



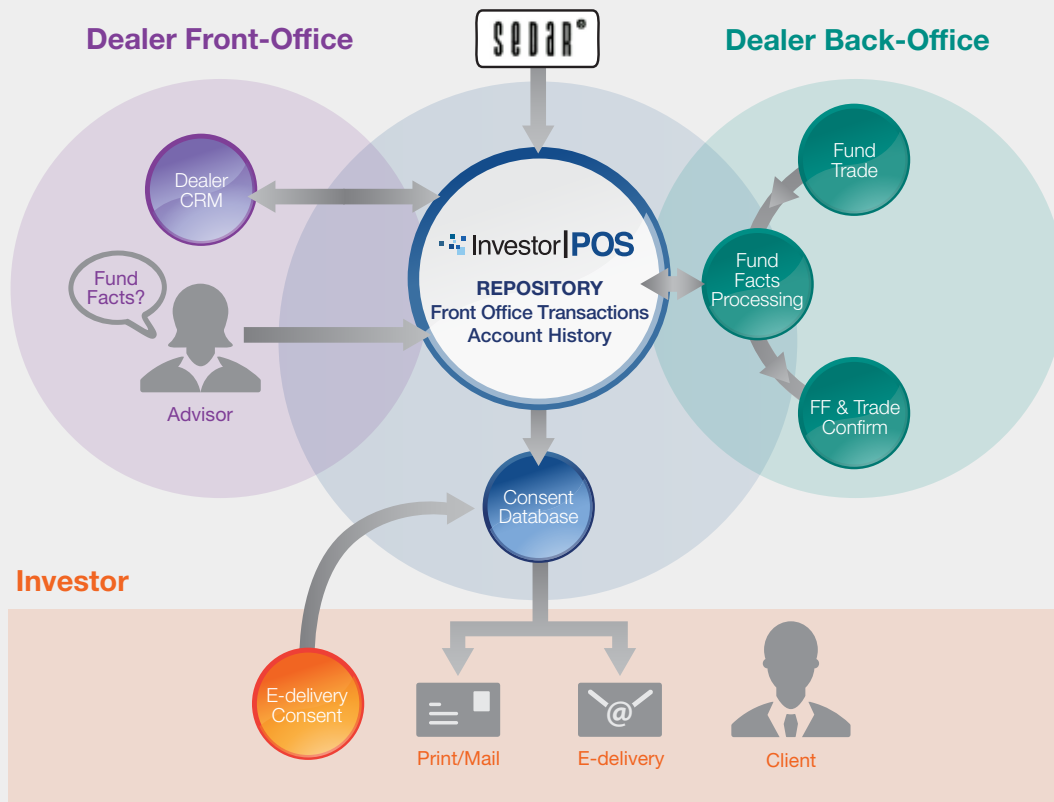
Fund Facts Delivery Solutions

For Stages 2 & 3 of NI 81-101
Point of Sale Disclosure Regulation

Fund Facts Delivery Solution

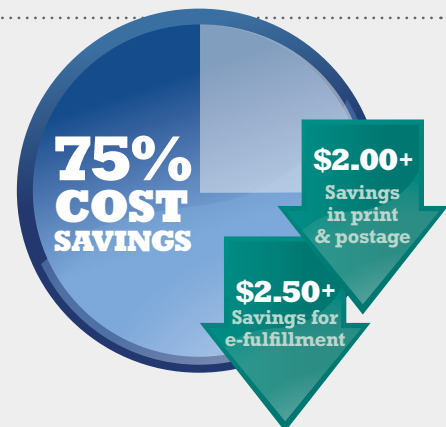
The InvestorPOS™ Fund Facts delivery solution addresses both front-office and back-office fulfillment requirements. Advisors in the front-office access a dealer-branded version of the InvestorPOS™ repository to find and deliver Fund Facts in electronic and print formats. Our back-office solution seamlessly integrates with existing dealer processes to deliver a combined trade confirmation and Fund Facts package. The two solutions can be implemented together or on a standalone basis, depending on a dealer's strategy. Simple. Compliant. Point of Sale.

Flexibility for All Dealer Platforms



A Better Solution

Delivering a Fund Facts in lieu of a prospectus has many benefits. Advisors and investors agree that the Fund Facts provides better information. Investment Dealers and Asset Managers will see significantly reduced costs with InvestorPOS™—by up to 75% compared to their current process of prospectus delivery. Investor satisfaction will improve as they'll receive a choice between printed and e-fulfillment. Delivering Fund Facts is a win-win for all parties.



Three Implementation Choices for Dealers

1. Front-Office Solution

Key features:

- Simple workflow allows advisors to search the universe of Fund Facts documents and deliver them electronically or printed/mailed to investors
- Branded with your dealer's 'look and feel'
- Fully compliant, audit trail reporting of delivery activity
- Offers the universe of Fund Facts or filtered by 3rd party documents sold by dealer
- Mobile compatible across iOS, Android, Windows Mobile and BlackBerry platforms
- Software as a Service (SaaS) solution is secure and available 24/7

Benefits:

- Ease of use for advisors
 - Little administration—takes minutes to meet compliant delivery requirement
 - Improved advisor productivity through use of 'Advanced Search' and 'Quick Lists' of favorite Fund Facts
 - Reporting shows status of all Fund Facts delivery events—available to advisors, compliance officers or other authorized staff
 - Fully managed process for client express consent to e-delivery
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2. Back-Office Solution

Key features:

- Seamlessly integrates with existing dealer back-office processes
- Compose trade confirmation and Fund Facts in one dynamic package
- Traditional print/mail or e-delivery options depending on investor preference
- E-delivery options include online e-presentation within existing client portal
- Fully compliant, audit trail reporting of delivery activity

Benefits:

- 60-day 'Quick Start' implementation for dealers meeting Stage 2 of NI 81-101 Point of Sale regulation
 - Cost effective, multi-channel capability leverages secure e-delivery and dynamic print/mail technologies
 - Transparent cost-sharing structure for dealers and asset managers delivering Fund Facts
 - Fully managed process for client express consent to e-delivery if required
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3. Integrated Front/Back-Office Solution

Key features:

- Deliver Fund Facts through advisor front-office channel, while integrating with back-office fulfillment logic
- Ideal for integrated asset managers and dealers
- Business intelligence for analyzing conversion rates from pre-trade Fund Facts delivery to actual purchase

Benefits:

- Cost savings from suppressing delivery activity at back-office where front-office fulfillment has occurred
 - Positions dealers to meet future stage 3 regulation for document delivery at or prior to the point of sale
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