



Navigating AdvisorEnterpriseSM 2.0

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Video



Support

- Christian O'Connor – AVP, Advisory Services
 - High net worth consultation
 - Platform conversion & guidance
 - Firm visits
- Advisory & Investment Services (AIS) Consulting
 - Independent guidance
 - Multiple product line consultation
- Advisory Support
 - Platform operations expertise
 - Service request assistance
 - Rep as Manager trading

Introducing the Next Generation Platform

AdvisorEnterprise 2.0

- Tablet accessibility
- Symbols-based icons
- New client meeting portal
- Institutional-quality proposal output
- Enhanced reports
- Proposal enhancements
- More intuitive navigation



Practice

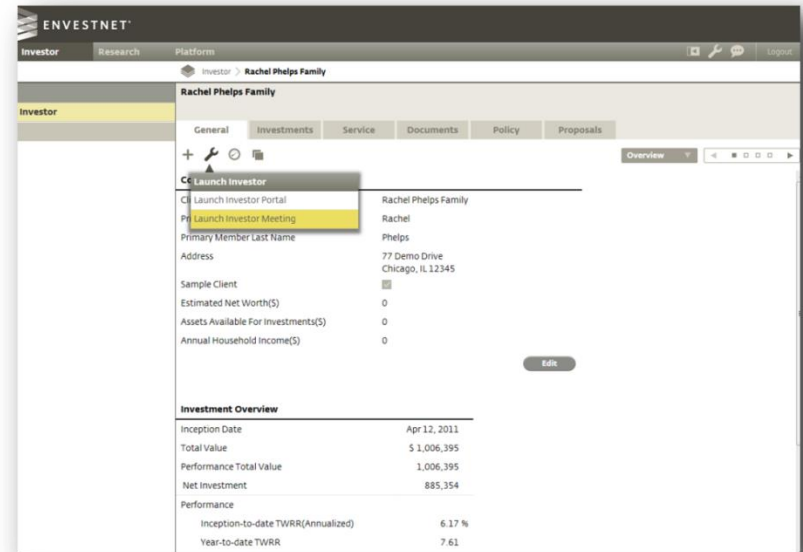
- Practice
 - Alerts and notifications
 - Book of business reports
 - Performance and billing
- Service requests
- Proposals
- Demo

The screenshot displays the AdvisorEnterprise™ web application. The top navigation bar includes 'Practice' (highlighted with a red box), 'Clients', 'Manage', 'Research', and 'Platform'. Below this, a breadcrumb trail shows 'Practice > Desktop'. A left-hand sidebar menu lists various sections: Practice, Alerts and Notifications, Desktop (highlighted in yellow), Notifications, Alerts, Book of Business Reports, Performance and Billing, Service Requests, and Proposals. The main content area is titled 'Sample A. Advisor' and features a 'Headlines' section with a table of news items. Below the headlines, a 'Market' section is partially visible, showing 'Dow Jones'.

Time	Headline
Nov 4, 2013 11:40 AM CT	Twitter boosts IPO range amid strong investor demand
Nov 4, 2013 11:04 AM CT	Co-op hedge fund shareholder famous for Argentina battle
Nov 4, 2013 11:01 AM CT	Deutsche Bank co-CEO Fitschen named suspect in Kirch case
Nov 4, 2013 10:42 AM CT	Johnson & Johnson to pay \$2.2 billion to end U.S. drug probes
Nov 4, 2013 10:34 AM CT	Pimco Total Return loses title as world's largest mutual fund
Nov 4, 2013 10:25 AM CT	U.S. to put SAC hedge fund out of business over insider trading
Nov 4, 2013 10:07 AM CT	Wall Street flat, Blackberry slumps; Twitter raises IPO range
Nov 4, 2013 09:30 AM CT	Kellogg to cut 7 percent of workforce by 2017, lowers forecast
Nov 4, 2013 09:20 AM CT	Boeing seen in advanced talks to make 777X near Seattle
Nov 4, 2013 09:14 AM CT	Fed in no rush to cut bond buys, top policymakers say

Client Meeting Portal

- Launch investor portal from tablet device
- Secure access to information for that specific client
 - Proposals
 - Reports
 - Documents



Clients

- Client
- Prospects
- Demo

AdvisorEnterprise™

Practice **Clients** Manage Research Platform Logout

Clients > Client List

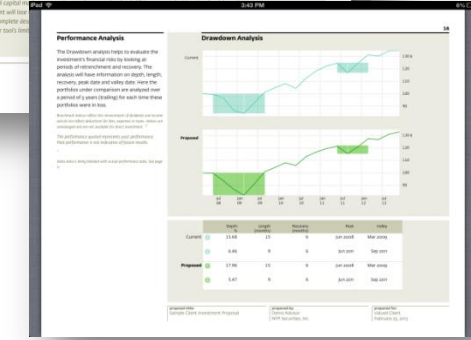
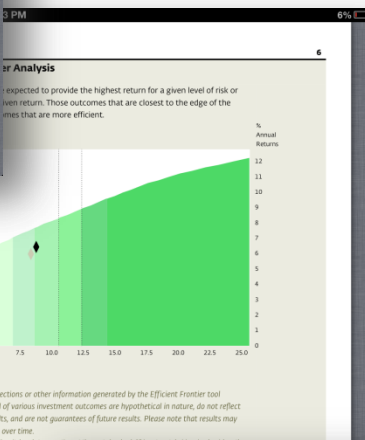
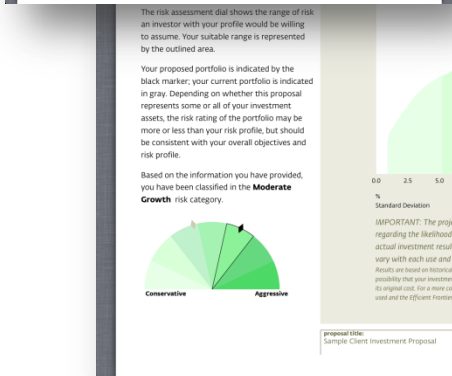
Clients 177

Client List

Primary Owner ▲	Client Title	Created	Logins	Accounts	Market Value ¹
Ackerman, Doug *	Doug Ackerman	Mar 5, 2012			—
Ackerman, Doug	Ackerman Family	Mar 19, 2012			—
Acosta, Andrea	Acosta Family	Jan 4, 2012			—
Advisor, Test		Nov 19, 2012			—
Advisor, Test		Nov 19, 2012			—
AggGrowth, Joe *	⚙️ Joe AggGrowth	Aug 21, 2013		6	\$ 447,551
Atcheson, John		Feb 28, 2013			—
Cagle, Rusty	Rusty Cagle Client	Jul 21, 2011			—

Institutional Quality Proposal Output

- Featuring new FINRA-reviewed proposal
- Comparison of current vs. proposed
- Additional analytics
 - Annualized returns
 - Up-side/down-side capture



Manage

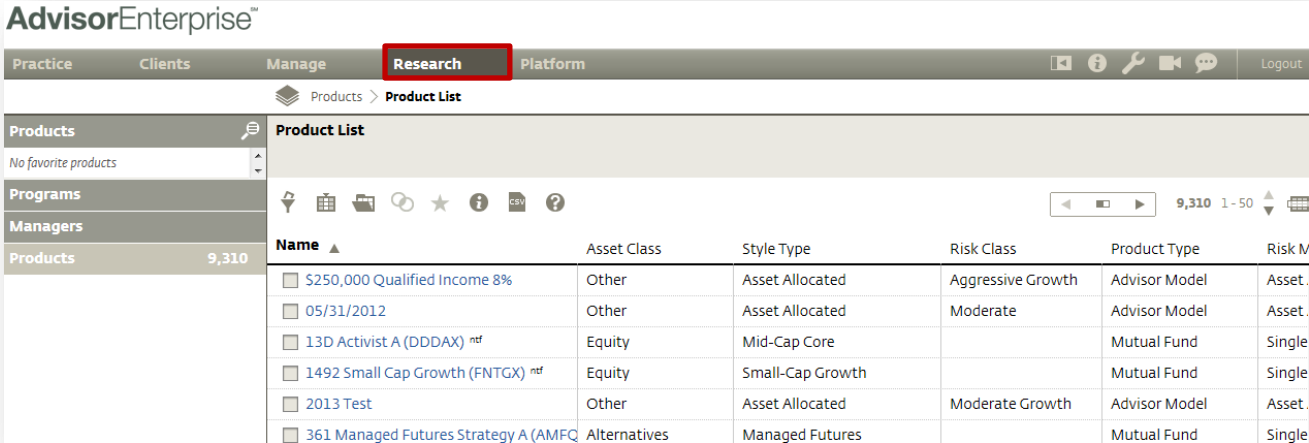
- Trading
- Models

The screenshot shows the 'AdvisorEnterprise™' interface. The top navigation bar includes 'Practice', 'Clients', 'Manage' (highlighted with a red box), 'Research', and 'Platform'. Below this is a breadcrumb trail: 'Trading > Trade Generation'. The left sidebar contains a menu with 'Trading' (expanded) and 'Models'. Under 'Trading', there are options for 'Trade Generation' (highlighted), 'Trade Execution', 'Trade History', and 'Trade Alerts'. Under 'Models', there are 'Accounts' (16) and 'Models'. The main content area is titled 'Trade Generation' and has two tabs: 'Accounts' and 'Trades'. Below the tabs are icons for filters, a plus sign, an info icon, and a CSV icon. A table lists account information:

<input type="checkbox"/>	Account ▲	Client	Account Name	Advisor
<input type="checkbox"/>	DEMO-50301	Client, ETF Advisor Model	Advisor Model (ETF) Client 2 IRA - Rol	Advisor, Sample
<input type="checkbox"/>	DEMO-67591	AggGrowth, Joe	Joe AggGrowth IRA - Traditional	Advisor, Sample
<input type="checkbox"/>	DEMO-67592	AggGrowth, Joe	Joe AggGrowth Joint	Advisor, Sample
<input type="checkbox"/>	DEMO-67593	AggGrowth, Joe	Joe AggGrowth Joint	Advisor, Sample
<input type="checkbox"/>	DEMO-67595	AggGrowth, Joe	Joe AggGrowth Trust	Advisor, Sample
<input type="checkbox"/>	DEMO-67596	AggGrowth, Joe	Joe AggGrowth Trust	Advisor, Sample
<input type="checkbox"/>	DEMO-67605	Growth, Joe	Joe Growth Non-Prototype Retirement	Advisor, Sample

Research

- Products
- Programs
- Managers
- Demo

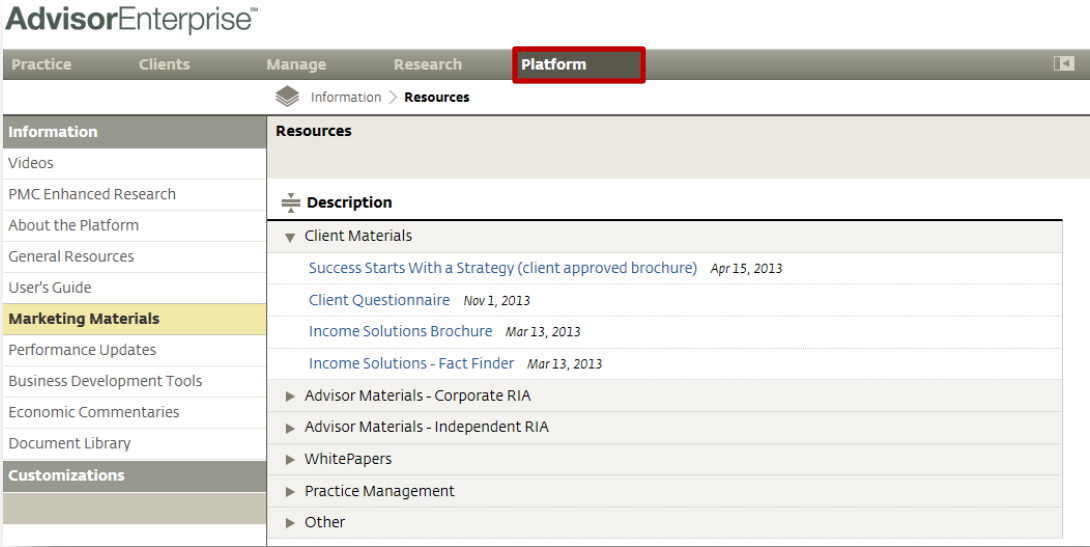


The screenshot shows the AdvisorEnterprise interface with the 'Research' tab selected. The 'Product List' is displayed with the following data:

Name ▲	Asset Class	Style Type	Risk Class	Product Type	Risk M
<input type="checkbox"/> \$250,000 Qualified Income 8%	Other	Asset Allocated	Aggressive Growth	Advisor Model	Asset.
<input type="checkbox"/> 05/31/2012	Other	Asset Allocated	Moderate	Advisor Model	Asset.
<input type="checkbox"/> 13D Activist A (DDDAX) ^{nfr}	Equity	Mid-Cap Core		Mutual Fund	Single
<input type="checkbox"/> 1492 Small Cap Growth (FNTGX) ^{nfr}	Equity	Small-Cap Growth		Mutual Fund	Single
<input type="checkbox"/> 2013 Test	Other	Asset Allocated	Moderate Growth	Advisor Model	Asset.
<input type="checkbox"/> 361 Managed Futures Strategy A (AMFQ	Alternatives	Managed Futures		Mutual Fund	Single

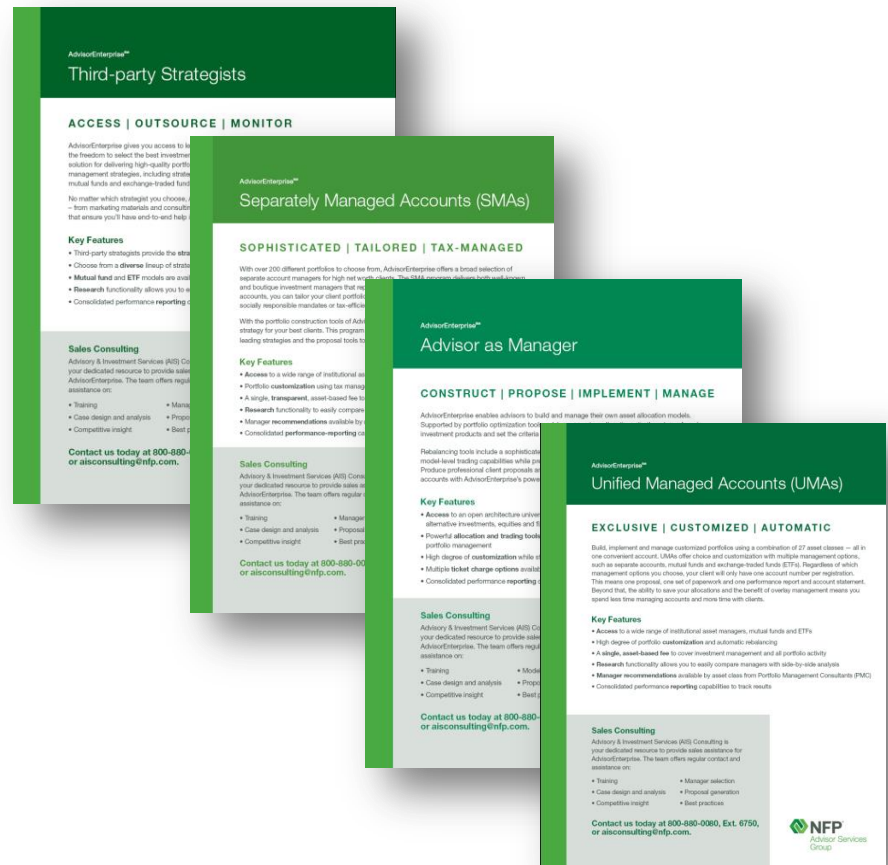
Platform

- Information
- Customizations
- Demo



Resources Available

- Live training calls
- Fact sheets
- Videos on demand
- AdvisorEnterprise 2.0 manual



Support

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The Future of AdvisorEnterprise 2.0

- More flexible UMA
- Model composites
- Portfolio attribution analysis
- eSignature
- Expanded integration with AdvisorCompleteSM
 - Alerts
 - Manager data in dashboard