



Compliance



Introducing
PeerCompare™

Consider Reasonably Available Alternatives

Reg BI establishes a “Best Interest” standard for brokers and advisors when making investment recommendations to their clients. Use PeerCompare™ to review reasonable product alternatives on your shelf and generate disclosure documents for e-delivery and audit.

PeerCompare™ is a simple-to-use app for finding and comparing reasonable product alternatives for your investors based on investment cost, risk and performance criteria. It fits into your existing advisor workflow, allowing you to recommend a suitable investment while ensuring compliance with Reg BI's care and disclosure requirements.

See What's Under the Hood of Comparable Investment Vehicles

Dynamically create product peer groups using industry-standard product categories and data. See how a recommendation compares to its peers among more than 275,000 product profiles.

The screenshot displays the InvestorCOM PeerCompare interface. On the left is a navigation menu with options: Home, PeerCompare™, ShelfMonitor™, ComplianceExpress™, Client Admin, and Log out. The main content area shows a search for 'FS0000CLEA' with a 'FIND PEER GROUP' button. Below this is a 'PEER GROUP DEFINITION' table with columns: MUTUAL FUNDS (111 of 8,982 funds), CATEGORY (US Equity), RISK RATING (Medium to High Risk), and TIME HORIZON (Medium to Long). The 'PEER GROUP' table lists several funds with columns: FUND ID, FUND COMPANY, INCEPTION DATE, FUND NAME, SHARE CLASS, MER, RISK, and RETURN. The target fund FS0000CLEA (AlphaCentric Funds, AlphaCentric Premium Opportunity C) has a MER of 1.150, RISK of 0.070, and RETURN of 5.478. A summary table at the bottom shows LOW, MEDIAN, and HIGH risk levels with their corresponding MER and RETURN values.

MUTUAL FUNDS	CATEGORY	RISK RATING	TIME HORIZON
111 of 8,982 funds	US Equity	Medium to High Risk	Medium to Long

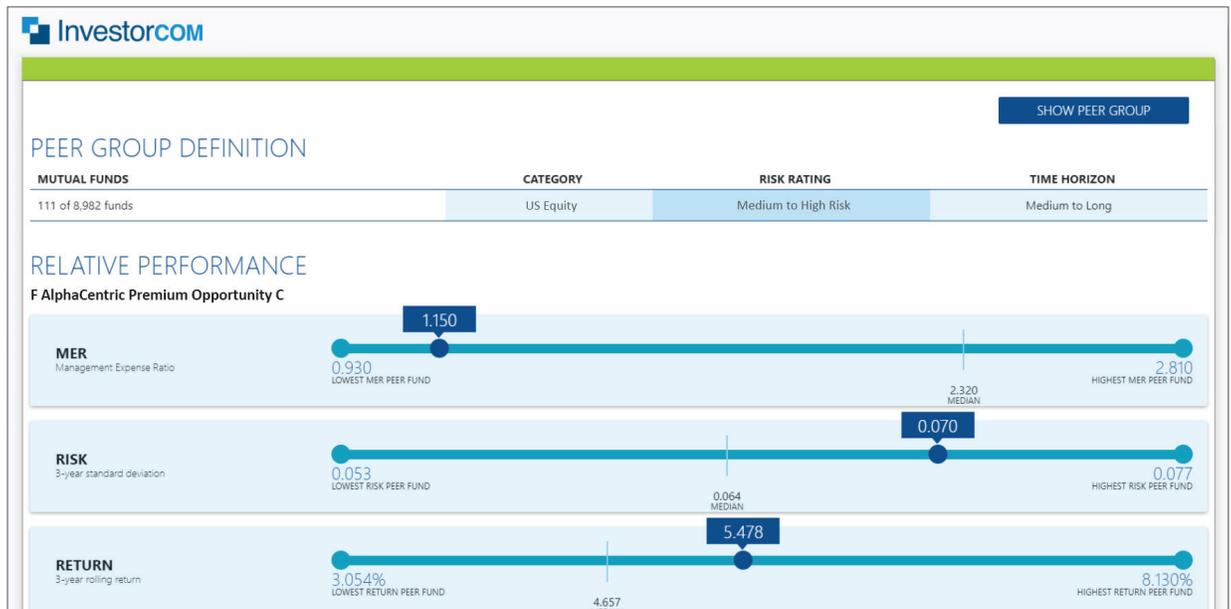
FUND ID	FUND COMPANY	INCEPTION DATE	FUND NAME	SHARE CLASS	MER	RISK	RETURN
FS0000CLEA	AlphaCentric Funds	2016-09-30	AlphaCentric Premium Opportunity C	C	1.150	0.070	5.478
FSUSA0015D	Goldman Sachs	1997-08-15	Goldman Sachs US Equity Insights C	C	2.300	0.071	3.887
FSUSA0033U	Well Fargo Funds	1998-04-01	Wells Fargo Diversified Intl	C	2.300	0.071	3.887
FSUSA004MA	Rydex Funds	1998-04-02	Rydex Electronics H	Adv	1.130	0.071	5.090
FS0000CLEA	AlphaCentric Funds	2016-09-30	AlphaCentric Premium Opportunity A	A	2.800	0.054	4.377
FS0000CLR	Rational Funds	2016-09-30	Rational/ReSolve Adaptive Asset Alloc	Inst	2.800	0.054	4.377

LOW	0.930	0.053	3.054
MEDIAN	2.320	0.064	4.657
HIGH	2.810	0.077	8.130

View side-by-side comparisons of returns, risks, expenses and more. Just enter a Fund ID, CUSIP Code, or Fund Name, and a peer group of reasonably available alternatives are sourced from your product shelf and presented based on configurable criteria that includes fund category, risk rating and time horizon. See at-a-glance how your recommendation compares against its peer group.

Gain Intelligent Insight on How Recommended Funds Stack Up

Drill into each fund for insight on relative performance. Get context on costs, risk, and return that you can use to explain to investors why you would or would not recommend a fund.



Track Disclosure and Meet Regulatory Oversight

Use PeerCompare™ with ComplianceExpress™ to manage your recordkeeping, oversight, and disclosure requirements. Generate compliant recommendations for your clients effortlessly and intuitively.



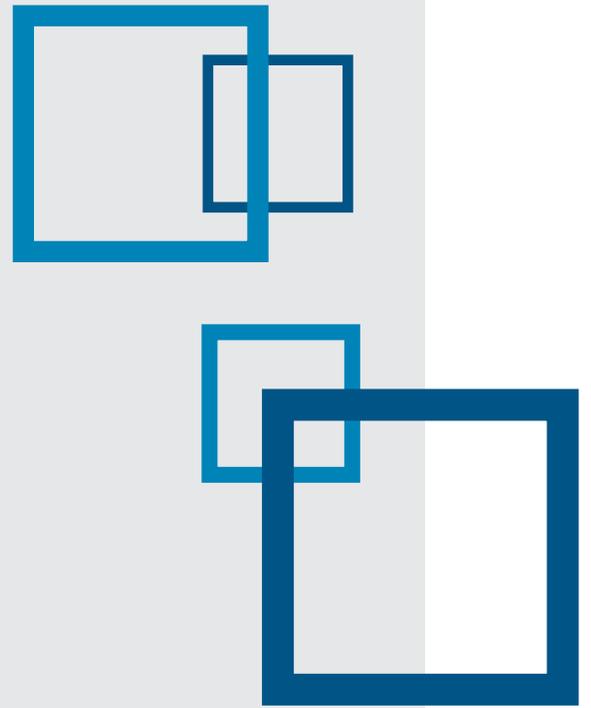
Get audit-ready by June 30, 2020.



Meet the Care and Disclosure obligation requirements set out in Regulation Best Interest.



Get the solution up and running within one week.



Get started with PeerCompare™ today!

Contact RegBIReady@investorCOM.com
for a demo and to start your free 30-day trial.

InvestorCOM is a leading provider of software and outsourcing services to the wealth management industry.

Our intuitive and innovative suite of RegTech solutions enable effective communications and disclosure in an increasingly regulated environment.

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