# *Simplify sales and increase revenues with an end-to-end 529 transaction solution.*

## *FundPOINT® Desktop for 529 Plans*

Historic losses from the financial crisis which began in late 2008 have changed the market landscape for 2009.

For broker-dealers, some of the greatest challenges will be to:

- Increase assets under management in a climate of weakened investor trust
- Reduce compliance (and business) risks in all transactions
- Retain quality advisors in a market with high attrition

Although financial services industry spending on IT is expected to drop 4-7% in the coming year, analysts predict that firms will continue to invest in "best-in-class" solutions that support transparency and automate manual processes.

### Sell more in less time, and be more compliant

Recent events have some investors sitting on the sidelines but 529 plans are long-term investments with advantages that are hard to pass up including tax-free treatment, easy investing, no eligibility restrictions, and total donor control. The IRS has updated regulations to allow two investment changes for 2009 should investors need to adapt their portfolio due to market swings. Financial Research Corporation expects 529 assets to grow from $140 billion to $350 billion in the next five years.

**FundPOINT® Desktop for 529 Plans** is an all-inclusive web application that enables advisors to:

- Get up-to-date information on thousands of investment options available to potential 529 customers
- Facilitate plan-to-plan comparisons including tax advantages of in-state versus out-of-state plans
- Conduct share class suitability analysis and fulfill the obligation to communicate correct breakpoints to customers
- Calculate fees and commissions with a single mouse click
- Provide point-of-sale disclosure using professional-grade data

Powered by FundPOINT® Data – the only 529 data feed that is updated daily at the share class level – FundPOINT Desktop for 529 Plans assures data integrity with centralized quality control and rigorous review by audit engineers and semi-automated processes.

**Who Benefits from FundPOINT Desktop for 529 Plans?**

**Sales Manager –** Increase assets under management, generate quick return on investment, and retain advisors

**Advisors –** Improve productivity, eliminate paper, and gather more investor assets

**Compliance Officer –** Mitigate compliance risk with a firm-wide solution for satisfying FINRA and MSRB requirements

**Operations Staff –** Easily perform trade monitoring and verification

**IT Manager –** No need to build anything in-house – FundPOINT Desktop for 529 Plans is a plug and play utility

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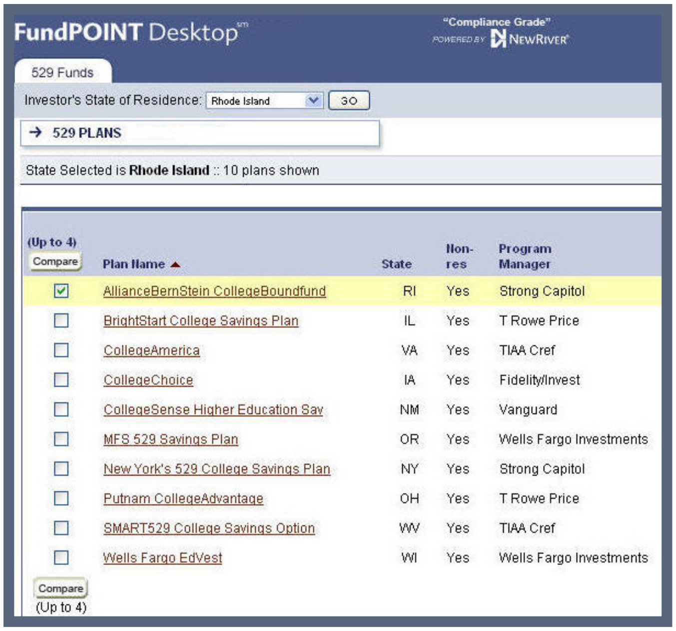
# Automate 529 Sales with a Powerful Web Utility.

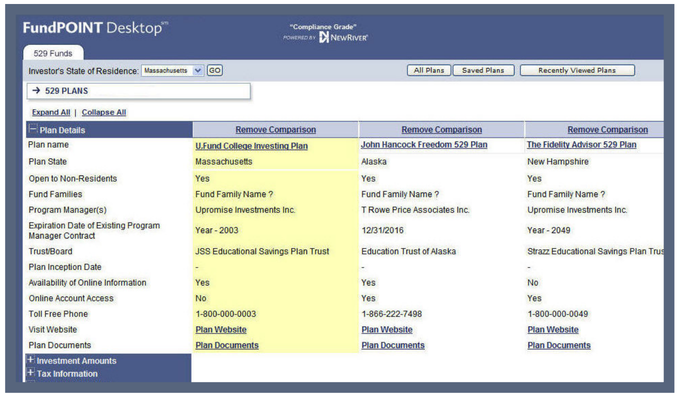
Easy to use and implement, FundPOINT Desktop for 529 Plans is a turnkey application that transforms all of your advisors – seasoned veterans or new hires – into instant 529 savings plan experts.

### 1. Removes the complexity in opening an account



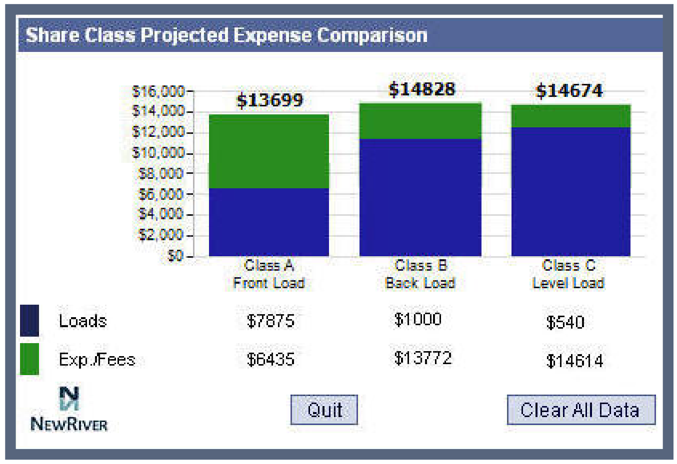

FundPOINT Desktop for 529 Plans simplifies the initial 529 purchase with a single portal to help you gather the latest 529 plan information and rules and meet compliance obligations.

### 2. Compare many levels of data in one desktop window




FundPOINT Desktop for 529 Plans is a centralized data portal for more than 110 state plans with over 4,500 investment options – giving advisors immediate access to roughly 125 data points sourced to perform fast, accurate 529 plan comparisons.

### 3. Offers instantaneous and compliant share class analysis




FundPOINT Desktop for 529 Plans' share class analyzer lets advisors compare costs of multiple share classes within a plan and captures point-of-sale disclosure to ensure suitability requirements are met.

## Your obligation, our business.

NewRiver helps organizations "raise the bar" on investor disclosure and transaction quality with products that are focused on the critical challenge faced by financial services firms – how to achieve continuous improvement in a highly regulated industry. No other company unlocks the value of compliance filings for mutual fund resellers so efficiently and in so many ways as NewRiver's suite of products. Because you provide your organization and investors with information from the most authoritative source, the SEC's EDGAR database, you can improve sales and operations while reducing business risk. We've been helping 200 clients do this for over 13 years. Let us help you today.

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