Getting started with the fi360 Toolkits

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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!

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

The fi360 Fiduciary Score ™

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

The fi360 Fiduciary Score ™

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.

The fi360 Fiduciary Score ™

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.

The fi360 Fiduciary Score ™

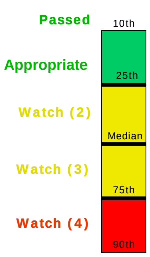
Performance relative to assumed risk

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

The fi360 Fiduciary Score ™



Fiduciary Score 0
No shortfalls.

Fiduciary Score 1 – 25
Appropriate for fiduciary account.

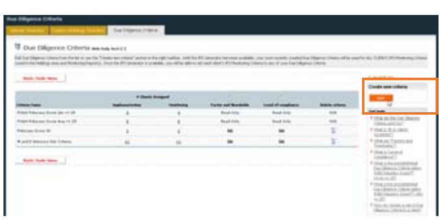
Fiduciary Score 26 –50:
Noteworthy shortfalls.

Fiduciary Score 51 – 75:
Considerable shortfalls.

Fiduciary Score 76 – 100:
Significant shortfalls.

Custom Due Diligence Criteria

- Within User Settings> Due Diligence Criteria, choose “Create New Criteria”.



Custom Due Diligence Criteria

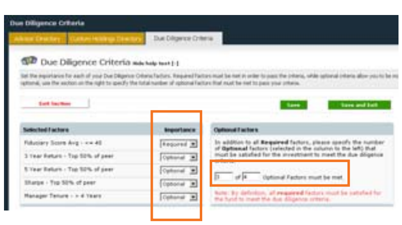
Choose the factors that you would like to include add them to you're the Selected Factors and Thresholds.

Custom Due Diligence Criteria

Set the threshold after selecting a factor.

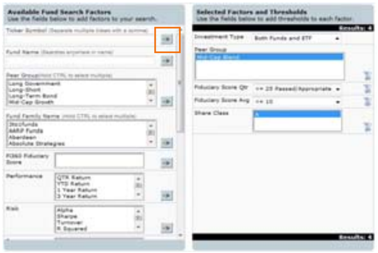
Custom Due Diligence Criteria

Adjust the level of compliance to add flexibility to your custom due diligence criteria.

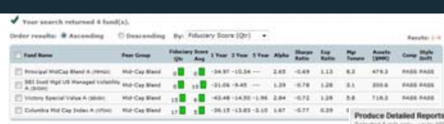


Investment Analyzer

Select factors on the left, change thresholds on the right.

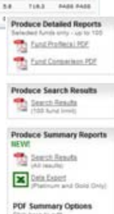


Investment Analyzer



Review your results and produce reports on individual investments or the entire list.

- Fund Profile
- Fund Comparison
- Search Results Reports
- Data Export Report



Investment Analyzer

Other features:

- Change the data period
- Custom Fund Universe
- Custom Due Diligence import
- Saved search

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

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

My Clients

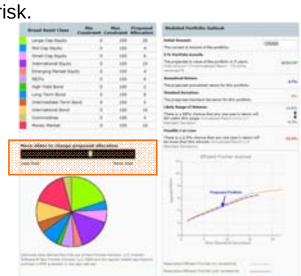
Edit, copy or delete client profiles

My Clients: Basic Information

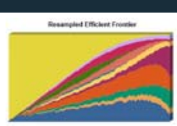
Edit the Basic Information tab to customize your client’s reports.

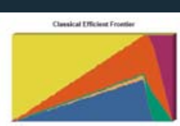
My Clients: Asset Allocation Optimizer

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



Resampled Efficiency ™

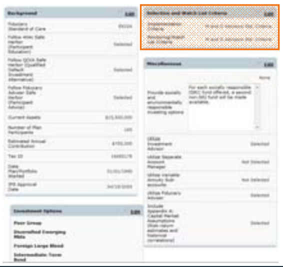




- Resampled Efficiency accounts for uncertainty in the Capital Market inputs.
- Resampled Efficiency provides:
  - A diverse portfolio across all asset classes without adding constraints.
  - A smooth transition between the risk profiles.

My Clients: IPS

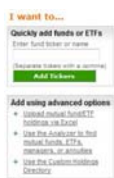
Create an Investment Policy Statement for your client.



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



My Clients: Holdings

•IPS criteria is the default criteria to place a fund On Watch List.

•Make your final Watch List decision.

•Document your decision in the Notes.

My Clients: Fees & Expenses

Edit Client/Plan Expenses

Edit Operational Expenses

Edit Shareholder Expenses

My Clients: Report Center

- Unlimited, on-demand report generation
- FINRA reviewed
- Customizable and client friendly

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.

Proposal Generator

Create your Proposal Report

Fi360 Watch List Process

Example #1

Factor	On Watch	Off Watch	No Indication
1. IPS Monitoring Criteria	✓		
2. Global Decision			-
3. Client-specific Decision			-
Final Watch List Status	✓		

Fi360 Watch List Process

Example #2

Factor	On Watch	Off Watch	No Indication
1. IPS Monitoring Criteria	✓		
2. Global Decision		✓	
3. Client-specific Decision			-
Final Watch List Status		✓	

Fi360 Watch List Process
Example #3

Factor	On Watch	Off Watch	No Indication
1. IPS Monitoring Criteria		✓	
2. Global Decision	✓		
3. Client-specific Decision		✓	
Final Watch List Status		✓	

Watch List Management

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

Watch List Management

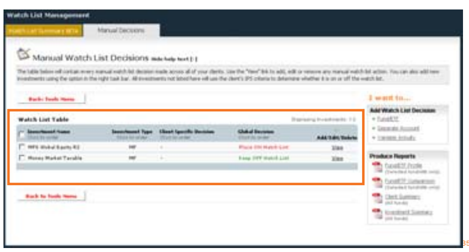
View the Client's Holdings to see how the investments stack up.

Watch List Management

Making a qualitative Watch List Decision

Watch List Management

Viewing all Qualitative Watch List Decisions
•Manual Watch List Decisions

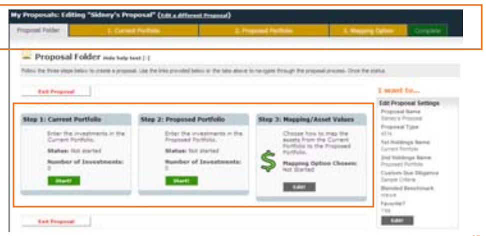


Watch List Management

Viewing investments across all of your Clients
•Watch List Summary

Proposal Generator

Use the tabs or the Proposal Folder to access the various sections of your Proposal.



Proposal Generator

Start from Scratch

Copy an existing Proposal

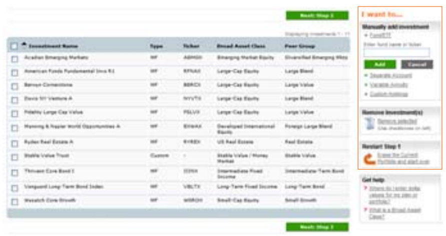
Proposal Generator
Step #1

Choose one of the four import options

Proposal Generator

Step #1

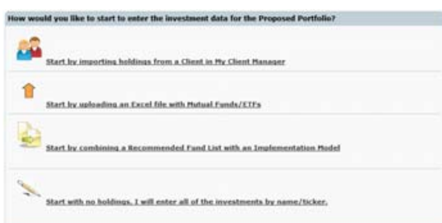
Manually add or remove individual investments



Proposal Generator

Step #2

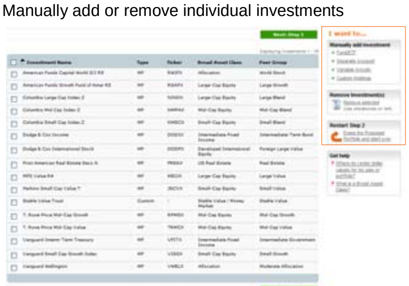
Choose from the same four import options



Proposal Generator

Step #2

Manually add or remove individual investments



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Proposal Generator
Step #3

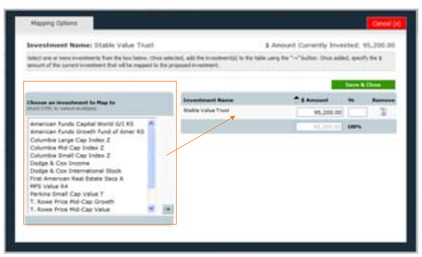
Choose from the three mapping options

fi360 global fiduciary insights

Mapping Option 1
“Current” to “Proposed” Mapping

After clicking to “Add” or “Edit” in the Mapping column;

- Choose the proposed investments to map to



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Mapping Option 2:
Manually Enter $ Values

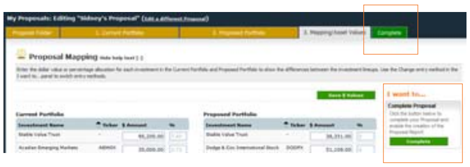
Enter the $ values for all investments in both portfolios

Marking a Proposal as Complete

Use the “Complete” link in the tab structure or the “I Want to…” panel to mark the proposal as complete.

Note: Proposals can only be completed once the mapping step is complete.

- Option 1: Each current investment is mapped to at least 1 proposed investment.
- Option 2: The total $ value in the “Current Portfolio” equals the “Proposed Portfolio”.

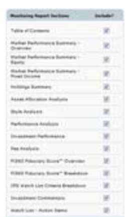


Customization

Report Customization

Settings>Report Settings>General Settings

Use the checkboxes to customize the report.



Customization

Peer Group Benchmarks

Settings>Report Settings>Peer Group Benchmarks

Change the Peer Group benchmarks in your reports.

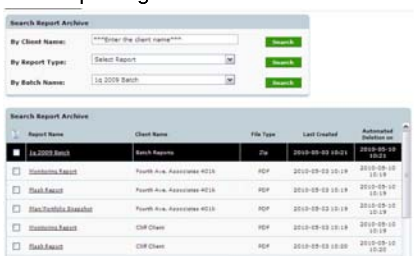
Other Tools

Blended Benchmarks

Create a blended benchmark for use in reporting.

Other Tools

Batch Reporting



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Questions?

Help Center: http://fa.fi360.com/help
tools@fi360.com