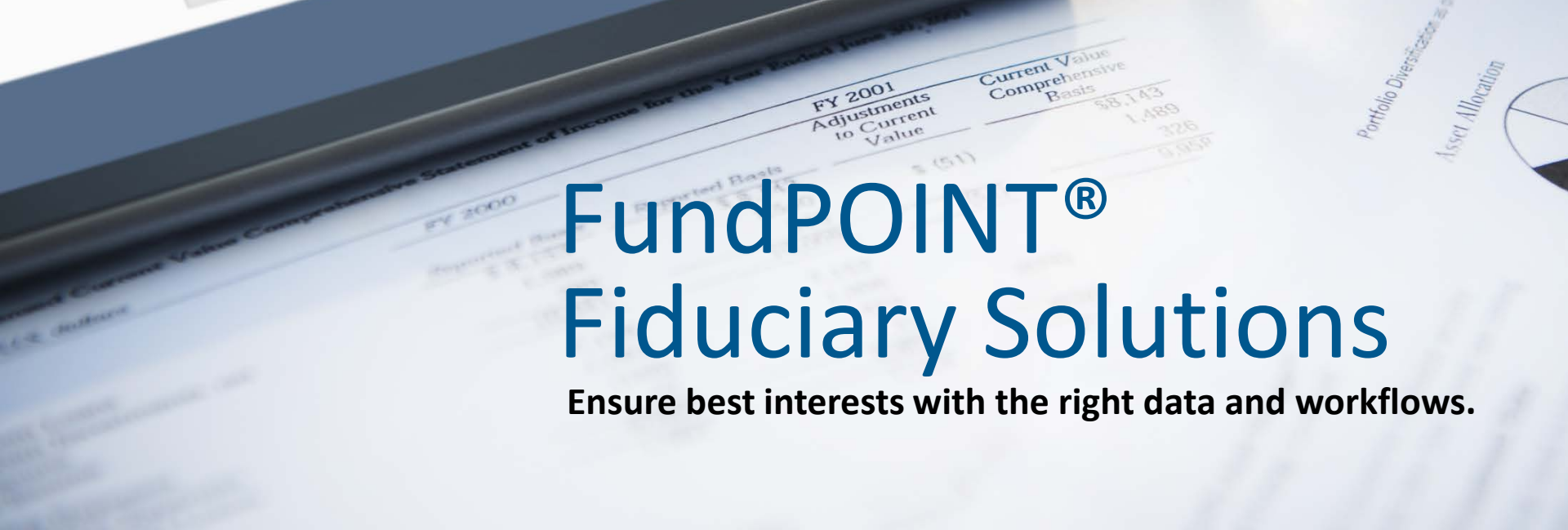




**Broadridge®**



# FundPOINT® Fiduciary Solutions

Ensure best interests with the right data and workflows.

# Satisfying fiduciary standards is in your best interests

Higher fiduciary standards and increased customer expectations have put fee transparency, operational efficiency and investment clarity at a premium.

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Automate data aggregation for multiple funds and products

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Streamline workflows for all advisors and transactions types

---

Centralize management of advisor recommendations and archival

# What's the solution?

Put every advisor on a level playing field with a simple web tool that combines robust data with the most efficient workflows to perform rollovers, suitability and portfolio comparisons.

**You need a way to:**



Automatically access  
the right data.



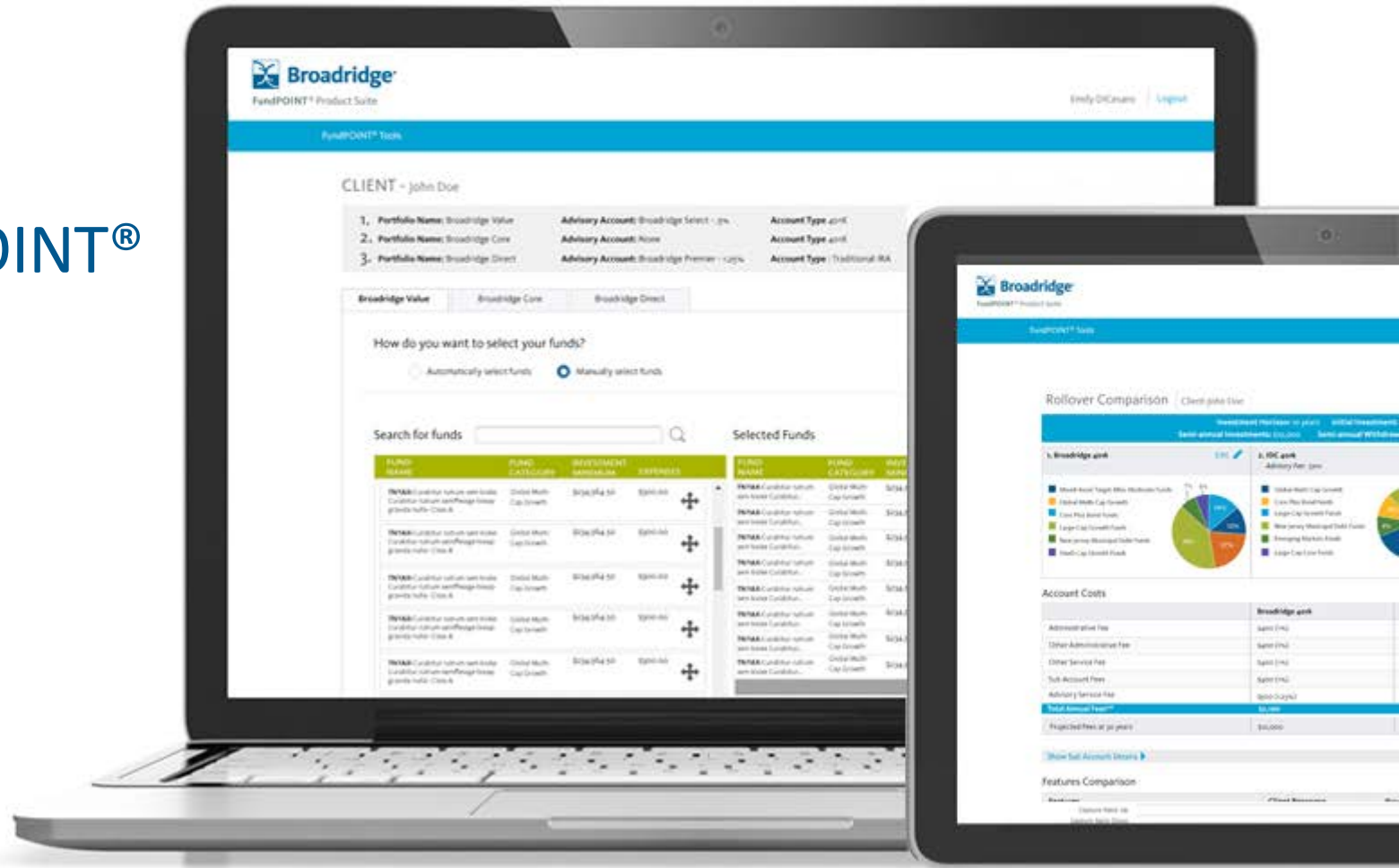
Streamline workflows  
for best interests.



Document and archive  
recommendations.

# One tool delivers transparency, clarity and confidence

## FundPOINT® Suite



# Simplify Fiduciary Standards

FundPOINT elevates an advisor's game with simple modules that help automate disclosure, documentation and archival.



## Get the Right Data

Using proprietary EDGAR sourcing technology, FundPOINT updates mutual fund, ETF and VA data daily. Over 725 data points combined – including 529 plan data.



## Simplify Share Class Suitability

FundPOINT introduced the industry's first share class analyzer tool over a decade ago. We've expanded share class coverage and automated disclose/document/archive processes for selecting the most appropriate share class in a fund.



## Ensure Suitability for Fund Comparisons

Perform suitability analysis for fund-to-fund comparisons leveraging EDGAR-sourced data. Quicken analysis and automate documentation and archival.



## Streamline Portfolio Comparisons

Quickly compare different advisory programs and asset allocation models with full fee transparency and customer-friendly graphics. Simplify rollovers at the portfolio level too!



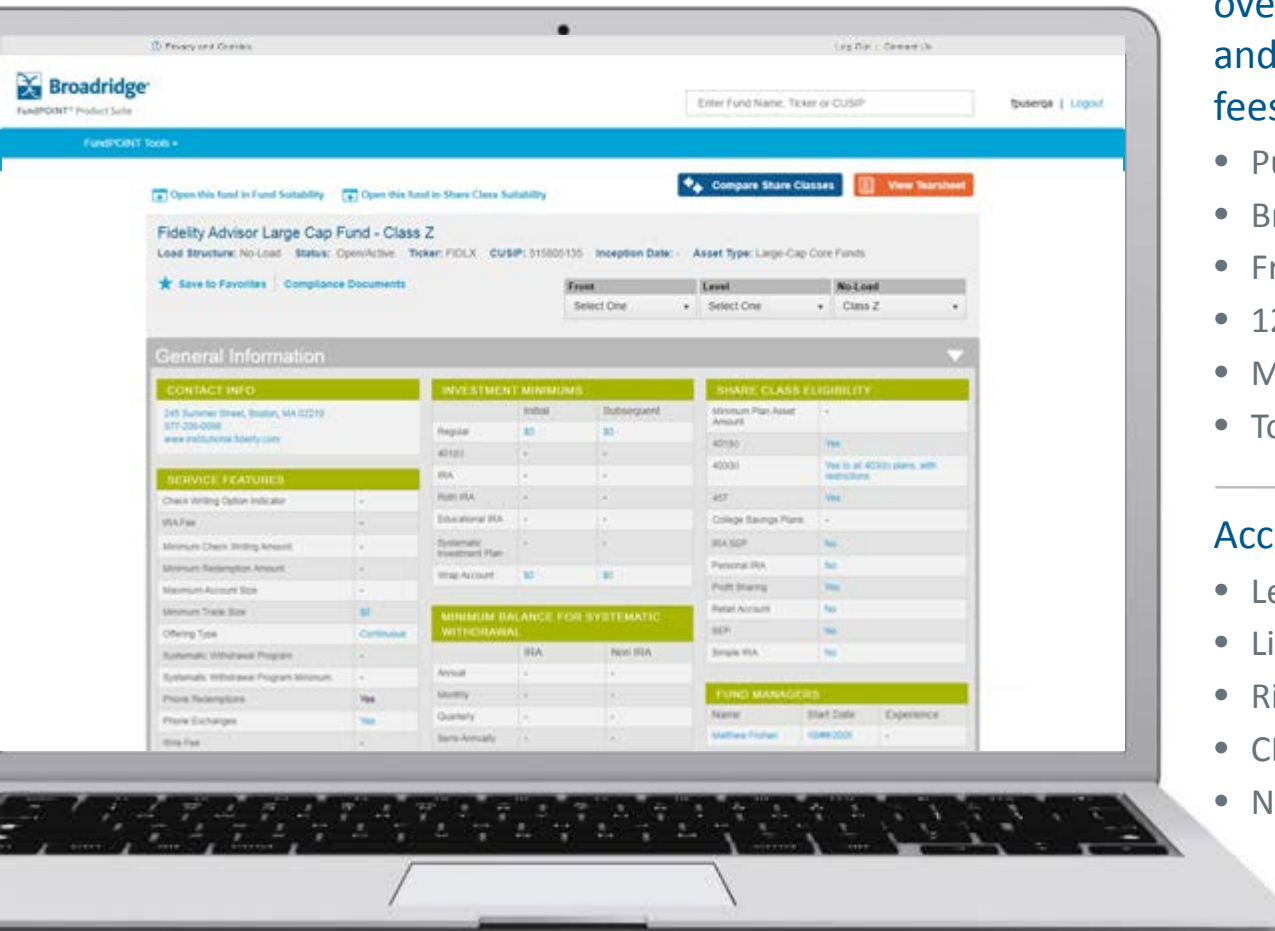
# How does it work?

Choose from an array of modules to get information from the sell list, rank funds and ensure best interest standards at the share class, fund and portfolio levels.

## A Full Suite of Data and Advisor Workflow Tools

Fund Data	Share Class Suitability	Fund Suitability	Portfolio & Rollover Analyzer
<ul style="list-style-type: none"><li>- 550+ data points for mutual funds, ETFs and VAs – updated daily from EDGAR.</li><li>- Compare share classes within a fund in a single view – across your sell list.</li><li>- Create a comprehensive tear sheet of fund fees, rules and information.</li><li>- Access 529 Plan Data too – 188 data points.</li></ul>	<ul style="list-style-type: none"><li>- Easily perform suitability analysis for all eligible share classes within a single fund.</li><li>- Proprietary value ranking reviews funds on 4 metrics: performance, expense, risk and consistency.</li><li>- Capture notes, investor signature and document/archive recommendations.</li></ul>	<ul style="list-style-type: none"><li>- Quickly perform suitability analysis for up to five funds within the same asset category.</li><li>- Proprietary value ranking reviews funds on 4 metrics: performance, expense, risk and consistency.</li><li>- Capture notes, investor signature and document/archive recommendations.</li></ul>	<p>Simplify recommendations across portfolios:</p> <ul style="list-style-type: none"><li>- <b>Rollover Analyzer</b> – review a client’s previous 401(k) plan, current 401(k) plan and new IRA options to compare plan fees and features</li><li>- <b>Portfolio Analyzer</b> – automate fund selection, based on value ranking and fees, to help advisors optimize asset allocation</li></ul>

# Data View: Get the Right Data, Updated Daily



Data View is a direct window into over 550\* data points, enabling firms and advisors to validate eligibility and fees for funds and share classes

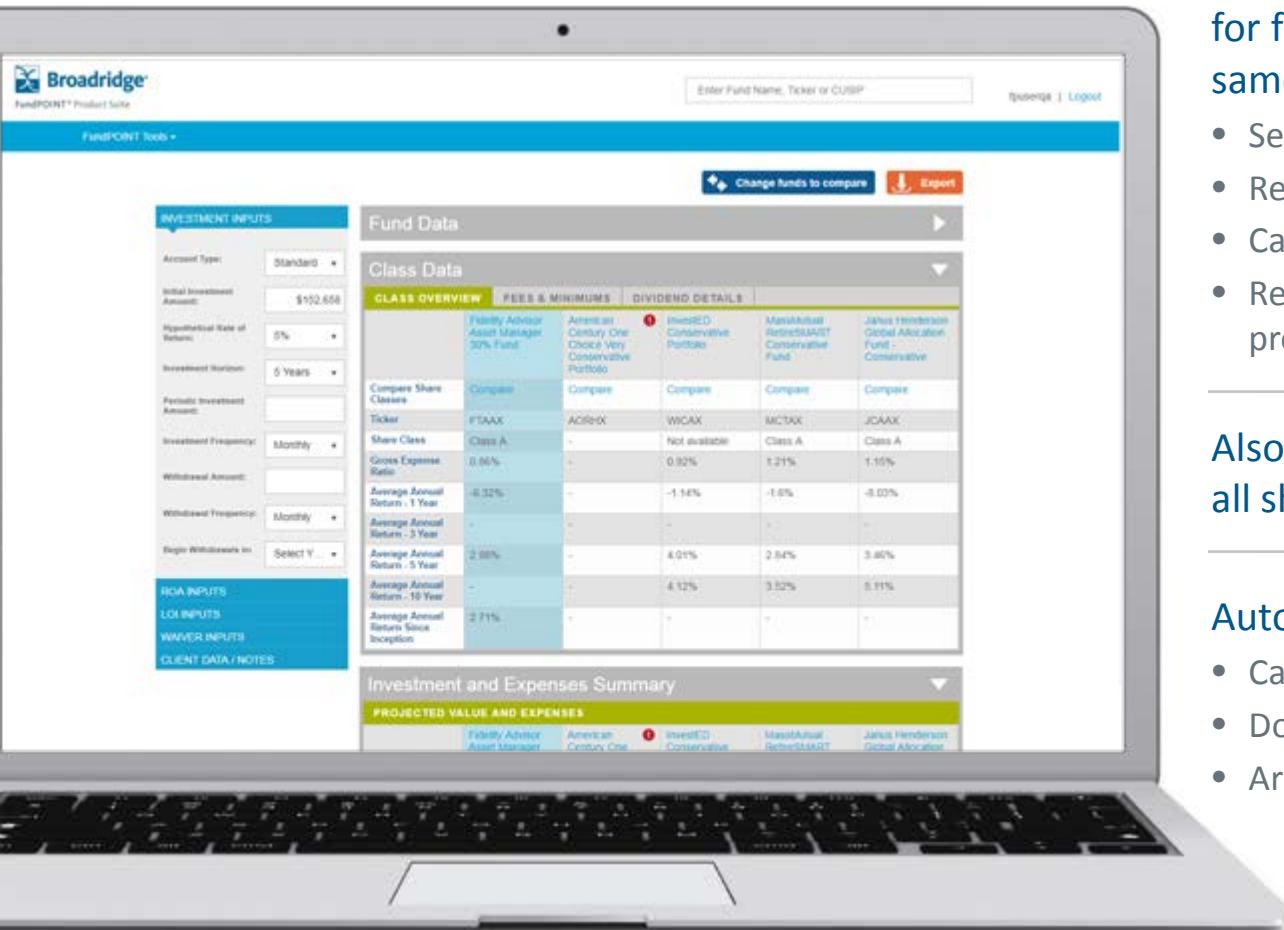
- Purchase and Redemption fees
- Breakpoint tables
- Front- and back-end loads
- 12b-1 fees
- Management Fees
- Total Annual Operating Expense

Access fund rules including:

- Letters of Intent
- Linking Rules
- Rights of Accumulation
- CDSC Waivers
- NAV Transfers

\*188 data points for 529 Plans also available

# Fund & Share Class Suitability: Ensure Suitability in All Transactions



Easily perform suitability analysis for fund-to-fund comparison in the same asset category (i.e., Growth)

- Search fund by Lipper category
- Review peers by value ranking
- Calculate by investor-driven criteria
- Real-time calculation reveals highest projected value\*

Also perform suitability analysis all share classes in a fund

Automated workflows include:

- Calculation
- Documentation
- Archival

\*Value ranking is proprietary scoring algorithm with weighted metrics for performance, expense, risk and consistency.

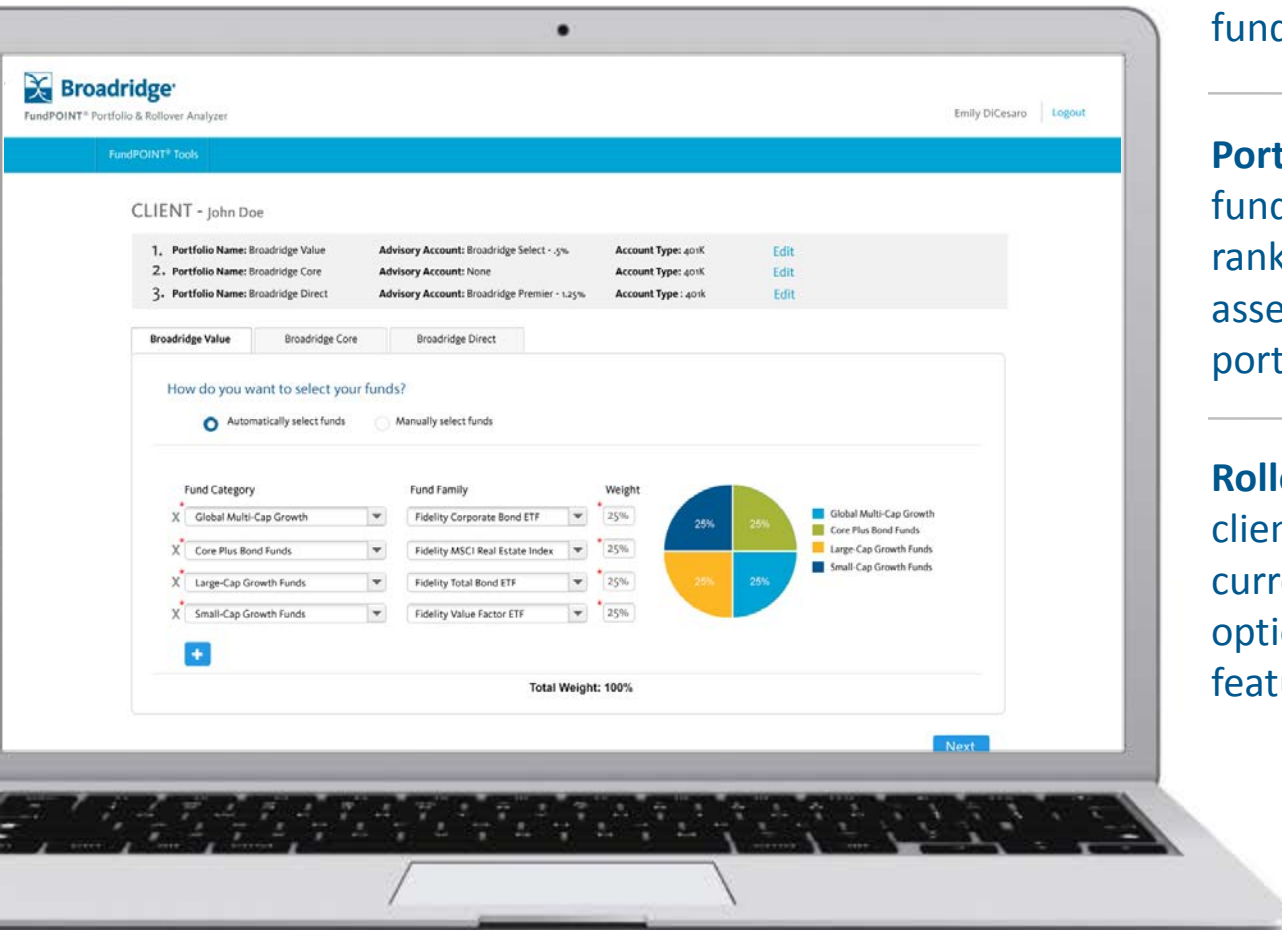


# Portfolio & Rollover Analyzer: Optimize Recommendations with a Portfolio View

Broaden the advisor view beyond funds to entire portfolios

**Portfolio Comparison** automates fund selection, based on value ranking and fees, to help optimize asset allocation among multiple portfolios

**Rollover Comparison** reviews a client's previous 401(k) plan, current 401(k) plan and new IRA options to compare plan fees and features



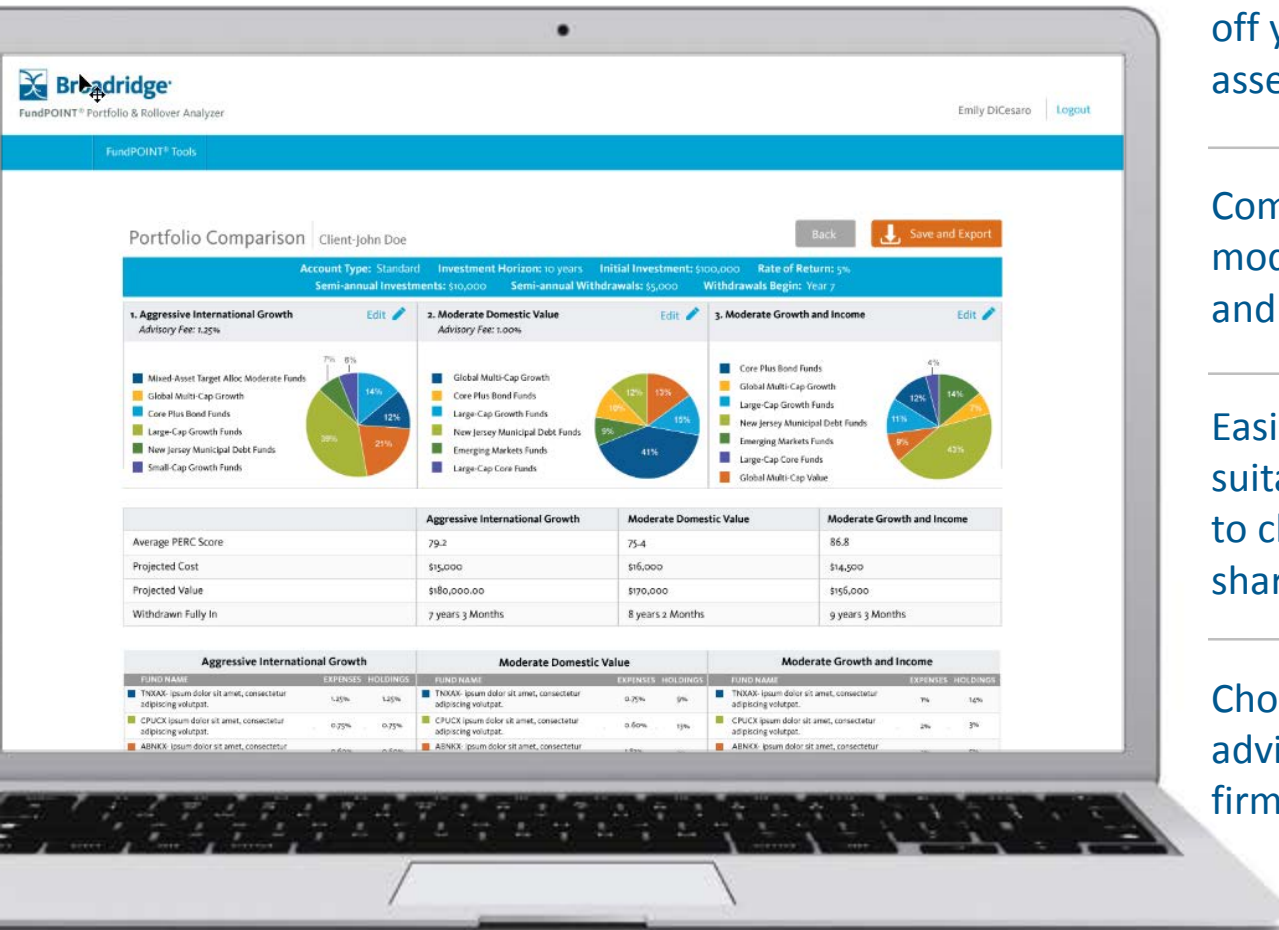
# Portfolio Analyzer: Compare Asset Allocation Models on the Quick

Quickly build portfolios from funds off your sell list to align to a specific asset allocation strategy

Compare diverse asset allocation models based on projected costs and value of each model

Easily perform share class suitability across portfolios to choose the most appropriate share class within desired funds

Choose from among separate advisory programs, based on firm-level restrictions\*



\*For example, ensuring advisors can only recommend funds from tiers they are eligible to sell.

# Rollover Analyzer: A Wide Vantage of Rollover Fees & Options

The screenshot displays the Broadridge FundPOINT Rollover Analyzer interface. At the top, the Broadridge logo and 'FundPOINT® Portfolio & Rollover Analyzer' are visible, along with the user name 'Emily DiCesaro' and a 'Logout' link. Below this is a blue header with 'FundPOINT® Tools'. The main content area is titled 'CLIENT - John Doe' and contains a table of accounts:

Account Name	Advisory Account	Account Type	Action
1. Account Name: ABC Company	Advisory Account: Premier Advisory Services - 1.25%	Account Type: Standard	Edit
2. Account Name: Broadridge 401	Advisory Account: none	Account Type: Standard	Edit
3. Account Name: ABC IRA	Advisory Account: none	Account Type: Traditional IRA	Edit

Below the table are tabs for 'ABC Company', 'Broadridge 401', and 'ABC IRA'. The 'ABC Company' tab is active, showing account details: 'Account Name: ABC Company' and 'Account Type: 401K'. The 'Account Questions' section includes:

- Was the client 55+ years old or turning 55 years old during the year they separated from service? (select one)
- Does the client have a loan against their 401k? (select one)
- What is the outstanding balance? (text input)
- is the client able to repay the outstanding balance prior to rolling over assets? (select one)

The 'Account Features' section includes checkboxes for:

- Loan
- Fee Based Advisory Service
- Account Aggregation
- Automatic Rebalancing
- Non Fee Based Advisory Service
- Consolidated Statements

A 'Number of funds' text input is also present. The 'Fees' section includes:

- Service Fee (text input)
- Administrative Fee (dropdown menu with options like 'Fee as Percent with Dollar Amount', '6% 10%', '6% \$100')

More robust functionality to quickly compare all 401(k) plans against IRA options on your sell list

Investor questionnaire provides additional layer of documentation to support an advisor's recommendation

Other features include:

- At-a-glance breakdown of portfolios by Lipper asset categories
- Easily compare features such as loans
- Print rollover recommendations with color graphics
- View cost projections from time horizons of 1 to 30 years

# Document Recommendations, Archive Records

Document advisor **recommendations** for every suitability analysis or rollover by clicking “Export”

Documents can be **archived** at your firm (via data feed) or stored by Broadridge

Periodically **review** client portfolios to maintain “best interest” standards as new fund changes are filed

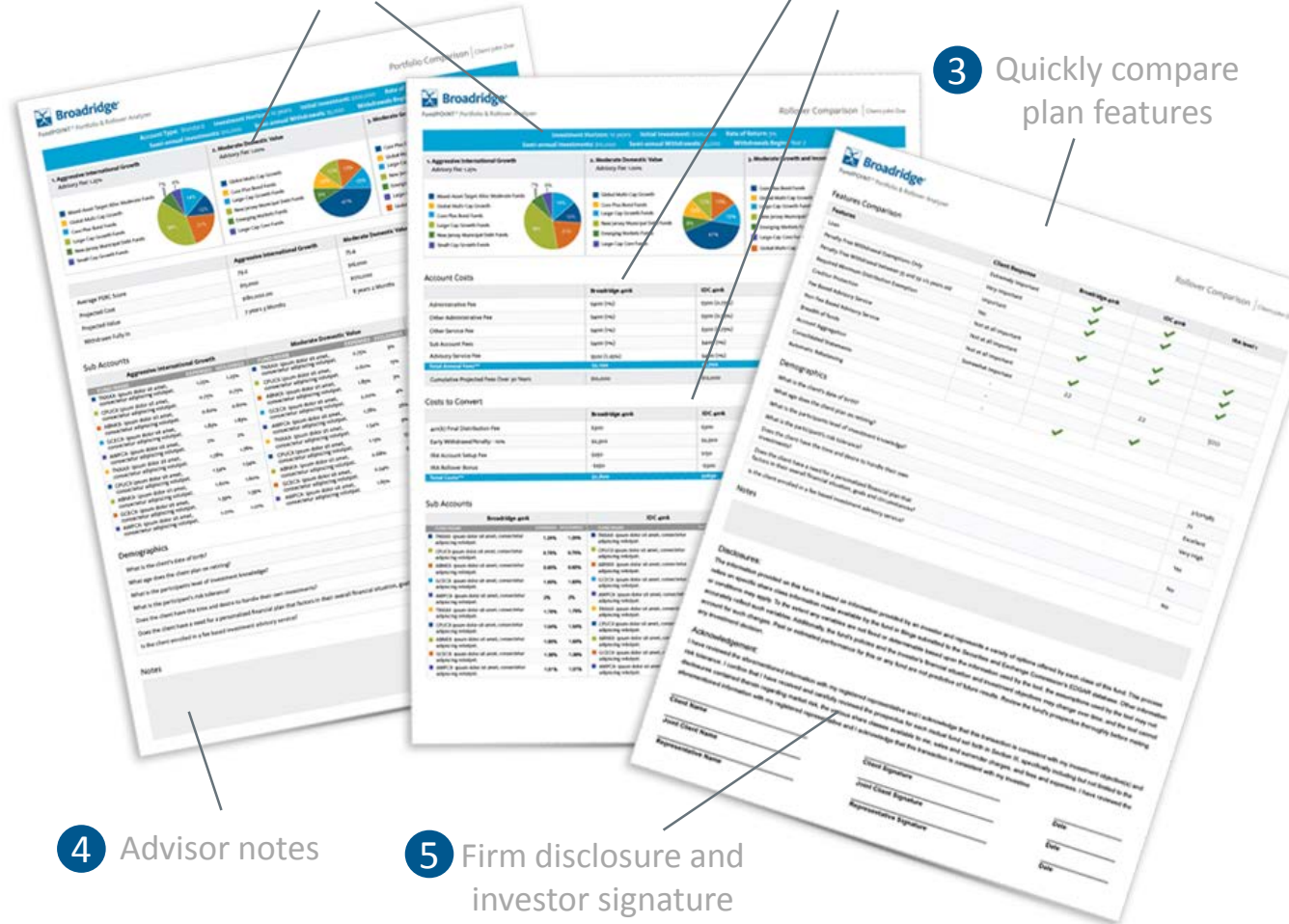
1 Graphic breakdown of asset categories

2 Transparently show account and conversion fees

3 Quickly compare plan features

4 Advisor notes

5 Firm disclosure and investor signature



# Learn More Today



[Schedule a demo](#)  
of FundPOINT



[Watch an overview](#)  
of the product



[Email](#) or call us to  
ask questions and  
learn more



**Broadridge®**