



**fi360 Toolkits:
The basics**



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Overview

The fi360 Toolkits will help you to:

- Organize your due diligence process
- Select and monitor investments using your due diligence process
- Create an Investment Policy Statement that identifies your due diligence process
- Monitor client investments according to the IPS
- And much more!

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fi360 Toolkit Features

- Web-based platform with no client or usage restrictions
- Applicable to all client types
 - 401(k) plans, Defined Benefit plans, Individual Investors, Trusts, Foundations
- Morningstar data (*updated quarterly*)
 - Funds/ETF's, Separately Managed Accounts, VA Subaccounts, Insurance Group Separate Accounts
 - Custom Holdings can also be created

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The fi360 Fiduciary Score™

- The minimum due diligence screen necessary in a fiduciary application.
 - Practice 3.1
- Updated Quarterly
- Regulatory Oversight screen

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Minimum track record

1. Minimum of three years of investment history.

Stability of the organization.

2. Minimum of two year tenure of portfolio manager.

Assets in the product

3. Minimum \$75 mm in AUM.

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Holdings consistent with style

4. 80% of assets should be consistent with broad asset class.

Correlation to style or peer group

5. Morningstar Style Box v. peer group

Expense ratio/fees

6. Investment should not be below 75th percentile of peers.

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Performance relative to assumed risk
7., 8. Investment should not be below 50th percentile of peers for Alpha and Sharpe Ratio

Assets in the product
9., 10., 11. Investment should not be below 50th percentile of peers for 1, 3 and 5 year returns

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The fi360 Fiduciary Score™

Passed	10th	<p>Fiduciary Score 0 No shortfalls.</p> <p>Fiduciary Score 1 – 25 Appropriate for fiduciary account.</p> <p>Fiduciary Score 26 –50: Noteworthy shortfalls.</p> <p>Fiduciary Score 51 – 75: Considerable shortfalls.</p> <p>Fiduciary Score 76 – 100: Significant shortfalls.</p>
Appropriate	25th	
Watch (2)	Median	
Watch (3)	75th	
Watch (4)	90th	

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Custom Due Diligence Criteria

Set the threshold after selecting a factor.

Available Factors
Use the Factor below to add factors to your criteria.

Fund only factors
Fiduciary Score Q4

Separate account manager only factors
Faced all RISK due diligence criteria (DA)

Variable annuity only factors
Faced all RISK due diligence criteria (DA)

Factors applied across all investment types

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

Fiduciary Score Avg [Top 40]

9 Year Return [Top 50% of peer]

5 Year Return [Top 50% of peer]

Sharpe [Top 50% of peer]

Investment Rat [Top 50% of peer]

Ratio [Top 50% of peer]

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My Clients

- Store customer information, establish an asset allocation, generate a client Investment Policy Statement (IPS), enter client holdings, and create a variety of reports.

- Basic Information
- Asset Allocation
- Investment Policy Statement
- Holdings
- Expenses
- Reports

13

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My Clients

Create a new client

Four fields

- Client Name
- Client Status
- Client Type
- Client Sub-Type

Five Client Types

- Retirement Plan-Committee Directed
- Retirement Plan-Participant Directed
- Individual Investor
- Foundation/Endowment
- Personal Trust

14

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My Clients: Basic Information

Edit the Basic Information tab to customize your client's reports.

Basic Information (Show help text [+])

[Return to Client Profile](#)

Client Details (Required) Edit	Advisor Details (Optional) Edit
Client Name: Fourth Ave. Associates #215	Utilizing Raveld Advisor: Adam Advisor
Client Status: Current	
Client Type: 401 Plan - Participant Directed	
Client Sub-Type: Corporate Defined Contribution	
Lead Waived A & I Shares: Yes	
Client Address 1: 423 S Fourth Ave	
Client Address 2: Suite 200	
City: Pittsburgh	
State: Pennsylvania	
Zip: 15222	
Committee/Trustee Member(s) Name: <input type="text"/>	
Yr/Position: <input type="text"/>	
Order: <input type="text"/>	

15

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My Clients: Asset Allocation Optimizer

Use the scroll bar to change the allocation from less risk to more risk.

16

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My Clients: IPS

Create an Investment Policy Statement for your client.

17

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My Clients: Holdings

Enter your client's investments

- Enter funds via ticker or name
- Enter funds via Excel Import
- Enter investments via Investment Analyzer
- Enter Custom Holdings

18

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Watch List Management

1. Does the investment pass my Investment Policy Statement Monitoring Criteria?
2. Is there a Global Manual Decision saved for this investment?
 - These decisions affect ALL clients that hold the investment.
3. Is there a Client-specific Manual Decision saved for this investment?
 - These decisions affect ONLY the specified client that holds the investment.

22

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Watch List Management

When you initially enter the Client's IPS, the default criteria (fi360 Fiduciary Score Qtr <=25) will already be loaded.

23

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Watch List Management

View the Client's Holdings to see how the investments stack up.

24

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