Broadridge®

FundPOINT® Data

A single-source solution for timely data updated daily from EDGAR

Benefits:

- Industry benchmark securities master data feed
- EDGAR-sourced, updated daily
- 100% fund coverage
- Improves operational efficiency
- Reduces exposure to risk and NIGO trades

Why cobble together data from several third-party sources or self manufacture your data when you can get timely, reliable data that's delivered on a single, comprehensive feed and updated daily?

Imagine if you had the capability to capture critical disclosure information and rules covering more than 24,000 U.S. open-end mutual funds and related share classes. Suddenly, the complexities of managing thousands of funds, the intricacies among different share classes, and the ebb and flow of fund merger activity all become easier to handle.

FundPOINT Data: The Most Accurate and Timely Data Solution Available

FundPOINT Data offers 349 individual data elements, including purchase and redemption fees and rules, minimums and maximums, fund management and governance, fees and expenses, linking rules, options for Rights of Accumulation (ROA) and Letters of Intent (LOI), NAV and more.

With FundPOINT data powering your securities master, your trades are cleaner with fewer errors and less regulatory uncertainty because the mutual fund trading rules used across your firm come from the definitive source – the SEC's Electronic Data Gathering, Analysis, and Retrieval system (EDGAR).

Unmatched Mutual Fund Data Coverage

Fund Profile	
Identifiers	5
Fund Classification	8
Key Dates	2
Investment Objective	5
TOTAL	**20**

Fund Management & Governance	
Fund Manager	5
Board	2
Service Providers	8
Reporting Dates	10
Fund Performance	6
TOTAL	**31**

Fees & Expenses	
12b-1 Fees	4
Estimated Fees on $10,000	4
Fees & Expenses	18
TOTAL	**26**

Market Timing	
Market Timing Policies	9
Exchanges	18
Redemption Fees	23
TOTAL	**50**

Purchases & Redemptions	
Share Class Eligibility	14
Dealer Concession / Finder's Fees	4
Front-end Load Schedule	4
CDSC Schedule	4
CDSC Waiver-Life Events	10
CDSC Waiver-Retirement Plans	14
Share Class Conversion	4
Letter of Intent (LOI) Rules	23
Linking Rules	26
Linking Rules – Retirement	7
Rights of Accumulation (ROA) Rules	14
TOTAL	**124**

Servicing & Operations	
NAV Purchases and Transfers	17
NAV Purchases – Retirement	8
NAV Reinstatement	4
Investment Minimums	10
Retirement Plan Minimums	8
Offering Dates and Status	3
Fund Announcements	5
Distributions	12
Account Balances	8
Operations – Other	11
Wiring Instructions	5
Communications	7
TOTAL	**98**

TOTAL ALL	**349**

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Designed for:

- Brokerage firms
- Insurers with an advisor network
- Retirement plan providers
- Service providers

One Data Solution Helps Meet Multiple Needs

- **Master Security Data (MSD)** – Your firm needs an up-to-date, accurate source of mutual fund data to minimize issues related to NIGO trades and manual data reconciliations. FundPOINT Data provides a single source for mutual fund and 529 Plan data that is updated nightly and quality checked to help ensure accuracy.

- **Fee Management & Disclosure** – Complex reimbursement structures across numerous fund families requires close attention to appropriate fee and expense data points when making trades across multiple proprietary platforms. FundPOINT Data aggregates critical fee information and maintains it daily, and is the only solution to do so.

- **Customization and Flexible Data Packages Available** – FundPOINT Data offers 349 data points, but you can tailor a solution to meet your unique data business needs. Plus, we offer three data specialty packages that we have developed based on regulatory requirements and industry input:

    - **FundPOINT 529 Plan Data** – A single-source data solution to manage multi-layered 529 Plan information, enabling advisors to simplify 529 Plan transactions and improve investor disclosure.

    - **FundPOINT Retirement Focus Data** – The industry's leading data solution tailored to retirement mutual fund compliance needs, including 166 data points covering such critical areas as fee disclosure, redemption fee waivers, eligibility and much more.

    - **FundPOINT Market Timing Data** – In many cases market timing policies are specific to individual funds and even share classes. FundPOINT Market Timing Data is sourced from EDGAR and fund-specific, providing 50 data points to help meet Rule 22c-2 compliance requirements.

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

Broadridge®

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.