



**fi360 Toolkit:  
Quick Start Guide**

**Updated August 27, 2014**

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## Introduction

This guide provides users with an overview of the features and functions of the fi360 Toolkit.

To get started, please sign in at [www.fi360.com](http://www.fi360.com). If you don't have a Toolkit account, [register for the free 30 day trial](#). After signing in, users will be presented with the Tools Menu homepage. All Toolkit web pages have the same basic layout described below.

The screenshot shows the fi360 Toolkit homepage with several numbered callouts:

- 1:** Points to the 'Additional Tools' section in the 'I want to...' panel, which includes options like 'Conduct a quick fiduciary assessment using the SAFE', 'View the Performance Measurement Indexes', 'View the Fund Family Fiduciary Rankings', and 'View the Client Service Materials'.
- 2:** Points to a 'Recent Updates' section on the right sidebar, which lists updates from March 31, 2011, and includes a link to 'View Archive'.
- 3:** Points to the 'Tools Menu' bar at the top left, which includes a 'Home' tab.
- 4:** Points to the main navigation menu at the top right, which includes links for 'Home', 'My Clients', 'My Proposals', 'My Lists', 'My Models', 'Individual Tools', 'Settings', and 'Help Center'.
- 5:** Points to the 'Account Admin' link in the top right corner, which provides access to account management options like 'Report a bug', 'Submit a comment', and 'Logout'.
- 6:** Points to the 'Report Queue' button in the top right corner, which allows users to view completed and in-process reports.

At the bottom of the page, there is a footer with the text: 'The site is best viewed with Microsoft Internet Explorer 6.0 or higher.' and 'Copyright © 2011 Fiduciary360, LP. | LEGAL | For Our Clients, Form ADV Part 2A'.

1. **Tools Workspace** – The main area of the Toolkit where tools and information will be displayed.

2. **I want to... Panel** – The section helps users edit information, produce reports, access Toolkit features, and view FAQ's.

3. **Tools Tabs** – The tabs help users navigate a specific section or tool within the Toolkit. They also serve as an indication of your location within the Toolkit. Some sections such as the Tools Menu only have one tab, but others like My Clients have multiple tabs.

4. **Tools Menu Bar** – The menu bar provides navigation across all areas of the Toolkit.

5. **Admin Account Section** – The section provides access to edit user account information, view subscription details<sup>1</sup>, upgrade account status<sup>1</sup>, add users, assign licenses, provide feedback, and more.

6. **Report Queue** – Click on this button to view all completed and in-process reports for today.

<sup>1</sup> Only available to the Billing Admin user.

## Navigating the Toolkit

Users can access many features of the Toolkit from the Tools Menu homepage using either the Tools Workspace or the Tools Menu Bar.

Welcome fi360 Demo | [Account Admin](#) | [Report a bug](#) | [Submit a comment](#) | [Logout](#)

JUNE 13, 2011

fi360<sup>®</sup>


Home | **1** My Clients | **4** My Proposals | My Lists | **3** My Models | **5** Individual Tools | **6** Settings | **7** Help Center

> The fi360 Toolkit release enhancements are online. Check out the changes on the [Release Portal](#).


**Tools Menu** Report Queue

Home


**I want to...**

 **1**

[Create or edit a Client](#)


 **2**

[Research a mutual fund, ETF, separate account, annuity or IGSA](#)

 **3**


[Develop or evaluate an asset allocation](#)

**Proposal Generator**

 **4**


[Create or edit a Proposal Report](#)

**Additional Tools**

 **5**

[Conduct a quick fiduciary assessment using the SAFE](#)  
[View the Performance Measurement Indexes](#)  
[View the Fund Family Fiduciary Rankings](#)  
[View the Client Service Materials](#)

**Settings**

 **6**

[Edit a Recommended List](#)  
[Edit a Global Model](#)  
[Edit a Due Diligence Criteria](#)  
[Edit a Custom Holding](#)  
[Edit a Report Batch](#)

**I want to...**

[View Subscriber Benefits](#)

[Learn More](#)

**Recent Updates**

4.18.11 - March 31, 2011  
Separately Managed Account data has been updated within the fi360 Toolkits.

4.18.11 - Please [click here](#) for the latest news on the recent Toolkit performance issues.

[View Archive](#)

**Get help**

? [Does fi360 offer training on the Toolkit?](#)

? [Do I need to hold either the AIF® or AIFA® designation to be able to use the fi360 Toolkit?](#)

? [What is the best internet browser to use when working with the fi360 Toolkit?](#)

The site is best viewed with Microsoft Internet Explorer 6.0 or higher.

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1. **My Clients**– Store customer information, review a client’s asset allocation, generate a client Investment Policy Statement (IPS), enter client holdings, enter client expenses, and create a variety of reports.
2. **Investment Analyzer**- Search and screen for mutual funds, ETF’s, separate accounts, variable annuities, and IGSA(Insurance Group Separate Accounts) using an interactive search engine that culminates in the production of various reports and analysis.
3. **My Models**– Create or evaluate a model using peer groups or New Frontier Advisors patented Resampled Efficiency™ process.
4. **My Proposals** – Create or edit a proposal report that compares a client’s portfolio or lineup to a new proposed portfolio or lineup.
5. **Individual Tools** – Utilize and download pertinent documentation that users can employ in their practice, such as the Self-Assessment of Fiduciary Excellence (SAFE), Fund Family Fiduciary Rankings, Performance Measurement Indexes, and Client Service Materials.
6. **Settings** – Edit User Settings, Report Settings, Watch List Settings, Benchmarks, and Asset Class Mapping.
7. **Help Center** – Get help using the Toolkit in a variety of ways including video tutorials, webinars, FAQ’s, guides, a glossary, and more.



## My Clients

My Clients provides access to all of the client data stored in the fi360 Toolkit. Create a new client by clicking on the Create button and entering the data into the four data fields.

### Create a new Client



Name

New Client

Status

Current

Type

Retirement Plans - Committee Directed

Sub-type

Corporate Defined Benefit

Create

Work with existing client data by choosing the client status and selecting the client name from the Edit a client dropdown menu.

### Work with an existing client

Choose Client Status  Current Clients  Prospective Clients  Former Clients



Edit a client

Bethlehem Steel Defined Benefit Pl

Edit



Copy a client

Bethlehem Steel Defined Benefit Pl

Copy



Delete a client

Bethlehem Steel Defined Benefit Pl

Delete

Whether users create a new client or edit an existing client, the next step will be Client Home. From this page, users can edit client information using the Basic Information tab, create or edit historical data, or simply click the Edit link for the current data period to update client information. If data is archived, it will be available for use in client report sections that focus on historical data.

Client Folder Basic Information

**Client Home** Hide help text [-]

The available time periods for this Client are displayed below. You can edit a specific time period's data using the "Edit" link in the table. You can also add a prior time period using the options in the "I Want To" panel. The data from prior periods will be used in certain reports to add trending data among other additional analytics.

[Exit Client](#)

Available Time Periods					
Data Period	# of Investments	\$ Portfolio Value	Edit Client	Archive Data	Delete
March 31, 2011	12	5,470,000.00	<a href="#">Edit</a>	<a href="#">Archive new</a>	
December 31, 2010	12	5,470,000.00		<a href="#">Unlock data for editing</a>	
September 30, 2010	13	5,275,000.00		<a href="#">Unlock data for editing</a>	
June 30, 2010	10	4,514,000.00		<a href="#">Unlock data for editing</a>	

[Exit Client](#)

**I want to...**

Create new portfolio  
[Add](#)

Download questionnaire  
[+ Individual Investor](#)  
[+ Personal Trust](#)  
[+ Foundation/Endowment](#)  
[+ Ret. Plan Participant Directed](#)  
[+ Ret. Plan Committee Directed](#)

Get help  
[? Need help with the Data Questionnaires.](#)



## My Clients (continued)

By clicking the edit client link users gain access to all of the client data for the period and can edit several client areas. Remember, to use the icons in the Tools Workspace or the Tools Tabs across the top to navigate the Client Folder.

**1. Asset Allocation (Portfolio only)** – Review client holdings and IPS strategic allocation using New Frontier Advisors patented Resampled Efficiency™ process.

**2. Investment Policy Statement** – Create a customized IPS for clients in Microsoft Word format. Choose between the fi360 Fiduciary Score<sup>®</sup> or create unique Custom Due Diligence Criteria to monitor client's investments. The chosen criteria will be used to manage the client's Watch List.

**3. Holdings and Models** – Add, remove and edit client investments, watch list decisions, investment commentary, and model portfolios (401k only). The investments will be stored for ongoing report creation and monitoring against the fi360 Fiduciary Score<sup>®</sup>, Custom Due Diligence Criteria, and much more.

**4. Expenses** – Add remove, and edit client expense information, including client level expenses, ongoing operational fees, and shareholder fees. The fees can be assigned to different parties to create a report that shows clients “who is being paid what.”

**5. Reports** – Produce customized client reports. Choose from a fi360 report template or your own custom report template and generate a PDF document for client distribution.



## Investment Analyzer

The Investment Analyzer is a powerful tool used to search and screen within the Mutual Fund/ETF, Separate Account, Annuity and GRPA (Group Retirement Plan Annuity) databases. All of the underlying data in the fi360 Toolkit is sourced from Morningstar and updated on a quarterly basis. The Analyzer Results Page allows for the creation of various reports including the Investment Profile, Fund Comparison, Snapshot, Data Export or your own custom report templates.

1. **Change Universe** - Change the universe used within the Analyzer to Mutual Fund/ETF's, Separately Managed Accounts, Variable Annuities, or GRPA.

2. **Change the Time Period** – Research investments from a prior period by selecting the period from the dropdown menu.

3. **Available Search Factors** –Select the desired factors or criteria to include in the search. Note: To research a specific investment, use the Investment Name or Ticker Symbol factors. Highlight a search factor and click the arrow button to send the factor into the selected factors and thresholds area. Add as many factors as you desire to the search.

4. **Selected Factors and Thresholds** – Adjust the thresholds specified for the selected factors. If a dropdown menu is available for the selected factor, change the threshold of the factor to customize the search (ex. 1 year return  $\leq$  25<sup>th</sup> percentile).

5. **Custom Universe** - Upload a list of ticker symbols (up to 15,000) for searching and screening within the Investment Analyzer. The Custom Universe feature provides significant time-saving features for users who want to reduce the universe of 20,000+ funds down to their approved list, trading platform, or 401k platform before conducting their searches.



## Investment Analyzer (continued)

6. **Save/Retrieve Saved Search Factors** –Create a new search or retrieve saved search criteria. After designating the search factors and thresholds, click “Create a new search” to name and save the search. In the future, click “Retrieve saved search” to recall saved factors.



## My Models

The Asset Allocation Optimizer in the My Models section of the fi360 Toolkit utilizes Resampled Efficiency™, a patented process developed by New Frontier Advisors, LLC. Resampled Efficiency addresses the limitations of traditional mean-variance optimizers by statistically treating risk-return estimates consistent with investor uncertainty. This procedure results in more realistic use of investment information and more effective asset allocations. Resampled Efficiency is the only provably effective portfolio optimization procedure in the world today, outperforming traditional optimizers in rigorous statistical tests.



### Evaluate a Model [Hide help text \[-\]](#)

Use the “Enter model allocation” section in the right task bar to specify the model’s current allocation to the 12 broad asset classes listed below. Or, choose a model using the options in the right task bar. Once a model is either entered or chosen from the dropdown, the Optimizer will refresh with an analysis of the specified allocation. If you would like to create a new model, use the “Create Model” tab above.

[Back: Global Models](#) Save

#### Active Pie Chart

**Money Market (4.00%)**

#### Modeled Portfolio Outlook

5-Yr Portfolio Growth (?)	\$169,728
Annualized Return (?)	2.1%
Standard Deviation (?)	12.5%
Likely Range of Returns (?)	19.6%
Large Loss Scenario (?)	-5.4%
	-17.9%

#### Efficient Frontier Analysis

Initial \$ Amount (?)

Inflation Assumption (2% Default) (?)  %

Expected Return: 7.09 Risk: 11.50

- Resampled Efficient Frontier(no constraints, default inflation)
- Resampled Efficient Frontier(with constraints, user specified inflation)
- Classical Efficient Frontier(default inflation)

I want to...

Enter model allocation **4**

Add constraints **3**

Compare models **Go**

Change name

FinalMetrica Risk Score

Range

Disable Risk Tolerance

Used Risk Tolerance Range Range is available from 1-100.

Get help

[? What is the difference between Nominal and Real Returns?](#)

[? What value should I use for the Inflation Assumption?](#)

[? Why is there a range on the inflation assumption? What if I expect inflation to be higher or lower than the range?](#)

**Conservative Growth**

**Money Market (12.00%)**

5-Yr Portfolio Growth (?)	\$165,627
Annualized Return (?)	6.3%
Standard Deviation (?)	10.1%
Likely Range of Returns (?)	16.4%
Large Loss Scenario (?)	-3.8%
	-13.9%

### Create a Model

Create an optimized portfolio that lies on the Resampled Efficient Frontier. Click on the efficient frontier (1) to find a portfolio that meets a modeled portfolio outlook statistic (2). The asset class allocations will appear below the efficient frontier graph (not shown). Add constraints to limit or remove asset classes. (3)

### Evaluate a Model

Review an existing allocation to determine its placement compared to the Resampled Efficient Frontier. Click the Enter button (4) to input the portfolio percentage allocations to the twelve broad asset classes.



## My Proposals

My Proposals assists users with the creation of a custom Proposal report which can be used in Sales or RFP situations, or to propose account changes to an existing client. There are three steps in the proposal generation process.

**Creating the Current** Hide help text [-]

Please start by selecting a data entry method for the Current. You can continue to customize the final lineup or portfolio in Step 1 by adding or removing specific investments on the following page.

**How would you like enter investment data for the Current?**

- [Start by importing holdings from a client in My Clients](#)
- [Start by uploading an Excel file with mutual funds/ETFs](#)
- [Start by combining a Recommended Fund List with an Implementation Model](#)
- [Start with no holdings. I will enter all of the investments by name/ticker.](#)

**I want to...**

**Get help**

- ? [What are my data entry options when I create a proposal?](#)
- ? [Will my client data be linked to the Proposal?](#)

1. **Create the current lineup.** – Define the client’s current lineup by: importing client holdings from My Clients, importing an Excel spreadsheet, combining a recommended fund list and model, or by manually entering investments.
2. **Create the proposed lineup.** – The same options used in step 1 can also be used to define the proposed lineup in step 2.

**Proposal Mapping** Hide help text [-]

Select an option below to complete the Proposal process.

**How would you like to map the assets from the Current 12 to the Proposed 12?**

- [I will map each current investment to at least one proposed investment.](#)
- [I will enter the allocations for each plan with no mapping.](#)
- [I don't want to enter any allocations. I would like to complete my proposal.](#)

**I want to...**

**Get help**

- ? [What's the difference between the different mapping options?](#)
- ? [Will my client data be linked to the Proposal?](#)

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3. **Map the investments** – After the two lineups have been defined, users have three options to customize the association between the current and proposed lineups.
  - a. **Map the investments-** Users can define how money in the current lineup will be transferred to the proposed lineup in a mapping process.
  - b. **Define investment allocations-** Users can define a new strategic allocation for the proposed lineup using dollar values or percentages.
  - c. **No mapping.** – Investment lineups will appear side by side in the reports without any mapping or allocations.





## Settings

The Settings areas help users customize the fi360 Toolkit for their practice. Settings areas include: User Settings, Report Settings, Benchmarks, Watch List Management Settings, and Asset Class Mapping.

### User Settings

- Custom Holdings Directory
  - Create investments not tracked in the licensed universes (ex. Stocks or Bonds) Once created, users can add the custom holding to a client within My Clients or a lineup in My Proposals.
- Due Diligence Criteria
  - Create your own Custom Due Diligence Criteria for insertion into a client's IPS and for ongoing monitoring of their investments. Users can assign the Criteria to a client within the IPS section of My Clients. The criteria can also be used in the Investment Analyzer when producing a report that contains the Due Diligence Criteria section.

### Report Settings

- Report Templates

Create customized report templates for use throughout the fi360 Toolkit. Templates can use any of the individual report sections available in your Toolkit. An unmatched level of customization is available when creating your own template including custom color schemes, logos, disclosures, report sections, investment grouping and ordering and much more.
- Color Schemes
  - Create color schemes to customize reports that reflect a company color template.
- Logos
  - Store .jpg, .jpeg, .png, .bmp images that can be added to the Cover Page of reports.
- Disclosures
  - Add disclosures to the cover page or end of a report to disclose important information and compliance language.
- Batch Reports
  - Easily and efficiently generate multiple client reports with one click. All selected reports will be generated in individual PDFs and conveniently placed in a downloadable ZIP file format.

### Benchmarks

- Peer Group Benchmarks
  - Change the Peer Group Benchmarks (Indexes) used within the reports. Any change will appear in all report sections that display Peer Group Benchmark data.
- Blended Benchmarks
  - Create custom blended benchmarks that can be used for portfolio comparison. Benchmarks are created by selecting indices and a corresponding weight.

### Watch List Management Settings

- Manual Decisions
  - Manage all manual watch list decisions in one central place. Users can add or remove Manual Decisions and produce detailed reports to help in the ongoing management of client watch lists.
- Watch List Summary
  - This section will pool all of the watch list decisions across all of the clients stored in the fi360 Toolkit. Produce summary reports in PDF format or make watch list decisions and commentary using the online interface.

## Individual Tools

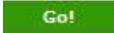
**SAFE** - The SAFE (Self-Assessment of Fiduciary Excellence) assists investment fiduciaries in analyzing how well their organization meets a defined global fiduciary standard of excellence.

**Performance Measurement Indexes** - The Performance Measurement Indexes help define a prudently diversified multi-asset class model and provide performance benchmarks that are reflective of actual mutual fund results.

**Fund Family Fiduciary Rankings™** - The Fund Family Fiduciary Rankings™ quarterly research report leverages the technology built by fi360 to determine the fi360 Fiduciary Score® of individual mutual funds and ETF's to rank fund families as a whole.

**Client Service Materials** - The Client Service Materials are available for users to employ in day-to-day business activities.

## Account Admin Section

**Account Information** - View current subscription information, create or edit Toolkit user information, and assign Licenses. To renew or upgrade, click on the  button to select the desired payment plan and enter credit card information.

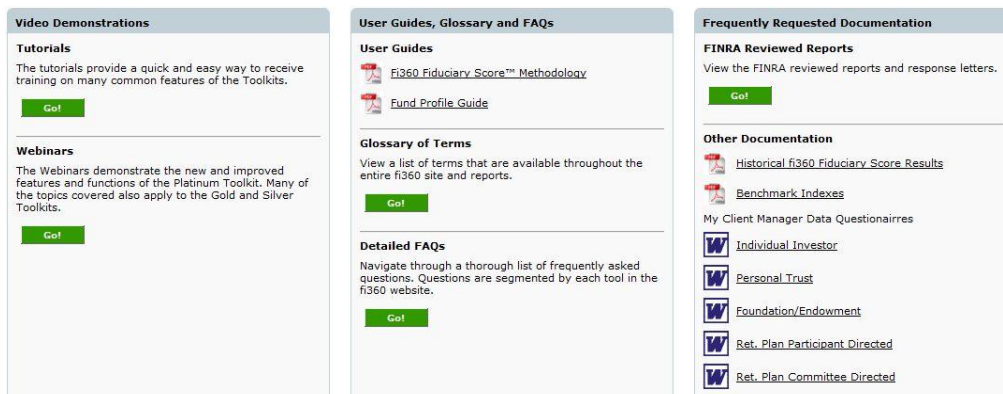
**Payment History** - View and print the subscription payment history.

**My Contact Information** - Review and edit your contact information, including the account password. If you're using an Advisor license, the information you enter here will be used on the cover page of the reports. Note: Prepared By: information can also be changed in the I want to... panel.






**Subscriber Benefits** - Learn about discounts and partnerships available to subscribers of the fi360 Toolkit.

## Help Center

Review and learn from the video tutorials, webinars, comprehensive FAQ's, and glossary. Access to FINRA-Reviewed Reports and response letters along with other web site documentation is also available.



The screenshot displays the Help Center interface with three main sections:

- Video Demonstrations:**
  - Tutorials:** The tutorials provide a quick and easy way to receive training on many common features of the Toolkits. 
  - Webinars:** The Webinars demonstrate the new and improved features and functions of the Platinum Toolkit. Many of the topics covered also apply to the Gold and Silver Toolkits. 
- User Guides, Glossary and FAQs:**
  - User Guides:**
    - [Fi360 Fiduciary Score™ Methodology](#)
    - [Fund Profile Guide](#)
  - Glossary of Terms:** View a list of terms that are available throughout the entire fi360 site and reports. 
  - Detailed FAQs:** Navigate through a thorough list of frequently asked questions. Questions are segmented by each tool in the fi360 website. 
- Frequently Requested Documentation:**
  - FINRA Reviewed Reports:** View the FINRA reviewed reports and response letters. 
  - Other Documentation:**
    - [Historical fi360 Fiduciary Score Results](#)
    - [Benchmark Indexes](#)
    - My Client Manager Data Questionnaires
      - [Individual Investor](#)
      - [Personal Trust](#)
      - [Foundation/Endowment](#)
      - [Ret. Plan Participant Directed](#)
      - [Ret. Plan Committee Directed](#)

*Want to learn more? Check out the comprehensive video tutorials that will review specific elements of the fi360 Toolkit.*

**If you can't find what you are looking for in our Help Center, email us at [tools@fi360.com](mailto:tools@fi360.com) or give us a call at 1-866-390-5080.**