APPRAISE

By Evaluation Services, Inc.

Makes it Simple!

SOFTWARE USER GUIDE

Security Pricing Software For:
Estate Evaluations
Single Security Pricing
Portfolio Reporting
Cost Basis Accounting

Evaluation Services Inc.
180 Old Tappan Road
Bldg. No. 4
Old Tappan, NJ 07675
(201) 784-8500
www.newappraiseesi.com

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I. Introduction

This manual was created to detail the usage of Evaluation Services Incorporated's proprietary Appraise Software. It will provide users with descriptions of the software's various functions as well as some common troubleshooting tips in order to assist users with processing their Estate Tax Portfolios.

Figure 1
Appraise Icon

I.A On-Screen Help

The Appraise software contains an **On-Screen Help** tool available on all main screens of the program.

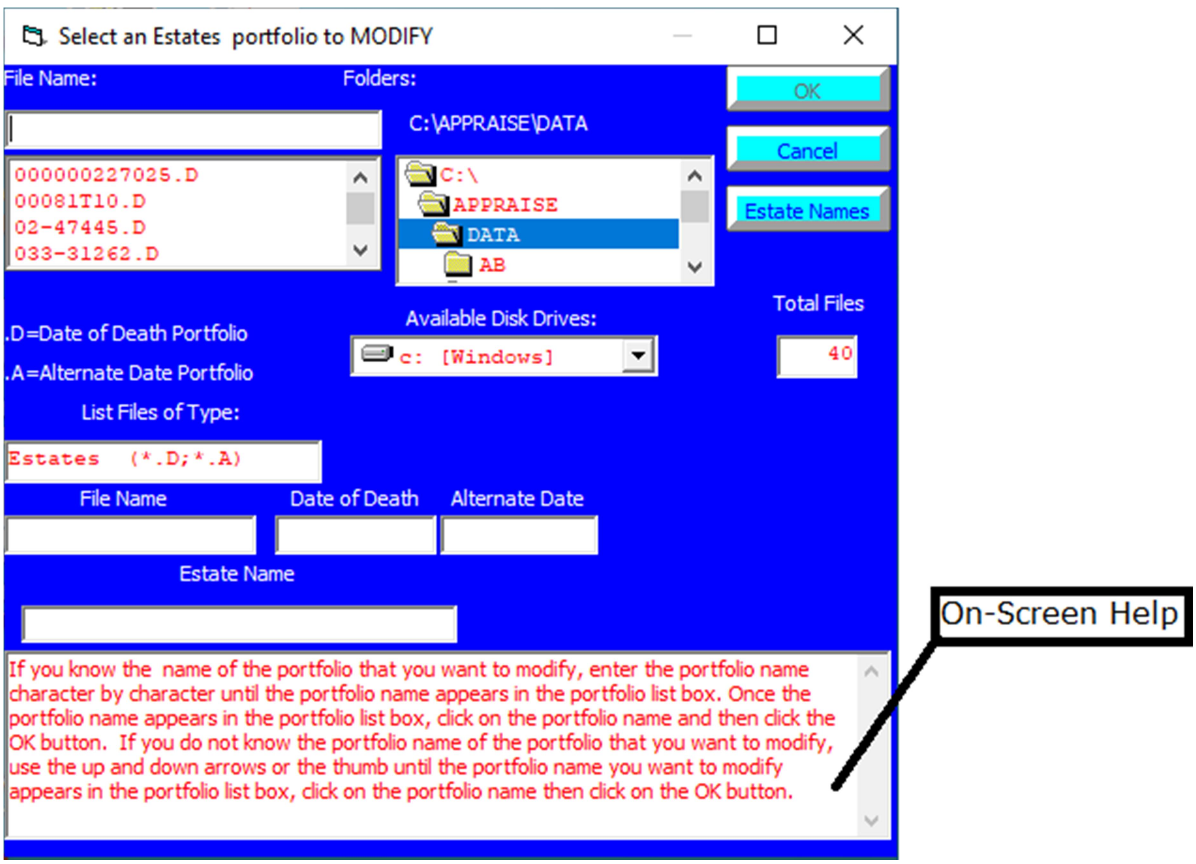

Figure 2 On-Screen Help

On-Screen Help gives contextual information based on what the mouse pointer is hovering over or which input field is selected. If the user selects the **File Name:** input field at the top left of the screen, then **On-Screen Help** will display as shown above.

I.B Installation

Installation is a two-step process.

Step 1: Download and run APPRAISE-Setup.exe from:
http://newappraiseesi.com/software/APPRAISE-Setup.zip

This is the initial install program for the APPRAISE application. The user will be presented with this screen.

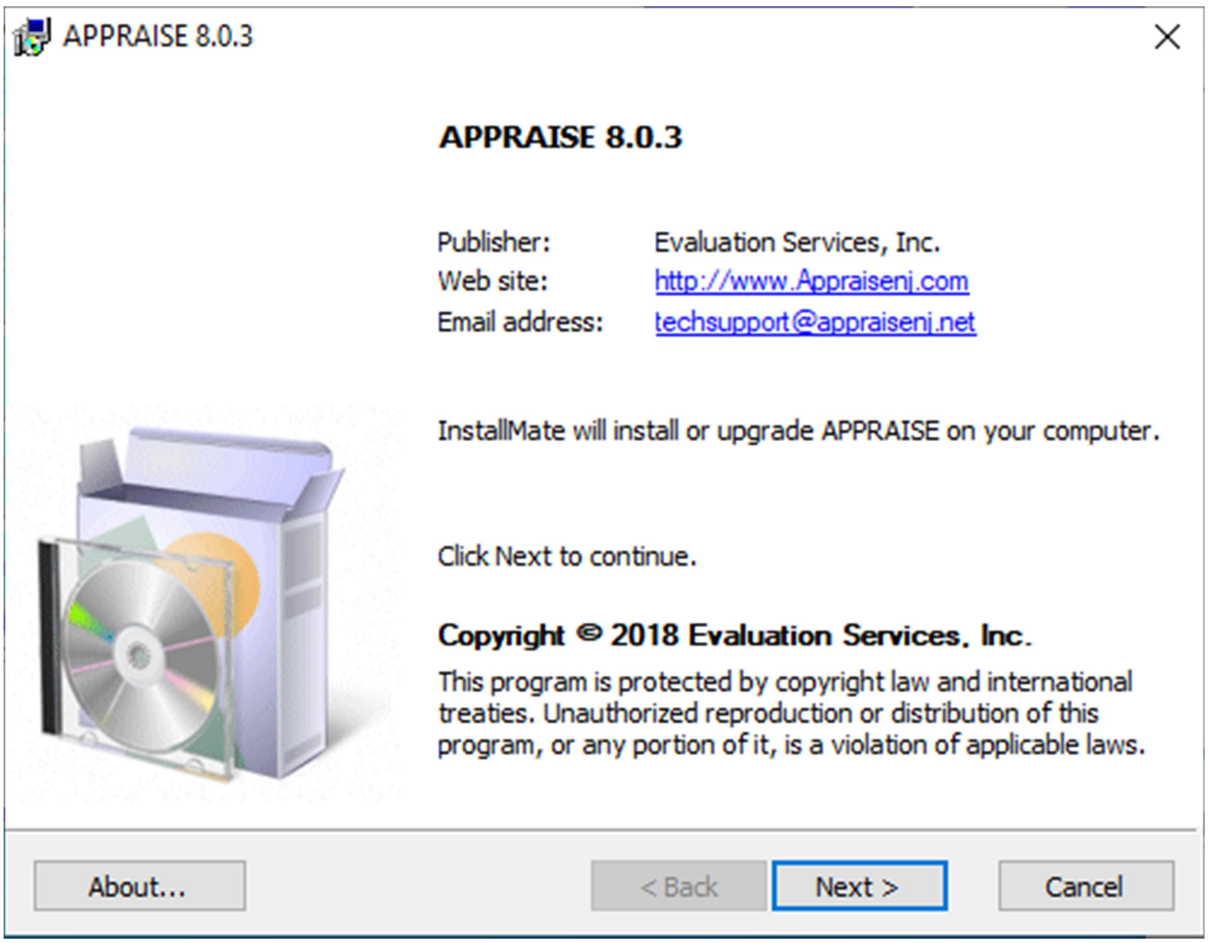

Figure 3 Installer Window

This screen contains version information, contact information for Evaluation Services Incorporated and its technical support, as well as copyright information for the software. Upon clicking the **Next >** button, the user will be brought to a screen where they will select the installation directory for the software.

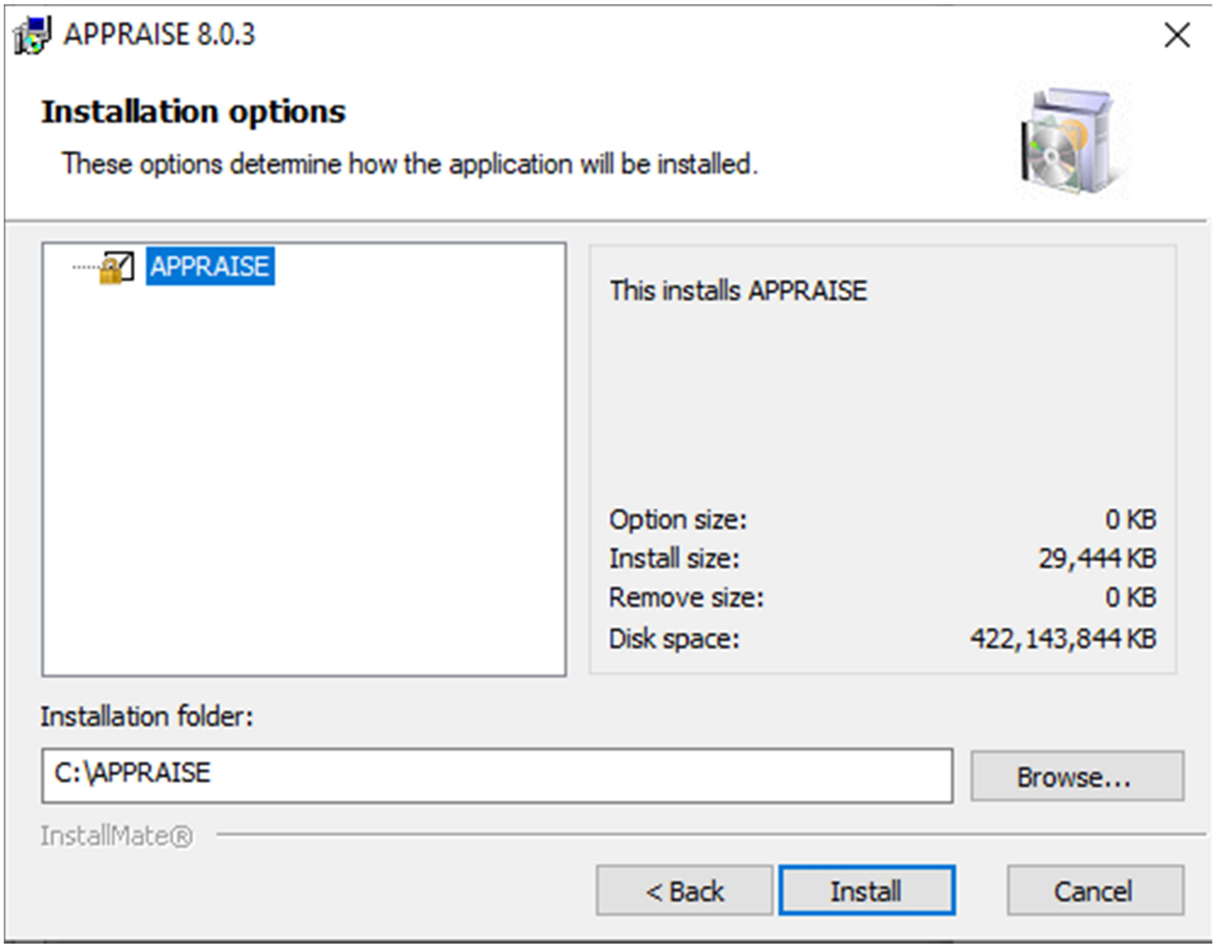

Figure 4 Installation Folder Selection

Users may click the **Browse…** button in order to search through their computer for an alternate install folder location.

Once an install folder has been selected, users may click **Install** to begin the installation process. A progress screen will display to indicate completeness of the process. After a moment the install should complete and display a screen indicating the installation was successful.

Step 2: Users must download an Appraise.exe file obtained through the following link http://newappraiseesi.com/software/appraisetls12.zip .

Click on, drag, and drop the file into the install folder selected in Figure 4. Users will be asked if they would like to replace the pre-existing Appraise.exe file in the install folder. Click the option to replace Appraise.exe. With that file replaced the installation process is complete.

I.C Starting the Application

Once installation has been completed the software can be opened. Users will be presented with APPRAISE's Main Menu.

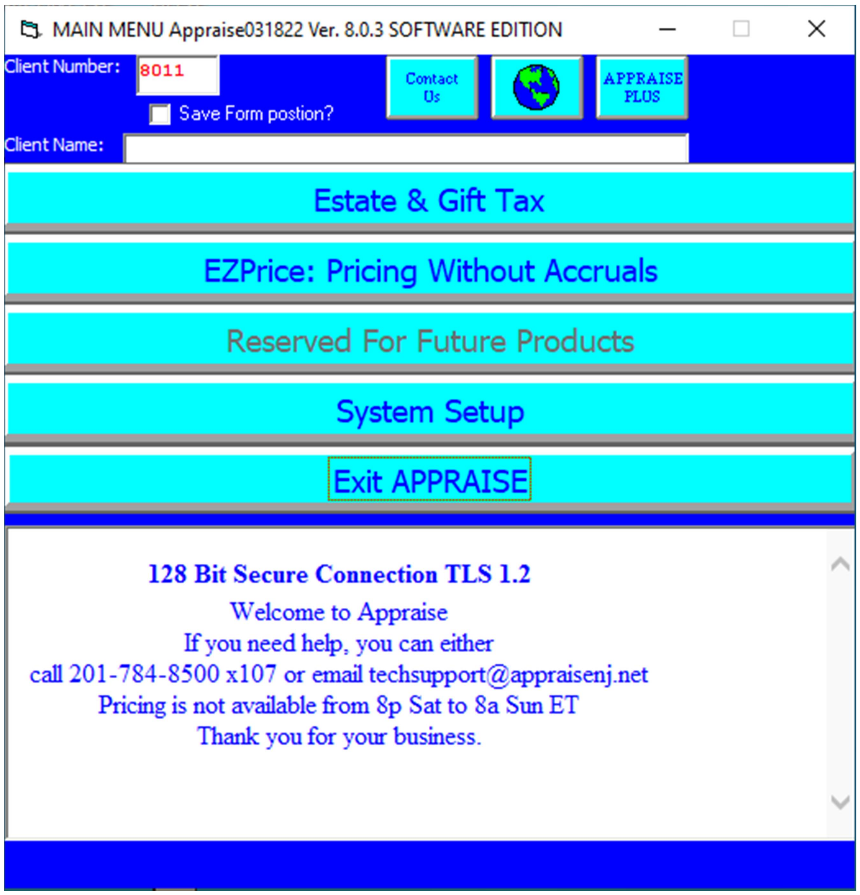

Figure 5 Main Menu

This screen is used to navigate to the three major partitions of the APPRAISE software: **Estate & Gift Tax**, **EZPrice: Pricing without Accruals**, and **System Setup**.

Before diving into the primary function of the software, **Estate & Gift Tax** portfolio creation, click on the **System Setup** partition. This will allow users to perform an initial setup and customize APPRAISE to best suit their needs when creating a portfolio.

II. System Setup

This section of the manual will help familiarize users with the **System Setup** options.

II.A Methodology

The **Methodology** tab in **System Setup** contains options that affect how user input is processed by the application.

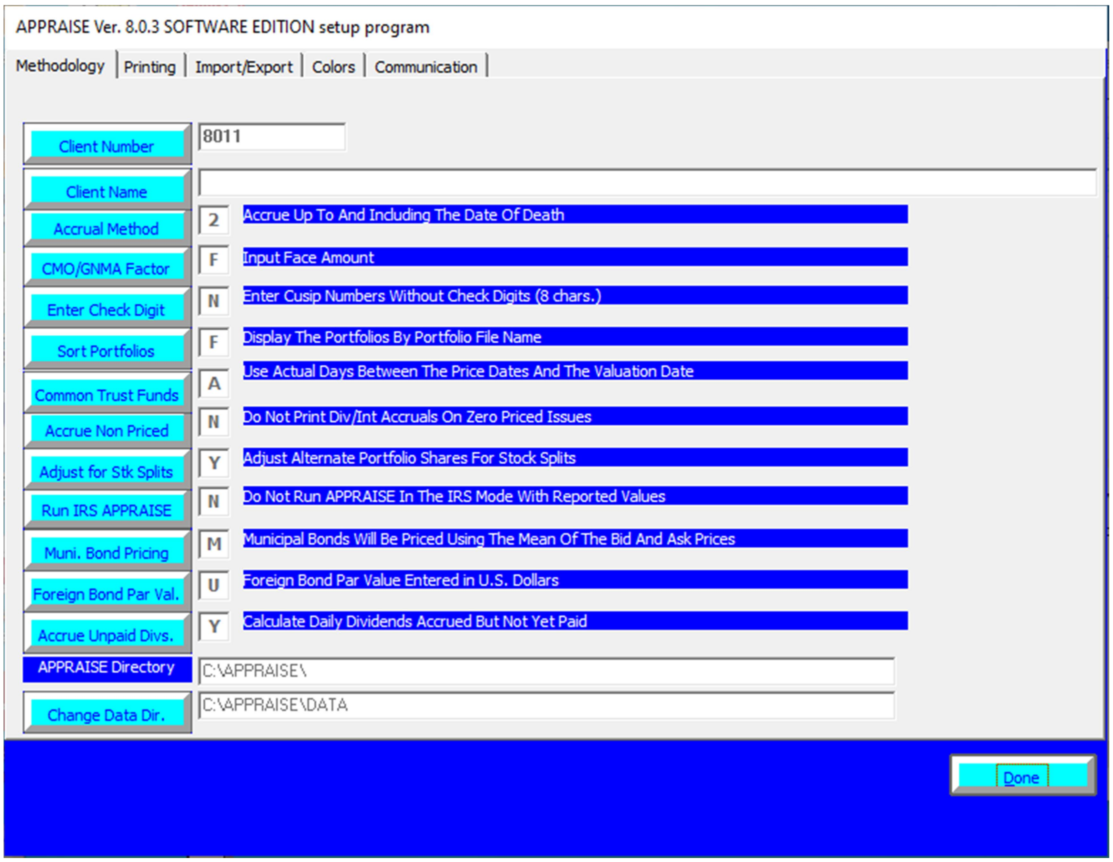

Figure 6 System Setup (Methodology)

II.A.1 Client Number

This is the **Client Number** assigned to this software by Evaluation Services, Inc. It is given to users during the initial setup of the software. It cannot be modified without contacting Evaluation Services, Inc. at (201) 784-8500. Click on the **Client Number** button once a **Client Number** and password have been assigned.

II.A.2 Client Name

The client’s name is the name of the user’s firm and will be printed in the heading of all the APPRAISE reports. Click on the **Client Name** button to add/edit the client’s name until it is correct. Press the **<TAB>** key when the client’s name is correct.

II.A.3 Accrual Method

This option allows users to select one of the two accrual methods.

“1” = Accrue up to but not including the date of death.

“2” = Accrue up to and including the date of death.

II.A.4 CMO/GNMA Factor

This option will allow users to enter the face/par value or the paydown value for a mortgage backed security.

II.A.5 Enter Check Digit

With this option users can select whether to enter a CUSIP number with eight characters or a CUSIP number with nine characters. The ninth character of a CUSIP number is a check for the first eight characters.

II.A.6 Sort Portfolios

This option will determine whether users’ portfolio selections will be displayed using the portfolio name and portfolio code or the estate name. Click on the **Sort Portfolios** button to change this option.

II.A.7 Common Trust Funds

This option will allow users to select either actual days or trade days (week days) when determining the number of days between the valuation date and the pricing dates.

II.A.8 Accrue Non-Priced

This option will allow users to print accruals for non-priced security.

“N” = any non-priced securities will not show or accumulate accrual data

“Y” = print and accumulate accrual data for non-priced securities.

II.A.9 Adjust for Stk Splits

This option will allow users to adjust the shares on an alternate date portfolio for stock splits that occurred between the date of death and the alternate date.

"N" the shares will NOT be adjusted for splits

"Y" will adjust the alternate shares for splits

II.A.10 Run IRS APPRAISE

This option will allow users to enter reported values and reported accruals per security and compare the differences between the actual values and the reported values.

When this option is switched to "Y" a different Main Menu will appear (Figure 6) that will only allow users to create Estate & Gift Tax Portfolios.

Figure 7 IRS Appraise Mode

II.A.11 Muni. Bond Pricing

This option will allow users to select whether municipal bonds will be priced using the mean of the bid and ask prices or just the bid price.

II.A.12 Foreign Bond Par Val.

This option will allow users to select whether Foreign Bond Par Values are entered in U.S. Dollars or their native currency.

II.A.13 Accrue Unpaid Divs.

This option will allow users to select whether to calculate daily dividends that have accrued but have not yet been paid.

II.A.14 APPRAISE Directory

This field contains the installation directory of the APPRAISE software.

II.A.15 Change Data Dir.

This option allows users to change the Data Directory within their installation folder.

II.B Printing

The **Printing** tab in System Setup contains options related to report output formatting.

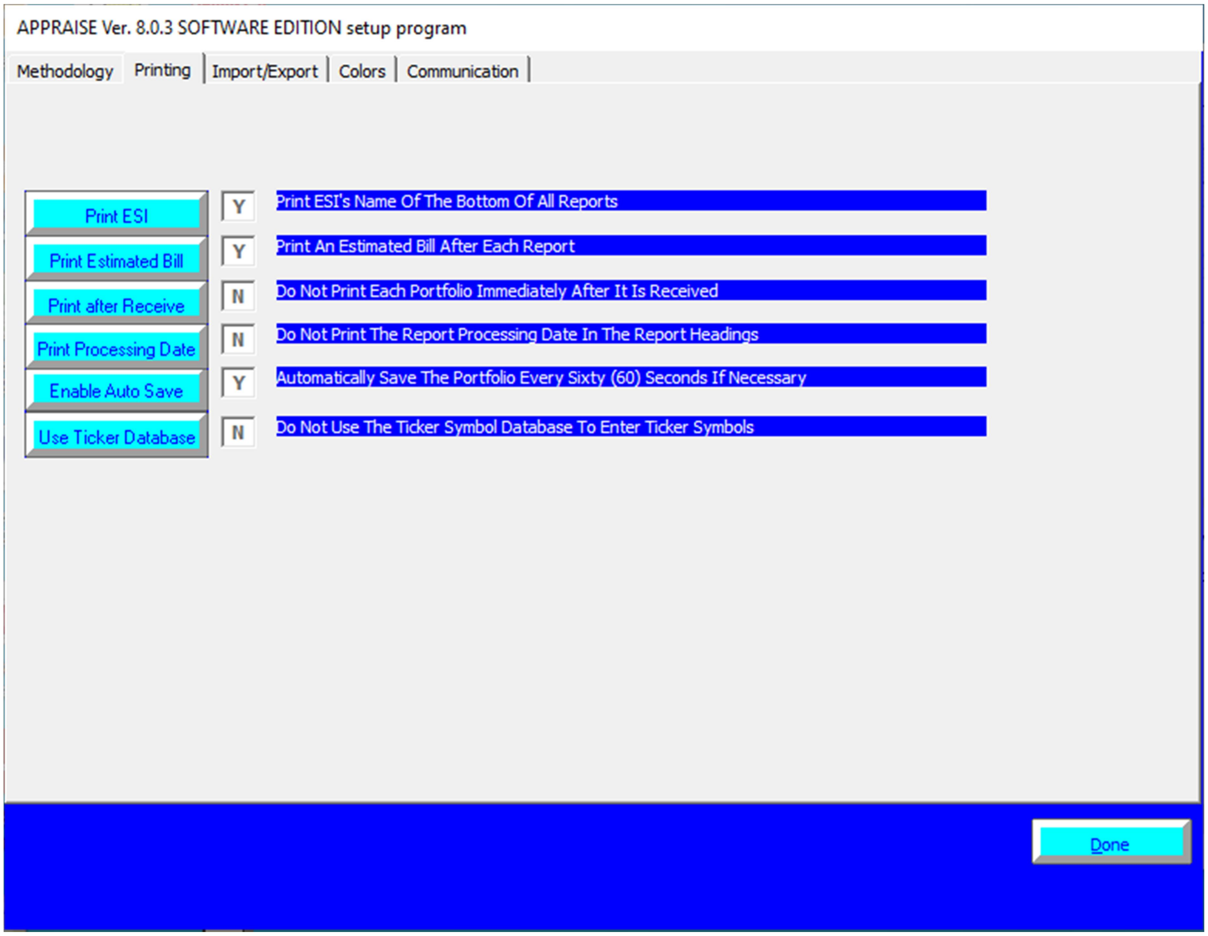

Figure 8 System Setup (Printing)

II.B.1 Print ESI

This option will allow users to select whether the name Evaluation Services, Inc. will be printed on the bottom of all of the APPRAISE reports or not.

II.B.2 Print Estimated Bill

This option will allow users to select whether to print an estimated bill of the charges for the portfolio after the portfolio report is printed or not.

II.B.3 Print after Receive

This option will allow users to print each portfolio immediately after it is received.

II.B.4 Print Processing Date

This option will allow users to print the processing data in the report headings. The processing date is the actual date the report was printed.

II.B.5 Enable Auto Save

This option will allow APPRAISE to automatically save portfolio information every sixty seconds.

II.B.6 Use Ticker Database

This option will allow users to use the Ticker Symbol Database to enter Ticker Symbols for securities.

II.C Import/Export

The **Import/Export** tab in System Setup contains options for importing into or exporting from the APPRAISE software to and from 706 software vendors.

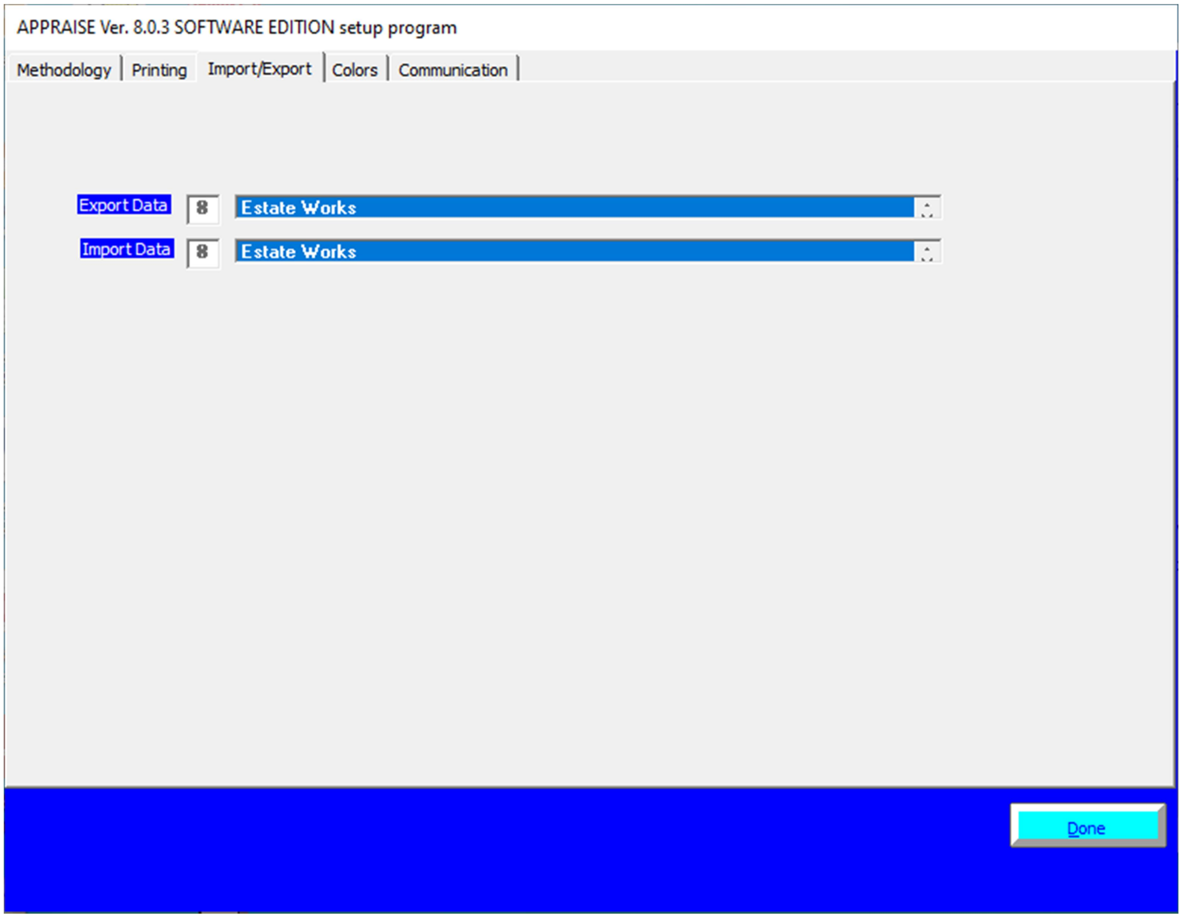

Figure 9 System Setup (Import/Export)

II.C.1 Export/Import Data

Click on the down arrow button to the right of either Import or Export to scroll to the appropriate program. Then, click in the text box to select it.

Both the import and export boxes will change to reflect the new selection.

If any users have another proprietary system that is not included on this list, they can use our "Universal Import Program" to import their CUSIP numbers and shares. This program is described in "VII. Universal Import" on page 61.

II.D Colors

The **Colors** tab in System Setup allows users to customize the appearance of the APPRAISE software.

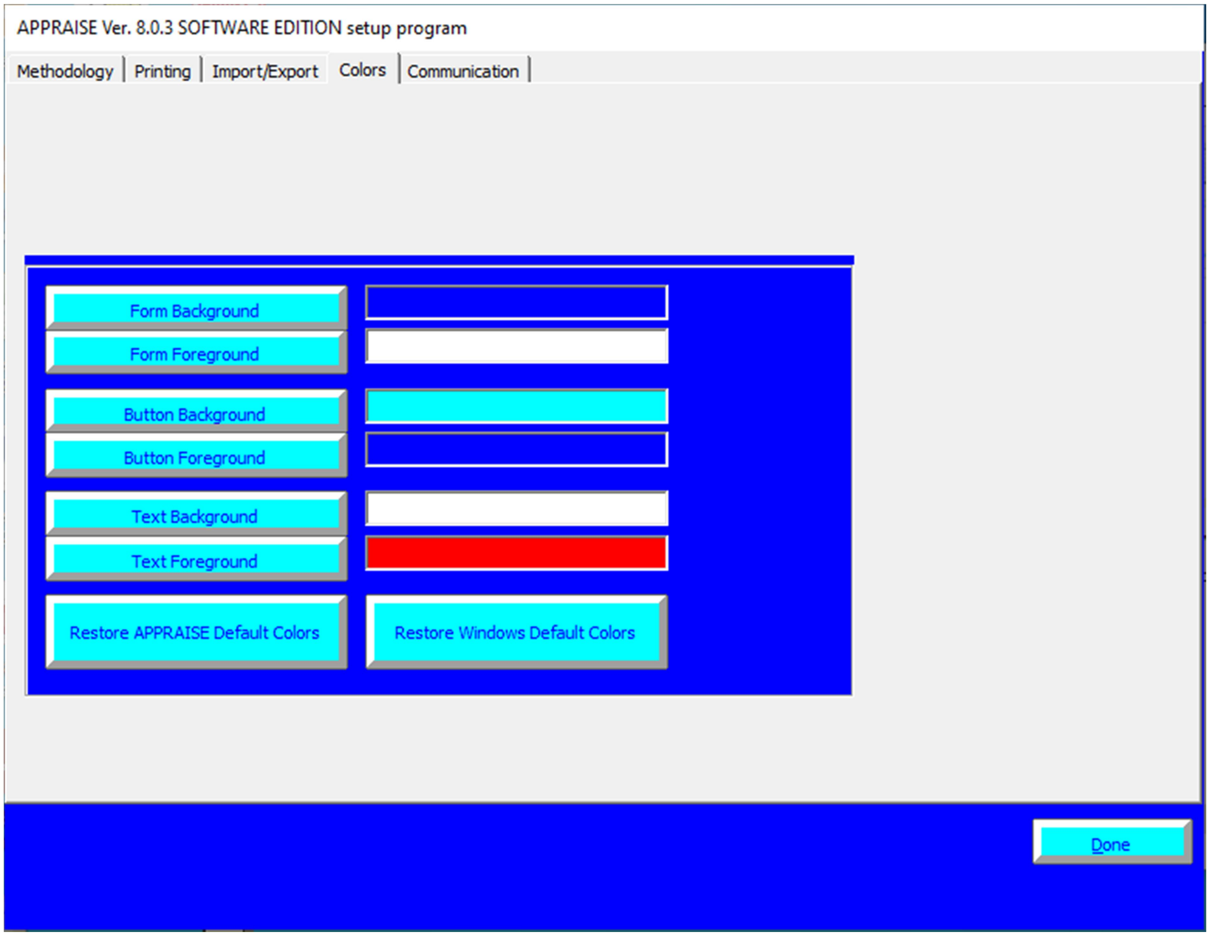

Figure 10 System Setup (Colors)

II.D.1 Form Background

Click on this button to select a color for the background of all FORMS in the APPRAISE program. Be sure not to set the foreground and the background colors to the same color.

II.D.2 Form Foreground

Click on this button to select a color for the foreground of all forms in the APPRAISE program. Be sure not to set the foreground and the background colors to the same color.

II.D.3 Button Background

Click on this button to select a color for the background of all BUTTONS in the APPRAISE program. Be sure not to set the foreground and the background to the same color.

II.D.4 Button Foreground

Click on this button to select a color for the foreground of all BUTTONS in the APPRAISE program. Be sure not to set the foreground and the background to the same color.

II.D.5 Text Background

Click on this button to select a color for the background of all TEXT in the APPRAISE program. Be sure not to set the foreground and the background to the same color.

II.D.6 Text Foreground

Click on this button to select a color for the foreground of all TEXT in the APPRAISE program. Be sure not to set the foreground and the background to the same color.

II.D.7 Restore APPRAISE Default Colors

Click on this button to restore the user interface colors to a standard APPRAISE color scheme.

Forms Background → **Dark Blue**

Forms Foreground → **White**

Buttons Background → **Light Blue**

Buttons Foreground → **Dark Blue**

Text Background → **White**

Text Foreground → **Red**

II.D.8 Restore Windows Default Colors

Click on this button to restore the user interface colors to a standard Windows color scheme.

Forms Background → **Grey**

Forms Foreground → **Black**

Buttons Background → **Grey**

Buttons Foreground → **Black**

Text Background → **White**

Text Foreground → **Black**

II.E Communication

The **Communication** tab in System Setup contains the different means of connection available to access Evaluation Services, Inc.'s servers for pricing.

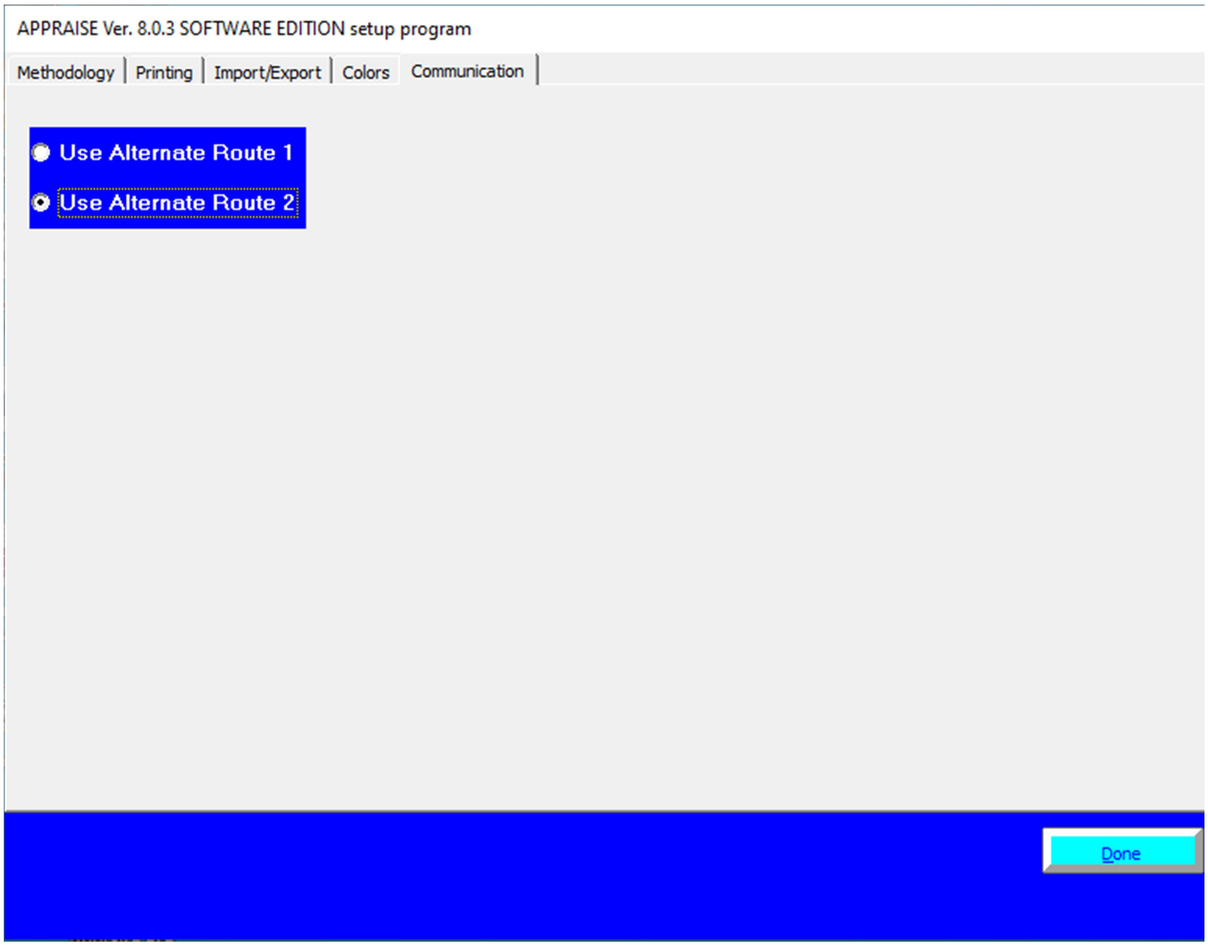

Figure 11 System Setup (Communication)

II.E.1 Use Alternate Route 1

This option allows users to connect to our pricing database through a secure 128-bit HTTPS connection with SSL security.

II.E.2 Use Alternate Route 2

This option allows users to connect to our pricing database through a standard HTTP connection. Only use this option in the event of connectivity issues using Alternate Route 1.

III. User Interface

This section of the manual will help familiarize users with navigating the software's environment. It details various buttons and dropdown menus that are shared between the primary modes of "Estate and Gift Tax" and "EZPrice". Some buttons may be explained in different sections as part of a larger process they are commonly used in association with.

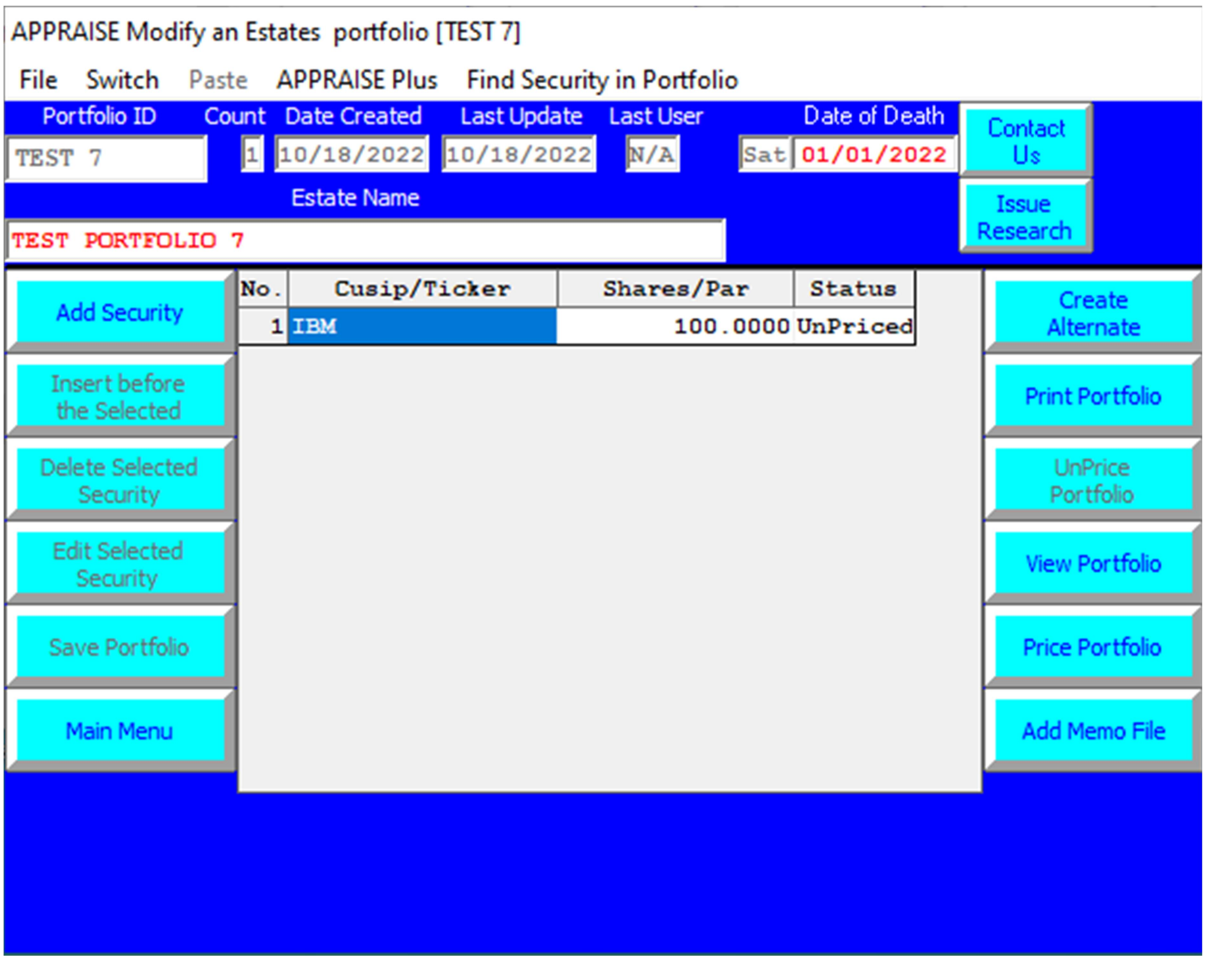

Figure 12 Modify Portfolio Screen

III.A Left Column Buttons

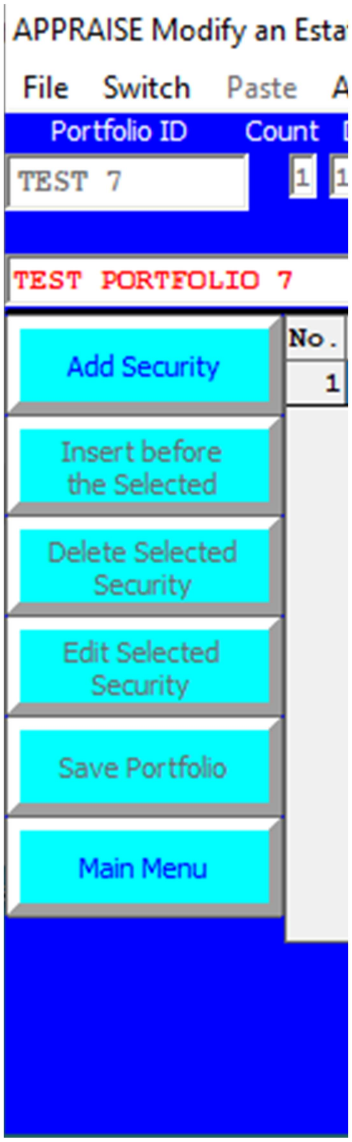

Figure 13 Left Column

III.A.1 Add Security

Click on this button to add a new security to the end of the portfolio.

III.A.2 Insert before Security

Click on this button to insert a new security before the selected security.

III.A.3 Delete Selected Security

Click on this button to delete the selected security from the portfolio.

III.A.4 Edit Selected Security

Click on this button to modify the selected security data.

III.A.5 Save Portfolio

Click on this button to save the portfolio.

III.A.6 Main Menu

Click on the button to return to the main menu.

The "security" related buttons that are grayed out will become active when a security is selected. The **Save Portfolio** button will become active when a change is made to the portfolio.

III.B Right Column Buttons

III.B.1 Create Alternate

Click on this button to create an alternate date portfolio.

III.B.2 Print Portfolio

Click on this button to print this portfolio. This will bring up a secondary window that will be explained more in depth in the "IV.A Create a new Estates portfolio" section on page 26.

III.B.3 UnPrice Portfolio/Security

Click on this button to un-price the entire portfolio. When a specific security is selected this will un-price only the selected security.

III.B.4 View Portfolio

Click on this button to view the portfolio. This will bring up a secondary window (Figure 26).

III.B.5 Price Portfolio

Click on this button to send this portfolio for pricing.

III.B.6 Add Memo File

Click on this button to add a memo file to this portfolio.

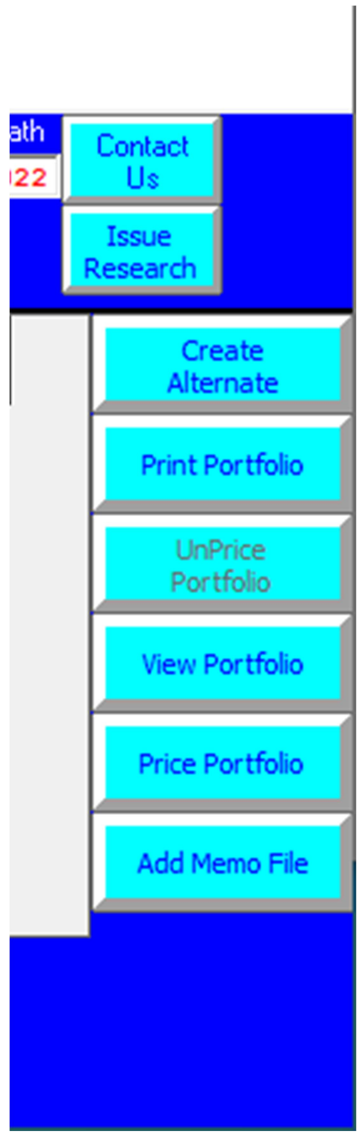

Figure 14 Right Column

The **UnPrice Portfolio** button will become active after the portfolio has been priced. It can also be used to un-price securities individually. When a priced security is selected, **UnPrice Portfolio** changes to **UnPrice Security**. The same is true for the **Price Portfolio** button.

III.C Special Case Main Menu Buttons

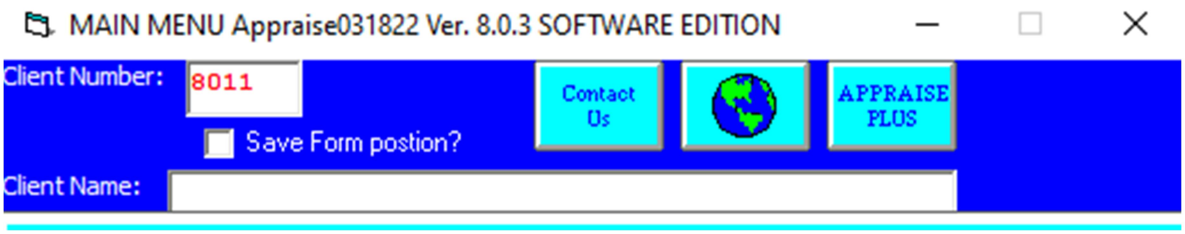

Figure 15 Top Buttons Bar

III.C.1 Save Form Position?

Click on this checkbox to save the position of the APPRAISE software window on the screen. Otherwise it will return to its default position each time it is moved.

IMPORTANT! (Multiple Monitor Users Only)

Be mindful of saving form position on an auxiliary monitor. If the setup reverts to a single monitor and the window position is saved on a monitor the system is no longer using, the window may no longer be visible until that auxiliary monitor is returned to the setup.

III.C.2 Contact Us

Click this button to display a separate window containing contact information for technical support, account management, or feedback.

III.C.3 Globe

This button is located on the Main Menu of the application. Click this to go to the Evaluation Services Inc. website.

III.C.4 Appraise Plus

Click this button to go to the Intercontinental Exchange website. This is used for capital change reporting and cost basis calculations. A separate subscription is required to use this feature.

III.D Dropdown Menus

III.D.1 File

Click on this dropdown menu to display a list of actions including:

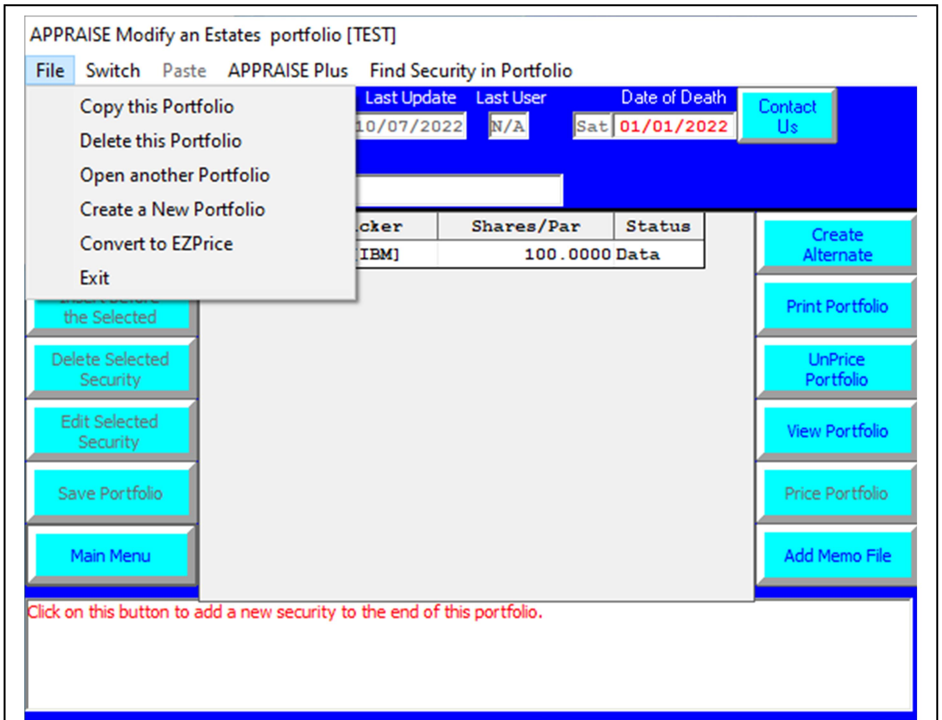

Figure 16 Dropdown Menu (File)

Copy this portfolio – Creates a copy of the current portfolio and prompts users for a new Portfolio ID.

Delete this portfolio – Deletes the current portfolio

Open another Portfolio – Opens another portfolio to modify

Create a New Portfolio – Starts a brand new portfolio creation process

Convert to EZPrice – Converts the current portfolio from a standard Date of Death portfolio to an EZ Price portfolio with no accruals

Export Portfolio to PRN – Exports the current Date of Death portfolio to a .PRN file

Exit – Closes out the application

III.D.2 Switch

Click on this dropdown menu to display a list of portfolio modes to switch between including:

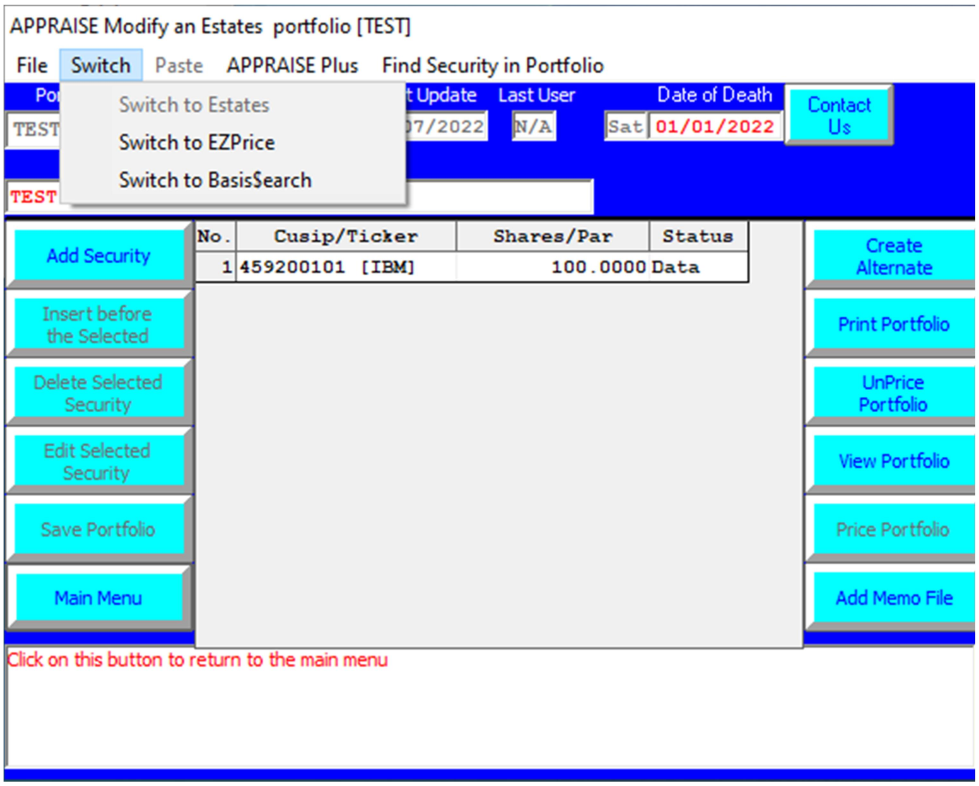

Figure 17 Dropdown Menu (Switch)

Switch to Standard Estates Mode – Only available in EZ Price mode. Closes the current portfolio and opens EZ Price mode.

Switch to EZ Price – Only available in Standard Estates mode. Closes the current portfolio and opens Standard Estates mode.

Switch to Basis$earch – This mode has been deprecated. This will not work.

III.D.3 Paste

A windows default dropdown button. This will not work.

III.D.4 Find Security in Portfolio

This will not work.

IV. Estate and Gift Tax

The primary purpose for the APPRAISE software is the generation of Estate and Gift Tax portfolios.

These portfolios are designed to assist in filling out IRS Form 706.

Once the initial setup has been completed, users can begin generating Date of Death portfolios and Alternate portfolios.

Clicking on the **Estate and Gift Tax** button from the Main Menu will bring users to the Estate and Gift Tax Main Menu, shown below.

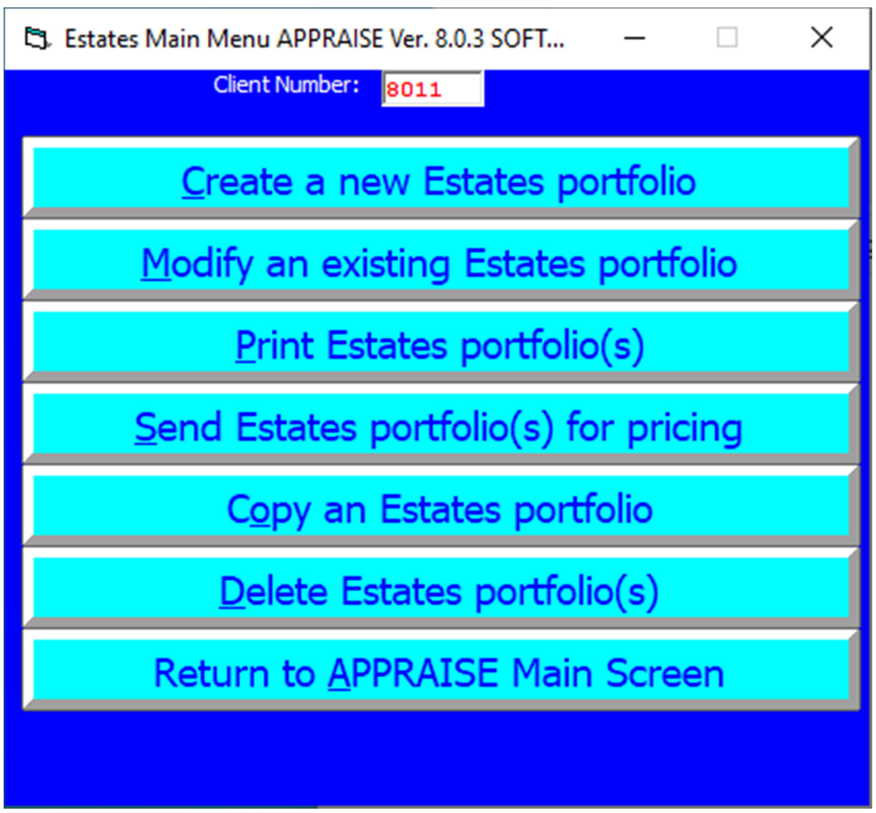

Figure 18 Estate and Gift Tax Menu

“Estates Main Menu” will appear across the top bar along with the minimize, maximize, and close buttons. This signifies that users are in the Estates and Gift Tax mode.

IV.A Create a new Estates portfolio

Users must type in a **Portfolio ID** and a **Date of Death** in order to generate the initial file that contains the Date of Death portfolio. The **Portfolio ID** will be used as the file name, appended with a .D file extension. The **Date of Death** is used to determine the value of securities entered.

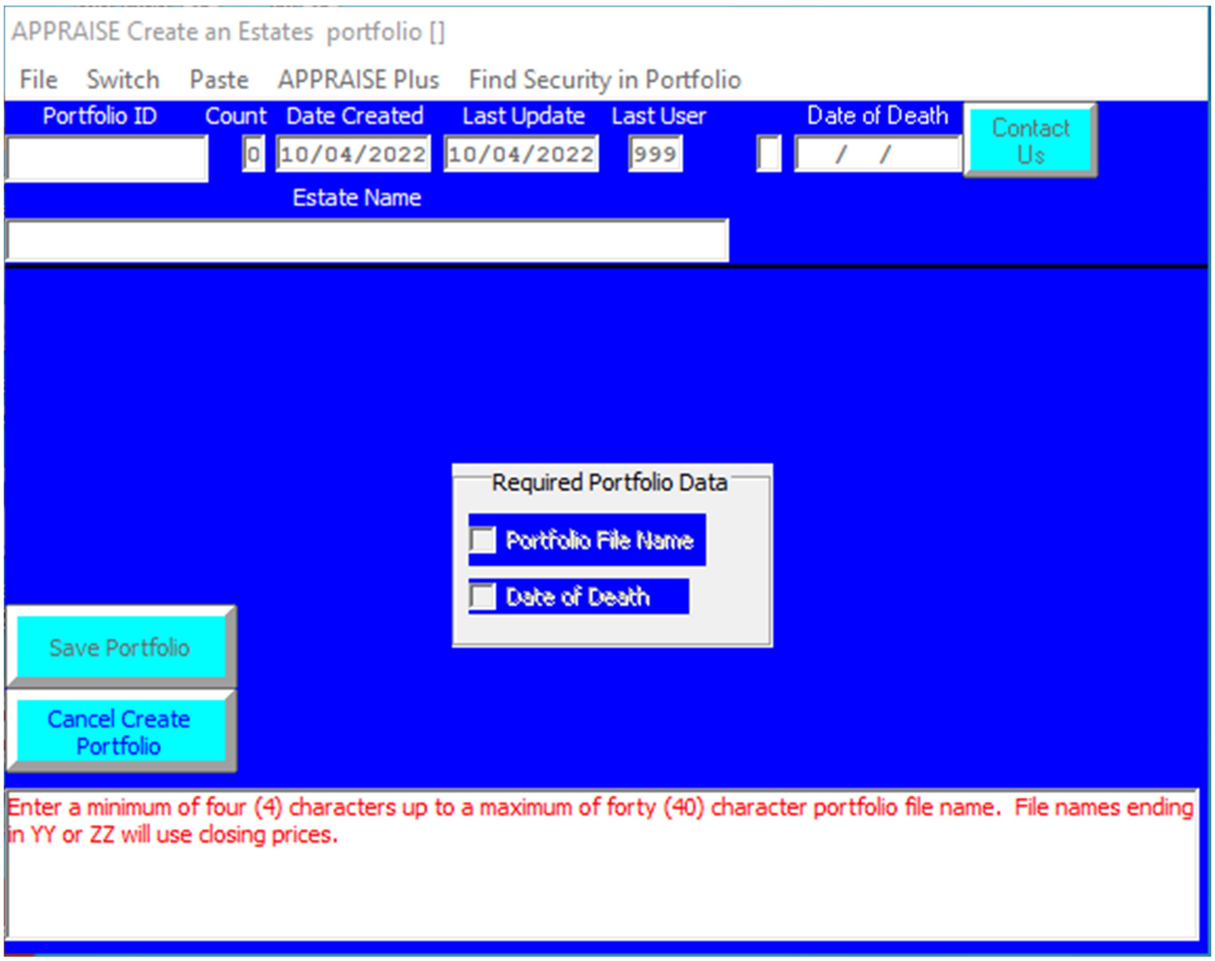

Figure 19 Create Portfolio Screen

While the only required components to generate the initial portfolio file are **Portfolio ID (Portfolio File Name)** and **Date of Death**, it is recommended to assign an **Estate Name** as well. The **Estate Name** is used in the final report as a header.

Once the portfolio has been generated users can enter securities by **CUSIP** number or **Ticker** symbol. A **CUSIP** is a 9-digit identifier for financial securities. A **Ticker** symbol is a 3-5 character abbreviation for financial securities. The 9th digit is automatically generated after 8 digits have been entered and is called a "check" digit. This is used to verify the previous 8 digits.

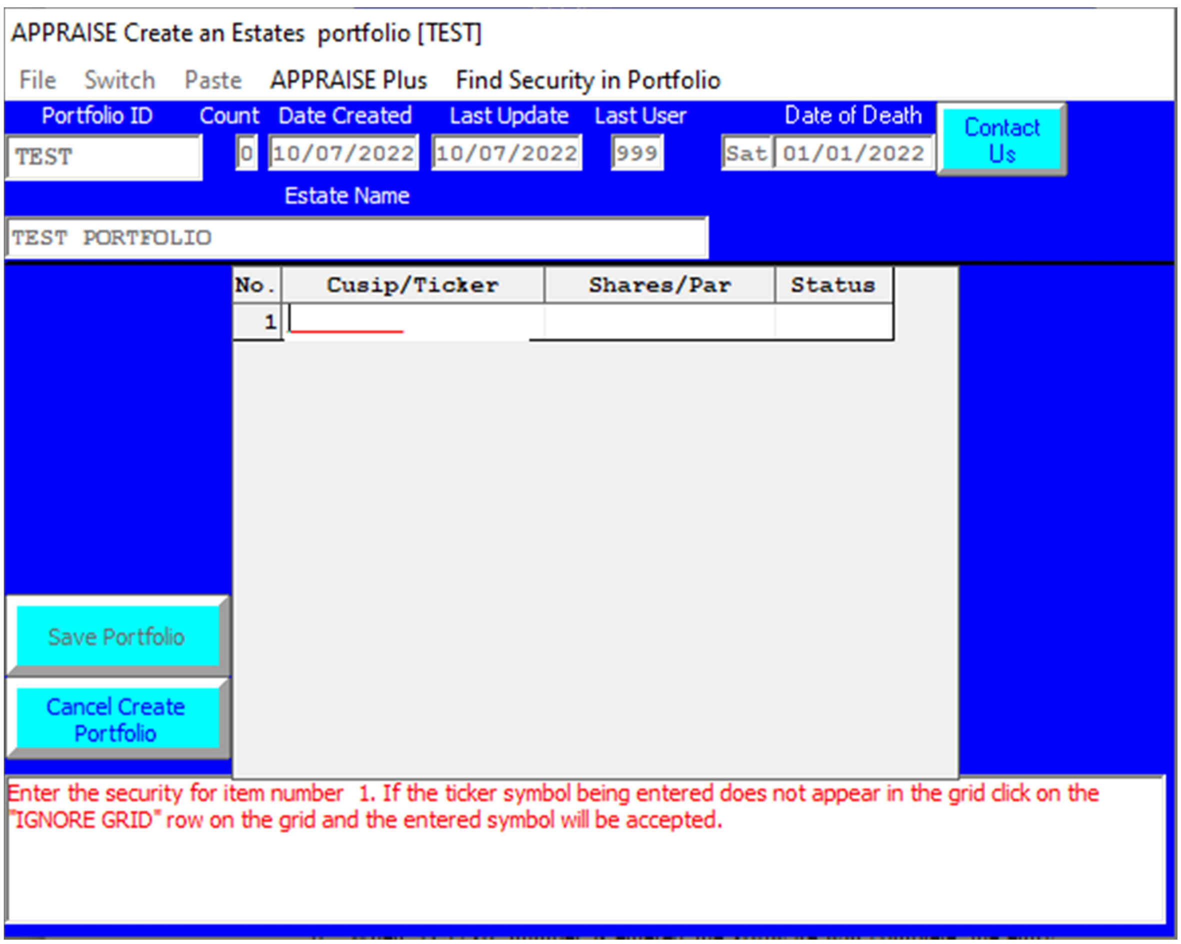

Figure 20 Estate Create Portfolio (Add Security)

A complete security entry consists of both a **CUSIP/Ticker** and a quantity of **Shares** associated with it. Our system uses the security information to allocate tax in accordance with IRS regulations that can be found on our website, http://newappraiseesi.com/IrsReg.aspx.

When a new security is entered or a previously entered security is modified the application will show "UnPriced" in the **Status** column next to the **Shares**. Once the intended quantity of securities has been entered users can click on the **Price Portfolio** button located on the right side.

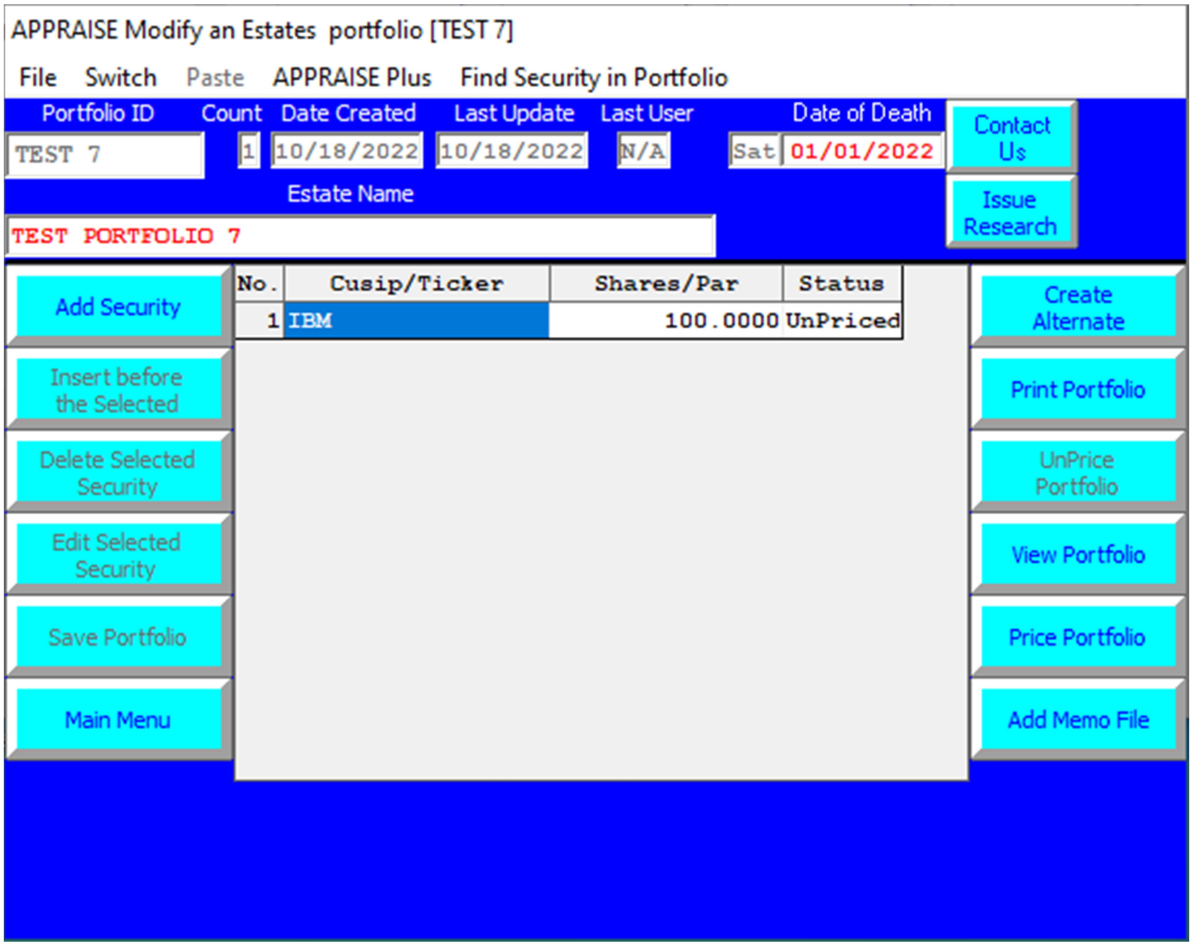

Figure 21 Estate Modify Portfolio Screen

A portfolio needs to price to be considered valid. Pricing sends the portfolio data and its securities to our network. Once the portfolio is sent, our system matches the CUSIPs to a regularly updated security pricelist database. The security and any stock market alterations that would apply are taken in account and the price assigned is multiplied by the shares.

Once the **Price Portfolio** button is pressed the pricing process will begin by opening a review prompt. The "Sending Estates portfolio(s) for pricing" review prompt gives users a summary of the portfolio they just generated.

This prompt displays the **Total Securities** in the portfolio, **Total Priced** quantity of securities, **Total UnPriced** quantity of securities, **Total Portfolios** to send for pricing, and the **Total Securities Sent** (that will be sent) from within those portfolios. Allowing users to verify they entered the appropriate information before pressing the **Send for Pricing** button.

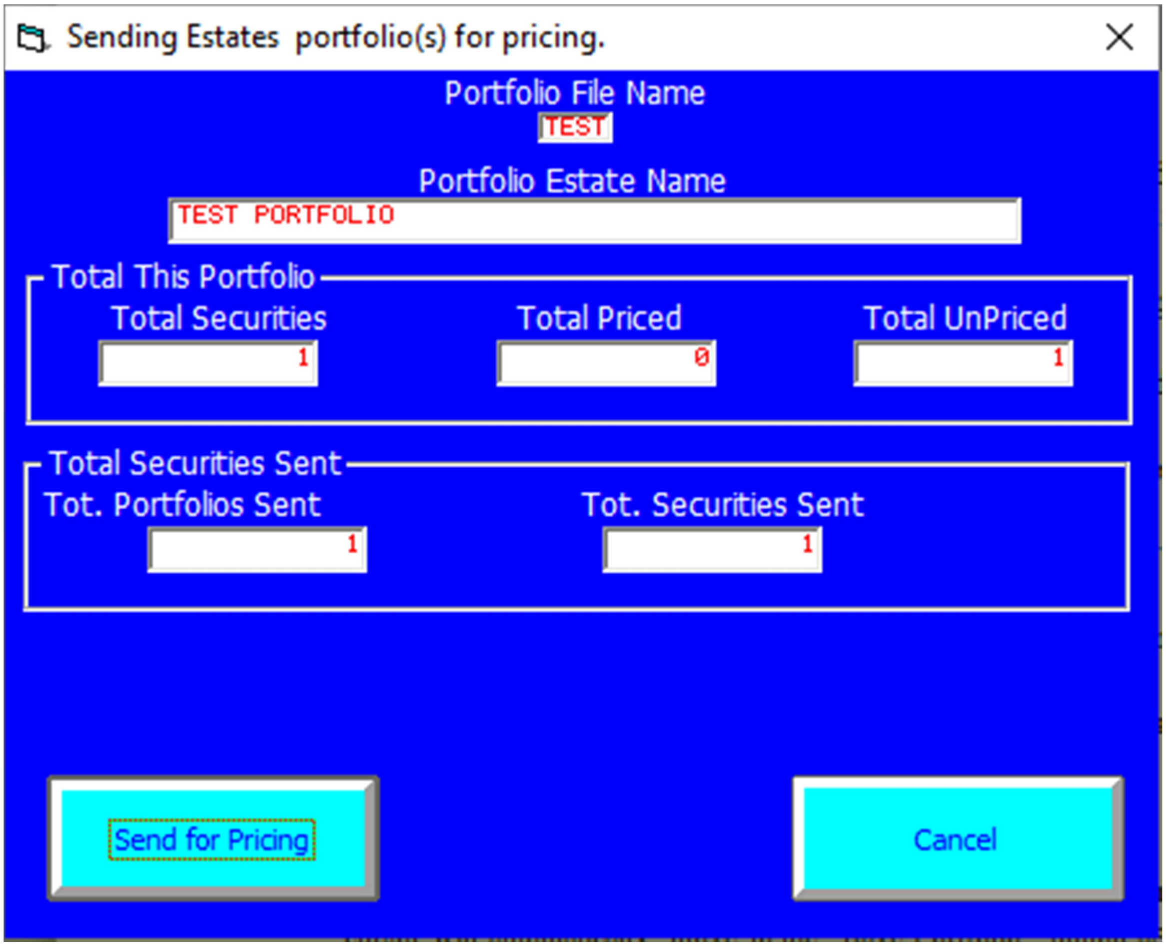

Figure 22 Estate Send Verification Screen

All valid securities will be returned in a "Priced" state while any invalid securities will return either a $0 if there is no pricing information available or an error message stating that the security is invalid.

After the **Send for Pricing** button is pressed the "Sending Issues for Pricing via HTTP" screen will display. This will indicate the status of the "send" to users and illustrate whether the connection is active or not.

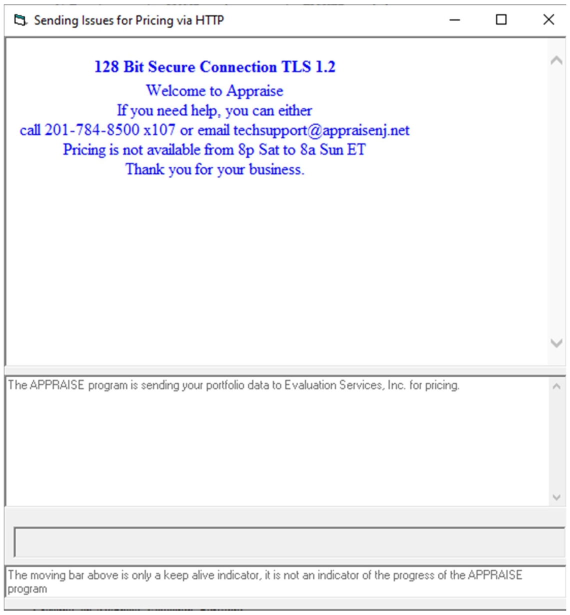

Figure 23 Connection Pending

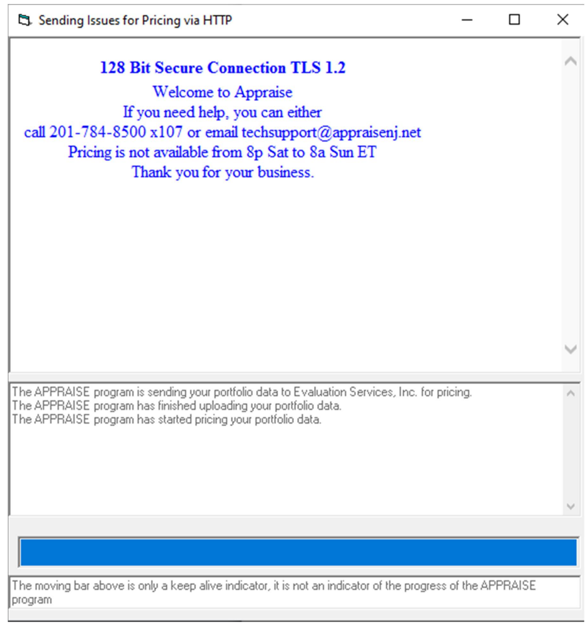

Figure 24 Connection Established

The initial state of the "send" screen will appear as it does in Figure 23. This shows that the APPRAISE program is attempting to connect but has not done so yet.

The bar at the bottom of the screen in Figure 23 will begin to flicker and fill randomly when a connection has been established (Figure 24).

It is important to note that the bar at the bottom of this screen is NOT a status bar. It does NOT indicate completeness of the process. It is only there to indicate that a connection has been established and is ongoing.

When pricing is complete users will be presented with a review screen indicating the success or failure of the "send".

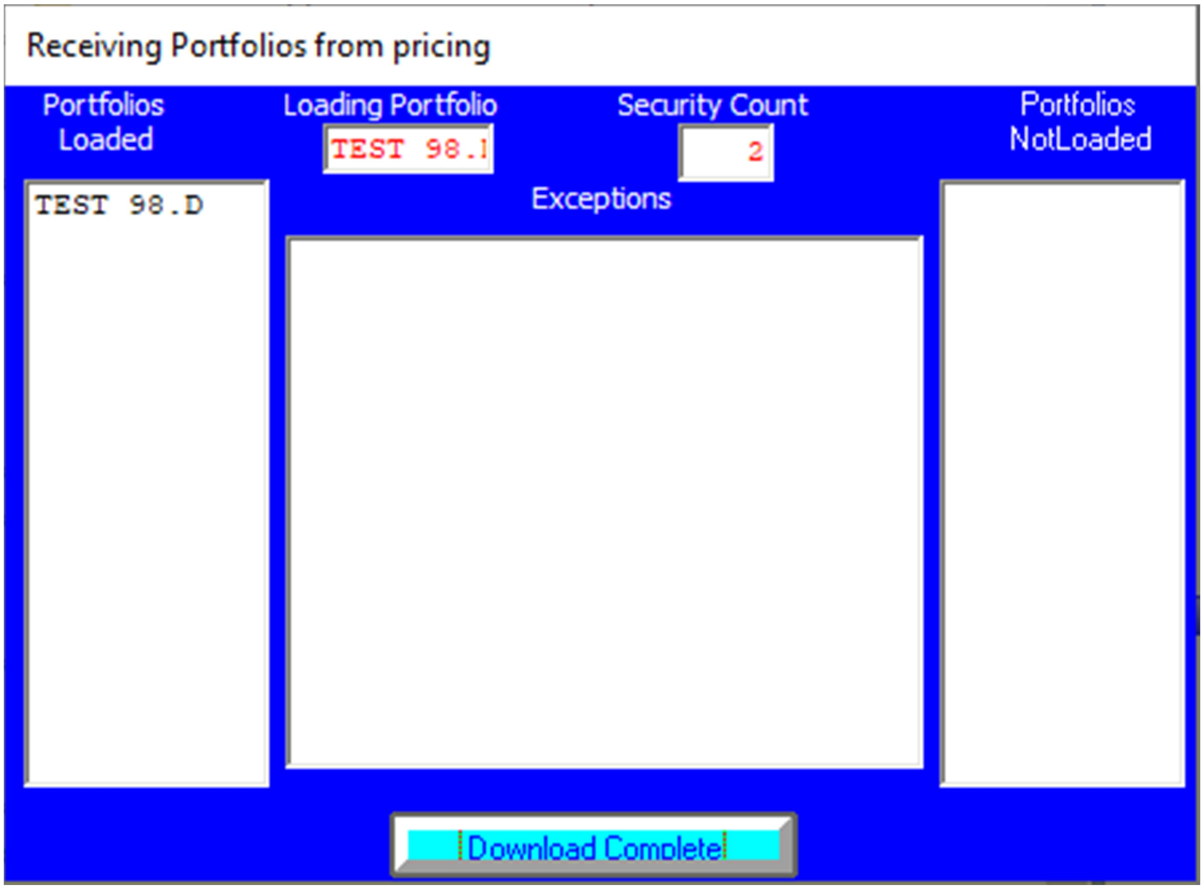

Figure 25 Receive Portfolio from Pricing Screen

This screen depicts several aspects of the portfolio in a similar way that the review prompt did before sending. Users will be able to assess the following:

- Portfolios that were sent (**Portfolios Loaded**)
- Name of the last portfolio sent (**Loading Portfolio**)
- Pricing exceptions or exclusions (**Exceptions**)
- Quantity of securities sent (**Security Count**)
- Portfolios that were unable to be sent (**Portfolios NotLoaded**)

Upon download completion users will be returned to the Portfolio screen in Figure 21 on page 28. All previously "UnPriced" securities should display as "Priced". Users can then click on the **View Portfolio** button located on the right side button bar. This will present them with a completed Date of Death report as seen below.

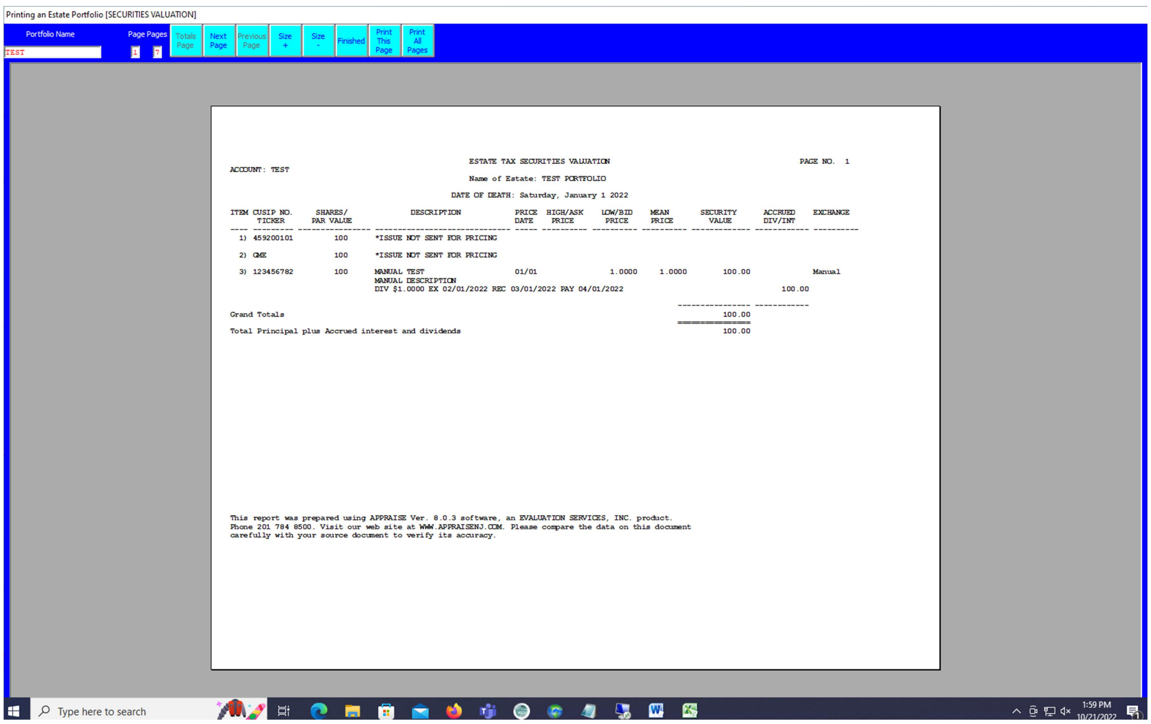

Figure 26 View Portfolio Screen

As was mentioned on page 26, **Portfolio ID** (Account), **Date of Death**, and **Estate Name** (Name of Estate) have all been applied to the report.

This report will contain a full breakdown of any information entered into the portfolio. It will provide a detailed list of the securities with descriptions, their quantities, a total price sum, any security transactional data[1] entered (i.e.: stock split, company merger), and any accrual data allocated when the securities are sent for pricing.

Securities not sent for pricing will contain a description indicating that they were not sent.

Manually entered price information will display as a "MANUAL" exchange.

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[1] Transactional data only applies to Alternate Portfolios which will be covered in another section.

IV.A.1 Printing a Portfolio, Exporting to PDF, Exporting to an Excel file

Once a portfolio has been completed, users may wish to print that portfolio. This can be done by clicking on the **Print Portfolio** button located on the right side button bar in the Modify screen ("III.B Right Column Buttons" on page 21).

This will bring up a separate window where users can select their print settings. When the settings have been changed and **Print** has been clicked, Appraise will ask users if they would like to save the new settings as the default print settings.

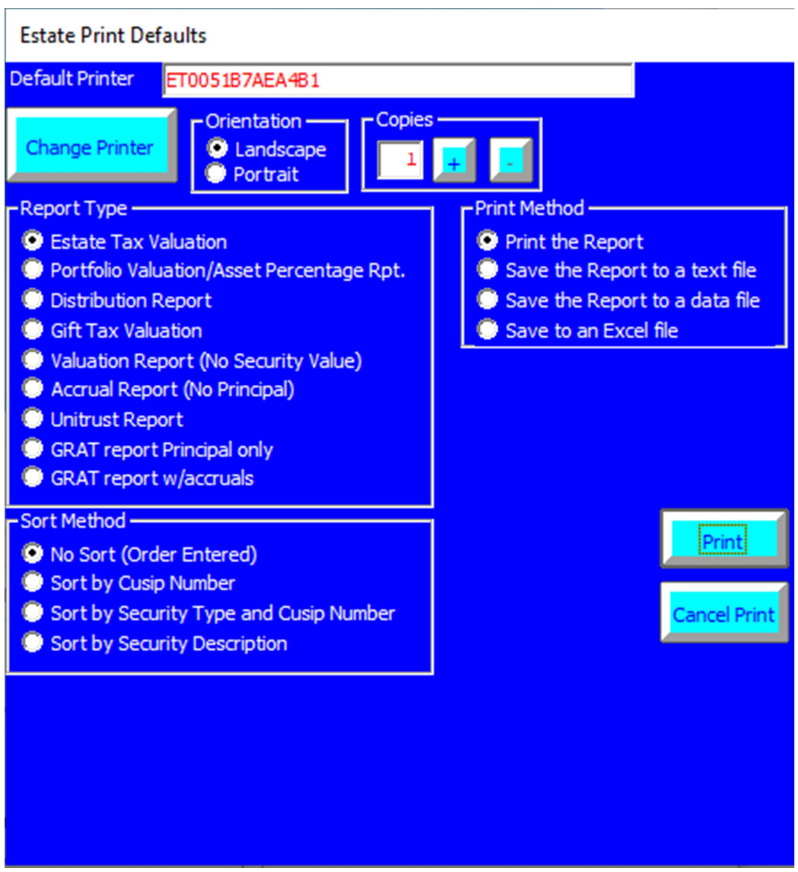

Figure 27 Estate Print Defaults

Default Printer - This is the computer's default printer. This can be changed by clicking on the **Change Printer** button.

Change Printer – Clicking this button will allow users to change the default printer displayed in the **Default Printer** box. When this is clicked, the default printer text box will change to include up and down “option cycle” buttons on the right side. The text box will also become highlighted to reflect the currently selected printer option.

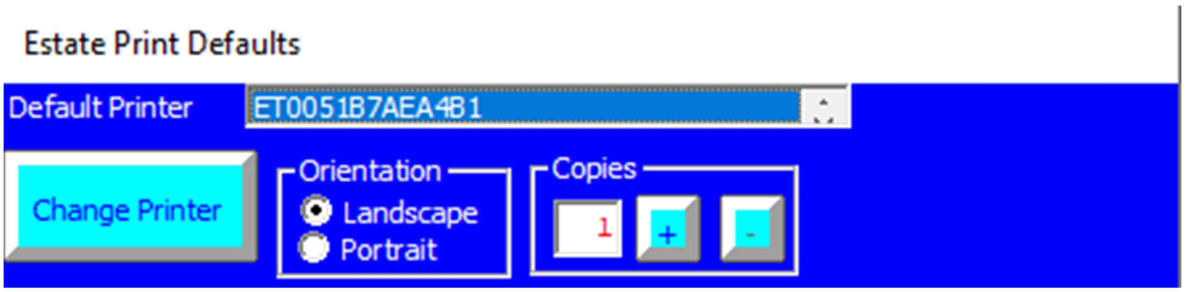

Figure 28 Change Printer (Selected)

Users who wish to export their portfolio report to a PDF can do so by cycling to the “Microsoft Print to PDF” option and clicking on the text in the box to highlight it, thereby selecting it.

IMPORTANT!

If users do not click on the text in the **Default Printer** box when choosing a new printer option, the option will not be selected.

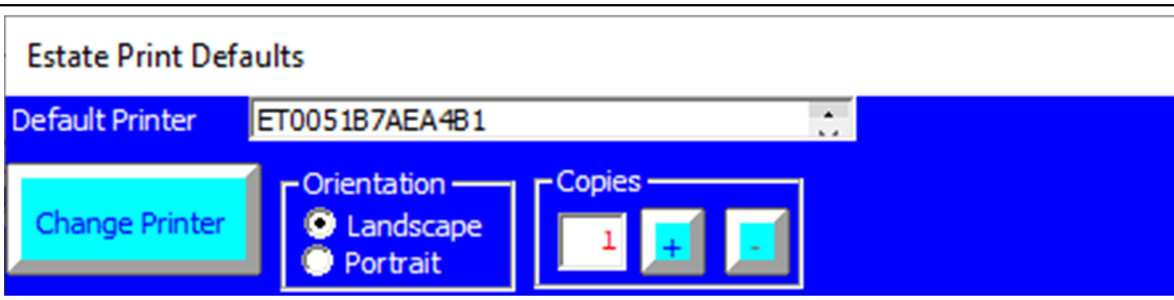

Figure 29 Change Printer (Not Selected)

The printer setting chosen in Figure 29 will not be selected because the box has not been highlighted. The printer setting chosen in Figure 28 will be saved as it has been highlighted.

Orientation – Print orientation may be set to either Landscape or Portfolio

Copies – Select the number of copies to be printed

Report Type – Change the type of report that will be printed when a portfolio is printed

Sort Method – Change the method used to sort security entries in the printed portfolio report

Print Method

Users can choose from the following methods of output:

Print the Report – default print method, prints to the selected **Default Printer**

Save the Report to a text file – saves the report as a text file with the same name as the portfolio, in the same directory, with extension .DUT

Save the Report to a data file - saves the report as a data file with the same name as the portfolio, in the same directory, with extension .DDT

Save to an Excel file - saves the report as an excel spreadsheet file with the same name as the portfolio, in the same directory, with extension .xls

IV.B Creating an Alternate Estates Portfolio

Once a Date of Death portfolio has been created, users can press the **Create Alternate** button. This will copy over the information from the Date of Death portfolio (.D file) and deposit it into a new .A file. This file will be located in the same folder as the .D file.

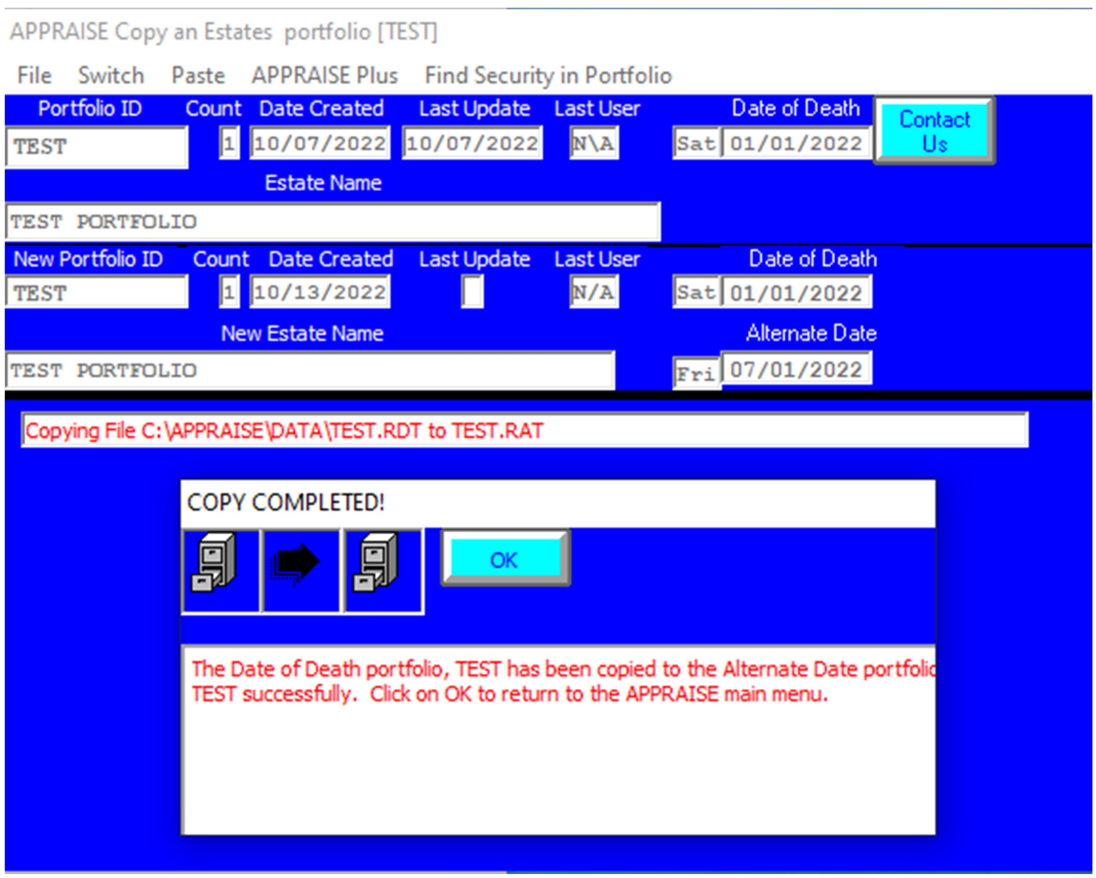

Figure 30 Estate Create Alternate Screen

Users will be shown a "COPY COMPLETED" screen when the process has finished.

Once copied over, the Alternate Date will default to 6 months after the Date of Death. This can be altered in the Modify screen. Two new buttons will appear in the portfolio Modify screen at the top right, **Switch to DoD Portfolio** and **Sales, Mergers, Etc**.

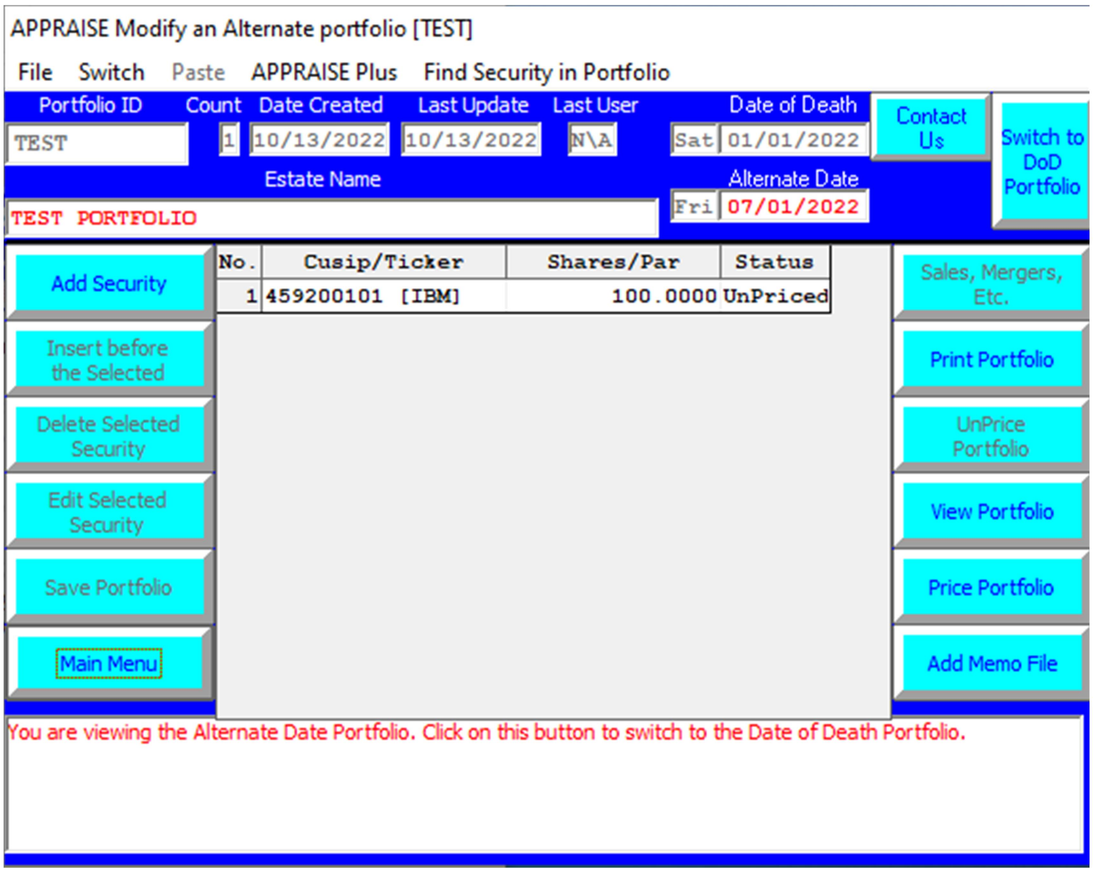

Figure 31 Estate Modify Alternate

IV.B.1 Switch to DoD Portfolio

Click on this button to switch back and forth between a Date of Death Portfolio and its corresponding Alternate Portfolio. This button will only appear when a Date of Death Portfolio has a corresponding Alternate Portfolio. When in an alternate portfolio the button will display as **Switch to DoD Portfolio**. When in a Date of Death portfolio the button will display **Switch to Alt Portfolio**.

IV.B.2 Sales, Mergers, Etc (Alternate Transactions)

Transactions such as sales, mergers, and etcetera can occur between the Date of Death and the Alternate Valuation dates. These can be accounted for using the **Sales, Mergers, Etc** button located at the top right of the window under **Switch to DoD Portfolio**.

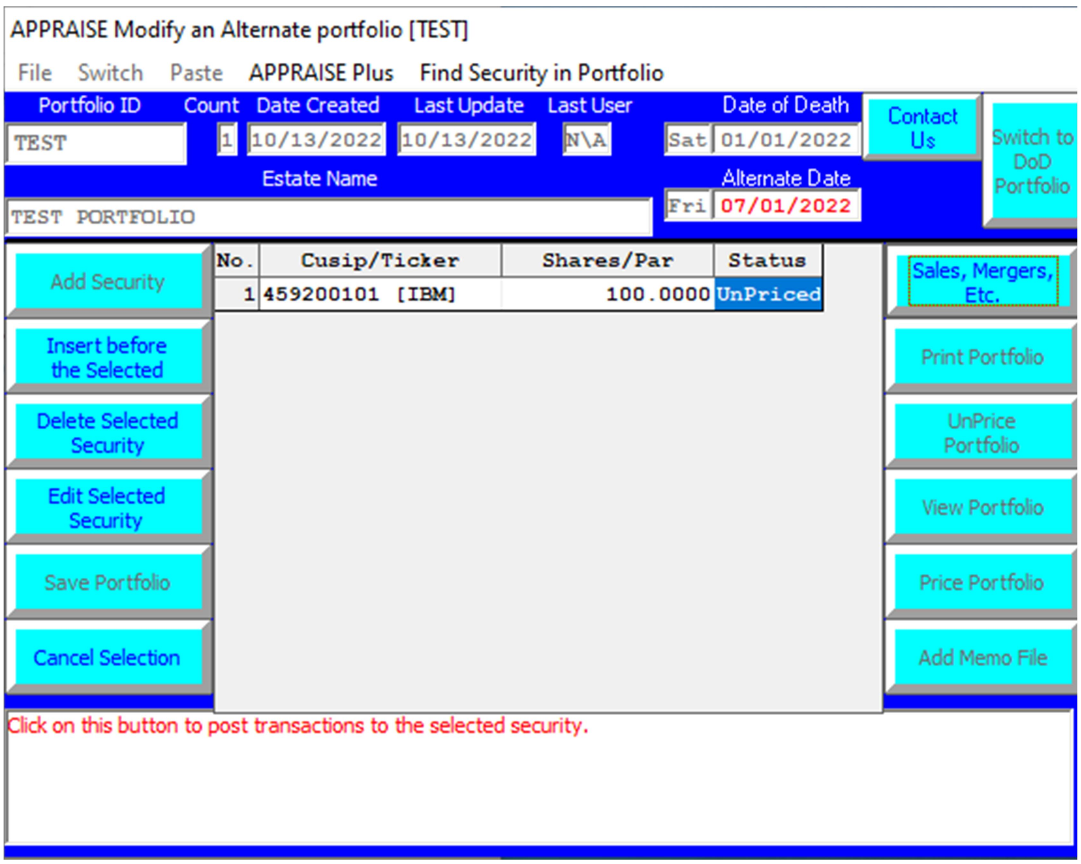

Figure 32 Estate Modify Alternate (Security Selected)

Select any field on the security that a transaction should be applied to and click on the **Sales, Mergers, Etc** button to be presented with the Alternate Inventory Transactions screen.

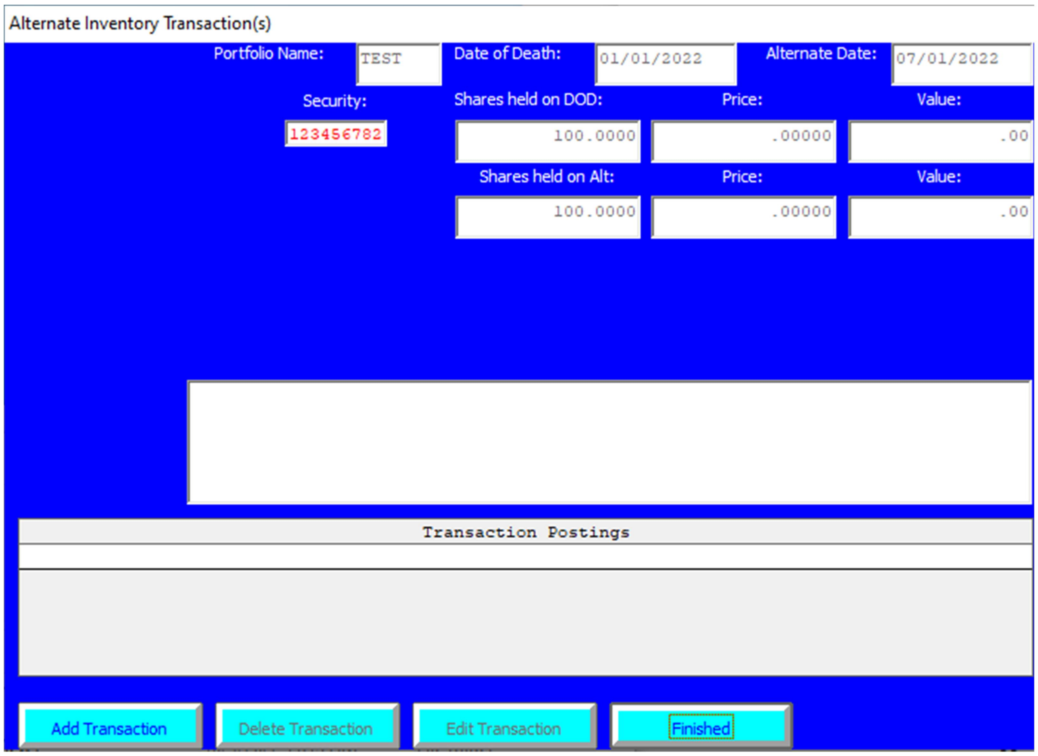

Figure 33 Estate Alternate Transaction Screen

In order to apply a transaction to a security, users must have the following information:

- **Transaction Type** (Sale, Merger, Spin-off, etc)
- **Date of Transaction**
- **Quantity of Shares** for the transaction
- *EITHER* **Price per Share** *OR* **Total Transaction Value** (Proceeds)

Inputting to either the **Price per share** or the **Total Transaction Value** field will result in the other field being populated based on the information entered.

Ex: **Transaction Type** - Sale

Date of Transaction – 05/10/22

Quantity of Shares - 50

Price per Share – Unknown (will populate with $100 based on $5000 TTV)

Total Transaction Value - $5000

Click **Add Transaction** located in the bottom left corner to begin the process. Users will be presented with a list of **Transaction Types** on the left hand side of the window. Click on the desired **Transaction Type.** Notice that each subsequent input field appears when the previous field has been populated.

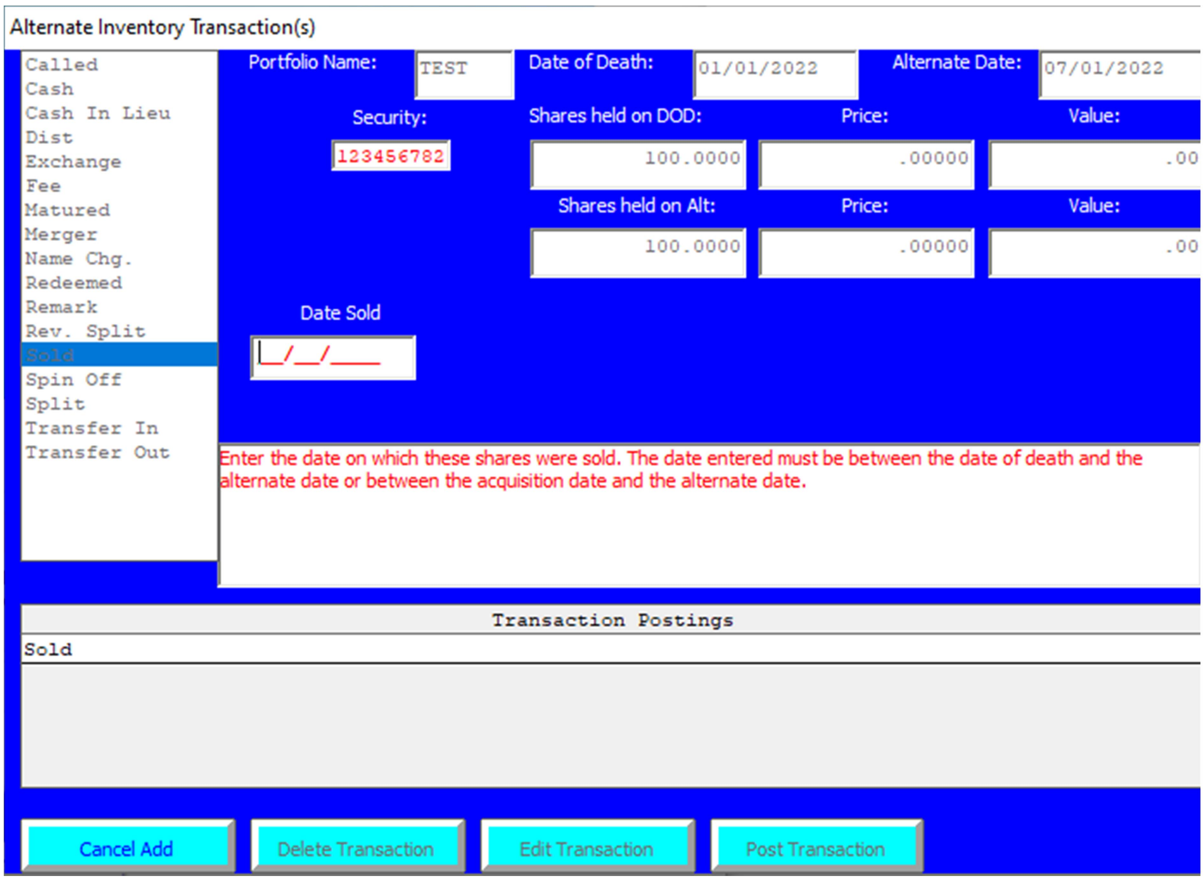

Figure 34 Estate Alternate Transaction (Date)

Next, users must enter the **Date Sold** (this will change based on the **Transaction Type, i.e. Merger Date**).

Then, users must input **Share Quantity**.

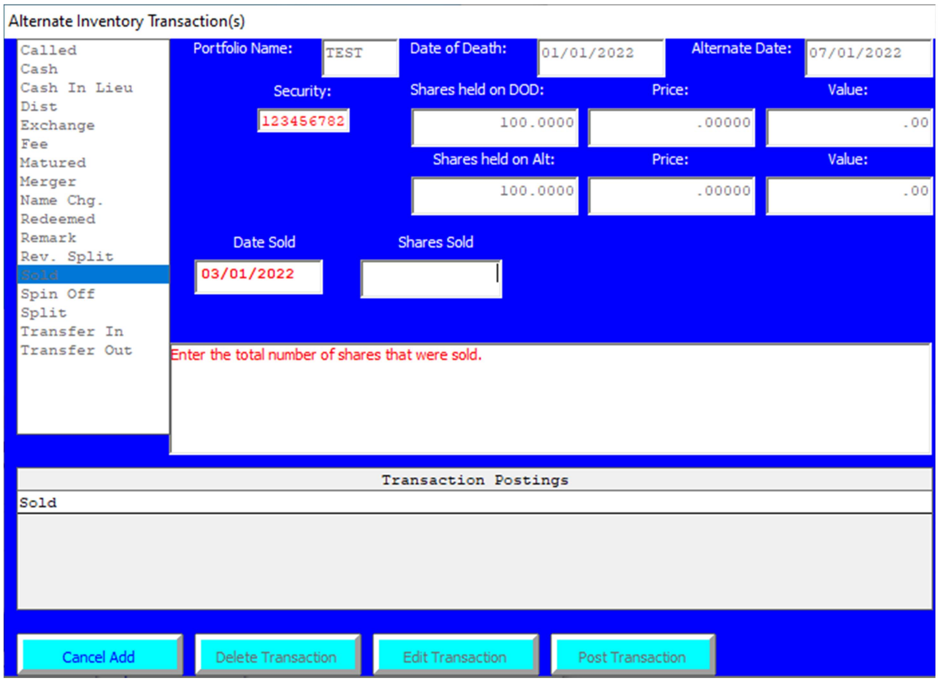

Figure 35 Estate Alternate Transaction (Shares)

Users must input *EITHER* **Price per Share** *OR* **Total Transaction Value**. Press the **<TAB>** key to move to the **Total Transaction Value** field.

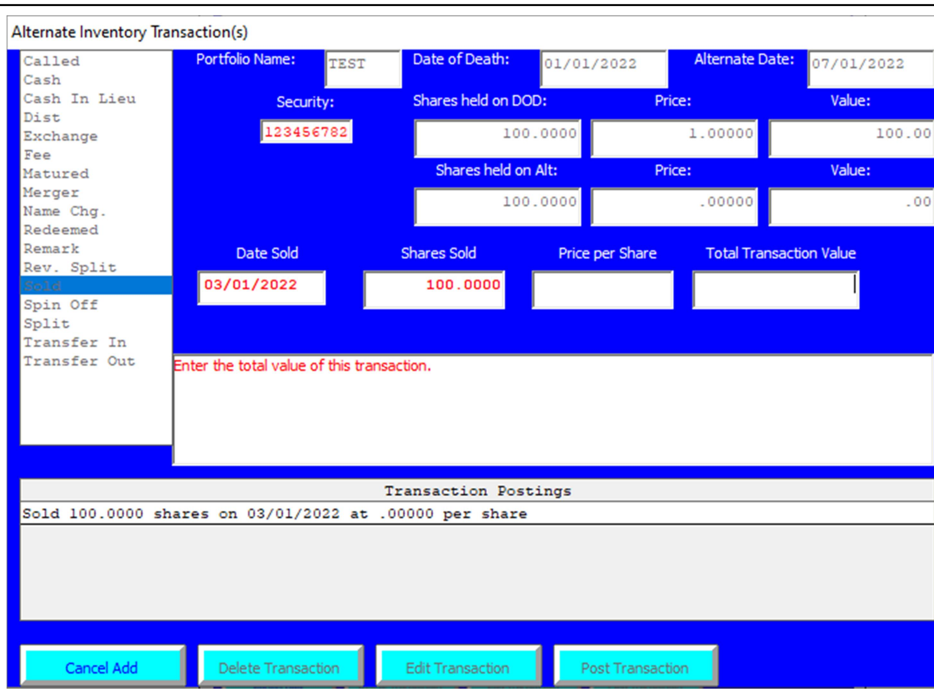

Figure 36 Estate Alternate Transactions (Share Price or Total Price)

Once all four of the required fields have been populated, users can click on **Post Transaction** to save their input and apply the transaction to the security.

Best Practice: Any security that will have a “Spin-off” **Transaction** Type applied to it in the Alternate should be input as the last security on the portfolio.

This should prevent any possible sequencing errors when the “Spin-off” generates a new security line after the “Spin-off” security in the portfolio.

IV.C Modify an existing Estates portfolio

Users can search saved portfolios by clicking on the **Modify an existing Estates portfolio** button in the "Estate and Gift Tax" Main Menu. This is most commonly used to review previously completed portfolios or for larger portfolios that require multiple sessions to complete.

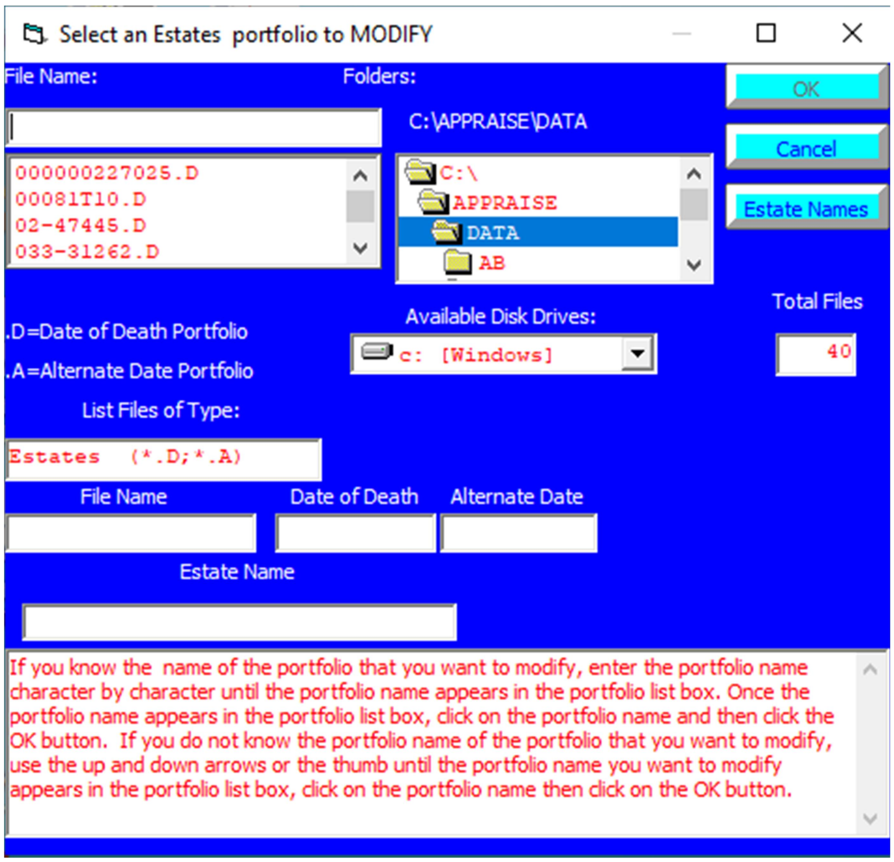

Figure 37 Estate Modify Select

Only .D (Estates) and .A (Alternate) files will be visible in this mode. Both Date of Death and Alternate portfolios are searchable in this mode. Portfolios are organized and searched by **File Name** with the extension .D for Date of Death and .A for Alternate Date in the top left box.

The **Available Disk Drives** selection should default to the disk drive which Appraise was installed in. It is inadvisable to change this as all of Appraise's files are automatically saved in the designated "DATA" directory chosen in **System Setup** and will only appear elsewhere if moved by users.

Users must select the appropriate subfolder in the top right box to display and search files from that subfolder. Only the files in the folder selected in the top right box will display. The total files contained in the selected folder are displayed in the **Total Files** box.

With the appropriate **Disk Drive** and **Folder/Subfolder** selected, start typing in the desired **File Name** and Appraise will attempt to predict which portfolio is being requested.

Example: Typing in "000" will narrow down the search and display only portfolios containing "000" as the first three characters, from left to right, of the **File Name**.

Alternatively, clicking on the **Estate Names** button in the top right will allow users to search by **Estate Name** as opposed to **File Name**.

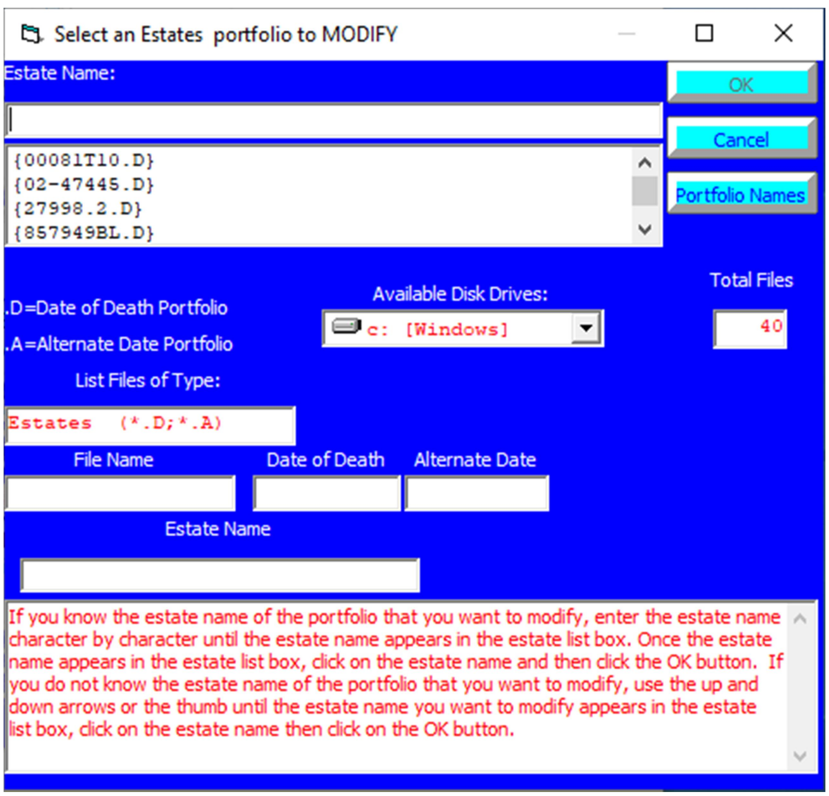

Figure 38 Estate Modify Select Estate Name

When a file is selected the **File Name**, **Date of Death**, **Alternate Date** (if applicable), and **Estate Name** are displayed in the corresponding boxes. Users can click the **OK** button to proceed to the selected portfolio.

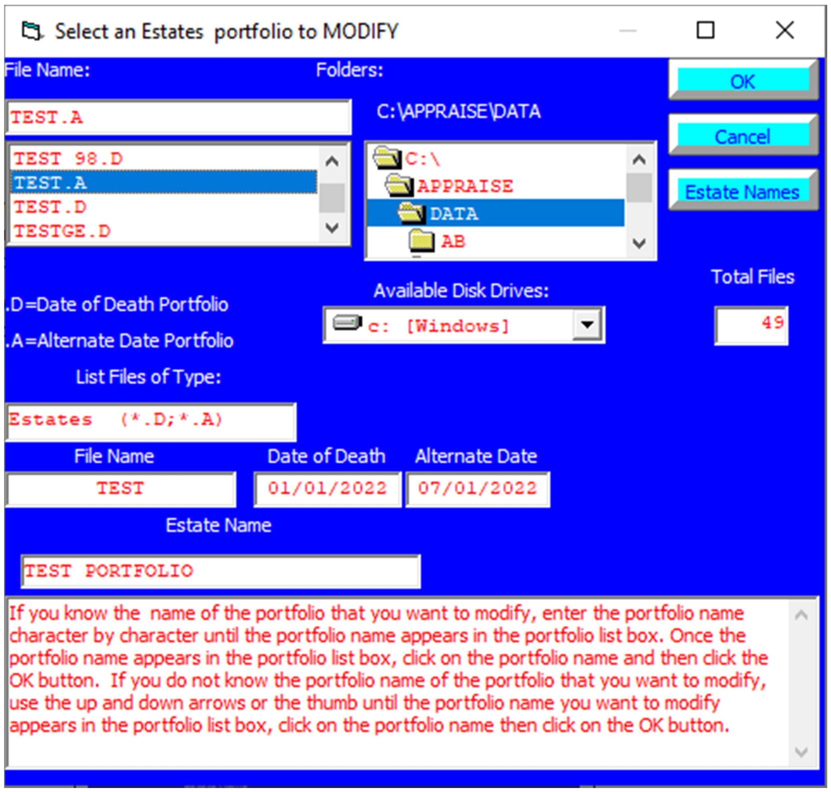

Figure 39 Estate Modify Portfolio Selected

IV.D Print Estates portfolio(s)

Users can print portfolios using the below screen from each mode’s Modify screen or each mode’s main menu. This screen is very similar to the **Modify an existing Estates portfolio** selection screen with a few key differences. Notice the two new boxes on the right side of the screen, **Portfolio Count** and **Portfolios to be Printed**. Printing from this screen will use the software’s currently selected default print settings. Refer to section “IV.A.1 Printing a Portfolio, Exporting to PDF, Exporting to an Excel file” on page 33.

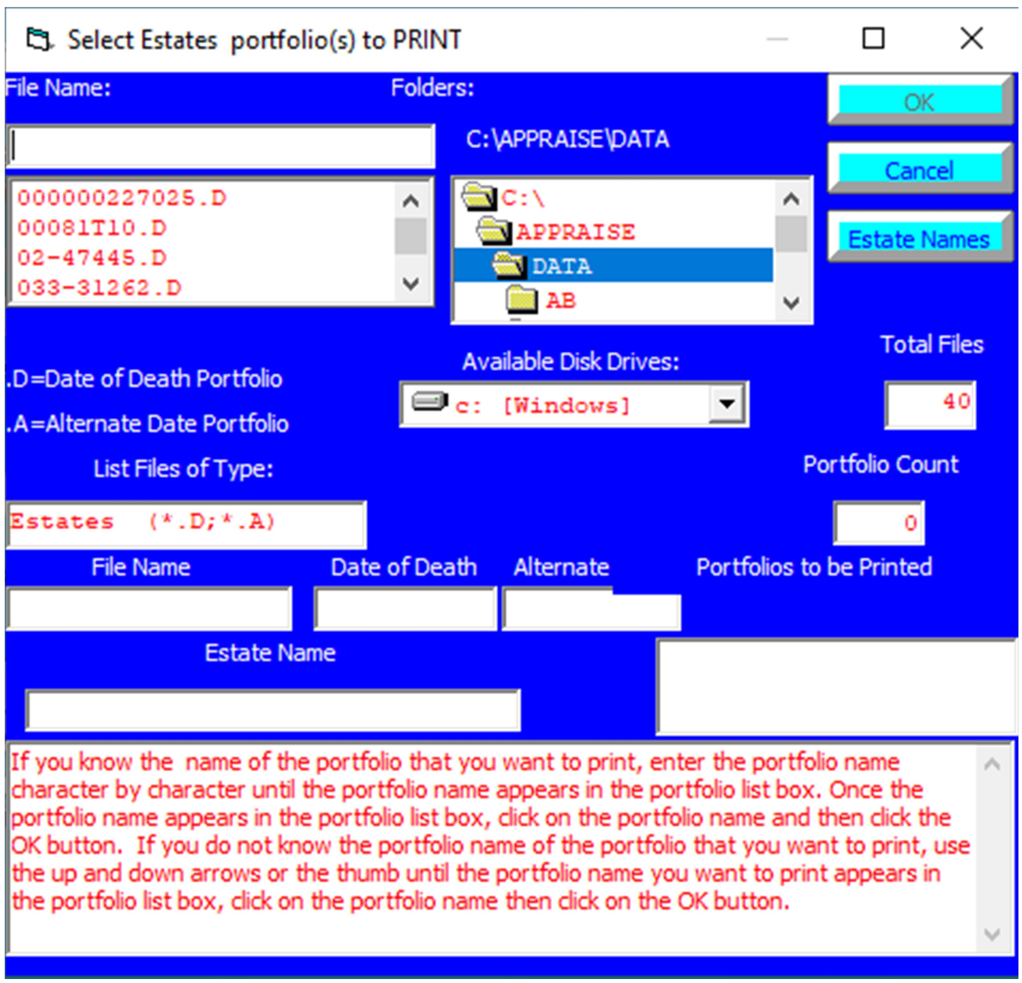

Figure 40 Esate Print Select

When a user clicks on a portfolio from the top left box and highlights it in blue, it will appear in the list of **Portfolios to be Printed** on the right side. Click on a portfolio's **File Name** in the **Portfolios to be Printed** box to remove it from the print list. The tally in **Portfolio Count** will increase or decrease with each addition or subtraction of a portfolio on that list.

IV.E Send Estates portfolio(s) for pricing

Users can price portfolios from either Modify screen or each mode's menu. This screen is very similar to the **Print Estates portfolio** selection screen. The only difference is that instead of **Portfolios to be Printed** the box on the right reads **Portfolios to be Priced**. This screen follows the same conventions as the **Print Estates portfolio** selection screen in terms of adding or removing portfolios.

Figure 41 Estate Pricing Select

After this screen, the pricing process from "IV.A Create a new Estates portfolio" on pages 29-31 can be used.

IV.F Copy an Estates portfolio

Users can duplicate a portfolio from either mode's main menu. Selection in this screen follows the same conventions as previous sections. Select the file that should be copied from the file list in the top left box. When a copy of a portfolio is made, only a Date of Death portfolio can be selected. However, both the Date of Death and Alternate portfolios will be copied.

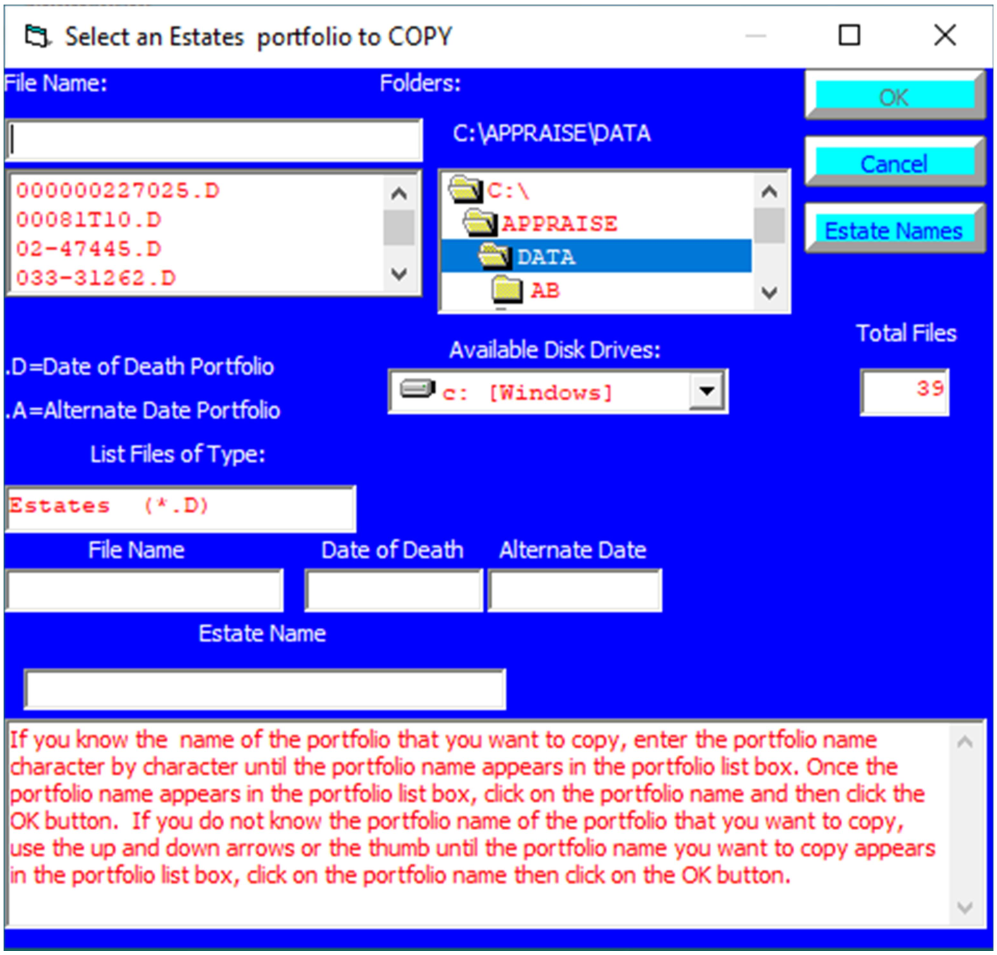

Figure 42 Estate Copy Select

Once a portfolio's information is displayed in the corresponding boxes in the lower half of the screen, users can press the **OK** button in the top right. This will present users with the "Copy this portfolio?" prompt.

Figure 43 Estate Copy Verification

Users have the option of changing the Date of Death for a copy of a portfolio. If this information is changed, the copy will be UnPriced and any Alternate portfolio attached will have to be re-created to reflect the new Date of Death.

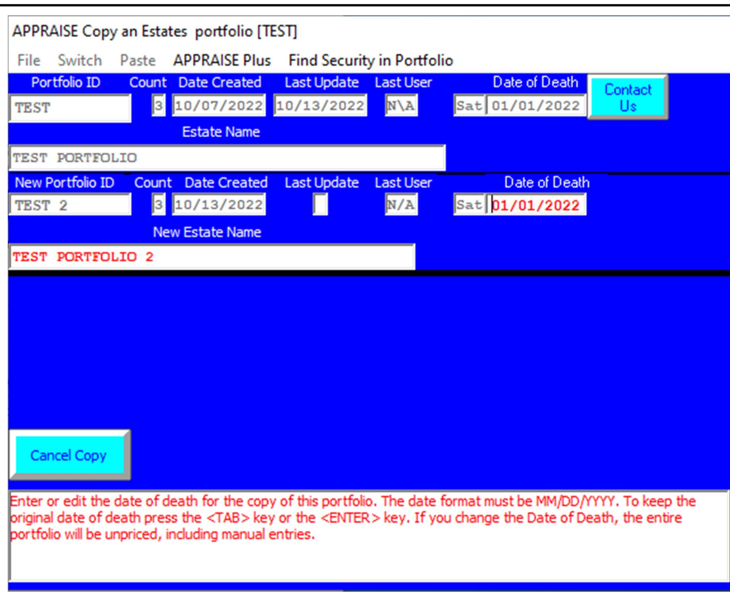

Figure 44 Estate Copy Confirmation Screen

IV.G Delete Estates portfolio(s)

Users can delete portfolios from either mode’s main menu. Selection in this screen follows the same conventions as the **Print Estates Portfolio(s)** section. When a user clicks on a portfolio from the top left box and highlights it in blue, it will appear in the list of **Portfolios to be Deleted** on the right side.

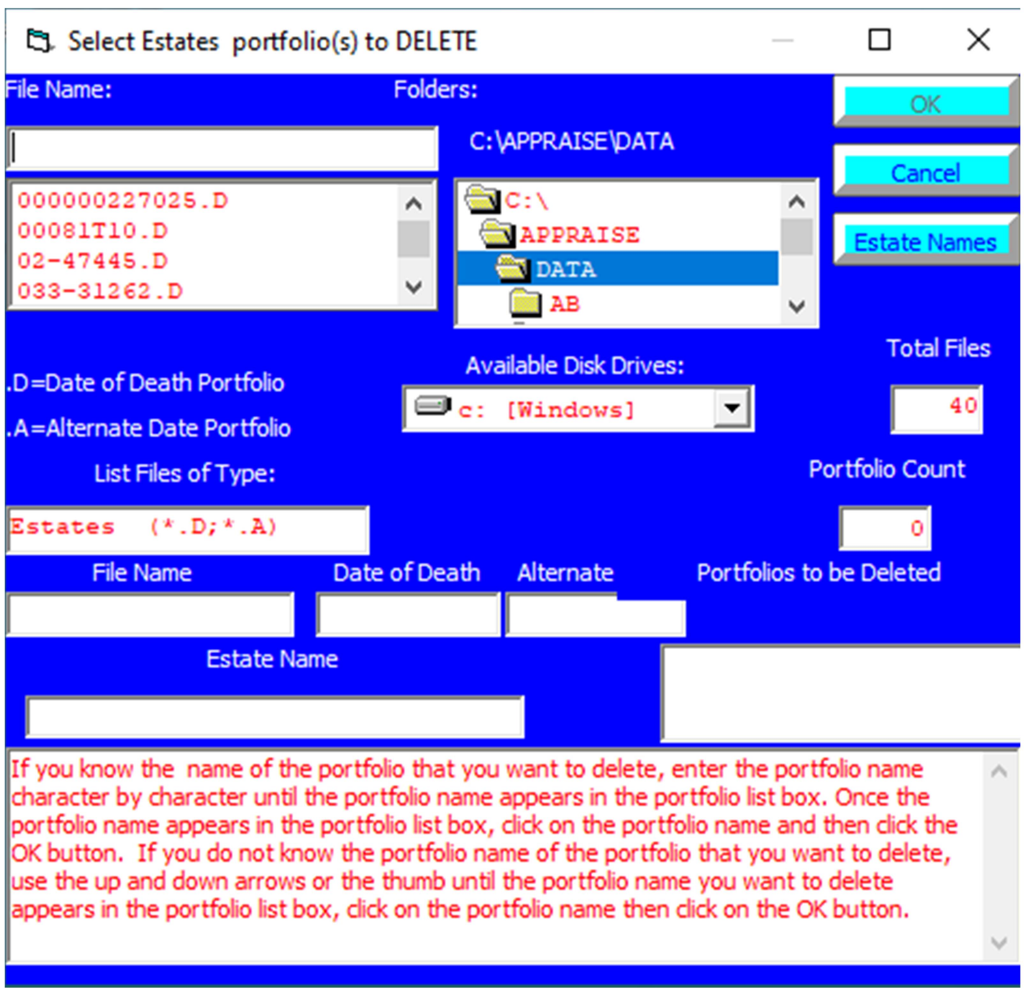

Figure 45 Estate Delete Select

Click on a portfolio's **File Name** in the **Portfolios to be Deleted** box to remove it from the delete list. The tally in **Portfolio Count** will increase or decrease with each addition or subtraction of a portfolio on that list.

Both Date of Death and Alternate Portfolios can be selected for deletion.

IMPORTANT!

When a Date of Death portfolio is deleted, all files associated with it will also be deleted. This includes any Alternate portfolios! Pay close attention to the files selected for deletion to avoid any loss of important files. They cannot be recovered once deleted!

Figure 46 Estate Delete Verification

Once the selected files have been deleted there will be a confirmation prompt and a list of the files deleted will appear in the deletion window behind the prompt.

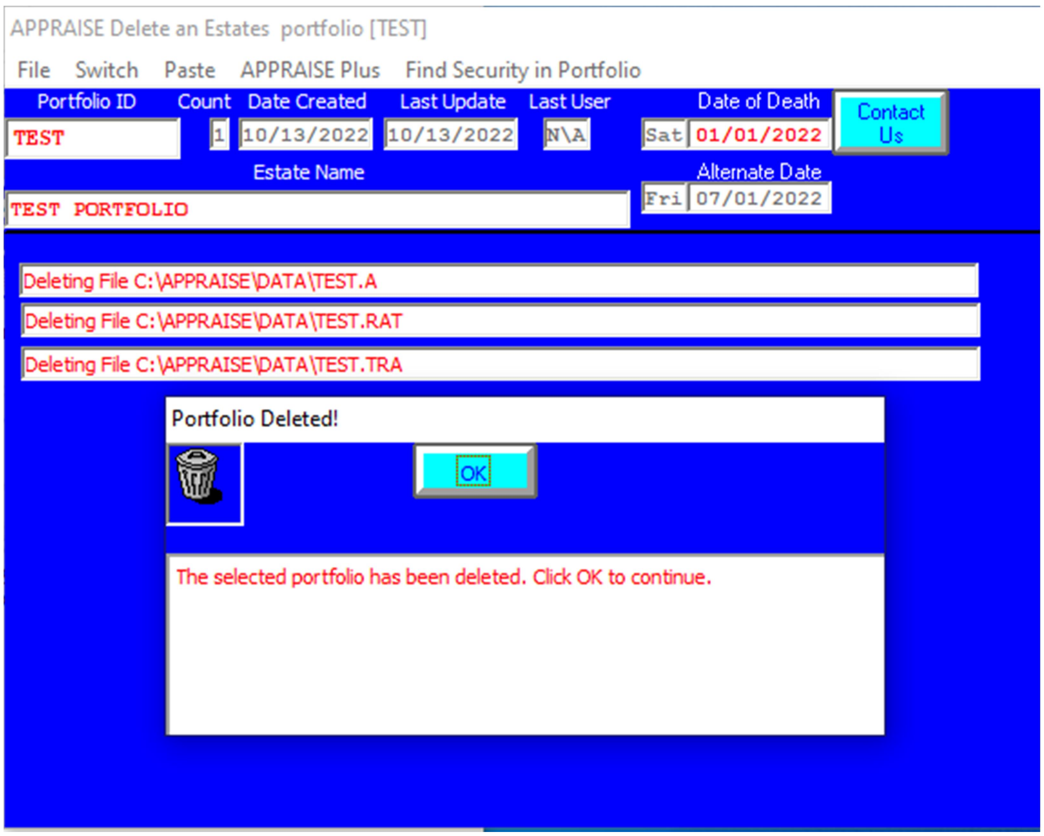

Figure 47 Estate Delete Confirmation

V. EZ Price: Without Accruals

Clicking on the **EZ Price: Without Accruals** button from the software's Main Menu will bring users to the EZ Price: Without Accruals Main Menu, shown below.

This mode functions identically to the **Estate and Gift Tax** mode. The major difference is how portfolios are priced. Accruals are not tallied when pricing an **EZ Price** Portfolio. As a result, the totals displayed will vary from totals in Estate and Gift Tax mode.

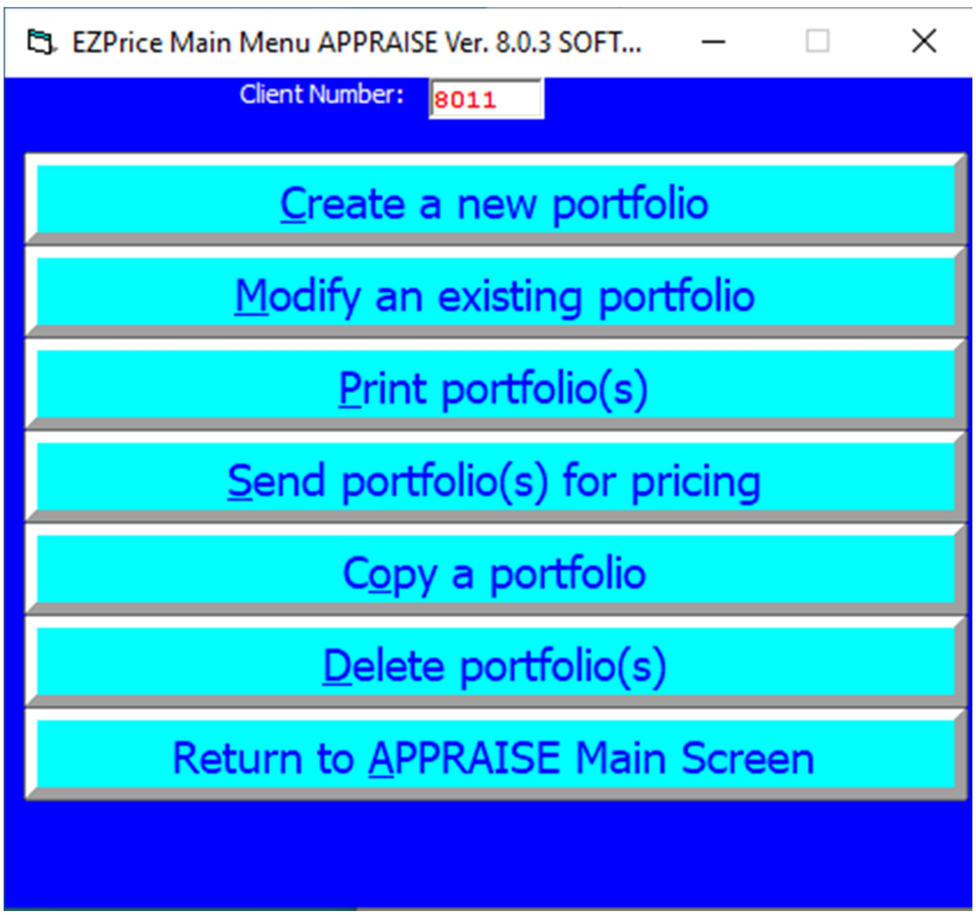

Figure 48 EZ Price Menu

"EZPrice Main Menu" will appear across the top bar along with the minimize, maximize, and close buttons. This signifies that users are in the EZPrice: Without Accruals mode.

V.A Create a new portfolio

Users must type in a **Portfolio ID** and a **Date of Death** in order to generate the initial file that contains the Date of Death portfolio. The **Portfolio ID** will be used as the file name, appended with a .E file extension. The **Date of Death** is used to determine the value of securities entered.

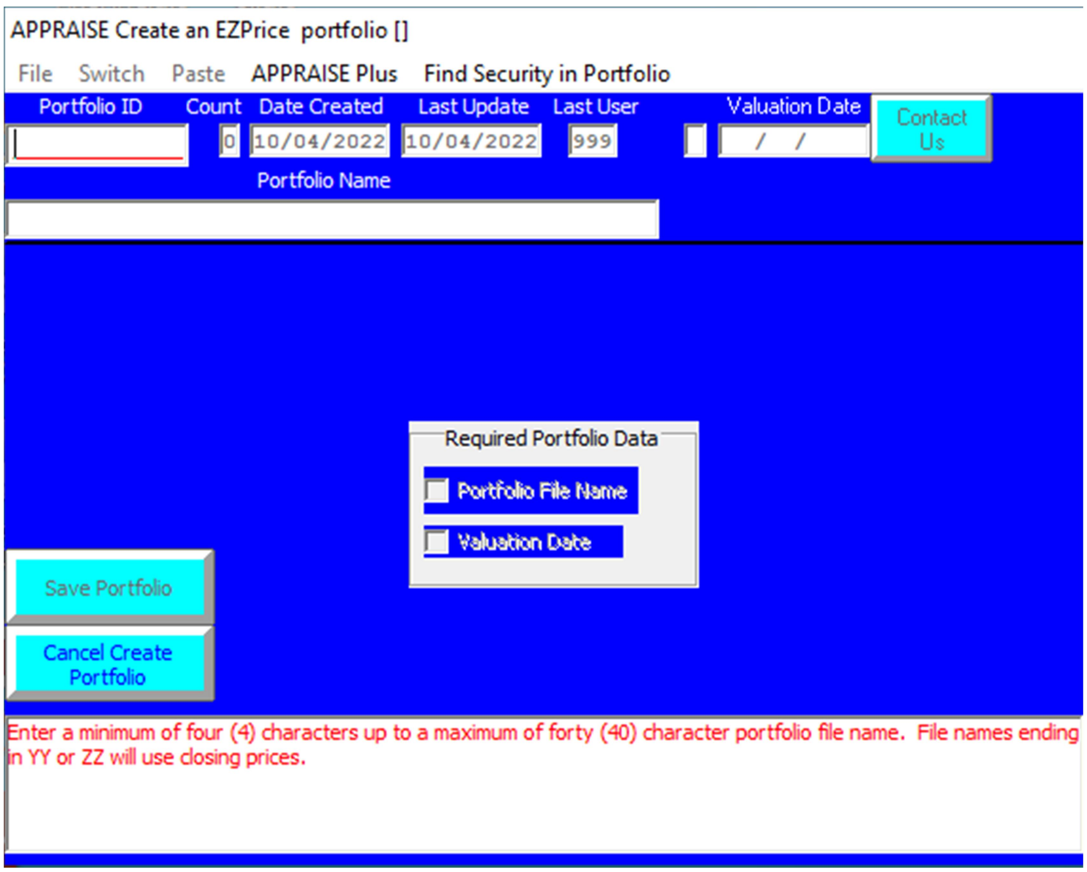

Figure 49 EZ Price Create Portfolio

While the only required components to generate the initial portfolio file are **Portfolio ID (Portfolio File Name)** and **Date of Death**, it is recommended to assign an **Estate Name** as well. **Estate Name** is used in the final report as a header. See "IV.A Create a new Estates portfolio" (pages 26-32) as the process is identical.

V.B Modify an existing portfolio

Users can search saved portfolios by clicking on the **Modify an existing portfolio** button in the “EZPrice: Without Accruals” Main Menu. This is most commonly used to review previously completed portfolios or for larger portfolios that require multiple sessions to complete.

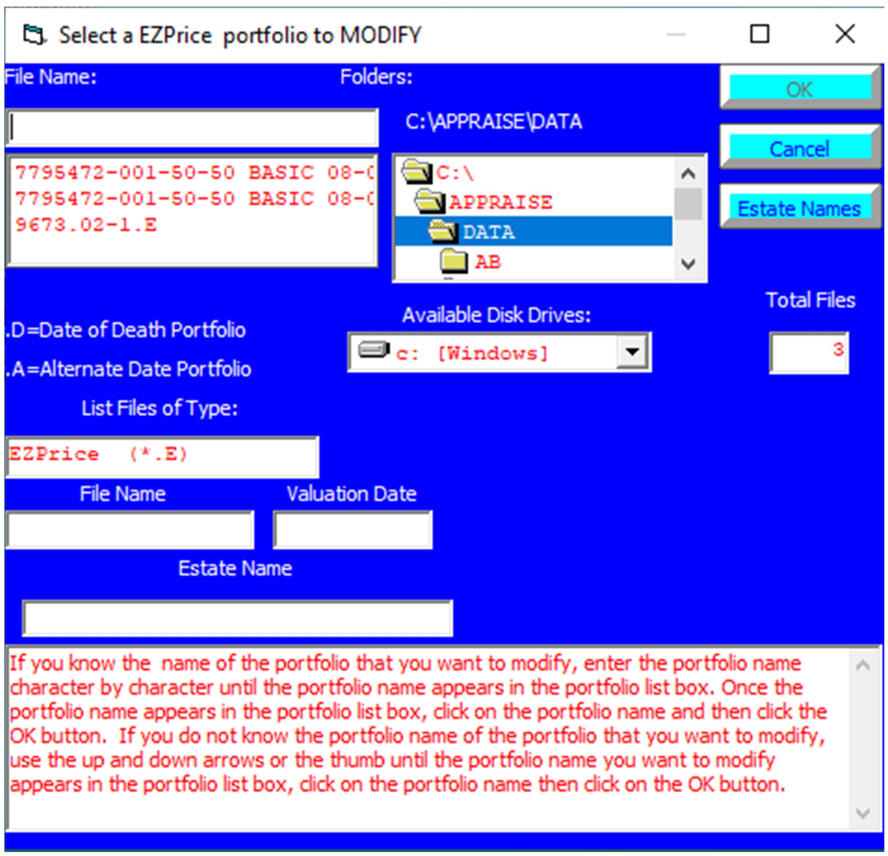

Figure 50 EZ Price Modify Portfolio

Only .E (EZPrice) files will be visible in this mode. Portfolios are organized and searched by **File Name** with the extension .E for EZPrice in the top left box.

The **Available Disk Drives** selection should default to the disk drive which Appraise was installed in. It is inadvisable to change this as all of Appraise’s files are automatically saved in the default install location and will only appear elsewhere if moved by users.

V.C Print portfolio(s)

Users can print portfolios using the below screen from either Modify screen or each mode’s main menu. This screen is very similar to the **Modify an existing portfolio** selection screen with a few key differences. Notice the two new boxes on the right side of the screen, **Portfolio Count** and **Portfolios to be Printed**. Printing from this screen will use the software’s currently selected default print settings. Refer to section “IV.A.1 Printing a Portfolio, Exporting to PDF, Exporting to an Excel file” on page 33.

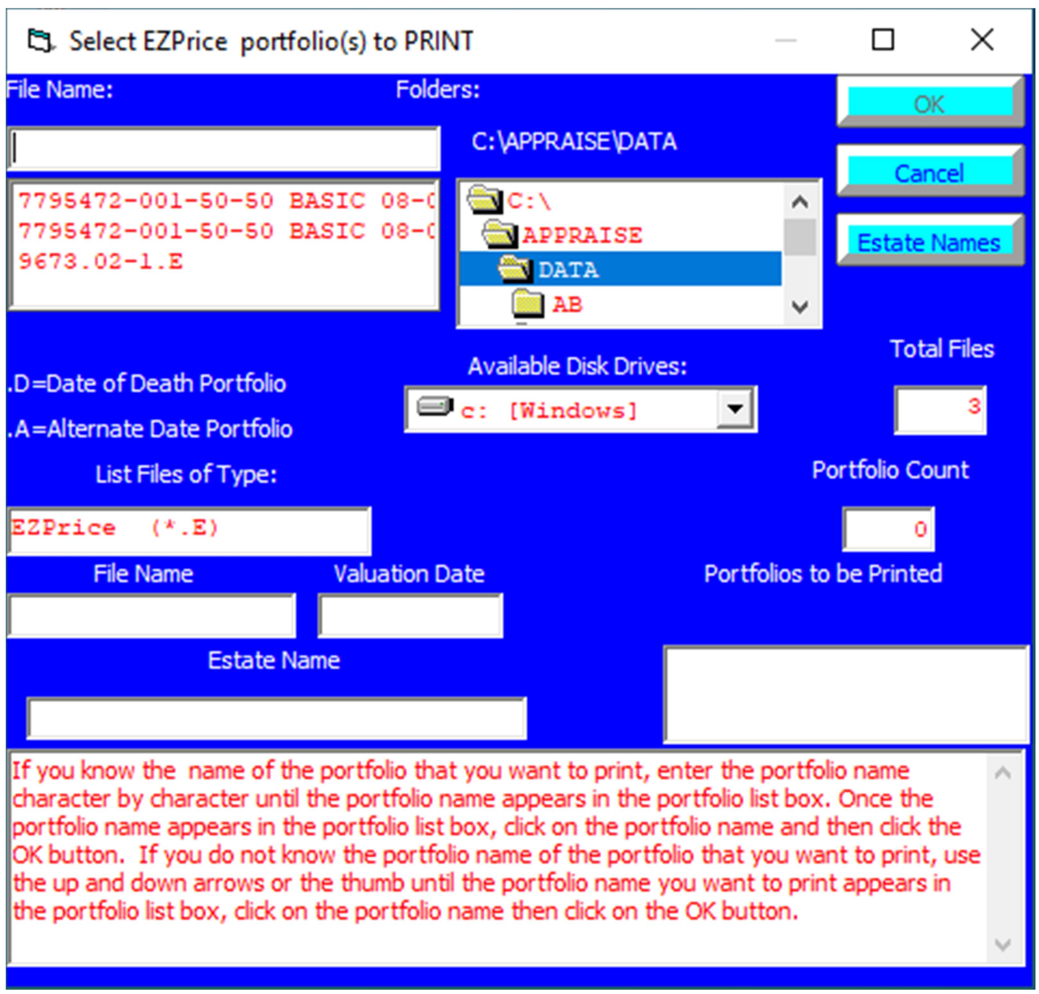

Figure 51 EZ Price Print Select

When a user clicks on a portfolio from the top left box and highlights it in blue, it will appear in the list of **Portfolios to be Printed** on the right side. Click on a portfolio's **File Name** in the **Portfolios to be Printed** box to remove it from the print list. The tally in **Portfolio Count** will increase or decrease with each addition or subtraction of a portfolio on that list.

V.D Send portfolio(s) for pricing

Users can price portfolios from either Modify screen or each mode's main menu. This screen is very similar to the **Print portfolio(s)** selection screen. The only difference is that instead of **Portfolios to be Printed** the box on the right reads **Portfolios to be Priced**. This screen follows the same conventions as the **Print portfolio(s)** selection screen in terms of adding or removing portfolios.

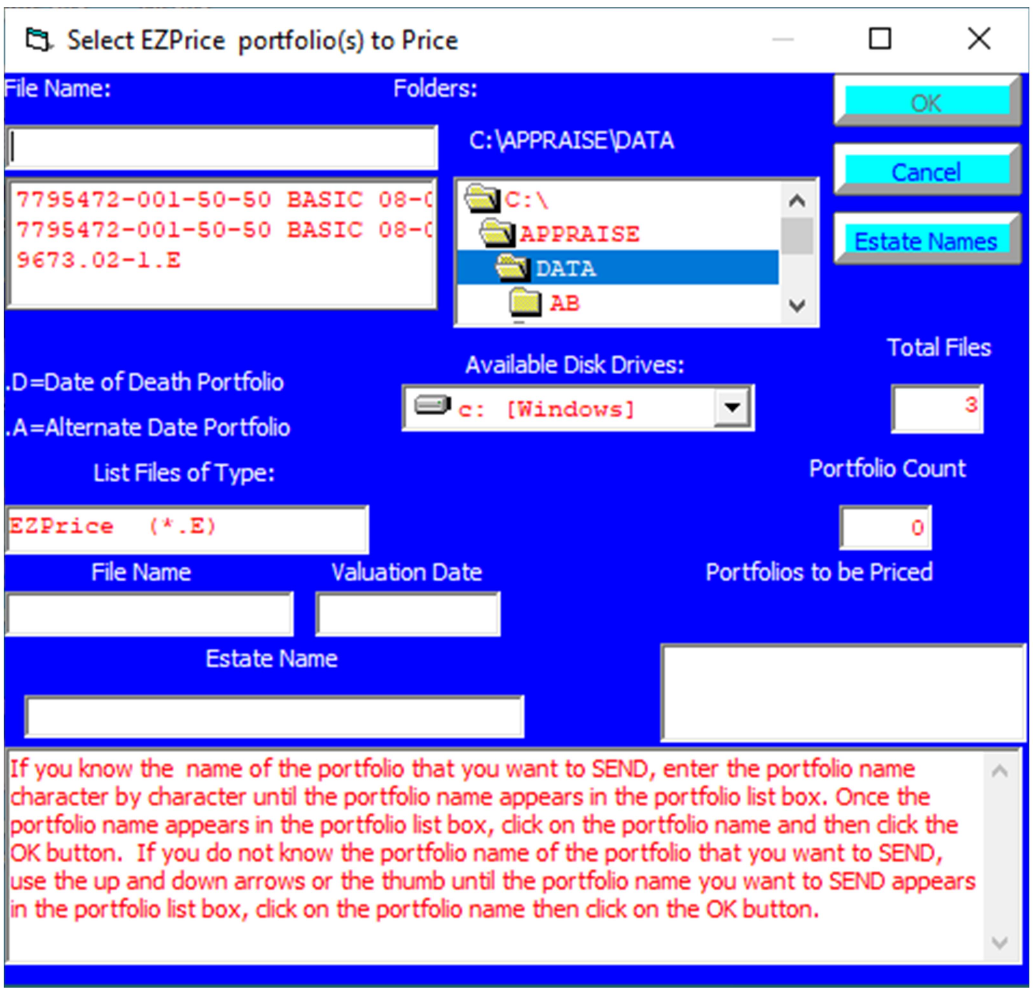

Figure 52 EZ Price Pricing Select

After this screen, the pricing process from "IV.A Create a new Estates portfolio" on pages 29-31 can be used.

V.E Copy a portfolio

Users can duplicate a portfolio from either mode's main menu. Selection in this screen follows the same conventions as previous sections. Select the file to be copied from the file list in the top left box.

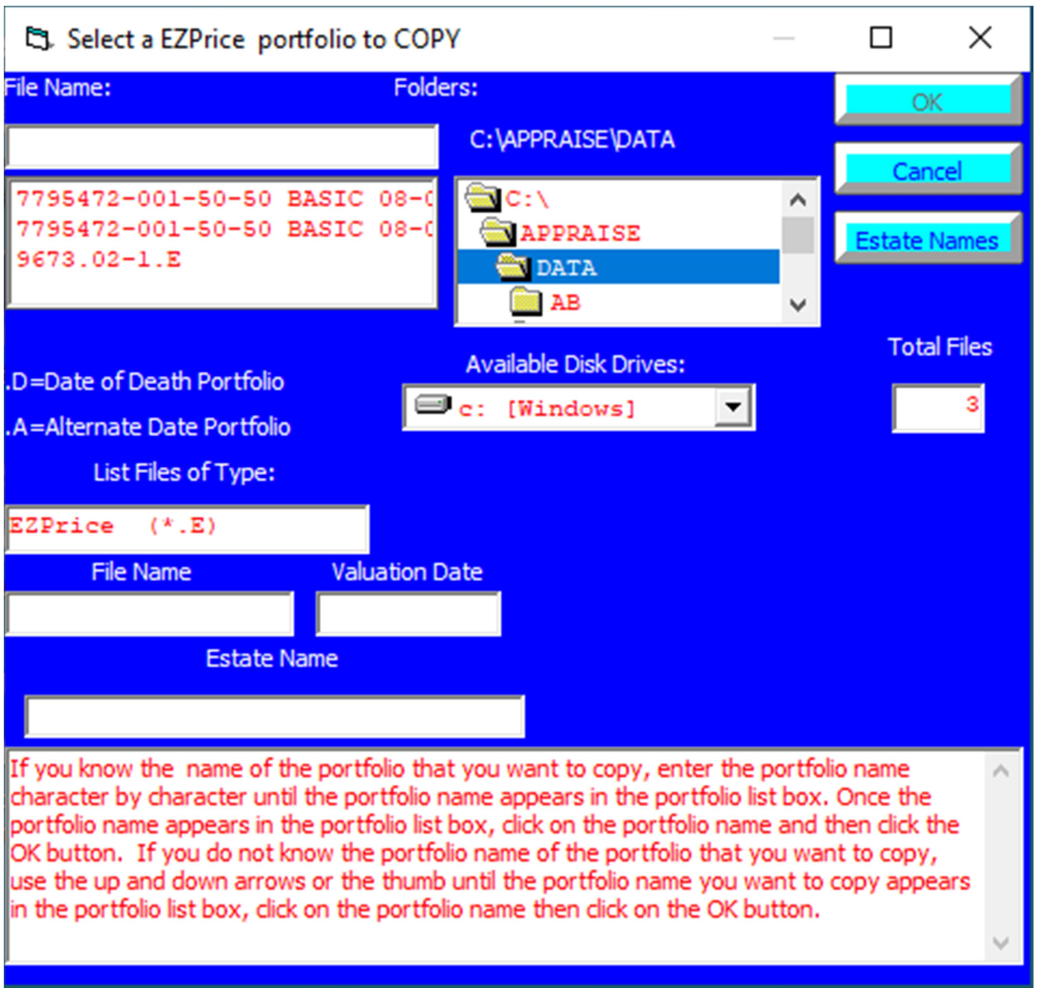

Figure 53 EZ Price Copy Select

Once users can see its information displayed in the corresponding boxes in the lower half of the screen they can press the **OK** button in the top right. This will present users with the "Copy this portfolio?" prompt.

Users have the option of changing the Date of Death for a copy of a portfolio. If this information is changed, the copy will be UnPriced.

V.F Delete portfolio(s)

Users can delete portfolios from either mode's main menu. Selection in this screen follows the same conventions as the **Print portfolio(s)** section. When a user clicks on a portfolio from the top left box and highlights it in blue, it will appear in the list of **Portfolios to be Deleted** on the right side.

Click on a portfolio's **File Name** in the **Portfolios to be Deleted** box to remove it from the delete list. The tally in **Portfolio Count** will increase or decrease with each addition or subtraction of a portfolio on that list.

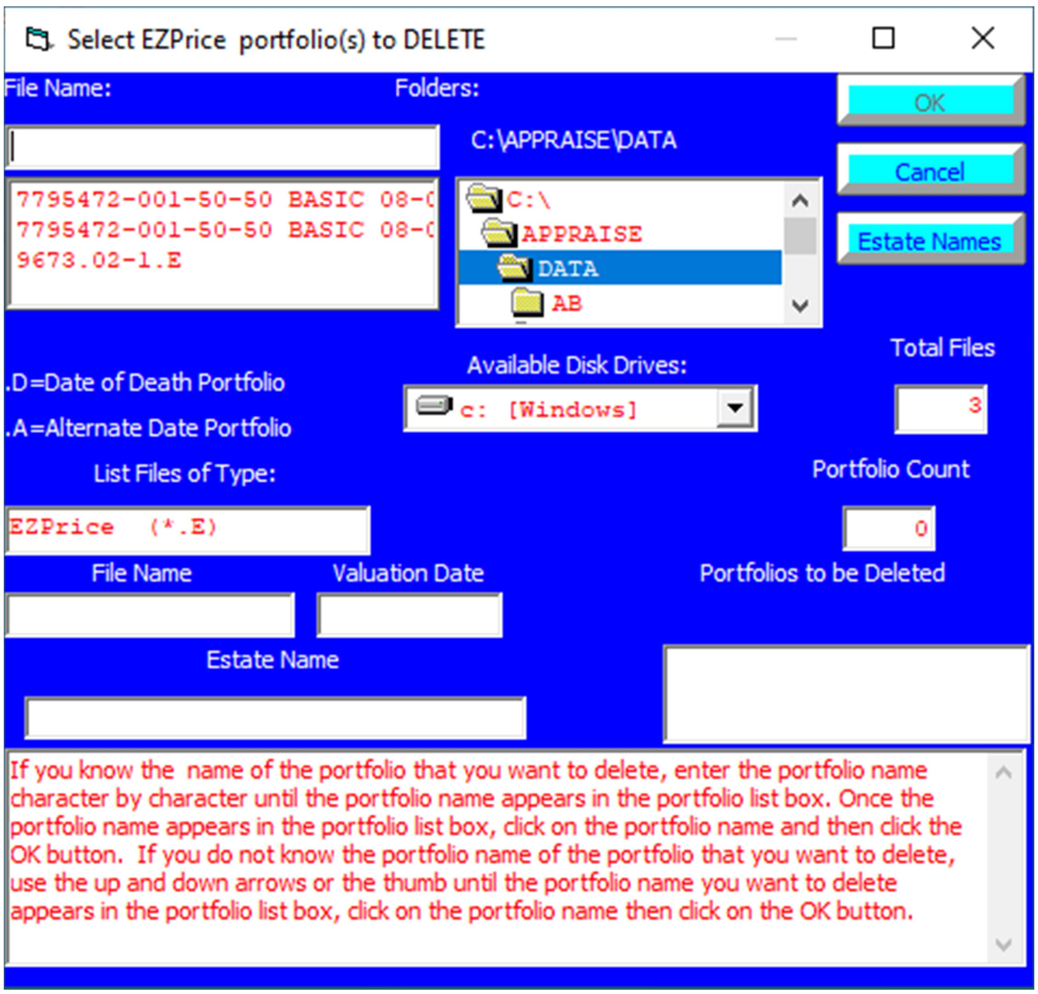

Figure 54 EZ Price Delete Select

VI. Troubleshooting Guide

This section is intended to help users troubleshoot some of the more common issues they may come across when using the Appraise software.

Problem → "Navigation to the webpage was cancelled."

This can appear on the main menu of Appraise where "128-Bit Secure Connection TLS 1.2" usually displays. When this displays, users will be unable to price any portfolios because they will not be able to access the Evaluation Services Incorporated's data center.

Solution → Change the Alternate Route in System Setup

Refer to section "II.E Communication" on page 18.

1. Go into System Setup from the Main Menu.
2. Click on the Communication tab.
3. Select the other "Use Alternate Route..." that is not currently selected

Problem → "My portfolio isn't printing from the printer I selected"

This can occur when the printer selected in Print Portfolio isn't clicked on and highlighted with blue. This will cause the application to use the last printer setting that was used or the default system printer.

Solution → Verify selected printer in Print Portfolio is highlighted

Refer to section "IV.A.1 Printing a Portfolio, Exporting to PDF, Exporting to an Excel file" on page 33.

When selecting a printer in the Print Portfolio screen, make sure to click on the name of the printer in the text box so that it is highlighted in blue. Once it is highlighted in blue it is considered "selected" and will be used.

VII. Universal Import

This section details usage of the convenient utility program included with the Appraise installation, Universal Import. This utility is designed to streamline the process of making a portfolio in order to save users time and effort. To open the application, double click on the UI icon placed on the desktop automatically by the Appraise Setup Installer.

Figure 55 Universal Import Icon

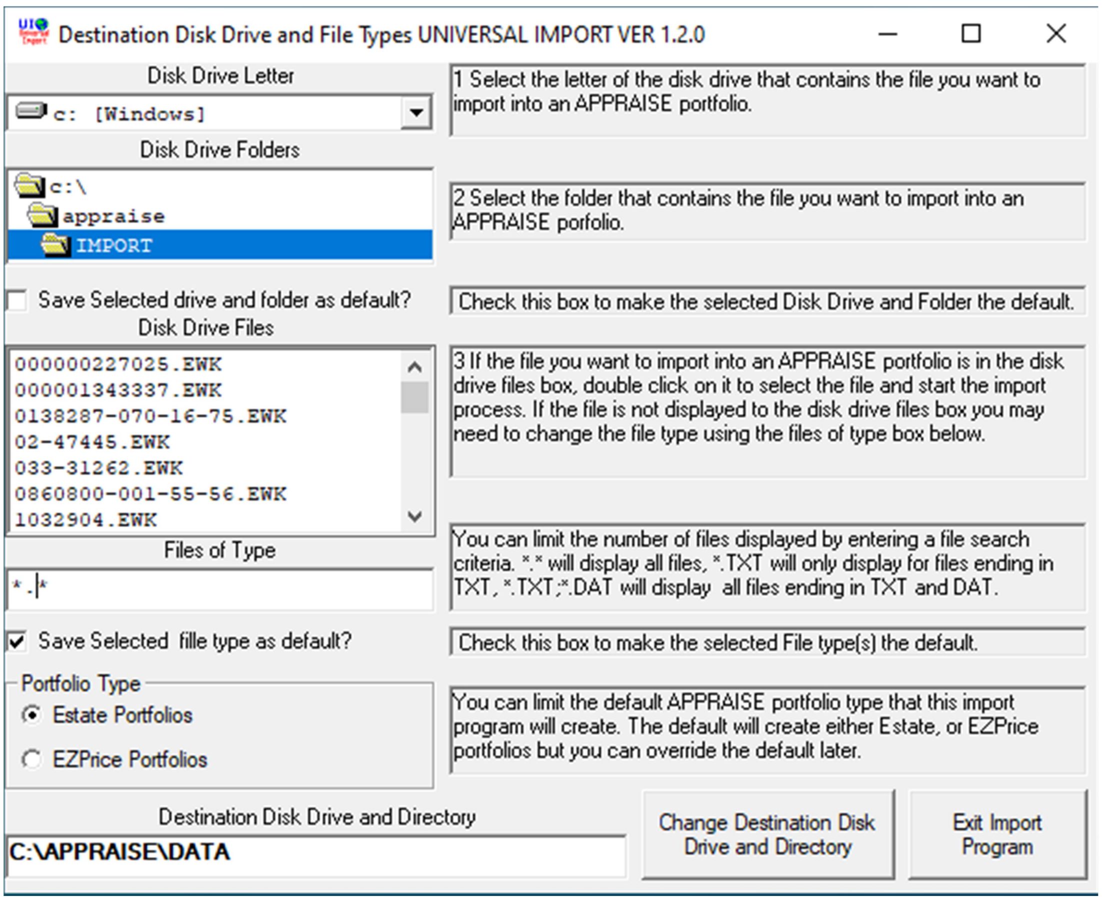

Figure 56 UI - Main Screen

Universal Import, or UI, is an application that takes a fixed-length or delimited file and converts it into an Appraise portfolio file (either .D for Estates or .E for EZPrice).

What is a delimited file?

A delimited file is either a text file or a .CSV (Comma-Separated Values) Excel file that uses particular characters to indicate “columns”. The characters visible to the Universal Import program are: spaces, commas, semi-colons, and colons.

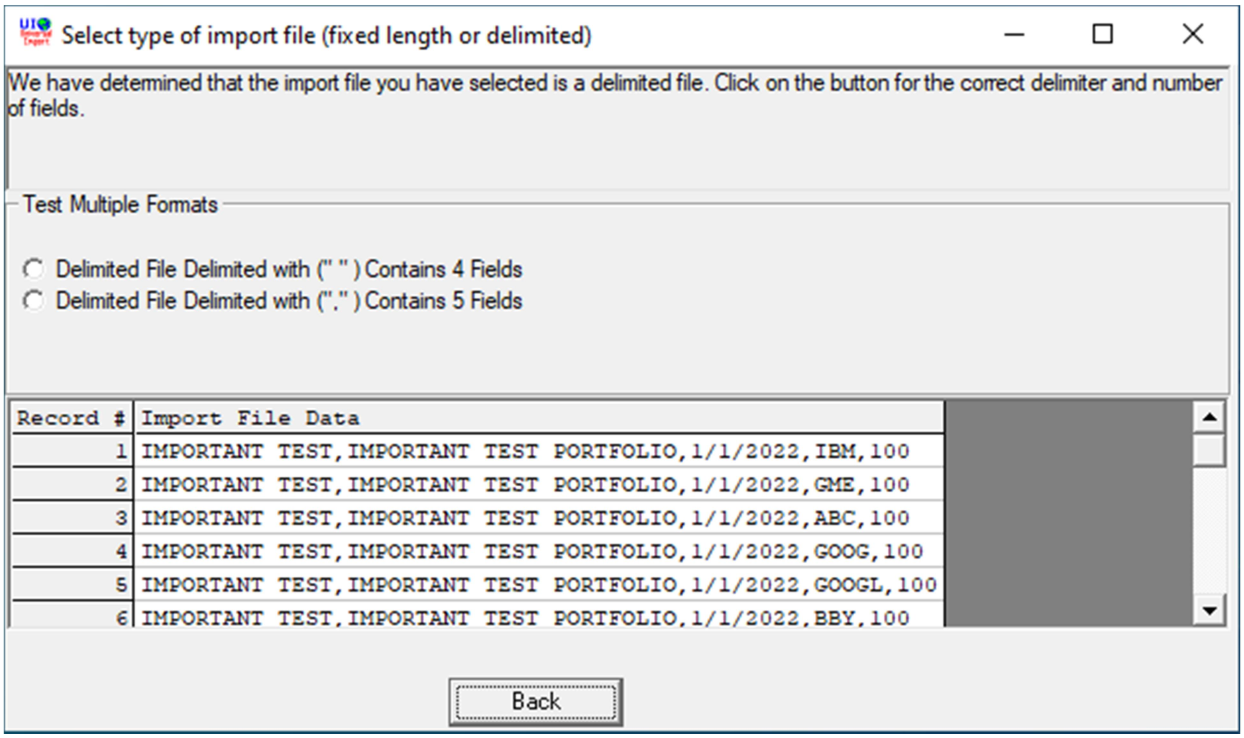

Figure 57 UI - Delimited File

This means a user can create a delimited file and arrange their securities into columns containing:

| Portfolio ID | Portfolio Name | Valuation Date | CUSIP/Ticker | Shares |

The application will detect the delimiting characters and prompt users to select the intended delimiting method. The best practice for importing with Universal Import would be to use a .CSV Excel file. This file type in Excel automatically delimits columns and is easily read by the Universal Import program.

VII.A Using Universal Import

Users will be presented with the screen from Figure 56 when they open the application. Steps are outlined within the application for the first half of the process.

1.) Select the letter of the disk drive that contains the intended file for importing into an APPRAISE portfolio.

2.) Select the folder that contains the intended file for importing into an APPRAISE portfolio.

3.) If the intended import file is in the disk drive files box, double click on it to select the file and start the import process. If the file is not displayed to the disk drive files box users may need to change the file type using the **Files of Type** box.

    Files of Type box – It is possible to limit the number of files displayed by entering the file search criteria "." will display all files, ".TXT" will only display files ending in .TXT.

4.) It is possible to select the default APPRAISE portfolio type that this import program will create. Choose either Estate or EZPrice.

Once these steps have been completed and a file has been selected for import, users will be taken to the Row and Column selection screen.

First, the application will prompt users to select the starting row of security data. Notice in the example below, the starting row contains heading information.

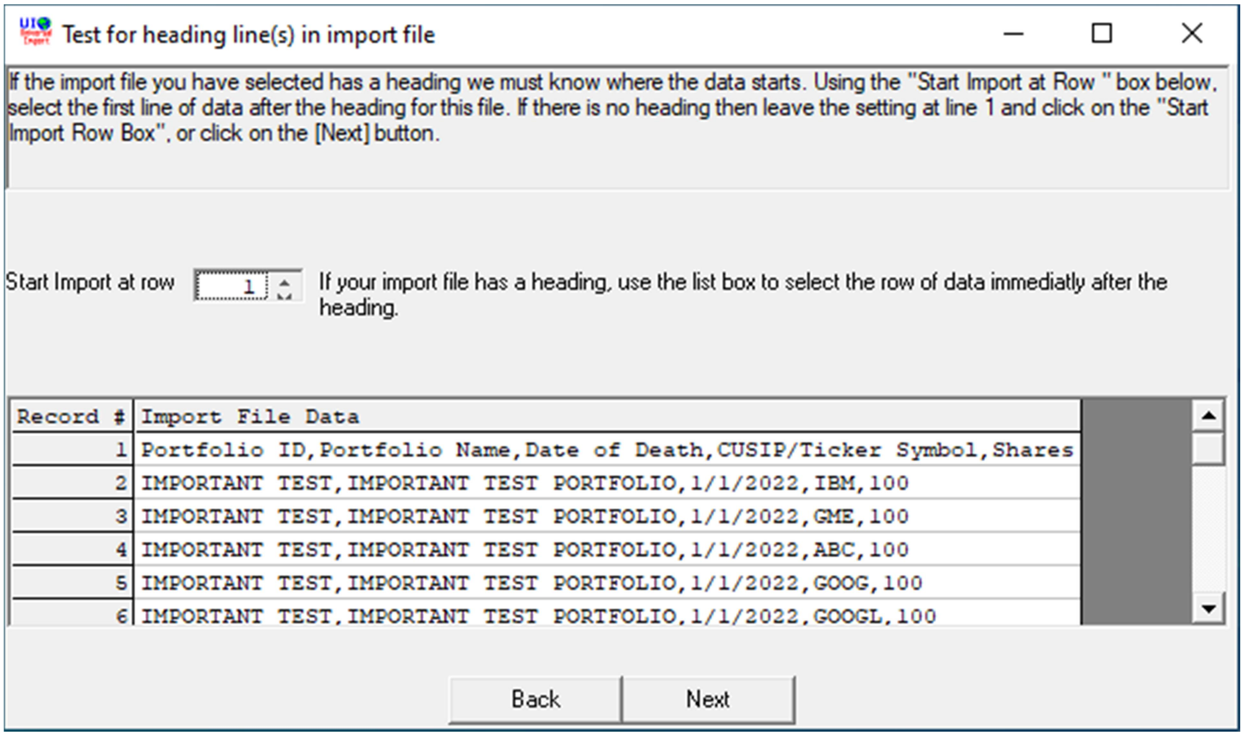

Figure 58 UI - Row Select

In the event that row 1 contains headers, another row may be selected by clicking on the down arrow and clicking on an appropriate number.

Next, the application will verify that the file selected is a delimited file and will prompt users to select the method of delimitation.

For this example, the appropriate selection is “(“,”) Contains 5 fields”.

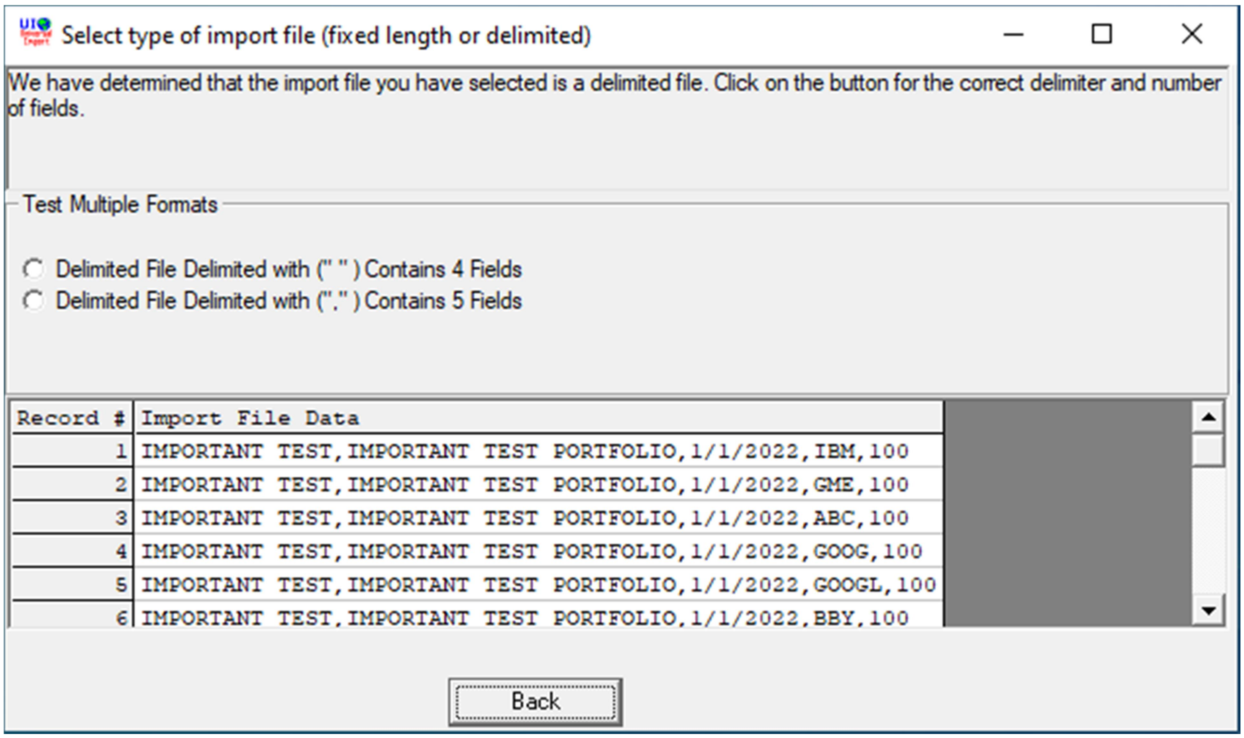

Figure 59 UI - Delimited File

Once a selection has been made, a preview of the column separation will be displayed. Users can click the **Back** button to undo the selection and return to the previous screen where they can choose another option.

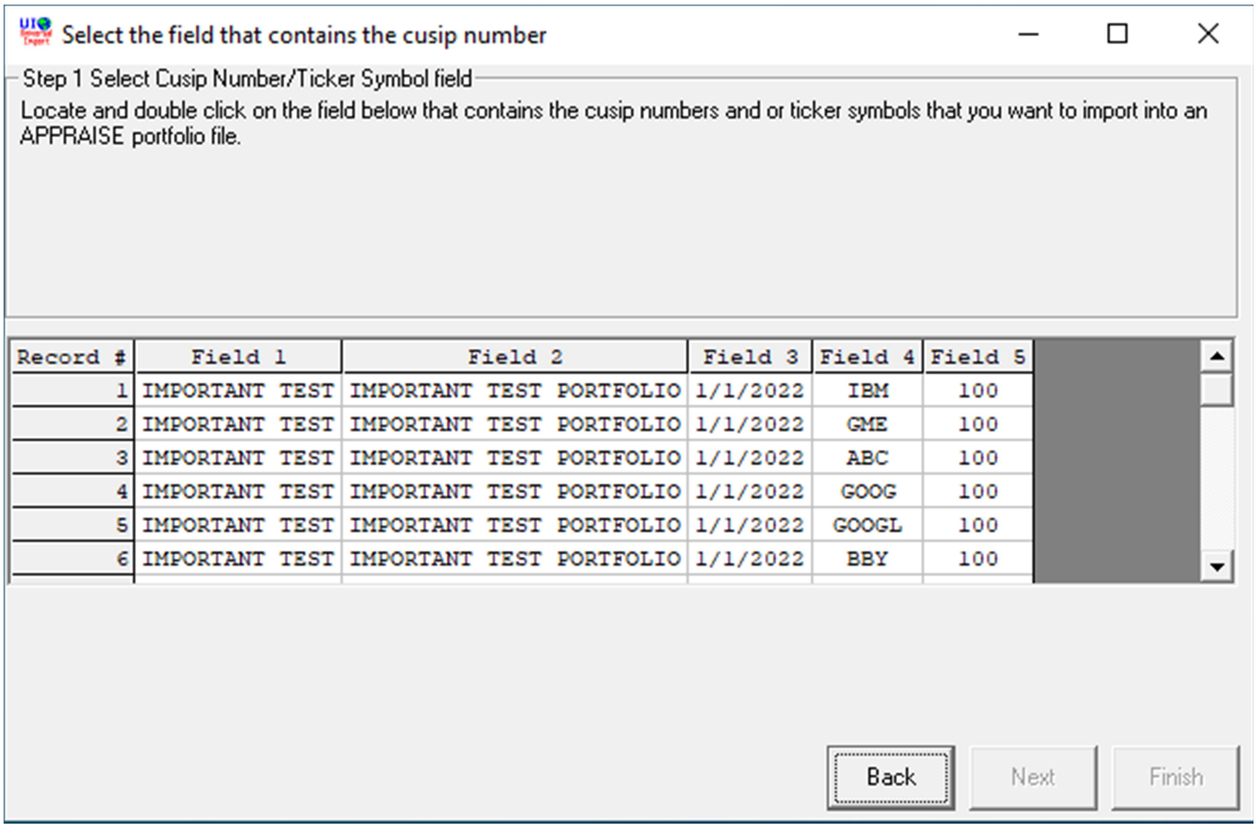

Figure 60 UI - CUSIP/Ticker Column Select

Users will be prompted to select the column containing **CUSIP Numbers/Ticker Symbols**. Double click on the appropriate "Field #" to select a column. After a column has been selected, click the **Next** button. The column will change color and the "Field #" will change to the corresponding selection (Figure 54).

Each step will prompt users to select a new column in order to associate it with a portfolio value. Next, UI will prompt users to select a **Shares** column.

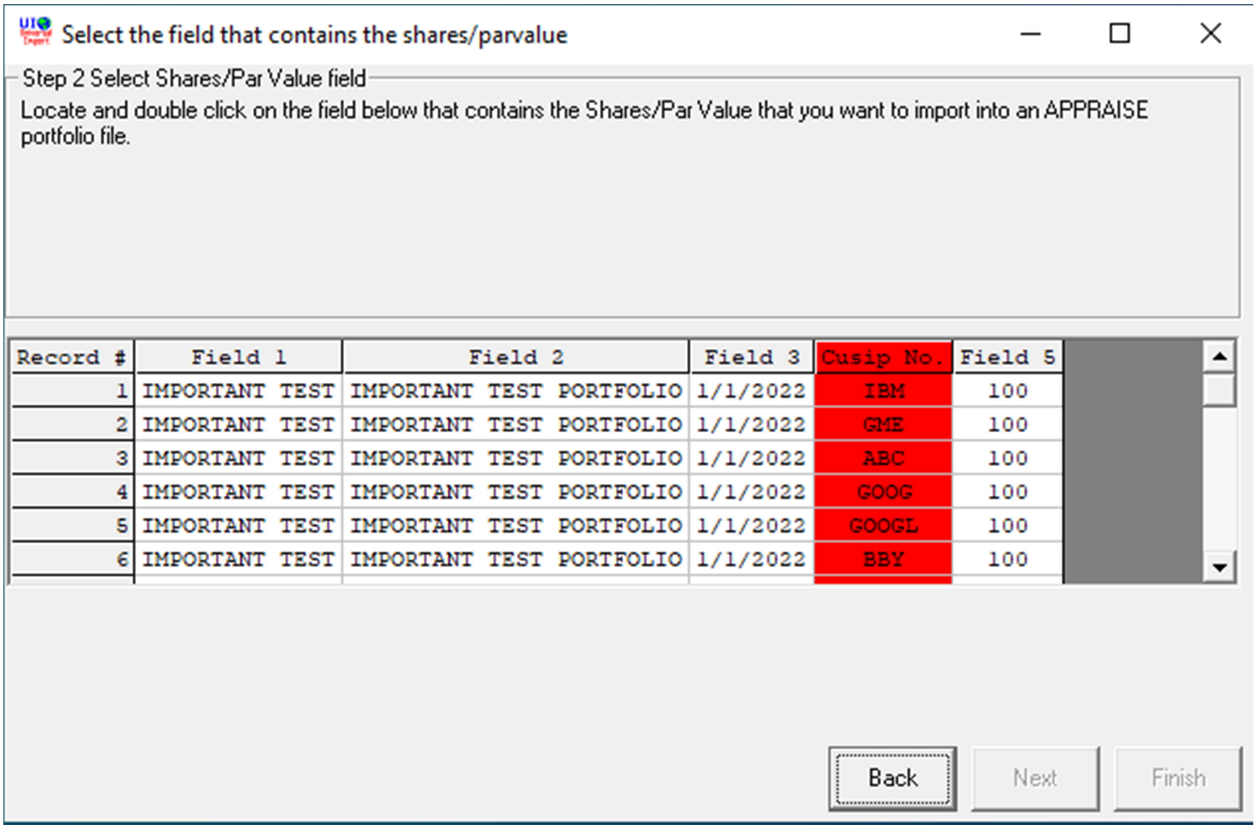

Figure 61 UI - Share Column Select

Important!

After a **Shares** column has been selected, users can manually enter the values for **Portfolio ID**, **Portfolio Name**, and **Valuation Date**.

It is not necessary to select a "Field #" for these values.

They are singular entries, unlike securities that benefit from batch importing. Users can type them in when prompted and press **<Enter>** or **<Tab>** on their keyboard to move to the next step. The **Next** button will not be usable to move to the next step if this is done.

When a Valuation Date is entered the **Finish** button will become active.

VIII. Archive

This section details usage of the convenient utility program included with the Appraise installation, Archive. This utility is designed to make portfolio migration easy. To open the application, double click on the Archive icon placed on the desktop automatically by the Appraise Setup Installer.

Figure 62 Archive Icon

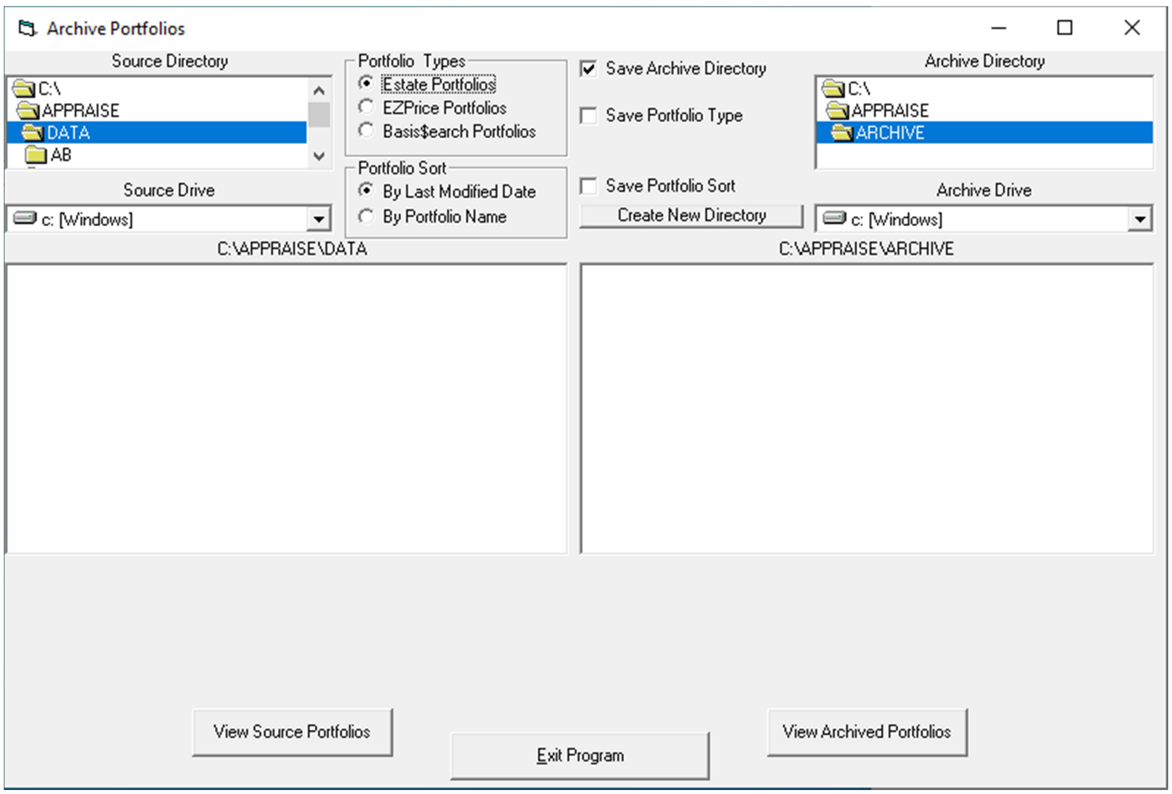

Figure 63 Archive - Main Screen

Users can select multiple portfolios to move from their home location to a designated "Archive" folder. This will move all files associated with those portfolios as well.

VIII.A Using Archive

Users only need to complete a few steps to migrate their portfolio files.

1.) Select a **Source Drive** (defaults to C:\) and **Source Directory** (defaults to users' Appraise DATA folders). These should be set to the location of users' Appraise DATA folders. This folder contains all portfolio files associated with Appraise.

2.) Select the **Portfolio Type** to be displayed.

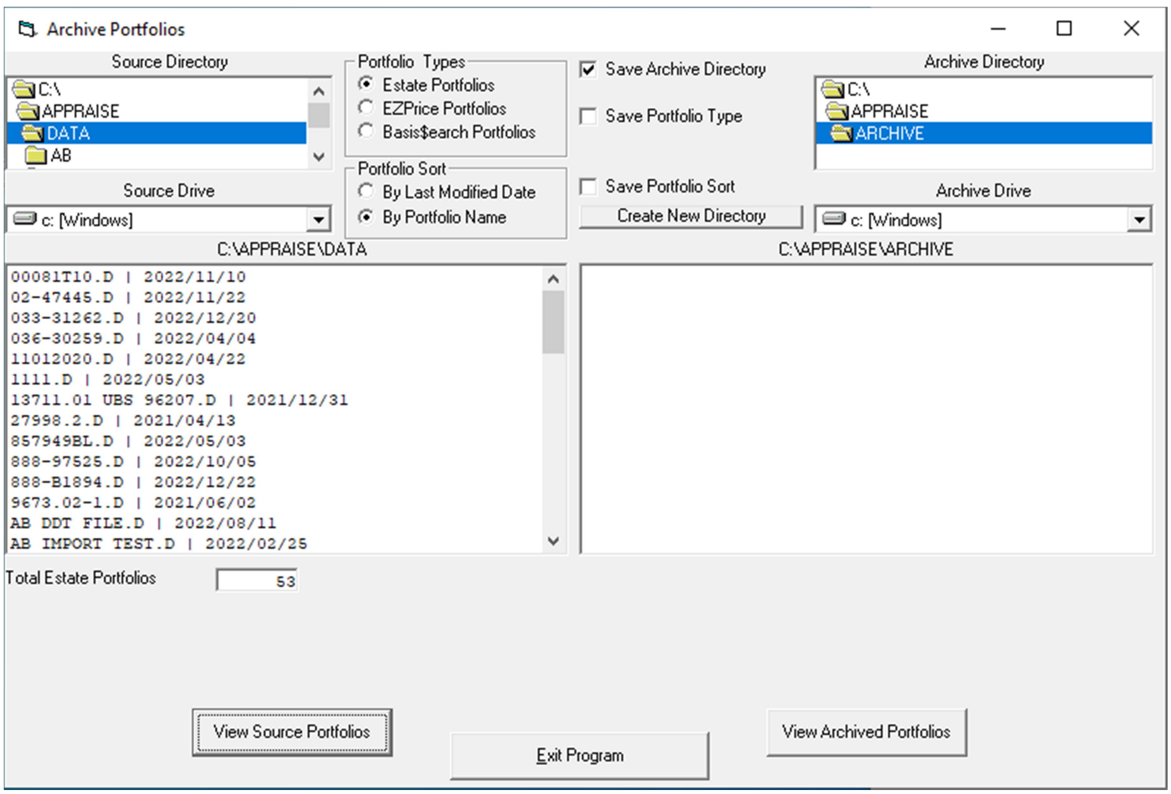

Figure 64 Archive - View Source Portfolios

3.) Click **View Source Portfolios** to populate the "Source Box" on the left side of the screen. This list displays portfolios of the chosen **Portfolio Type** that are kept in the **Source Directory**. These portfolios will display their **Portfolio ID** (File/Portfolio Name) and the date they were last modified. Users have the option of sorting this list by **Portfolio Name** or **Date Last Modified**.

4.) Select an **Archive Drive** and **Archive Directory**. These should default to an ARCHIVE subfolder located in users' APPRAISE folders. Users have the option of creating a new **Archive Directory** by clicking on the **Create New Directory** button.

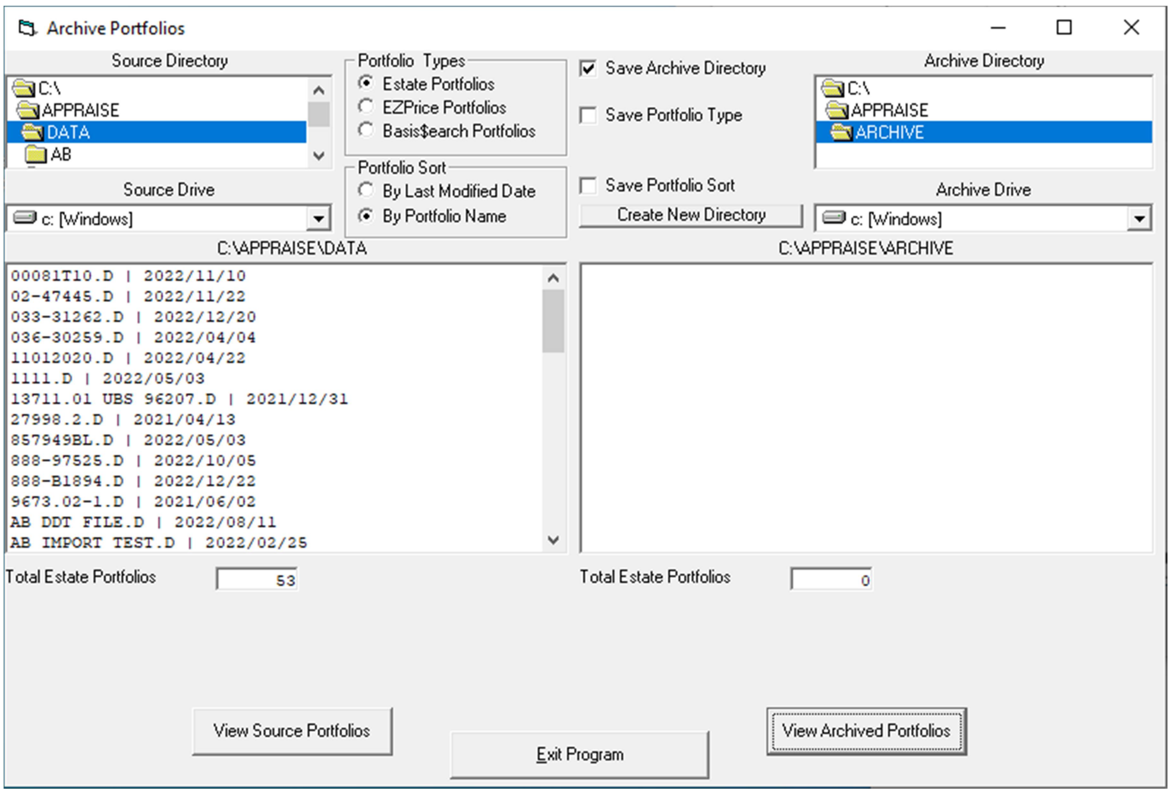

Figure 65 Archive - View Archived Portfolios

5.) Click **View Archived Portfolios** to see a list of previously archived portfolios. In this example, this will display all of the portfolios contained in the C:\APPRAISE\DATA\ directory.

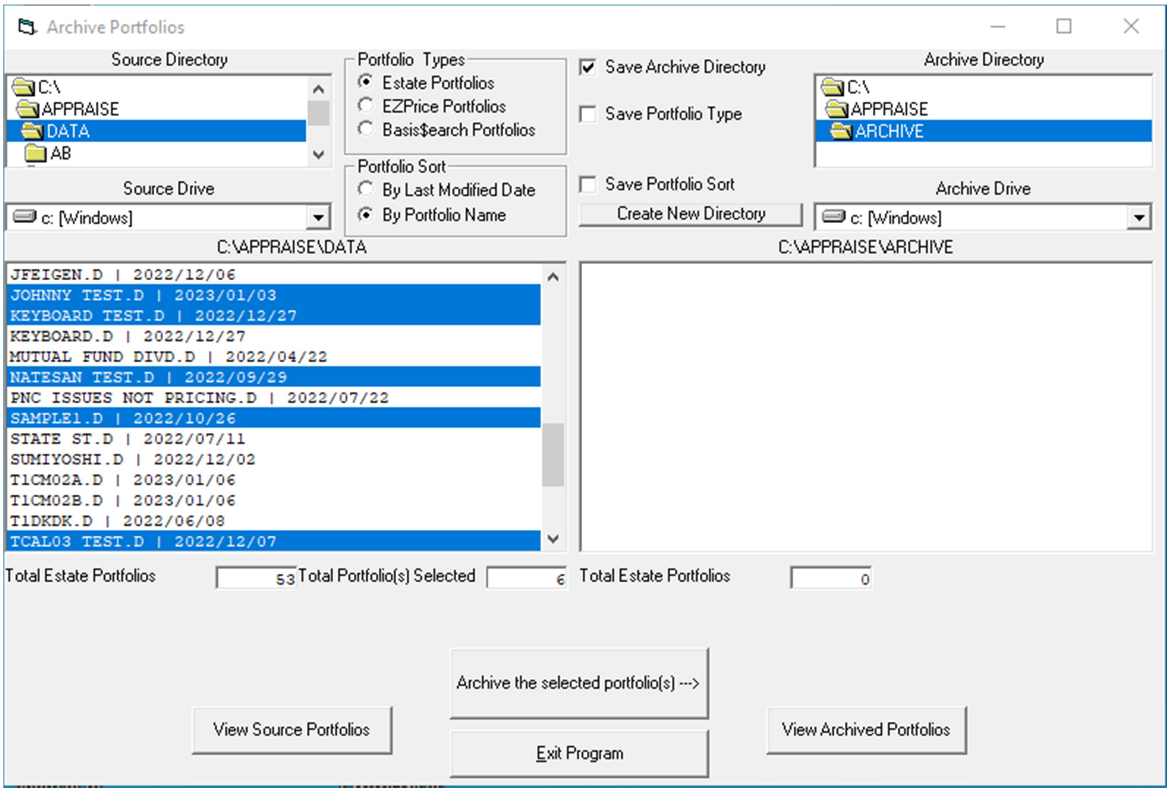

Figure 66 Archive - Multiple Portfolio Highlight

6.) Users can move portfolios from the **Source Directory** to the **Archive Directory** or from the **Archive Directory** to the **Source Directory**. Click files in either the "Source Box" on the left side of the screen or "Archive Box" on the right side of the screen.

7.) Once all of the intended portfolios have been highlighted, users can click on the "Archive the selected portfolio(s) →" button at the bottom center of the screen to move the highlighted portfolios.

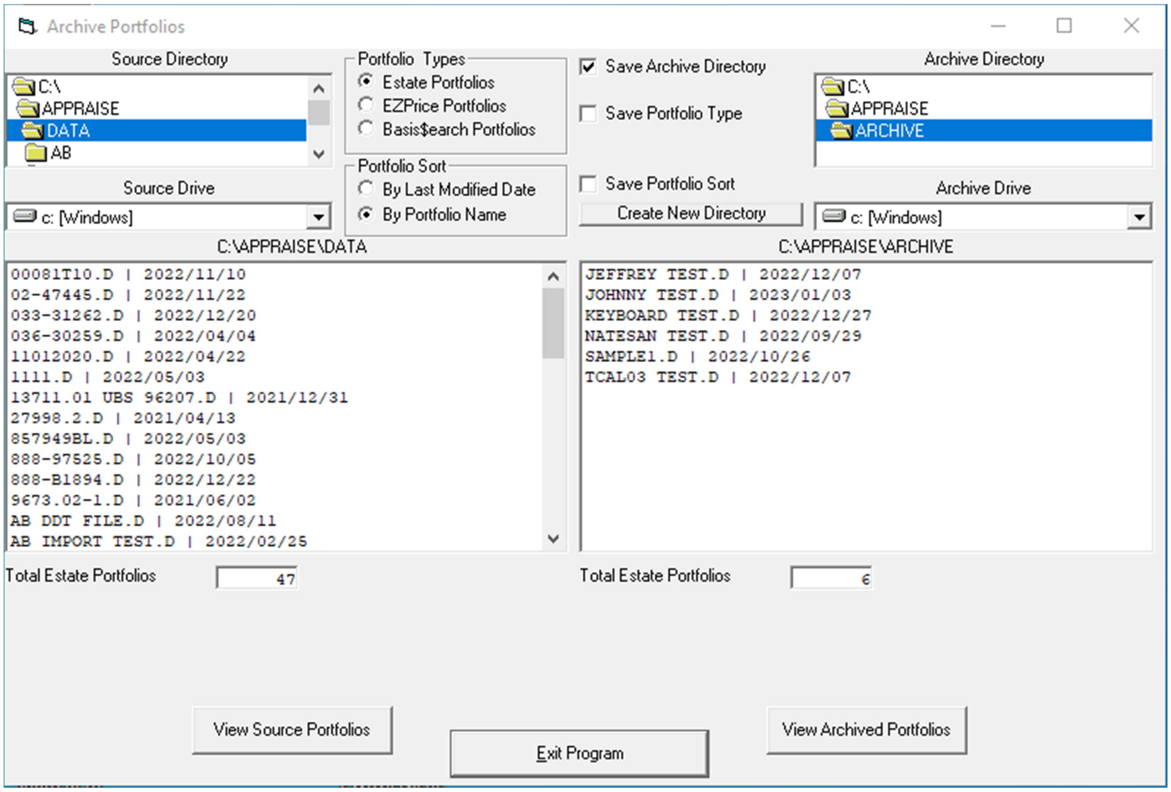

Figure 67 Archive - Multiple Portfolio Move

As can be seen in Figure 67, all of the highlighted portfolios from Figure 66 have been moved over to the C:\APPRAISE\ARCHIVE\ directory from the C:\APPRAISE\DATA\ directory.

The reverse can be done by clicking on and highlighting portfolios in the "Archived Box" on the right side and then clicking on the "Unarchive the selected portfolio(s) ←" button that appears at the bottom center of the screen where the "Archive selected portfolio(s) →" button was previously.