel Submit

## PLACING A BULK ORDER

Choose Bulk Order to buy the same note for multiple client accounts, then download and fill in the available template. Once this is complete, upload the file, making sure you check the boxes at the bottom of the page to submit your order.

<span>Pre-trade (2)</span> <span>Pending IOIs (0)</span> <b><span>Approved IOIs (3)</span></b> <span>Rejected IOIs (0)</span> <span>Totals (0)</span> <span style="float: right; border: 1px solid #007bff; border-radius: 5px; padding: 2px 5px; color: white;">Export to Excel</span>									
<input type="text" value="Search Identifier..."/>		Sort by: <span>Select Category</span> ▼		Total Amount: <b>\$22,000.00</b>					
+	Issuer ▼	Product ▼	Network ▼	Account ▼	User ▼	Submitter ▼	Books Close ▼	Trade Date ▼	Amount ↕
+		Market Linked Growth Note	LPL Financial LLC	BETA TRAINING FIRM FBO			10/06/2022 10:00 AM EDT	10/06/2022 CALENDAR	\$4,000
+		Market Linked Growth Note	LPL Financial LLC	BETA TRAINING FIRM FBO			10/06/2022 10:00 AM EDT	10/06/2022 CALENDAR	\$9,000
+		Market Linked Growth Note	LPL Financial LLC	BETA TRAINING FIRM FBO			10/06/2022 10:00 AM EDT	10/06/2022 CALENDAR	\$9,000

## MANAGING YOUR ORDERS

After placing your order(s), go to IOIs from the Marketplace and choose between available tabs to see the status of your orders and any pending orders or trades that have open action items.

## LIFECYCLE PORTAL

After your structured notes orders have been placed, you can navigate to the Lifecycle Portal to view an overview of your holdings. You'll also see highlights from your book of business and upcoming lifecycle events in the widget at the top of the page, which can help you manage and grow your structured notes business.

## QUESTIONS?

[lpl-support@simonmarkets.com](mailto:lpl-support@simonmarkets.com)

For immediate assistance or help navigating the platform, please contact us.