



## How to Save Time with the fi360 Toolkits

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## Features to Save you Time!

- My Client Manager Data Entry
  - Holdings only import (paste) via comma separated string
  - Holdings and amount import via Excel
  - Copy Client
  - Saved Advisor Contact Info
- Investment Analyzer
  - Custom Fund Universe
  - Saved Searches
  - Annuity Search Factors – Contract/Policy Name and Underlying Fund Name
- Reporting
  - Batch Reporting
- Watch List Management
  - Global Manual Decisions
  - Watch List Summary area
  - Global Notes/Commentary

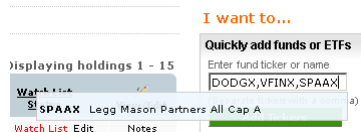
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## My Client Manager Data Entry

- Prior to April 2009, two ways existed to enter holdings data.
  - Type or paste one or more ticker symbols separated by comma into the Ticker Box.
    - *Note: Had to update \$ values manually.*
  - Use the Investment Analyzer to find results and select those you wish to add.
- In April 2009, we introduced an Excel Upload
  - Updates both investments and \$ values.

## My Client Manager Data Entry

- Using the “Quickly add funds or ETFs” box.
  - Copy and paste into the box up to approximately 100 ticker symbols from a file on your computer.
  - Tickers should be separated by commas with no spaces.
  - Example below:  
DODGX,VFINX,SPAAX,ACCAX,FTCIX,OICAX,GTDDX,FMKAX,MEDAX,VEUAX,AEDAX,TEMIX,TFSIX,RPFGX,AEFGX,IVIAX,EXWAX,OIGAX,JVIAX,NIVLX,MGIAX



## My Client Manager Data Entry

- Uploading Fund Data via Excel
  - Easily convert any file such as an XML file into Excel.
  - Ensure the ticker symbols for your client are in Column A and the corresponding dollar values in column B (optional).
  - Two upload options exist;
    - *Overwrite current holdings with the uploaded file.*
    - *Append current holdings with the uploaded file.*

## My Client Manager Data Entry

- Select the file from your computer and upload for immediate processing.

**Client Holding Upload** Hide help text [-]

Please select a file from your computer using the button below.

**Client Name:** Efficiency Client

1. Select a file from your computer

	A	B	
1	Ticker	Amount	<b>Required Format:</b> 1. Cells A1 and B1 are column headers for the file. Enter values such as Ticker and Amount. 2. Enter the ticker symbols for your client in Column A and corresponding dollar values in column B (optional). 3. All client information should be on Sheet 1, the first sheet in the Excel workbook.
2	AAAAX	25000	
3	AAAGX	30000	
4	AAAIX	45000	

2. How would you like your data to be uploaded to your Client?

Efficiency Client should contain the investments and \$ amounts in the file I will upload. In addition, if an investment exists in the holdings of Efficiency Client, but is not in my Excel file, please **KEEP** it.

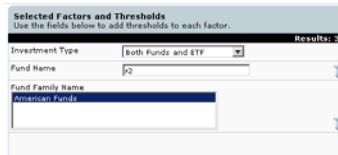
Efficiency Client should **ONLY** contain the investment and \$ amount in the file I will upload. If an investment exists in My Client's holdings, but is not in my Excel file, please **REMOVE** it.

## My Client Manager Data Entry

- If you don't have the Ticker symbols available
  - Type the name into the Quickly Add Funds box



- Search and screen within the Investment Analyzer



## My Client Manager Data Entry

- Additional data importing plans for '09
  - Mass holdings upload into multiple clients with one Excel File
  - New Client Creation Upload
- Long-term importing plans
  - Move to direct linkage using Webservices.
  - Will provide the opportunity to grab directly from other third parties such as your recordkeeper, custodian or financial planning software.

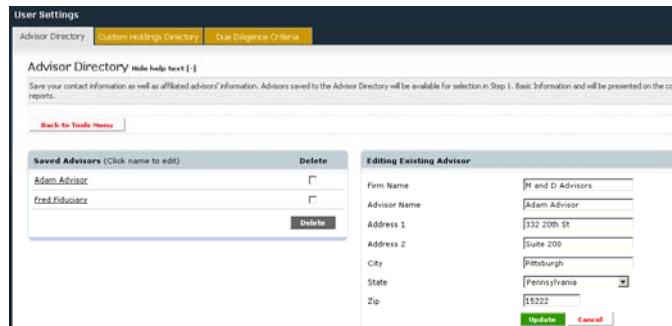
## My Client Manager Data Entry

- Copy Client
  - Useful if your clients have similar asset allocations and investment options.
    - *Common when using model portfolios.*



## My Client Manager Data Entry

- Saved Advisor Contact Information
  - Store your advisor profile for easy reference when creating clients.



## My Client Manager Data Entry

- Saved Advisor Contact Information
  - Attach an Advisor to a Client using their Basic Information Tab.

My Client Manager: Editing Blacktop Construction 401k Plan (Edit a different Client)

Client Folder | 1. Basic Information | 2a. Asset Allocation | 2b. Inv. Policy Stmt. | 3. Holdings | 4. Reports

Basic Information: Advisor Details [Hide help text \[-\]](#)

Enter the advisor (your) details or use the Advisor Directory feature. Using the Advisor Directory feature will store advisors and save you time entering data. Use the "Save" or "Save & Exit" button to save your information.

[Exit Section](#) [Save](#) [Save & Exit](#)

**Enter Advisor Information Manually (Optional)**

Name:

Company:

Address 1:

Address 2:

City:

State:

Zip:

\*Please make changes to any saved advisors in the Advisor Directory in the User Settings area.

**Utilize Saved Advisor Directory (Optional)**

Select advisor from the dropdown

[Go to the Saved Advisor Directory](#)

## Investment Analyzer

- Custom Fund Universe
  - Reduce the universe of 20,000+ funds down to your approved list, trading platform or 401k platform before conducting your searches.
  - Upload an Excel File with up to 15,000 tickers

Analyzer

Search Page | Custom Fund Universe

Custom Universe [Hide help text \[-\]](#)

Use the "Go" option on the right to create a new Custom Universe or select from any of your saved Universe's below. You can directly upload investments into the Universe using the "Upload File" link in the table.

[Back to Search Page](#)

Universe Name	Number of Investments	View/Edit	Upload Investments
<input type="checkbox"/> Schwab Platform	12970	<a href="#">Edit</a>	<a href="#">Upload File</a>
<input type="checkbox"/> TD Platform	4299	<a href="#">Edit</a>	<a href="#">Upload File</a>

[Back to Search Page](#)

**I WANT TO...**

**Create Custom Universe**

[Go](#)

**Delete universes(s)**

[Create universe\(s\)](#)  
(One universe at a time)

**Get help**

[What is a Custom Universe?](#)

[How do you upload the file format for Excel 2002 documents?](#)

## Investment Analyzer

- Custom Fund Universe
  - Add the Custom Fund Universe as a search factor to reduce your results to only those available.

Conduct Research [show help text \[+\]](#)

[Back to Tools Menu](#) [View Results -->](#)

**Available Fund Search Factors**  
Use the fields below to add factors to your search.

Expenses: Prospectus Net Exp Ratio  
Low

Operations: Inception Date, Assets, Manager Tenure, Style

Share Class: A, ADW, B, C

Broker Availability: Accubrade(TO), Accubrade NTF(VI), ADP Access(WF), AG Edwards - MF Dealer(O9)

Custom Fund Universe: TD Platform

**Selected Factors and Thresholds**  
Use the fields below to add thresholds to each factor.

Investment Type: Both Funds and ETF

Results: 12009

Custom Fund Universe: TD Platform

## Investment Analyzer

- Saved Searches
  - After specifying your search factors, save them for easy retrieval in future searches.

[View Results -->](#)

**Selected Factors and Thresholds**  
Use the fields below to add thresholds to each factor.

Results: 711

Investment Type: Both Funds and ETF

Fiduciary Score Qtr: <= 40

Fiduciary Score Avg: <= 25 Passed/Appropriate

3 Year Return: Top 50% of peer

5 Year Return: Top 50% of peer

10 Year Return: Top 50% of peer

Standard Deviation: Top 50% of peer

Prospectus Net Exp Ratio: Top 75% of peer

Inception Date: >= 5 Years

Manager Tenure: > 3 Years

**I want to...**

**Change database**  
Fund/ETF  
[Change](#)

**Edit Custom Fund Universe**  
[Create, edit or delete](#)

**Load factors and thresholds**  
[Retrieve saved search](#)

**Save current search factors**  
+ [Overwrite an existing search](#)  
+ [Create a new search](#)

Best of Breed  
20 character limit  
[Create](#) [Cancel](#)

## Investment Analyzer

- Annuity search by Policy/Contract Name
  - Add an insurance company to your search.
  - View the contracts/policies under that company.

The screenshot shows two panels: 'Variable Annuity Sub-Account Search Factors' and 'Selected Factors and Thresholds'. In the search factors panel, 'Insurance Company Name' and 'Contract/Policy Name' are selected. In the selected thresholds panel, 'Principal Life Insurance CO' is selected under 'Insurance Company Name'.

## Investment Analyzer

- Annuity search by Policy/Contract Name
  - Add the contacts/policies that you want to review.

The screenshot shows the 'Selected Factors and Thresholds' panel with 'Results: 136'. Under 'Insurance Company Name', 'Principal Life Insurance CO' is selected. Under 'Contract/Policy Name', 'Principal R1' and 'Principal R2' are selected.

## Batch Reporting

- Typical client report creation process.

- Select the Client in My Client Manager.

Work with an existing client

Choose Client Status  Current Clients  Prospective Clients  Former Clients



Edit a client

Bethlehem Steel Defined Benefit Pl

Edit

- Go to the Report Tab.

My Client Manager: Editing Bethlehem Steel Defined Benefit Plan (Edit a different client)

Client Folder 1. Basic Information 2a. Asset Allocation 2b. Inv. Policy Stmt 3. Holdings 4. Reports



Report Center [Hide help text \[ \]](#)

- Choose the Report and click to produce it.

Monitoring Report

This comprehensive report provides an excellent portfolio summary for the client. The report includes:

Sections

Create Report

Create

- Wait for the Report to process and click the link to download the file once completed.

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## Batch Reporting

- Create a new batch report by selecting:

- The Client's you want to include.
- The type of reports you want to produce.

User Settings

General Settings **Peer Group Benchmarks** Batch Reports

Editing batch details [Hide help text \[ \]](#)

Welcome to Batch Reporting!

[Back to Saved Batches](#) [Save Changes](#)

Batch Name: [ 40] Monitoring Reports

Choose Client(s) to Include	Choose Report(s) to Produce
Bethlehem Steel Defined Benefit Plan <input type="checkbox"/>	Monitoring Report <input checked="" type="checkbox"/>
Blacktop Construction 401k Plan <input checked="" type="checkbox"/>	Due Diligence Breakdown <input type="checkbox"/>
Daily Bank Corp. 401k Plan <input checked="" type="checkbox"/>	Flash Report <input type="checkbox"/>
Doug's Donut Defined Benefit Plan <input type="checkbox"/>	Proposal <input type="checkbox"/>
Fiduciary Client <input type="checkbox"/>	
Fifth Avenue Inc. 401k <input checked="" type="checkbox"/>	
Fourth Ave. Associates 401k <input checked="" type="checkbox"/>	
Highmark Health Care DB Plan <input type="checkbox"/>	
Inre Individual <input type="checkbox"/>	

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## Batch Reporting

- Schedule the batch for execution
  - Reports process automatically.

**Report Settings**

General Settings | Peer Group Benchmarks | **Batch Reports**

Batch Reports [Hide help text \[-\]](#)

Welcome to Batch Reporting!

[Back to Tools Menu](#)

Batch Name	Batch Details	Run Batch	Batch Status	Last Batch Posted Date (ET)
<input type="checkbox"/> 1Q 401k Monitoring Reports	<a href="#">Edit</a>	<a href="#">Execute</a>	New Batch	N/A
<input type="checkbox"/> Due Diligence Reports - 401k Clients	<a href="#">Edit</a>	<a href="#">Execute</a>	Posted	2009-04-20 16:24
<input type="checkbox"/> Monitoring Reports - All Clients	<a href="#">Edit</a>	<a href="#">Execute</a>	Posted	2009-03-17 15:55

[Back to Tools Menu](#)

## Batch Reporting

- Download the individual PDFs or a complete ZIP file

Completed Report Archive [Hide help text \[-\]](#)

Please choose a report below to view it. ZIP files containing all reports for a particular batch may be downloaded.

[Back to Saved Batches](#)

**Search Report Archive**

By Client Name:  [Search](#)

By Report Type:  [Search](#)

By Batch Name:  [Search](#)

**Search Report Archive**

Report Name	Client Name	File Type	Last Created	Automated Deletion on
<input checked="" type="checkbox"/> <a href="#">Due Diligence Reports - 401k Clients</a>	Batch Reports	Zip	2009-04-20 16:24	2009-04-27 16:24
<input type="checkbox"/> <a href="#">Due Diligence Breakdown</a>	Fourth Ave. Associates 401k	PDF	2009-04-20 16:24	2009-04-27 16:24
<input type="checkbox"/> <a href="#">Due Diligence Breakdown</a>	Fifth Avenue Inc. 401k	PDF	2009-04-20 16:24	2009-04-27 16:24

## Viewing all Qualitative Watch List Decisions

- View and edit all qualitative decisions that have been saved in the system.

**Watch List Management**

Watch List Summary **ETA** Manual Decisions

**Manual Watch List Decisions** Hide help text [-]

The table below will contain every manual watch list decision made across all of your clients. Use the "View" link to add, edit or remove any manual watch list action. You can also add new investments using the option in the right task bar. All investments not listed here will use the client's IPS criteria to determine whether it is on or off the watch list.

[Back to Tools Menu](#)

Investment Name <small>Click to order</small>	Investment Type <small>Click to order</small>	Client Specific Decision <small>Click to order</small>	Global Decision <small>Click to order</small>	<a href="#">Add/Edit/Delete</a>
<input type="checkbox"/> MFC Global Equity P2	MF	+	<a href="#">Place ON Watch List</a>	<a href="#">View</a>
<input type="checkbox"/> Money Market Variable	MF	-	<a href="#">Keep OFF Watch List</a>	<a href="#">View</a>

Displaying Investments: 1/2

[Back to Tools Menu](#)

**I want to...**

**Add Watch List Decision**

- Conservative
- Separate Account
- Variable Annuity


**Produce Reports**

- Investment Profile (Qualified Funds only)
- Investment Comparison (Qualified Funds only)
- Client Summary (All Funds)
- Investment Summary (All Funds)

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## Viewing investments across all of your Clients

- Apply client and Watch List filters to view aggregate data.

 Use the filters in Step 1 and Step 2 to create a meaningful list of investments to evaluate.

**Available Filters**

Step 1: Set the filters below to retrieve only the investments stored in the applicable type and client status.

Client Status

Only Current Clients

Client Type

No restriction

---

Step 2: Set the filters below to take the investments from Step 1 and apply any additional screens such as Watch List Status or the "Replace" Notes Recommendation.

Watch List (WL) Status

Only Watch List investments

No restriction

Only Watch List investments

No restriction

[Retrieve Data](#)

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## Viewing investments across all of your Clients

- View the investments that are on the Watch List in any of your filtered Clients.
- Determine how many clients have the investment ON/OFF the watch list and if any are recommending replacement.

Investment Name <small>Click Name to view details</small>	Ticker	Type	# of Filtered Clients				Manual Decisions
			On Watch List	Off Watch List	Total Clients	Noted to Replace	
<input type="checkbox"/> Alliant Multi-Factor Small Cap Core A	ALOAX	MF	9	0	9	0	Edit
<input type="checkbox"/> MFS Global Equity P2	MEQRX	MF	6	0	6	0	Edit
<input type="checkbox"/> Putnam Diversified Income R	PQVFX	MF	6	0	6	6	Edit
<input type="checkbox"/> Seligman International Growth R	SIGRX	MF	5	0	5	0	Edit
<input type="checkbox"/> Columbia Real Estate Equity A	CREAX	MF	4	3	7	0	Edit
<input type="checkbox"/> Dreyfus International Bond A	DIBAX	MF	4	3	7	0	Edit
<input type="checkbox"/> Thrivent Large Cap Index A	AALCX	MF	1	0	1	0	Edit
<input type="checkbox"/> Principal Large Cap Blend 1 Inst	PLTIX	MF	1	0	1	0	Edit
<input type="checkbox"/> American Century Intl Growth R	ATGRX	MF	1	0	1	0	Edit
<input type="checkbox"/> Ivy Global Natural Resources R	INRFX	MF	1	0	1	0	Edit
<input type="checkbox"/> Columbia Small Cap Value II R	CCTRX	MF	1	0	1	0	Edit
<input type="checkbox"/> Principal Large Cap Value Inst	PVLIX	MF	1	0	1	0	Edit
<input type="checkbox"/> RiverSource Precious Metals & Mining R4	DDCBM	MF	1	0	1	0	Edit
<input type="checkbox"/> AllianceBernstein Divya VII Inst 1	ASLIX	MF	1	0	1	0	Edit

## Viewing investments across all of your Clients

- Utilize the two available reports to make your quarter-end Monitoring process significantly more efficient.

Investment Watch List Summary **WETA** (Ordered alphabetically by investment name)

Investment Name (Click)	Ticker	Type	2015 Div. Yield	Global Allocation	Client Specific	Manual Decisions	2015 Div. Yield	Global Allocation	Client Specific	Manual Decisions
<b>Client Watch List Summary WETA</b> (Ordered alphabetically by client name)										
<b>BankBoston World Dividend Growth Plan</b>   Current   DR Plan										
Assigned 2015 Monitoring Div. Yield										
Assigned Multi-Factor Small Cap Core A (AALCX)	ALOAX	MF	2.1	100%	WASH					
Columbia Real Estate Equity A (CREAX)	CREAX	MF	2.1	100%	WASH					
Dreyfus International Bond A (DIBAX)	DIBAX	MF	2.1	100%	WASH					
<b>BlackRock Construction 401K Plan</b>   Current   401K Plan										
Assigned 2015 Monitoring Div. Yield										
MFS Global Equity R2 (MEQRX)	MEQRX	MF	2.1	100%	WASH					
Putnam Diversified Income R (PQVFX)	PQVFX	MF	2.1	100%	WASH					
Seligman International Growth R (SIGRX)	SIGRX	MF	2.1	100%	WASH					
<b>Georgie's Investment Investment Account</b>   Current   DR Plan										
Assigned 2015 Monitoring Div. Yield										
Assigned Multi-Factor Small Cap Core A (AALCX)	ALOAX	MF	2.1	100%	WASH					
Columbia Real Estate Equity A (CREAX)	CREAX	MF	2.1	100%	WASH					
Dreyfus International Bond A (DIBAX)	DIBAX	MF	2.1	100%	WASH					
<b>Fourth Ave. Associates 401K</b>   Current   401K Plan										
Assigned 2015 Monitoring Div. Yield										
MFS Global Equity R2 (MEQRX)	MEQRX	MF	2.1	100%	WASH					
Putnam Diversified Income R (PQVFX)	PQVFX	MF	2.1	100%	WASH					
Seligman International Growth R (SIGRX)	SIGRX	MF	2.1	100%	WASH					
<b>Highmark Health Care DR Plan</b>   Current   DR Plan										
Assigned 2015 Monitoring Div. Yield										
Assigned Multi-Factor Small Cap Core A (AALCX)	ALOAX	MF	2.1	100%	WASH					
Columbia Real Estate Equity A (CREAX)	CREAX	MF	2.1	100%	WASH					

## Global Notes/Commentary

- From within a Client's Holdings tab, use the Notes link to add your own investment commentary.

Displaying holdings 1 - 12

Peer Group	\$ Amount	Meets IPS Monitoring Criteria?	Watch List Status	View/Edit
Multisector Bond	\$125,000	X	On Watch List <a href="#">Edit</a>	<a href="#">Notes</a>
Foreign Large Growth	\$900,000	X	On Watch List <a href="#">Edit</a>	<a href="#">Notes</a>
Small Growth	\$1,200,000	✓	Off Watch List <a href="#">Edit</a>	<a href="#">Notes</a>
Intermediate-Term Bond	\$750,000	✓	Off Watch List <a href="#">Edit</a>	<a href="#">Notes</a>
World Stock	\$52,000	✓	On Watch List <a href="#">Edit</a>	<a href="#">Notes</a>
Large Value	\$1,850,000	✓	Off Watch List <a href="#">Edit</a>	<a href="#">Notes</a>
Large Blend	\$2,500,000	✓	Off Watch List <a href="#">Edit</a>	<a href="#">Notes</a>
Large Growth	\$1,110,000	✓	Off Watch List <a href="#">Edit</a>	<a href="#">Notes</a>
Target Date 2026-2030	\$45,000	✓	Off Watch List <a href="#">Edit</a>	<a href="#">Notes</a>
Target Date 2036-2040	\$85,000	✓	Off Watch List <a href="#">Edit</a>	<a href="#">Notes</a>
Target Date 2050+	\$46,000	✓	Off Watch List <a href="#">Edit</a>	<a href="#">Notes</a>
Mid-Cap Blend	\$695,000	✓	Off Watch List <a href="#">Edit</a>	<a href="#">Notes</a>
<b>Total: \$9,358,000</b>				

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## Global Notes/Commentary

- Global Notes will appear in the Monitoring Report as the default for any client that holds the investment.

Investment Name: Putnam Diversified Income R  
Current Watch List Status: Yes

Use Global Action / Notes in The Monitoring Report.

Recommended Action: Replace

Notes: Replace

This is now the 5th consecutive quarter that this fund has been a Watch(4) RED fund. Its Fiduciary Score Quarter and Average continue to decline and are now a 91 and 67 respectively. All performance indicators are in the bottom decile of the Multisector Bond peer group and expenses are below median. The fund has shown no signs of improvement.

We recommend replacing the fund with one of the 3 options to be presented at [unclear] [unclear] [unclear].

Use Client-specific Action / Notes in The Monitoring Report.

Recommended Action: Watch

Notes:

[Exit](#) [Save](#) [Save & Exit](#)

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## Q&A

- Does anyone have any questions?
- Or suggestions for enhancements?

## Closing

- Thank you for attending!

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