Investorcom

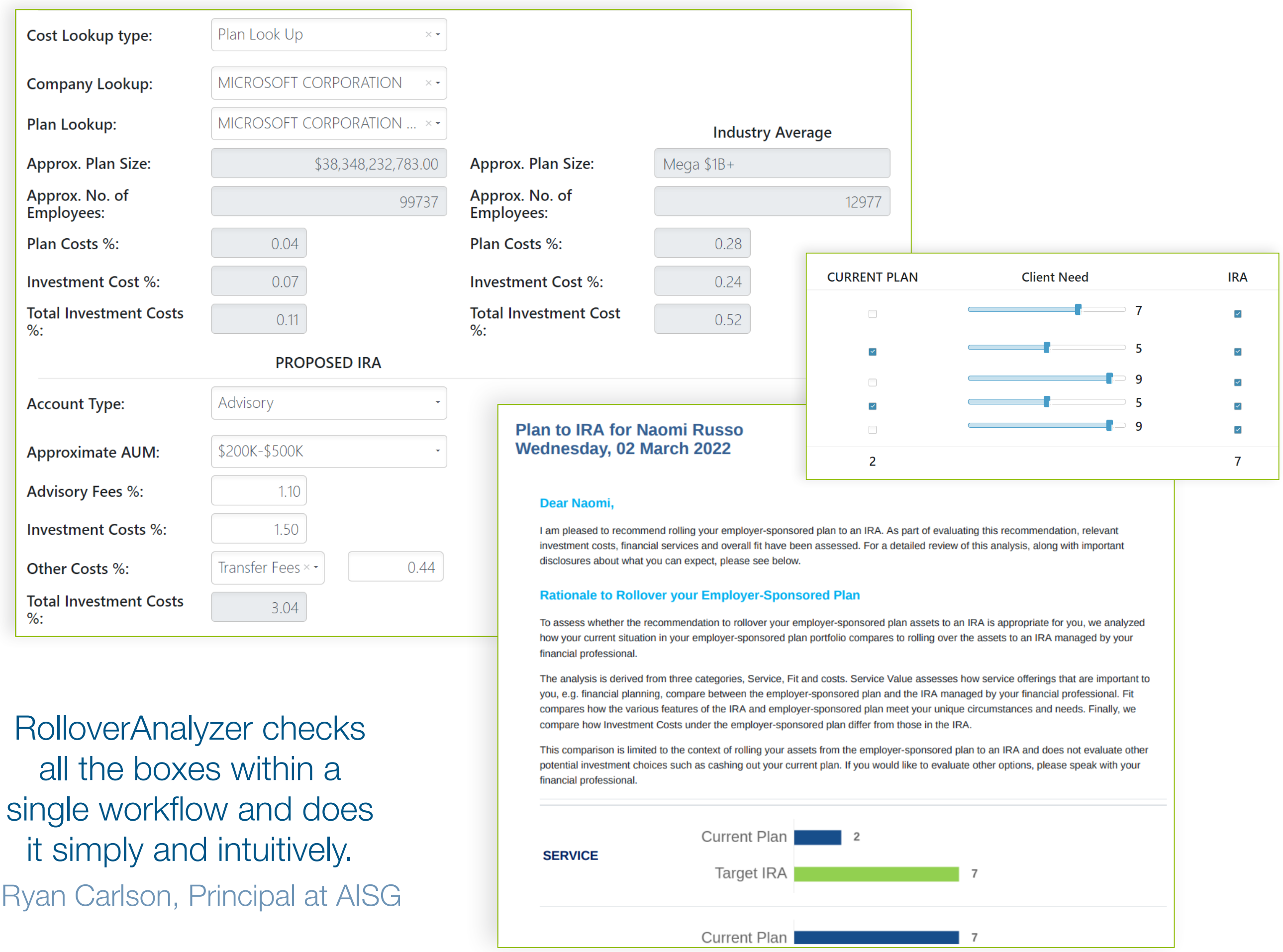
Powerful, modular solutions to solve tough regulatory requirements.

Provide Best Interest Rollover Advice

RolloverAnalyzer™ WATCH VIDEO

Single workflow for recommending, documenting and disclosing rollovers.

- ✓ Compare rollovers based on client fit, service value and investment costs.
- ✓ Assess plan costs via a built-in integration to Form 5500 and benchmark data.
- ✓ Document the recommendation and disclose with the client in one click.
- ✓ Monitor rollover volumes, drill into details, and identify risk-based scenarios.
- ✓ Match RolloverAnalyzer records against new accounts opened.
- ✓ Export data for inclusion in reports for regulators.



> “RolloverAnalyzer checks all the boxes within a single workflow and does it simply and intuitively.
> – Ryan Carlson, Principal at AISG

Meet Reg BI's Care Obligation Requirements

PeerCompare™ WATCH VIDEO

Show that reasonably available alternatives have been considered.

- ✓ Identify a product peer group based on cost, risk and return.
- ✓ Create a recordkeeping transaction for each recommendation.
- ✓ Generate a PDF record for sharing with the client.

AccountCompare™

Make best interest account-type recommendations.

- ✓ Capture the rationale for account recommendations.
- ✓ Improve decision-making with our configurable scoring methodology.
- ✓ Generate a plain language summary of the recommendation for sharing with the client.

ComplianceExpress™ WATCH VIDEO

Manage document delivery and recordkeeping from a single platform.

- ✓ Create, send and track delivery of compliance documents (Form CRS).
- ✓ Manage all recordkeeping aspects of the disclosure event.
- ✓ Integrated reporting at advisor/client/branch/enterprise level.

ShelfMonitor™ WATCH VIDEO

Monitor and manage your ever-changing product shelf.

- ✓ Real-time monitoring of your investment product shelf.
- ✓ Customizable alerts notify you when material change happens.
- ✓ Materiality Index makes it easy to filter data.
- ✓ Asess the competitiveness of the products on your shelf.

About InvestorCOM Inc.

InvestorCOM is a leading provider of regulatory compliance software and communications solutions for wealth managers, asset managers and insurers in the financial services industry. Our high value, intuitive solutions eliminate compliance risk for our clients.

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