



M.D.C. ADVISORS

Client Watch List Summary

Report created on:

February 06, 2013

Investment data as of:

Mutual Fund and ETF: December 31, 2012

Separately Managed Account: November 30, 2012

Variable Annuity Sub-account: December 31, 2012

Group Retirement Plan Annuity: December 31, 2012

fi360 Toolkit Username:

FI360DEMO

Client Filters

This report will only include Clients with the following status and type.

Status: Current clients only

Investment Filters

This report will only display investments with the following watch list status and recommended action.

Watch List Status: All investments

Action: All investments

Report Description



This report provides a summary of the investments across all of your clients in the fi360 Toolkits. The summary is based upon the filters set in the Watch List Summary area. If you change the filters there, it will also change the investments and clients shown in this report.

The "Client Summary" version of this report is particularly useful for viewing all of your clients and their investments in one report. The report displays all filtered investments held by each of your Clients, along with their Watch List Status and recommended action.



The "Investment Summary" version (also available online) groups the report by Investment Name instead of Client Name. That version is great for identifying investments across all of your clients that are on your Watch List. You can easily view how many clients currently hold an investment, how many have it placed on their Watch List and how many have it listed to be removed.

Please reference the items below for details on how to interpret the graphics in the following pages.

Watch List Factors CONTROLLING the Watch List Status

-  IPS Criteria Pass or a manual decision exists
-  IPS Criteria Failure or a manual decision exists

Watch List Factors NOT controlling the Watch List Status

-  IPS Criteria Pass or a manual decision exists
-  IPS Criteria Failure or a manual decision exists
- No manual decision exists

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Client Watch List Summary (Ordered alphabetically by client name)

Client Name Status Type Investment Name (Ticker)	Peer Group	Type	\$ Amount	IPS Due Diligence	Global Decision	Client-specific Decision	Recc. Action
ABC Company Current Individual \$956.00							4 of 19 holdings are on the Watch List
Assigned IPS Monitoring Due Diligence Criteria: <i>Standard Criteria</i>							
AAM Mortgage Investment	Moderate Allocation	SMA	\$500.00	√	-	-	
Columbia Dividend Income Z (GSFTX)	Large Value	MF	\$0.00	√	-	-	
Columbia Large Cap Index Z (NINDX)	Large Blend	MF	\$456.00	√	-	-	
Columbia Small Cap Index Z (NMSCX)	Small Blend	MF	\$0.00	√	-	-	
Columbia Small Cap Value Fund I Z (CSCZX)	Small Value	MF	\$0.00	×	-	-	
Dodge & Cox Stock (DODGX)	Large Value	MF	\$0.00	√	-	-	
Federated Strategic Value Dividend Instl (SVAIX)	Large Value	MF	\$0.00	√	-	-	
Invesco Growth Allocation C (AADCX)	Aggressive Allocation	MF	\$0.00	×	-	-	Replace
JPMorgan Value Advantage Instl (JVAIX)	Large Value	MF	\$0.00	√	-	-	
MFS Value R4 (MEIJX)	Large Value	MF	\$0.00	√	-	-	
Money Market Taxable (MMTOX)	Money Market Taxable	MF	\$0.00	×	-	-	
Perkins Mid Cap Value T (JMCVX)	Mid-Cap Value	MF	\$0.00	×	-	-	
Prin I1-Principal Bond and Mortgage SP	Intermediate-Term Bond	GRPA	\$0.00	√	-	-	
T. Rowe Price Retirement 2050 R (RRTFX)	Target Date 2046-2050	MF	\$0.00	√	-	-	
VALIC ED-American Beacon Holland Lg Cap Gr Inv	Large Growth	ANNUITY	\$0.00	√	-	-	
Vanguard Equity-Income Adm (VEIRX)	Large Value	MF	\$0.00	√	-	-	
Vanguard Small Cap Growth Index Inv (VISGX)	Small Growth	MF	\$0.00	√	-	-	
Vanguard Total Bond Market Index I (VBTIX)	Intermediate-Term Bond	MF	\$0.00	√	-	-	
Vanguard Wellington Inv (VWELX)	Moderate Allocation	MF	\$0.00	√	-	-	
Cliff's Client Current Individual \$12.00							3 of 4 holdings are on the Watch List
Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>							
Aberdeen Asia Pac ex-Japan Eq Instl (AAPIX)	Pacific/Asia ex-Japan Stk	MF	\$4.00	×	-	-	
AXA All2000-Alger Mid Cap Growth I-2	Mid-Cap Growth	ANNUITY	\$2.00	×	-	-	
Barclays Long C Leveraged S&P 500 TR ETN (BXUC)	Trading-Leveraged Equity	ETF	\$5.00	×	-	-	
MONEY CEMVUL-Janus Aspen Forty Instl	Large Growth	ANNUITY	\$1.00	√	-	-	
Example 123456 Current Individual \$75.00							2 of 3 holdings are on the Watch List
Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>							
Alpine Accelerating Dividend A (AAADX)	Large Blend	MF	\$0.00	×	-	-	
Dodge & Cox Stock (DODGX)	Large Value	MF	\$25.00	×	-	-	Replace
Vanguard 500 Index Inv (VFINX)	Large Blend	MF	\$50.00	√	-	-	

Client Watch List Summary (Ordered alphabetically by client name)

Client Name Status Type	Peer Group	Type	\$ Amount	IPS Due Diligence	Global Decision	Client-specific Decision	Recc. Action
George Smythe Current Individual \$712.00							1 of 3 holdings are on the Watch List
Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>							
Dodge & Cox Stock (DODGX)	Large Value	MF	\$240.00	X	X	X	
PowerShares QQQ (QQQ)	Large Growth	ETF	\$232.00	√	-	-	
Vanguard 500 Index Inv (VFINX)	Large Blend	MF	\$240.00	√	-	-	
IPS Sample Current Individual \$56,500.00							1 of 6 holdings are on the Watch List
Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>							
Columbia Intermediate Bond A (LIBAX)	Intermediate-Term Bond	MF	\$5,000.00	√	-	-	
Dreyfus Intermediate Term Inc A (DRITX)	Intermediate-Term Bond	MF	\$10,000.00	√	-	-	
Fairholme Allocation (FAAFX)	Moderate Allocation	MF	\$15,000.00	X	-	-	
Fidelity Advisor Diversified Stock A (FDTOX)	Large Blend	MF	\$12,500.00	√	-	-	
Invesco Equally-Wtd S&P 500 A (VADAX)	Large Blend	MF	\$4,000.00	√	-	-	
Pioneer Short Term Income A (STABX)	Short-Term Bond	MF	\$10,000.00	√	-	-	
Irene I. Investor Current Individual \$1,000.00							7 of 15 holdings are on the Watch List
Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>							
Aberdeen International Equity A (GIGAX)	Foreign Large Blend	MF	\$10.00	√	-	-	
Aberdeen US Equity II C (CCPCX)	Large Blend	MF	\$0.00	X	-	-	
American Funds Capital World G/I R5 (RWIFX)	World Stock	MF	\$100.00	X	-	-	
American Funds EuroPacific Gr R5 (RERFX)	Foreign Large Blend	MF	\$100.00	√	-	-	
American Funds Growth Fund of Amer R5 (RGAFX)	Large Growth	MF	\$100.00	X	-	-	
Columbia Large Cap Index Z (NINDX)	Large Blend	MF	\$100.00	√	-	-	
Columbia Small Cap Index Z (NMSCX)	Small Blend	MF	\$100.00	√	-	-	
Columbia Small Cap Value Fund I Z (CSCZX)	Small Value	MF	\$100.00	X	-	-	
MFS Value R4 (MEIJX)	Large Value	MF	\$100.00	√	-	-	
Money Market Taxable (MMTOX)	Money Market Taxable	MF	\$100.00	X	-	-	
Perkins Mid Cap Value T (JMCVX)	Mid-Cap Value	MF	\$10.00	X	-	-	
Schwab S&P 500 Index (SWPPX)	Large Blend	MF	\$80.00	√	-	-	
Vanguard Small Cap Growth Index Inv (VISGX)	Small Growth	MF	\$100.00	√	-	-	
Vanguard Total Bond Market Index I (VBTIX)	Intermediate-Term Bond	MF	\$0.00	X	-	-	
Vanguard Wellington Inv (VWELX)	Moderate Allocation	MF	\$0.00	√	-	-	

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Client Name Status Type Investment Name (Ticker)	Peer Group	Type	\$ Amount	IPS Due Diligence	Global Decision	Client-specific Decision	Recc. Action
Irene Individual Current Individual \$204,633.75							2 of 16 holdings are on the Watch List
Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>							
Allianz NFJ International Value A (AFJAX)	Foreign Large Value	MF	\$13,609.28	√	-	-	
American Funds EuroPacific Gr R4 (REREX)	Foreign Large Blend	MF	\$7,380.88	√	-	-	
BlackRock GNMA Svc (BGPSX)	Intermediate Government	MF	\$8,452.43	√	-	-	
Columbia Small Cap Core Z (SMCEX)	Small Blend	MF	\$5,799.75	√	-	-	
Delaware Small Cap Value A (DEVLX)	Small Value	MF	\$6,971.01	√	-	-	
Dodge & Cox Stock (DODGX)	Large Value	MF	\$1,000.00	×	×	×	
Dreyfus Appreciation (DGAGX)	Large Blend	MF	\$15,763.05	√	-	-	
Invesco High Yield R5 (AHIYX)	High Yield Bond	MF	\$8,709.10	√	-	-	
Oppenheimer Developing Markets Y (ODVYX)	Diversified Emerging Mkts	MF	\$7,560.52	√	-	-	
PIMCO Commodity Real Ret Strat D (PCRDY)	Commodities Broad Basket	MF	\$9,577.07	√	-	-	
PIMCO Investment Grade Corp Bd A (PBDAX)	Intermediate-Term Bond	MF	\$67,250.53	×	-	-	
PIMCO Short-Term D (PSHDY)	Ultrashort Bond	MF	\$1,090.05	√	-	-	
Prudential Global Real Estate Z (PURZY)	Global Real Estate	MF	\$9,685.72	√	-	-	
RidgeWorth Large Cap Value Equity I (STVTX)	Large Value	MF	\$27,012.58	√	-	-	
Thornburg Limited-Term Income R3 (THIRX)	Short-Term Bond	MF	\$7,137.90	√	-	-	
Tocqueville Gold (TGLDX)	Equity Precious Metals	MF	\$7,633.88	√	-	-	
Jane Smith IRA Current Individual \$1,601,020.00							5 of 8 holdings are on the Watch List
Assigned IPS Monitoring Due Diligence Criteria: <i>fi360 Fiduciary Score <= 25</i>							
Allianz NFJ Mid-Cap Value C (PQNCX)	Mid-Cap Value	MF	\$56,420.00	×	-	-	
BlackRock Managed Volatility Inv A (PCBAX)	Moderate Allocation	MF	\$310,000.00	×	-	-	
Delaware Extended Duration Bond A (DEEAX)	Long-Term Bond	MF	\$400,000.00	√	-	-	
Dreyfus Emerging Markets A (DRFMX)	Diversified Emerging Mkts	MF	\$35,600.00	×	-	-	
DWS Equity Dividend C (KDHCX)	Large Value	MF	\$210,500.00	×	-	-	
RidgeWorth Large Cap Growth Stock A (STCIX)	Large Growth	MF	\$195,000.00	√	-	-	
RidgeWorth Sel Large Cap Growth Stock C (STTFX)	Large Growth	MF	\$168,500.00	×	-	-	
Target Conservative Allocation A (PCGAX)	Conservative Allocation	MF	\$225,000.00	√	-	-	

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Jean Sample Current Individual \$350,660.05							13 of 16 holdings are on the Watch List
Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>							
American Funds Capital World Bond R3 (RCWCX)	World Bond	MF	\$6,934.97	X	-	-	
American Funds Capital World G/I R3 (RWICX)	World Stock	MF	\$38,494.32	X	-	-	
American Funds EuroPacific Gr R3 (RERCX)	Foreign Large Blend	MF	\$47,906.41	X	-	-	
American Funds Fundamental Invs R3 (RFNCX)	Large Blend	MF	\$38,828.37	X	-	-	
American Funds Growth Fund of Amer R3 (RGACX)	Large Growth	MF	\$35,137.88	X	-	-	
American Funds Inc Fund of Amer R3 (RIDCX)	Moderate Allocation	MF	\$12,312.49	√	-	-	
BlackRock S&P 500 Index A (MDSRX)	Large Blend	MF	\$28,836.08	√	-	-	
Eaton Vance Large-Cap Value A (EHSTX)	Large Value	MF	\$15,092.66	X	-	-	
Federated Total Return Govt Bd Svc (FTGSX)	Intermediate Government	MF	\$23,030.65	X	-	-	
Heartland Select Value (HRSVX)	Mid-Cap Value	MF	\$19,260.78	X	-	-	
Heartland Value Plus (HRVIX)	Small Value	MF	\$4,730.14	X	-	-	
Invesco Mid Cap Core Equity A (GTAGX)	Mid-Cap Blend	MF	\$6,187.69	X	-	-	
Ivy Mid Cap Growth Y (WMGYX)	Mid-Cap Growth	MF	\$10,271.93	√	-	-	
Keeley Small Cap Value A (KSCVX)	Small Blend	MF	\$4,598.06	X	-	-	
PIMCO Total Return D (PTTDX)	Intermediate-Term Bond	MF	\$44,148.54	X	-	-	
Royce Value Plus Svc (RYVPX)	Small Growth	MF	\$14,889.08	X	-	-	
Joe Cool Current Individual \$12,319,521.90							1 of 3 holdings are on the Watch List
Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score Avg (3yr) <= 25</i>							
Dodge & Cox Stock (DODGX)	Large Value	MF	\$12,312,321.00	X	-	-	
Vanguard 500 Index Inv (VFINX)	Large Blend	MF	\$7,200.90	√	-	-	
Vanguard Total Stock Mkt Idx Signal (VTSSX)	Large Blend	MF	\$0.00	√	-	-	
Paul's Sample Client Current Individual \$0.00							1 of 4 holdings are on the Watch List
Assigned IPS Monitoring Due Diligence Criteria: <i>Paul's Criteria</i>							
ING Global Bond Port I (IOSIX)	World Bond	MF	\$0.00	√	-	-	
ING PIMCO Total Return Port I (IPTIX)	Intermediate-Term Bond	MF	\$0.00	√	-	-	
Oppenheimer Developing Markets A (ODMAX)	Diversified Emerging Mkts	MF	\$0.00	√	X	-	
Pioneer High Yield Y (TYHYX)	High Yield Bond	MF	\$0.00	√	-	-	
Sidney Roberts IRA Current Individual \$41,256.67							1 of 3 holdings are on the Watch List
Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>							
1492 Small Cap Value	Small Value	SMA	\$3,121.00	X	-	-	
Aberdeen Asia Pac ex-Japan Eq Instl (AAPIX)	Pacific/Asia ex-Japan Stk	MF	\$637.77	√	-	-	
Barclays Long C Leveraged S&P 500 TR ETN (BXUC)	Trading-Leveraged Equity	ETF	\$37,497.90	√	-	-	