Broadridge®

FundPOINT® Research

A web-based lookup tool that provides access to current and historical mutual fund, variable annuity and ETF documents on EDGAR.

Benefits:

- Improves efficiency with a simple, single-source research tool
- Enables concurrent searches by multiple users
- Reduces compliance risk by applying a patented document management process that provides 100% fund coverage
- Eliminates paper by providing efficient online of disclosure documents by relevant trade date
- Ensures accurate research because information is EDGAR-sourced and accessible on the web

FundPOINT Research gives you ready access to historical disclosure documents for mutual funds, variable products, and exchange-traded funds (ETFs). It's a comprehensive online library covering fund documents filed and stored on EDGAR since January 1, 1999.

FundPOINT Research eliminates the time and delay of tracking down paper prospectuses and other compliance documents such as Statements of Additional Information (SAI), shareholder reports and supplements. Just log on, input the fund name/family, CUSIP or ticker symbol and click. Within seconds, you'll see a complete inventory of compliance documents categorized by document type and listed in descending order by date.

One Click Brings Documents Directly to You.

FundPOINT Research lets users quickly find, research and analyze current and historical fund documents:

- We digitally organize documents from EDGAR into our proprietary "compliance envelopes" – an electronic folder containing all compliance documents related to a specific CUSIP share class or ticker symbol.
- Our library hierarchy is so intelligent you can even input an old fund name or CUSIP, and you will be brought to the correct compliance envelope showing all document filings before and after the fund merger or renaming.
- For added convenience, the universe of viewable funds can be restricted to your firm's sell list.

Top 5 Reasons to Use FundPOINT Research

- **Arbitration Assistance** – Provides fast, accurate access to definitive "in-force" rules to resolve any transaction disputes or combat civil lawsuits.
- **Competitive Insight** – Lets you research competitor fund documents, enabling you to monitor the competition and enhance your firm's product features and design.
- **Legal Resource** – Allows your attorneys to review similar fund offerings when drafting new prospectus language or for other disclosure documents.
- **Regulatory Review** – Assures that your legal and compliance team have access to the definitive current and historical documents when regulators request an audit.
- **Trade Reconciliation** – A dependable, efficient tool to help research and reconcile any potential market timing trade violations or other fund transaction errors.

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Designed for:

- Broker-Dealers
- Fund Companies
- Attorneys
- Accountants

Searching EDGAR is Simple and Fast!

Once you find the document you need, how do you access the specific in-force rules without wasting time wading through the document? FundPOINT Research includes “Search Assistants” that help you look up key rules information such as Rights of Accumulation, Letter of Intent, NAV Purchase Options, and Reinstatement Privilege Rules.

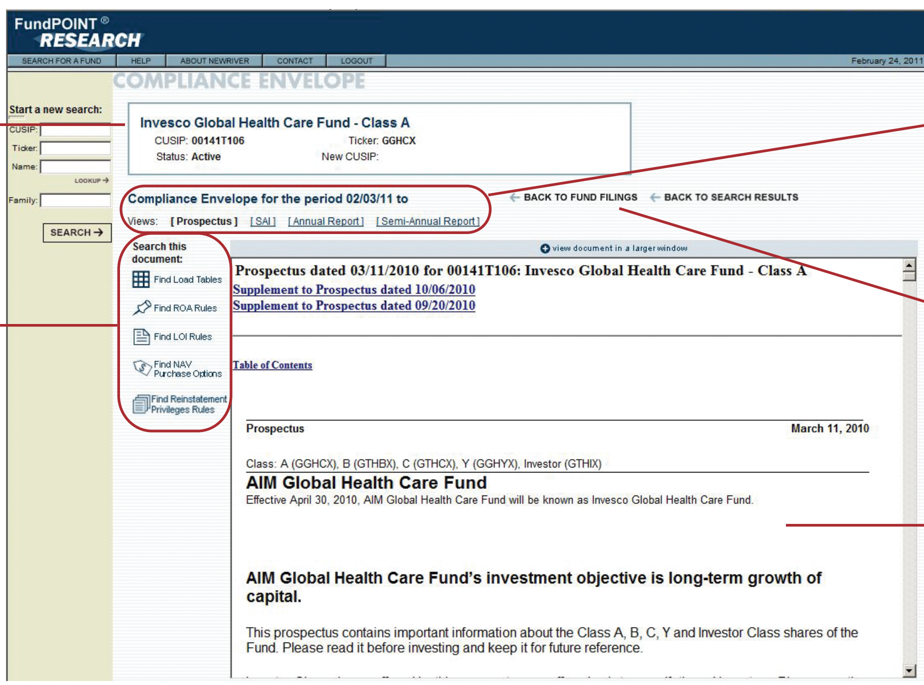
To help you meet FINRA Rule 2821 requirements for variable product 1035 exchanges, FundPOINT Research simplifies supervisor review, verification and approval with hyperlinks to surrender fee tables and insurance rider cost, availability and rules in the original product prospectus.

Using this powerful tool, you can demonstrate to FINRA examiners that you have a formal process in place to help assure “suitability” of 1035 exchanges from the old contract to the new one.

Reading & Searching Documents

Key fund information such as fund name, CUSIP, ticker, status and “New CUSIP” if fund was recently re-organized.

Search Assistants are hot keys that bring you to critical information within the compliance document in one click.



Compliance Envelope provides links to other compliance documents filed on EDGAR associated with the CUSIP or ticker symbol.

Quickly return to list of historical **fund filings** associated with CUSIP or return to **search results** if multiple listings for one CUSIP.

Document review panel, which shows the fund prospectus filed on EDGAR for the date requested.

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.