



WealthServ®

Your Business. One System.



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

Your Business. One System.



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.

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

BACK OFFICE - WealthServ View

Client Accounts

LOGOUT
ORGANIZER OPERATIONS COMPLIANCE ACCOUNTING REPORTS TOOLS SETTINGS HELP

Rep: Mugwort, Gorchendad A - 123456 Client: Goodbody, Odo P - 6757

Client List
Details
Accounts
Policies
Reports
Documents
Analysis

Add
Edit
Holdings
Benef./In Trust
NAF History
Quick Report
1 of 1

Account #	Open Date	Reg. Type	Clr	Company/Clearing	Notes	Co	Discr	Fee	Cstd	Legal Name	Status	Value
633598	05/01/2012	Individual	Direct	American Funds	-					Odo P Goodbody	■	\$48,882.04
12345688	06/19/2012	Individual	Clearing	Pershing LLC	-					Odo P Goodbody	■	\$488,158.90
WS8360886	01/04/1999	IRA	Direct	MFS Funds	-	✓				MFS HERITAGE TRUST CO TRUSTEE IRA R/O LOUIS P LOGAS	■	\$88,050.25
WS8220742	04/09/1996	IRA	Direct	MFS Funds	-	✓				MFS HERITAGE TRUST CO TRUSTEE IRA R/O LOUIS P LOGAS	■	\$132,298.52

Total Value: \$757,389.71

and Holdings

LOGOUT
ORGANIZER OPERATIONS COMPLIANCE ACCOUNTING REPORTS TOOLS SETTINGS HELP

FUND ACCOUNT - HISTORY ENTRY
 Rep: 123456-Mugwort, Gorchendad A Branch: 329956 Account Type: Clearing Firm
 Client: 6757-Goodbody, Odo P Account Number: 12345688 Total Holdings: \$488,158.90 (USD)
 Sponsor:

Back
Edit
Transactions
Synch Req
1 of 1

Summary
Inv. Funds
VA/Ins
Equities
Fixed Income
DPPs
Derivatives
Other
Cash

Name	Cusip Symbol	Type	Status	Market Value	Valuation Date
Microsoft Corp Com	594918104 MSFT	Equities	■	USD \$488,158.90	



Front Office - Rep

Improve Rep Recruitment and Retention
with tools that demonstrate you invest in their success

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



- 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.

REP - RepVision View

Client Accounts and Holdings

RepVision WS Test 1 | Log Out | My Profile | Administration | WealthServ

Home | My Clients | Odo Goodbody

Search by name or SSN | My Clients

Odo Goodbody
Last updated 05 Jun, 2012 | Edit | Extracts

Overview | Accounts | Transactions | Documents | Notes

New Account

WS8220742	MFS Funds	IRA	-	Unknown	\$126,524.79
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Joint Holders - Lawlaw

Ownership Rollover | Opened 1996-04-09 | Time Horizon Unknown

Legal Name MFS HERITAGE TRUST CO TRUSTEE IRA...

Product	Type	Symbol	Units	Market Value	As of
MFS Emerging Growth Fund Class A	Inv. Funds	MFEGX	2762.55	\$126,524.79	2012-02-22

Edit | New Holding | Place Trade

WS8360886	MFS Funds	IRA	-	Unknown	\$84,646.37
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Joint Holders - Lawlaw

Ownership Rollover | Opened 1999-01-04 | Time Horizon Unknown

Legal Name MFS HERITAGE TRUST CO TRUSTEE IRA...

Product	Type	Symbol	Units	Market Value	As of
Massachusetts Investors Growth Stock Fund Cl...	Inv. Funds	MIGFX	500		

Edit | New Holding | Place Trade

SSN: 647-65-4812
Date of Birth: 1927-11-08
Citizenship: US
Home Phone: (747) 408-5210
Call Phone: -
Home Address: -
Mailing Address: -
Identification: -
Net Worth: \$0.00
Annual Income: \$0.00
Tax Bracket: 0-15%
Investment Obj.: -
Time Horizon: -
Online Access: OFF
myemail@myhome.com
Last logged in 1900-01-01

Rep Dashboard

Dealer ABC WS Test 1 | Log Out | My Profile | Administration | WealthServ

Home | Sarah Adobe (ABC123)

Search by name or SSN | New Client

Rep Conference Summer of 2012. Stay Tuned for Details

Deficiencies (0) | More

You have no deficiencies at this time

Messages (1) | More | New

going to the conference? Are you planning to go to...

Commissions Balance: \$12,357.00 | More

Top 5 Clients

Eric McMaster	\$811,066	(580)492-1412
Sarah Tetter	\$424,798	(724)734-1349
Carl Ricardo	\$248,756	(350)878-4944
Dylan Nichols	\$173,267	(386)609-3350
Leandra Watson	\$145,432	(995)260-7345

Asset Allocation by Product Type

Cash: 3%
DPPs: 34%
Equities: 12%
Inv. Fns: 54%
VA/Ins: 29%

Total Assets = \$4,211,508.54

Current AUM: \$4,211,508.54
Since Jan 30, '12: \$4,211,508.54
Since Jan 30, '11: \$103,395.07

Front Office - Client

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

Functionality

Electronic Statement Delivery

Single login for clearing and direct business

Transaction Detail

Communication

Benefits

- Secure way to retrieve electronic statements
- Consolidated view of all accounts and holdings
- View of all transaction activity
- Receive messages from their advisor

With
ClientVision®
Component

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		
Investment Name		Type	Symbol	Units	Price Date	Value
+ Mfs Emerging Growth Fund Class A		Inv. Funds	MFEGX	2762.5500	2012-04-16	\$132,298.52
+ WS8360886	MFS Funds	IRA	Rollover			\$88,050.25

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...

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

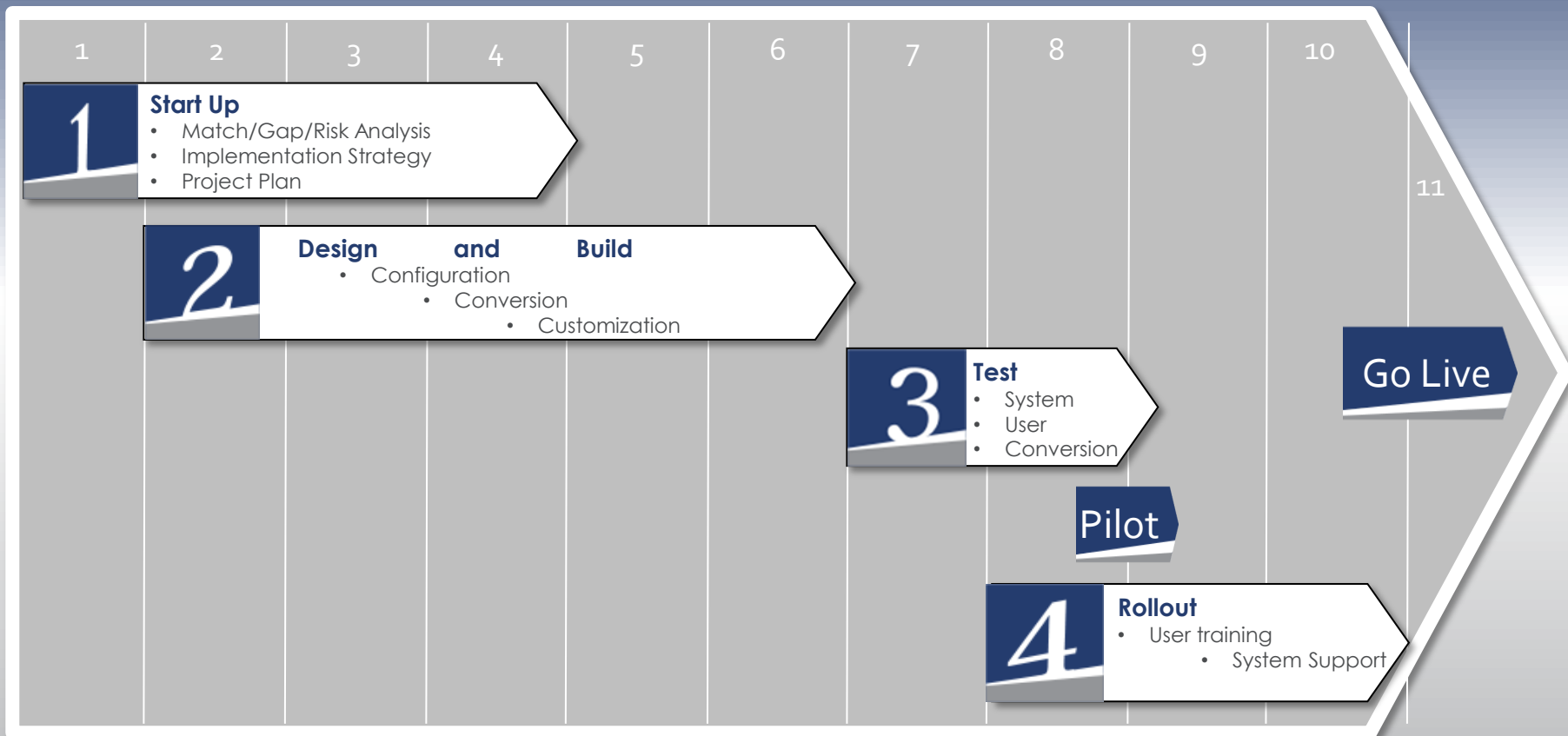
No infrastructure required

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.