



FundPOINT® Desktop and Data for 529 Plans



FundPOINT Desktop for 529 Plans helps simplify sales and increase revenues with an intuitive web-based solution.

Benefits:

- ▶ Easily search and compare 529 Plans, both advisor-sold and direct-sold
- ▶ Access rules and data on three levels:
 - State level
 - Plan level
 - Investment option level
- ▶ Look-up performance information
- ▶ View, print and send plan documents and application forms
- ▶ Perform 529 Plan share class analysis, comparing multiple plans
- ▶ Create a point-of-sale disclosure form

Help Advisors Grow 529 Assets While Better Serving Their Investor Clients

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.

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

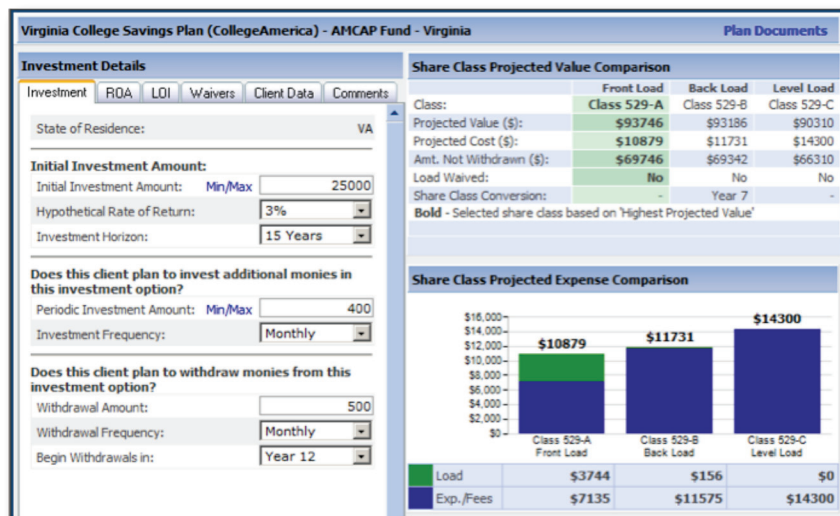
- ▶ Get up-to-date information on thousands of 529 Plan investment options
- ▶ Facilitate plan-to-plan comparisons including tax advantages of in-state versus out-of-state plans
- ▶ Conduct share class suitability analysis and communicate breakpoints
- ▶ Calculate fees and commissions with a single mouse click
- ▶ Provide point-of-sale disclosure using quality, accurate data

Powered by FundPOINT Data – the only 529 Plan data feed that is updated daily across all plans and investment option share classes – FundPOINT Desktop for 529 Plans assures data integrity with centralized quality control and rigorous review by audit engineers and semi-automated processes.

FundPOINT Desktop Functionality Automates 529 Plan Sales

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 Plan experts. With an intuitive, automated web solution, advisors can more easily open a 529 Plan account, compare plans and underlying investment options, perform share-class “suitability” analysis on the fly, and print or email a point-of-sale disclosure form.

Offer Instantaneous & Accurate Share Class Analysis



FundPOINT Desktop for 529 Plans' Share Class Analyzer enables advisors to compare costs of multiple share classes within a plan, and captures point-of-sale disclosure to help better meet compliance requirements.

FundPOINT 529 Plan Data is a single-source data solution designed to manage multi-layered 529 Plan information.

- ▶ Increase overall data coverage
- ▶ Improve operational efficiency
- ▶ Help assure appropriate trading
- ▶ Reduce regulatory risk
- ▶ Designed to help meet MSRB and FINRA regulations

Keeping Track of New Rules and Multi-Layered 529 Plan Data

For financial intermediaries, 529 Plan transactions can be more complex than mutual fund sales. 529 Plan data is more decentralized than mutual fund data, and must be tracked down from multiple sources such as plan websites, industry databases, disclosure documents as well as the most recent mutual fund filings stored on EDGAR.

Who can manage all that?

FundPOINT 529 Plan Data from Broadridge

For financial institutions facing various challenges presented by the task of managing complex 529 Plan information, FundPoint 529 Plan Data can become an essential foundation to access accurate information from multiple sources.

FundPOINT 529 Plan Data can be used to:

- ▶ Provide important disclosures to customers
- ▶ Perform 529 Plan transaction edits and supervision
- ▶ Provide background information for completion of 529 Plan applications
- ▶ Calculate fees and commissions
- ▶ Verify breakpoints and state tax advantages.

Backed by a proprietary process for sourcing 529 Plan information from multiple sources, FundPOINT 529 Plan Data offers a streamlined, centralized approach to accessing 56 data points for 529 Plans – helping advisors to improve their operational efficiency, transaction accuracy, and investor disclosure.

FundPOINT 529 Plan Data Categories	Data Points
General Plan Information	15
State Information	4
Sales Loads	5
Contributions and Minimums	5
Fees	7
Investment Options	8
Plan Returns	5
Conversion	2
Portfolio Information	5
TOTAL	56



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.

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