WealthServ®

Your Business. One System.

- Investment Broker-Dealers
- Mutual Fund Dealers
- Life Insurance Agencies

Your Business. One System.

WealthServ®

WealthServ delivers all the **Back Office** administration tools needed to manage operations and stay on top of ever increasing compliance and regulatory requirements. Better communication and collaboration across your organization is achieved with WealthServ **RepVision** and **ClientVision** offerings for Front Office operations.

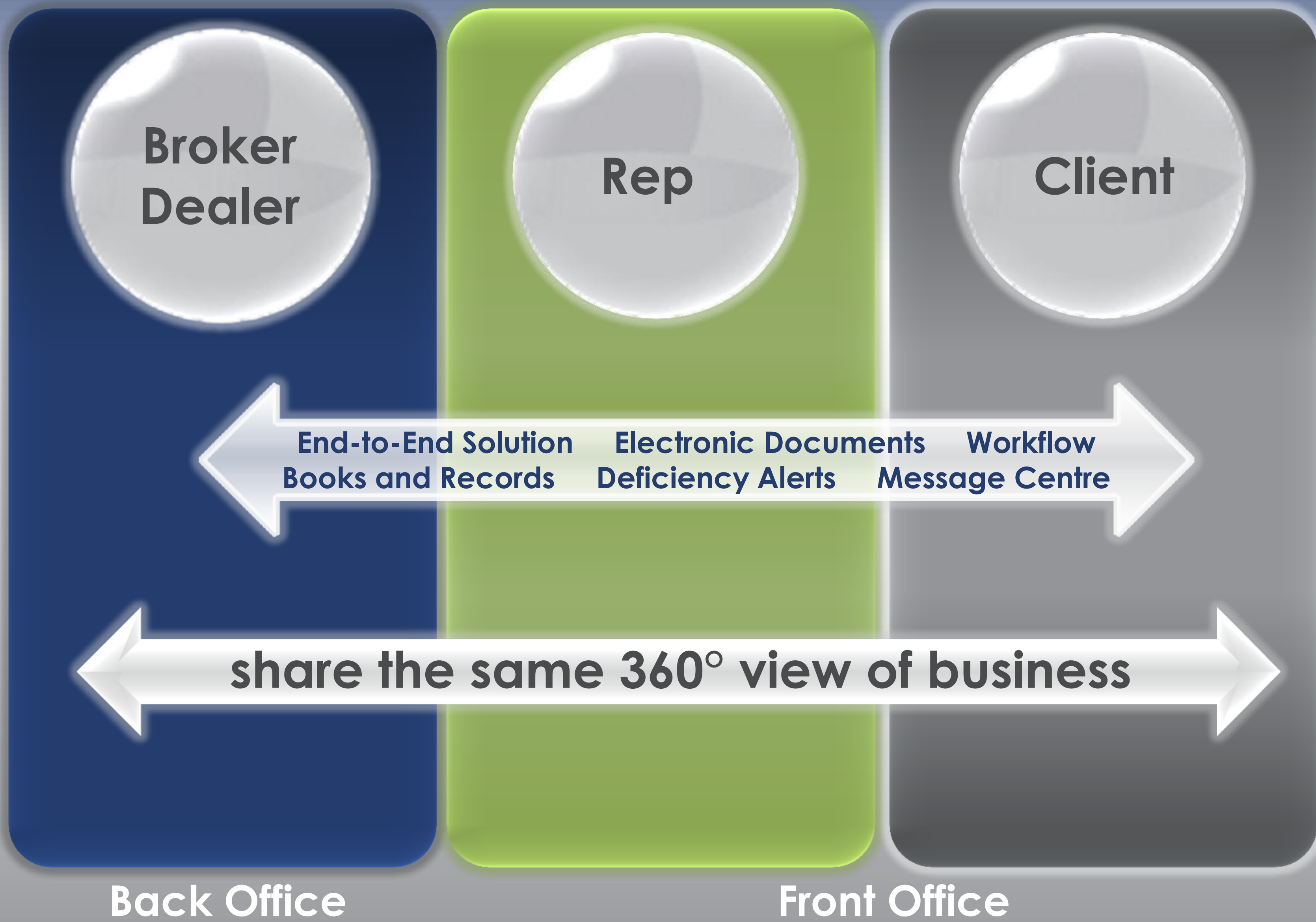
Recruit and retain valuable advisors with a progressive portal that doesn't change the way Reps do business. RepVision simply gives them the management tools they need to know more about their clients, do more business with them and grow more efficiently.

In a single login to ClientVision for all clearing and direct business, clients receive the same complete picture of their accounts and holdings that the Broker-Dealer and their Rep share.

WealthServ provides integrated compliance, commissions and document processing in one system for a consolidated data view and full client picture. Sharing the same 360° view of business reduces administration and helps you and your reps keep compliant.

Integrated Back and Front Office systems for wealth management organizations across North America.

Collaboration and Communication



Back Office

Reduce Operating Costs and Increase Productivity

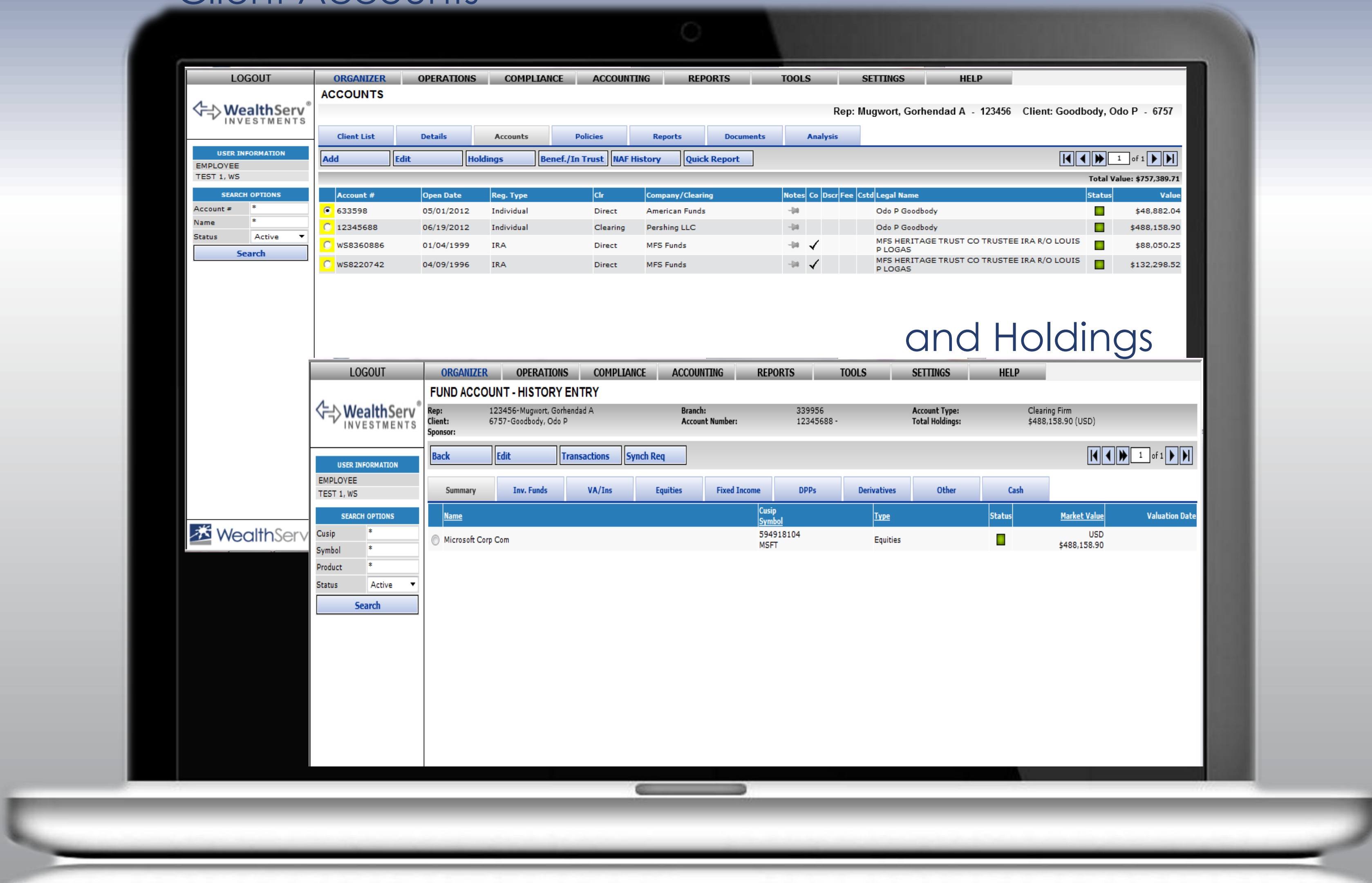
with one system to manage your business allowing you to focus on growing it

Functionality	Benefits
Compliance	• Transaction approval and post-trade review. • Standard NAF - Pre-populated for easy updating to comply with 36 month rule. Fully customizable to Broker-Dealers' NAF • Manage 17A3 compliance with easy to generate and customizable professional letters • AML - Automated FINCEN and OFAC checks
Commissions and Compensation	• Fast and Accurate commissions and payment processing
Data Aggregation	• Consolidated data view from all sources.
Back Office, Rep and Client Reporting	• Client management and record tracking module. • Consolidated client Reports across multiple clearing firms and direct business means better books and records with less administration
RepDocs Document Management*	• Email, fax and upload client documents easily
Regular system enhancements	• Zero-cost quarterly releases
Workflow	• End-to-end processing of electronic documents to optimize transaction processing speed

* Customizations may incur additional set up costs

BACK OFFICE - WealthServ View

Client Accounts



and Holdings

Front Office - Rep

Improve Rep Recruitment and Retention

with tools that demonstrate you invest in their success

WealthServ Rep Portal

Functionality	Benefits
Compliance	• Reduce risk by sharing a complete picture of advisor business and client information. Issues tracking, deficiency notifications, licence status.
Commissions and Compensation	• View current and historical commission and fee information
Client Account Consolidation	• Consolidated client statements and information enabling more effective service to nurture existing client relationships and capture new revenue opportunities.
Workflow	• Back and Front Office share the same view of business as it flows through WealthServ providing true transparency

Intuitive Interface and Dashboards

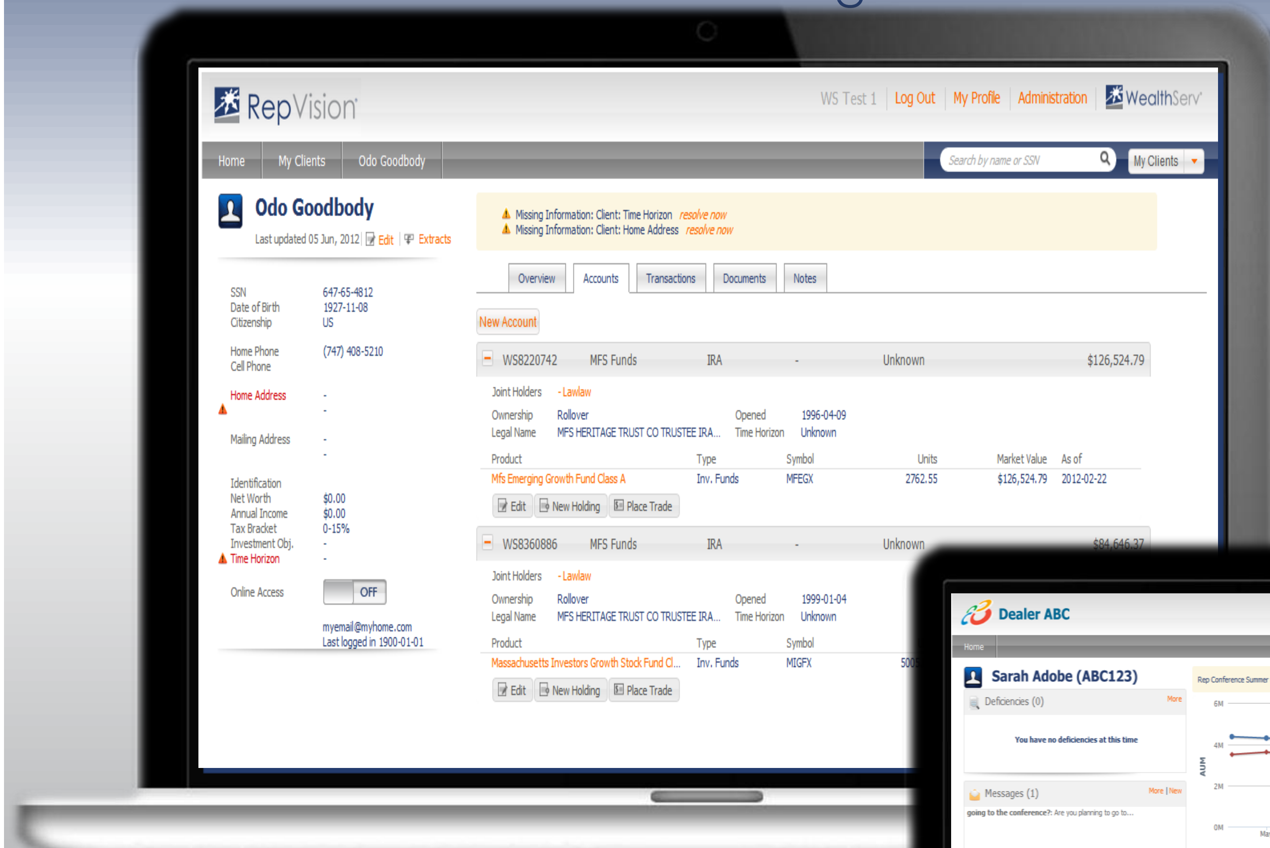
With RepVision Component

- Simplified processes and user experiences allow Reps to focus on growing the business rather than technology itself.
- Fully integrated to the WealthServ Back Office system to seamlessly interact with core operational functions
- A shared same 360° view of business improving collaboration and communication between the Back Office and Reps
- Instant access to Commissions, Deficiencies, AUM and client information.
- Less administration reduces operational costs and increases productivity to boost the bottom line.

RepVision

REP - RepVision View

Client Accounts and Holdings



Rep Dashboard

Front Office - Client

Advance Collaboration and Communication

with a fully integrated front and back office for a full client picture

Client Access Component

Functionality	Benefits
Electronic Statement Delivery	• Secure way to retrieve electronic statements
Single login for clearing and direct business	• Consolidated view of all accounts and holdings
Transaction Detail	• View of all transaction activity
Communication	• Receive messages from their advisor

With ClientVision® Component

ClientVision®

CLIENT - Client Access View

Accounts and Holdings

US Demo System
Maple Woods Branch

Odo Goodbody Personal Account Portal

Your Accounts | Your Reports | Your Messages

Odo Goodbody

Your Latest Financial Information

Accounts as of June 19th 2012 — **$757,389.71**

	Plan #	Sponsor	Registration	Ownership	Value
+	633598	American Funds	Individual	Sole Owner	$48,882.04
+	12345688	Pershing LLC	Individual	Sole Owner	$488,158.90
−	WS8220742	MFS Funds	IRA	Rollover	$132,298.52
+	WS8360886	MFS Funds	IRA	Rollover	$88,050.25

Holdings of WS8220742:

	Investment Name	Type	Symbol	Units	Price Date	Value
+	Mfs Emerging Growth Fund Class A	Inv. Funds	MFEGX	2 762.5500	2012-04-16	$132,298.52

Policies as of June 19th 2012

Company	Policy #	Type	Sum Insured	Premium	Payment Frequency
American United Life Insurance	123455	Term	$1,000,000.00	$1,500.00	Annual

Pending Investments as of June 19th 2012

Trade Date	Type	Financial Institution	Units	Amount

No pending investments linked at this time

Your Dealer
US Demo System
123 Sesame St
City, CA 12345

Your Branch
Maple Woods Branch
123 Main Street
Anytown, SC 123456

Your Representative
Gorhendad Mugwort
Email mail@myemail.com
Phone (920)173-3190

Message From Your Representative
No messages at this time
all of your messages...

ClientVision®

First-Rate Service and Delivery

Customer Service

Known for our commitment to excellence in client service, delivery and support.

Continuous Innovation; client input directly impacts product development

Support

Competent and Responsive Tech Support providing standard and emergency support

Full training

Web Delivered

SAS70 compliant data center

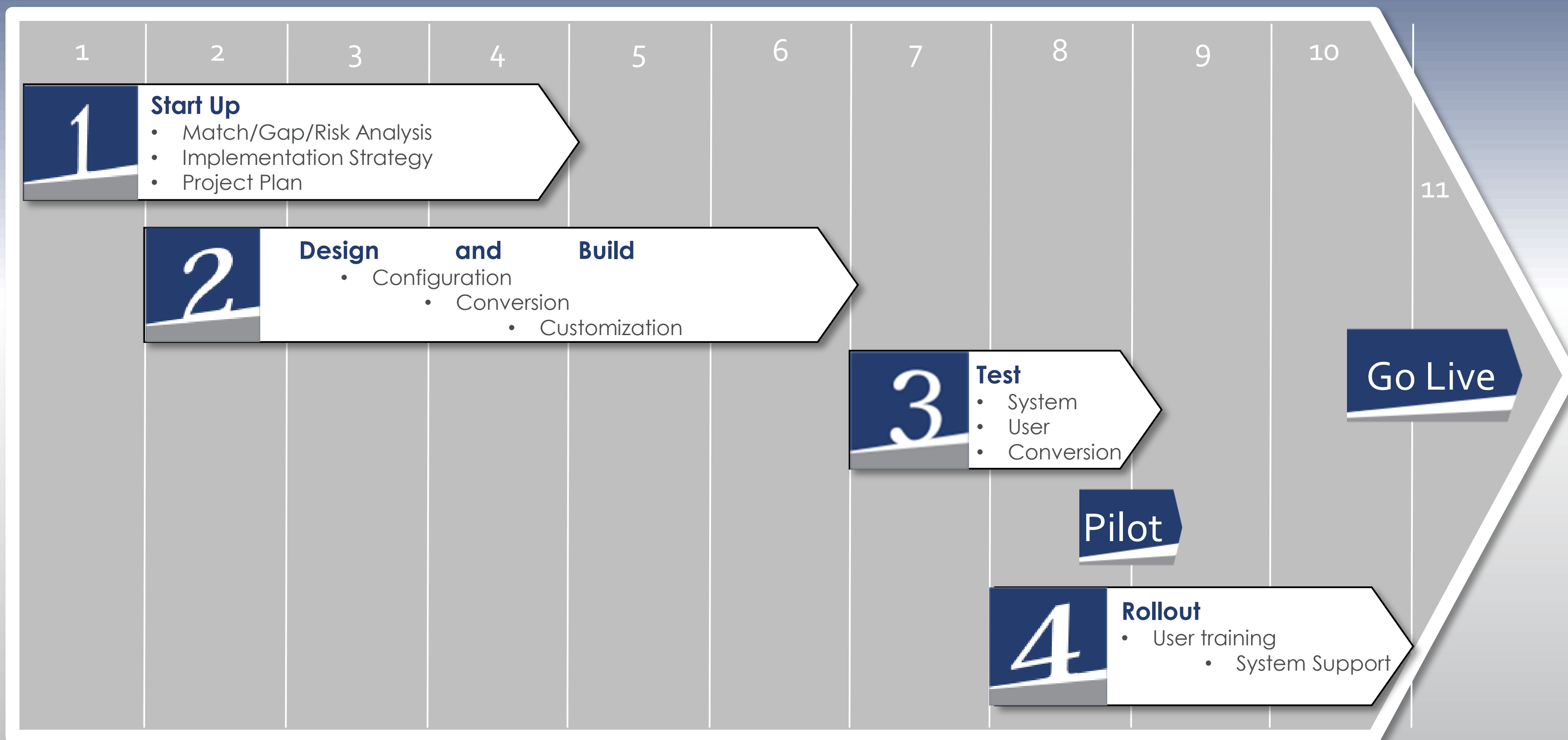
No infrastructure required

Convenient and secure round-the-clock access from any location

Fully supported from engagement to operation

Installation

Weeks



Implementing a new system can seem a daunting undertaking; it doesn't have to be. WealthServ software technology is web-based resulting in little to no impact on your existing infrastructure. WealthServ is extremely scalable, secure and fast and features a leading edge database management system designed with simplified capabilities to integrate seamlessly to existing systems and processes. Our reputation for providing top notch customer service and delivery is a result of making it a priority to work closely with our clients through every step of the process for a smooth and unobtrusive transition.

***Timeline and stages of a typical installation process may vary depending on scope of project and customization requests.**