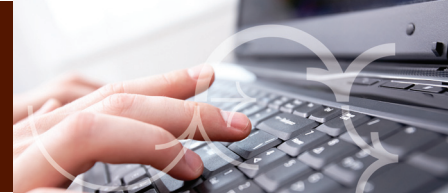




FundPOINT® Desktop



A web-based prospectus look-up tool for mutual fund sales efficiency and point-of-sale disclosure

Benefits:

- ▶ Search all open-end US mutual funds and share classes
- ▶ Review EDGAR-sourced mutual fund rules and data
- ▶ Access current pricing and performance information
- ▶ View, print and send documents from the desktop
- ▶ Perform share class analysis for “suitability” requirements
- ▶ Record a POS disclosure form in print or electronic

How do you manage the tension between improving advisor productivity and ensuring the appropriate investor disclosure at the point of sale? Regulators and investors expect your advisors to be subject matter experts on every fund they sell. *But is that realistic?*

Traditional paper-based disclosure is inadequate to keep up with the steady drumbeat of new and pending regulatory requirements focused on point-of-sale fee disclosure, breakpoint calculations, share class suitability, market timing infractions, and broker conflicts of interest.

What can you do?

FundPOINT Desktop: A Paper-Free Approach to Prospectus Disclosure

Now you can send a clear message about your firm’s commitment to a high-quality advisor/investor relationship while improving productivity and reducing paper waste. No more going to your storage closet to find a prospectus is out of stock, or badly out of date.

FundPOINT Desktop is a web-based “look-up” tool that helps your advisors improve their sales efficiency while helping you to achieve “best-in-class” compliance across your firm. Using proprietary disclosure management technology, FundPOINT Desktop delivers the most relevant mutual fund information that’s needed during a sales transaction sourced daily from the SEC’s Electronic Data Gathering, Analysis and Retrieval system (EDGAR). With the click of a mouse, your advisors can communicate fund options, identify opportunities for Letters of Intent, perform share class “suitability” analysis, capture POS disclosure designed to meet SEC proposed Rule 15c2-3 requirements, and even print or email a summary prospectus from the desktop.

Equip Every Advisor to Meet FINRA Requirements

FundPOINT Desktop provides a comprehensive set of the information that FINRA recommends an advisor considers when selling mutual funds to investors:

Advisor Considers/Calculates	FINRA 02-85 Requirement	FundPOINT Desktop
Pending transaction amount	✓	✓
Investment horizon	✓	✓
Anticipated investments	✓	✓
Rights of Accumulation (ROA)	✓	✓
- Previous purchases	✓	✓
- Family account linking	✓	✓
- Balances in other fund company products	✓	✓
Commission waivers, including reinstatements	✓	✓
Letter of Intent (LOI)	✓	✓
Assets held away from advisor firm	✓	✓

**Designed for
Brokerage employees,
including:**

- ▶ Financial advisors
- ▶ Broker assistants
- ▶ Call center staff
- ▶ Sales desk agents
- ▶ Operations and Compliance staff

One Desktop Solution Helps Meet Multiple Needs

Advisor/Firm Challenge	FundPOINT Desktop Solution
<p>Share Class Suitability</p> <p>Reps are paid for selling funds, not finding the right share class. How do you significantly reduce hours pushing paper and the chance of FINRA fines for unsuitable investments?</p>	<p>FundPOINT Share Class Analyzer</p> <ul style="list-style-type: none"> ▶ A web-based calculator that helps advisors assess the most appropriate share class for a mutual fund and create investor-driven scenarios “on the fly”. ▶ Also includes functionality to perform share class analysis for 529 Plans if this optional service is chosen.
<p>Point-of-Sale Disclosure</p> <p>To meet upcoming compliance obligations and record all share class decisions, advisors and back-office personnel need a paper (or electronic) trail to help justify investors’ decisions for a mutual fund transaction.</p>	<p>FundPOINT POS Disclosure Form</p> <ul style="list-style-type: none"> ▶ The customized PDF that completes the Share Class Analyzer process allows the advisor to produce a POS disclosure form designed to meet the requirements of the SEC’s proposed Rule 15c2-3. ▶ Advisors can print a client copy and store an electronic version for their own records.
<p>Prospectus Delivery</p> <p>Advisors are required to provide a prospectus preceding or accompanying a trade confirm, and delivered within 3 days of the transaction. But how can you be sure the prospectus information you’re delivering is the latest available?</p>	<p>FundPOINT “View, Print, Send” Functionality</p> <ul style="list-style-type: none"> ▶ Using proprietary technology, FundPOINT Desktop gives advisors a direct pipeline into EDGAR, assuring prospectus information is from the most recently filed documents. ▶ To save paper and improve investor service, advisors can print or send a streamlined summary prospectus that’s written in “Plain English”.
<p>Fund Research</p> <p>Your employees are responsible for keeping current with the firm’s entire list of approved funds. However, with hundreds of SEC filings daily, that’s easier said than done. Many research products are simply too expensive or full of extraneous information and functionality – doing more harm than good.</p>	<p>FundPOINT Data and Historical Research</p> <ul style="list-style-type: none"> ▶ FundPOINT Desktop turns your messy compliance document closet into a “one-click” EDGAR portal complete with critical mutual fund rules and information. ▶ Our FundPOINT Research module provides a comprehensive web-based library of current and historical documents for mutual funds, variable annuities and ETFs dating back to January 1999.



For more information, please call us toll-free at 1-800-481-2331 or visit our website at www.newriver.com.

Broadridge Financial Solutions, Inc. is a technology service company focused on global capital markets. We are the market leader enabling secure and accurate processing of information for communications and securities transactions among issuers, investors and financial intermediaries.