



M.D.C. ADVISORS

Investment 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: Prospective clients only

Type: Individual 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 actions

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 "Investment Summary" version of this report 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.



The "Client Summary" version (also available online) groups the report by Client Name instead of Investment Name. That 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.

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

Investment Watch List Summary (Ordered alphabetically by investment name)

Investment Name Ticker Peer Group Investment Type Client Name Status Type	IPS Due Diligence	Global Decision	Client-specific Decision	Recc. Action
Allianz NFJ Mid-Cap Value C PQNCX Mid-Cap Value MF \$112,840.00			2 of 2 filtered clients have this investment on the Watch List	
Suzzy Brown's IRA Prospective Individual \$56,420.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	X	-	-	
Workshop - Suzzy Brown IRA Prospective Individual \$56,420.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	X	-	-	Replace
American Funds Capital World G/I R5 RWIFX World Stock MF \$47,644.00			1 of 1 filtered clients have this investment on the Watch List	
New Client 101 Prospective Individual \$47,644.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>	X	-	-	
American Funds EuroPacific Gr A AEPGX Foreign Large Blend MF \$0.00			0 of 1 filtered clients have this investment on the Watch List	
Harry Stuber IRA Prospective Individual \$0.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	√	√	-	
American Funds EuroPacific Gr R5 RERFX Foreign Large Blend MF \$142,413.00			0 of 1 filtered clients have this investment on the Watch List	
New Client 101 Prospective Individual \$142,413.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>	√	-	-	
American Funds Growth Fund of Amer R5 RGAFX Large Growth MF \$116,567.00			1 of 1 filtered clients have this investment on the Watch List	
New Client 101 Prospective Individual \$116,567.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>	X	-	-	
American Funds Interm Bond Fd of Amer A AIBAX Short-Term Bond MF \$0.00			1 of 1 filtered clients have this investment on the Watch List	
Harry Stuber IRA Prospective Individual \$0.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	X	X	-	
BlackRock Managed Volatility Inv A PCBAX Moderate Allocation MF \$620,000.00			2 of 2 filtered clients have this investment on the Watch List	
Suzzy Brown's IRA Prospective Individual \$310,000.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	X	-	-	
Workshop - Suzzy Brown IRA Prospective Individual \$310,000.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	X	-	-	
Columbia Large Cap Index Z NINDX Large Blend MF \$55,251.00			0 of 1 filtered clients have this investment on the Watch List	
New Client 101 Prospective Individual \$55,251.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>	√	-	-	
Columbia Mid Cap Index Z NMPAX Mid-Cap Blend MF \$28,950.00			0 of 1 filtered clients have this investment on the Watch List	
New Client 101 Prospective Individual \$28,950.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>	√	-	-	
Columbia Small Cap Index Z NMSCX Small Blend MF \$26,845.00			0 of 1 filtered clients have this investment on the Watch List	
New Client 101 Prospective Individual \$26,845.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>	√	-	-	
Columbia Small Cap Value Fund I Z CSCZX Small Value MF \$10,264.00			1 of 1 filtered clients have this investment on the Watch List	
New Client 101 Prospective Individual \$10,264.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>	X	-	-	
Delaware Extended Duration Bond A DEEAX Long-Term Bond MF \$800,000.00			0 of 2 filtered clients have this investment on the Watch List	
Suzzy Brown's IRA Prospective Individual \$400,000.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	√	-	-	
Workshop - Suzzy Brown IRA Prospective Individual \$400,000.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	√	-	-	

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Dreyfus Emerging Markets A DRFMX Diversified Emerging Mkts MF \$71,200.00			2 of 2 filtered clients have this investment on the Watch List	
Suzzy Brown's IRA Prospective Individual \$35,600.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	X	-	-	
Workshop - Suzzy Brown IRA Prospective Individual \$35,600.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	X	-	-	
DWS Equity Dividend C KDHCX Large Value MF \$421,000.00			2 of 2 filtered clients have this investment on the Watch List	
Suzzy Brown's IRA Prospective Individual \$210,500.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	X	-	-	
Workshop - Suzzy Brown IRA Prospective Individual \$210,500.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	X	-	-	
MFS Value R4 MEIIX Large Value MF \$30,347.00			1 of 1 filtered clients have this investment on the Watch List	
New Client 101 Prospective Individual \$30,347.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>	X	-	-	
Nuveen Real Estate Secs A FREAX Real Estate MF \$14,381.00			0 of 1 filtered clients have this investment on the Watch List	
New Client 101 Prospective Individual \$14,381.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>	√	-	-	
Perkins Mid Cap Value T JMCVX Mid-Cap Value MF \$51,752.00			1 of 1 filtered clients have this investment on the Watch List	
New Client 101 Prospective Individual \$51,752.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>	X	-	-	
RidgeWorth Large Cap Growth Stock A STCIX Large Growth MF \$390,000.00			0 of 2 filtered clients have this investment on the Watch List	
Suzzy Brown's IRA Prospective Individual \$195,000.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	√	-	-	
Workshop - Suzzy Brown IRA Prospective Individual \$195,000.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	√	-	-	
RidgeWorth Sel Large Cap Growth Stock C STTFX Large Growth MF \$337,000.00			2 of 2 filtered clients have this investment on the Watch List	
Suzzy Brown's IRA Prospective Individual \$168,500.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	X	-	-	
Workshop - Suzzy Brown IRA Prospective Individual \$168,500.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	X	-	-	
T. Rowe Price Mid-Cap Growth RPMGX Mid-Cap Growth MF \$72,250.00			0 of 1 filtered clients have this investment on the Watch List	
New Client 101 Prospective Individual \$72,250.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>	√	-	-	
Target Conservative Allocation A PCGAX Conservative Allocation MF \$450,000.00			0 of 2 filtered clients have this investment on the Watch List	
Suzzy Brown's IRA Prospective Individual \$225,000.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	√	-	-	
Workshop - Suzzy Brown IRA Prospective Individual \$225,000.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	√	-	-	
Thrivent Partner Small Cap Value A AALVX Small Blend MF \$0.00			1 of 1 filtered clients have this investment on the Watch List	
Harry Stuber IRA Prospective Individual \$0.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	X	X	X	
Vanguard 500 Index Inv VFINX Large Blend MF \$0.00			0 of 1 filtered clients have this investment on the Watch List	
Harry Stuber IRA Prospective Individual \$0.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>Fi360 Fiduciary Score <= 25</i>	√	-	-	

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Vanguard Interm-Term Treasury Inv VFITX Intermediate Government MF \$18,500.00			1 of 1 filtered clients have this investment on the Watch List	
New Client 101 Prospective Individual \$18,500.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>		-	-	
Vanguard Small Cap Growth Index Inv VISGX Small Growth MF \$12,290.00			0 of 1 filtered clients have this investment on the Watch List	
New Client 101 Prospective Individual \$12,290.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>		-	-	
Vanguard Total Bond Market Index Inv VBMFX Intermediate-Term Bond MF \$38,072.00			0 of 1 filtered clients have this investment on the Watch List	
New Client 101 Prospective Individual \$38,072.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>		-	-	
Vanguard Wellington Inv VWELX Moderate Allocation MF \$43,506.00			0 of 1 filtered clients have this investment on the Watch List	
New Client 101 Prospective Individual \$43,506.00 - Assigned IPS Monitoring Due Diligence Criteria: <i>MDC Advisors Std. Criteria</i>		-	-	