Over the past few years, clients have become more demanding, the markets more uncertain and financial products more complex. At the same time, regulation is changing at breakneck speed. So what if you could:

› Manage your businesses from a single technology platform?
› Work more efficiently and be more productive to maximize the time you spend with clients?
› Customize your environment and content to suit the way you work?
› Choose from leading third-party client relationship management (CRM), financial planning, portfolio management and performance reporting solutions?
› Demonstrate value to your clients with advanced reporting and analytics?
› Stay on top of critical information at or away from the office?
› Gain a holistic view of your clients’ entire portfolios, as well as your business?
› Adapt more quickly to regulatory and market changes?

The new NetX360® provides you one technology solution to efficiently manage your entire business—whether it is commission, advisory, retail, self-directed, institutional or asset management. Trading, reporting, client data, research and more are all just a click away, along with a wealth of third-party technology and practice management resources and a diverse selection of financial solutions. With NetX360 you can grow your business, help control operating costs, increase efficiency and productivity, enhance compliance oversight and access industry-leading providers to accelerate your performance.

The New NetX360®
A simple, intuitive and personalized technology platform for advisors.
OPTIMIZE YOUR PERFORMANCE
WITH INNOVATIVE TECHNOLOGY

The new version of NetX360 is built for the way you work. It offers the deep functionality you expect from our professional platform, with a contemporary appearance and functional improvements.

“My Dashboard” is your customizable NetX360 home page. Build and rename your dashboard; personalize tabs; create your preferred layout by adding, deleting or moving content tiles; and readily access your most frequently used actions, content and favorites.

By entering an account number, client name, security symbol or other search term, Global Search combs through all of NetX360 for the account, feature or information you need. As you enter search criteria, a list of narrowed options are presented to speed up the process. The top five results for each category are displayed, allowing you to quickly and easily access information, market data and platform tools.

You can also enhance your productivity by using NetX360’s split screen feature to view categories such as balances, trades, documents and performance and the detail behind them.

When you log on to the system or add a new tab, NetX360 displays up to 16 selections of the most recently viewed pages, bringing you to your most recent activity. This helps you to quickly locate information, review your latest activity and respond to client requests.

For professional use only. Not for distribution to the public.
VIEW SUMMARY OR DETAILED ACCOUNT WORKBOOKS

What if you could simply click on an icon to view account data, customize account summary pages or drill down to view further account detail?

With the new NetX360, you can easily scroll through accounts and access a deeper level of account information using enhanced holdings, activity, performance and other screens in your Account Workbook.

Content on the Account Workbook page can also be tailored by dragging and dropping content tiles and selecting a two- or three-column layout to provide a complete view of your clients’ accounts.
EMPOWERING THE INVESTOR AND ADVISOR RELATIONSHIP

NetX360’s simplified, intuitive interface allows you to become more engaged and responsive to clients, facilitating deeper collaboration and open discussions around investment needs.

MANAGE CLIENT RELATIONSHIPS

› Onboarding new clients can be done quickly and easily with NetX360’s Client Onboarding tool. Go beyond the average “new account opening” process and employ a consultative approach to quickly and efficiently open and fund new accounts. Customize the new account opening process, fund accounts in a timely manner and provide additional products and services. Finally, use NetX360 to pre-populate data from Pershing’s database and integrated CRM providers.

› A paperless account opening process allows your clients to electronically sign forms created during the client onboarding process using signature pads, tablets or digital eSignatures.

› Your clients can enroll in e-delivery of statements and other documents through Pershing’s NetXInvestor™ website. Clients can enroll in any of the following document types: account statements, trade confirmations, tax statements, notifications, quarterly performance reports (QPRs), year-end account reports, prospectuses and proxy and shareholder communications. Online viewing of these documents is visible to all clients with a user ID, regardless of delivery preference. In addition, copies of all notifications are available online, although not all are eligible for e-delivery.¹

¹For notifications that are not eligible for e-delivery, please check with your home office or Account Manager.

For professional use only. Not for distribution to the public.
Most advisors want a CRM solution tailored to their unique needs. Our open architecture enables us to integrate with leading third-party CRM providers like Salesforce.com® and Redtail. NetX360 CRM also offers essential CRM capabilities, accessible in one place, and at no additional cost. NetX360 CRM tracks all pertinent client and prospect information to help improve your productivity and efficiency, manage client interactions more effectively and gain insight into the behavior and value of your clients.

Advisors who want to prepare polished, professional-looking, comprehensive client-facing reports can depend on the Client Meeting Preparation Tool. Run reports at the individual account or household/group level and customize with your firm’s logo and disclosure statements. Generate reports to run immediately or schedule for a later date. Additionally, NetX360 allows you to generate fixed income analytics reports.

Pershing’s Practice Management resources offer direct access to objective guidance to grow your business, and the tools to empower your associates, improve efficiency and manage risk within your practice.

Whether you would like to access products to support your asset-gathering efforts, or review, download and order relevant marketing materials—all can be done via Resources. Increase your knowledge of Pershing’s financial solutions, services and technology via distance learning and online training tools. Learn about upcoming Pershing-hosted events and the latest Pershing and industry initiatives that may affect your clients’ accounts and your business.

Visit the Marketing Center to access over 900 turnkey advisor- and investor-targeted marketing materials, including fact sheets, brochures, Financial Industry National Regulatory Authority (FINRA)-reviewed materials, on-demand presentations, guidebooks and white papers. Easily customize and brand your own marketing materials with contact information, logos, disclosures, images and color themes.
NETX360’S INTEGRATED TOOLS AND FEATURES HELP INCREASE PRODUCTIVITY

Effectively manage client portfolios, improve the level of service you deliver and simplify client account management with NetX360’s optimal tools, features and content.

› NetX360’s Task Management allows you to consistently manage and share your tasks and business processes for maximum efficiency. You can collect, organize, process and report on your tasks, creating a more efficient practice. It streamlines your business processes and helps you to manage time with simple one-step tasks or more complex multi-step tasks and can also improve time management through use of automated tasks.

› NetX360 allows you to access sophisticated Document Management tools to capture, store, route and retrieve financial documents. This feature enables you to manage electronic workflows, shorten retrieval times and facilitate business continuity and disaster recovery planning.

› You can access consolidated client account data from hundreds of diverse sources (proprietary feeds, banking, brokerage, insurance, retirement, managed accounts, alternatives and trusts) through NetX360’s integration with Albridge Wealth Reporting™. Albridge Wealth Reporting allows you to quickly produce and distribute consolidated client performance reports that cover performance, asset allocation, holdings, transactions, benchmarking, cost basis and more.

› Pershing’s Managed Investments solution consists of six different components or toolsets. There is a strategic proposal system, advisor modeling tool, billing system, performance reporting system and an account opening and account maintenance tool. Our open-architecture, flexible product provides established firms—or those looking to enter the managed account space—a full range of services. These services will help create an improved and consistent managed account experience.

› Pershing’s Block Trading and Rebalancing capabilities make it simple to create, maintain and monitor multiple models with varying degrees of flexibility. It allows users to assign, rebalance and process trades across multiple accounts at once, in a transparent environment where activity can be easily monitored and managed.

› NetX360 includes an Items for Attention screen. Items for Attention is a consolidated source for viewing information like margin notifications, incoming and outgoing account transfers, required minimum distributions, individual retirement account (IRA) contributions and much more.

› NetX360 allows you to initiate new accounts, account transfers, trades and asset movements online, plus receive real-time alerts to keep your clients informed.

2 Document Management and Albridge Wealth Reporting provided by Albridge Solutions, Inc., an affiliate of Pershing LLC, a BNY Mellon company.

For professional use only. Not for distribution to the public.
INCREASE YOUR VALUE TO CLIENTS WITH NETX360’S FLEXIBLE INVESTMENT SOLUTIONS

What if you could create investment products under your own brand while outsourcing the costly and time-consuming process of developing customized solutions? Pershing’s end-to-end investment solutions provide you with access to highly competitive products, consulting, training and a full suite of analytic and reporting capabilities.

› Pershing’s 529 plans platform on NetX360 provides you the ability to open, fund and manage 529 college savings plan accounts; conduct automated trade executions, redemptions and exchanges; and view all through a consolidated single account statement. The open-architecture design of the platform will allow the addition of many of the industry’s most prominent 529 college savings plans over time.

› Subscribe® streamlines how you process, service and maintain fixed and variable annuities, helping you to enhance the overall client experience and capture a greater share of this growing market. Subscribe enables you to conveniently consolidate existing annuity contracts with your clients’ brokerage accounts—giving you a comprehensive view of their portfolios. Through NetX360 you can electronically submit annuity transactions and interface with many of the country’s leading insurance companies.

› NetX360’s Fixed Income Center allows you to manage your fixed income business. There you can find tools like BondCentral®, an interactive, online fixed income trading platform that includes market data, news and research. BondCentral gives you access to a real-time inventory of fixed income products provided by more than 400 dealers in the core asset classes including: Government, Agencies, Mortgages, Corporate High Grade, Corporate High Yield and Municipals throughout the United States. There are over 100,000 live and executable offers and bids available daily in this two-sided market, which hosts almost $50 billion of inventory intraday. Place online buy and sell orders and bid requests, use the bond calculator, generate client proposals and search for new bond issues and unit investment trusts—all within one easy-to-use platform.

› Access free marketing collateral and planning tools that help you provide Retirement Solutions through NetX360’s Marketing Center and Retirement Center. The Retirement Center features tools to help you calculate IRA contribution scenarios, distribution methods and schedules to provide retirement strategies and planning for clients.
EFFICIENT BUSINESS ANALYSIS WITH REPORTING TOOLS AND ANALYTICS

NetX360 allows you to easily generate client reports, tailor them based on specific account information and perform quick and efficient analysis, all enhanced with user-friendly graphs and charts.

› Use Report Center to access reports and data mining tools. Report creation tools provide access to account and trade information directly from NetX360 and allow you to generate customized client reports. Filter through a list of criteria, run reports on demand or schedule them to run on a recurring basis. You can also view results immediately and add more fields to the results page before exporting it for further analysis.

› eAnalytics and eAnalytics 2.0 provide you with access to innovative business reporting tools, where you can tailor reports based on specific client account information, such as balances, holdings and trading activity. Both support data mining to help you identify patterns and trends. You can easily export reports into a spreadsheet for further analysis or save as an electronic file.

› The Analytical Dashboard enables you to perform business analysis quickly and efficiently, streamlining the way you access data and providing a visual picture with user-friendly charts and graphs. The Analytical Dashboard consists of multiple focus areas, including charts and graphs that can be customized for your business needs.
TRADING CAPABILITIES OFFER CUSTOMIZED SUPPORT

What if you could perform transactions and execute trades while managing risk and increasing operational efficiency—all within a smooth and seamless trading environment?

› Using the trading features on NetX360, you can buy and sell equities, exchange-traded funds (ETFs), mutual funds, annuities, options, foreign exchange (FX), 529 plans and fixed income securities. There are also various investment screeners available for equities, fixed income, ETFs and mutual funds.

› We are focused on best execution. Each day, we monitor performance quality with quantitative and qualitative assessments of various market centers. We distribute a monthly Execution Quality Scorecard—created by an independent, third-party audit firm—comparing our performance to industry benchmarks.

› Electronic trading platforms give you a choice of liquidity management solutions, such as proprietary tools with sophisticated features, an algorithmic trading engine, leading third-party order management systems, execution management systems and direct market access platforms with dark pool access and aggregation.

› Pershing’s Foreign Equity Desk offers non-U.S. dollar execution capabilities in more than 60 markets, with settlement in local or U.S. currency, 24-hour availability and Financial Information Exchange connectivity for straight-through processing.

› Our Foreign Exchange Desk offers specialized expertise on more than 50 currencies, 24-hour availability and support for spot and forward transactions and cross-currency trading.

› Market making in more than 7,500 stocks uses state-of-the-art quantitative models to provide best execution and additional liquidity.

To view the features of the new NetX360, visit pershing.com/newnetx360.
THE NEW NETX360 MOBILE: STAY CONNECTED ON THE GO³

NetX360’s sophisticated suite of tools and award-winning mobile resources,⁴ allow you to conduct business in or out of the office with your choice of iPhone®, iPad®, Microsoft® Surface™ Pro or Android® devices.

The enhanced interface provides you with improved client engagement and collaboration tools, quick access to critical client data and easier self-service functionality. Access individual accounts, as well as your full book of business, with easy touch-and-swipe functionality. Place trades for equities and mutual funds, access quotes and news and a document vault for confirmations, statements, 1099’s and QPR’s.

The new mobile experience also includes a host of other features designed to enhance your productivity outside of the office, such as presentation mode when meeting with clients, alerts and investment opportunities. Specific enhancements include Items for Attention (IFA) alerts for mobile; cash in, cash out alerts; and the ability to opt-in to push alerts.

Awarded Waters Sell-Side Technology Best Mobile Initiative award two years in a row,⁴ NetX360 Mobile and NetXInvestor Mobile offer you and your clients access to account information, such as balances, holdings, activity and order status to manage investments. Your firm may also enable you and your clients to view real-time quotes and place trades⁵ for equities and mutual funds; review order status; and access accounts, balance information and investment holdings quickly and effortlessly from your mobile device.

You can securely access NetX360 online at NetX360.com. NetX360.com requires no additional installation or upgrades and you maintain the same login and password. It serves as a complement to disaster recovery and business continuity plans.

³ Subject to system availability and an internet connection.
⁴ NetX360 Mobile and NetXInvestor Mobile were awarded “Best Sell-Side Mobile Initiative” by Waters Sell-Side Technology Awards in 2013 and 2014.
⁵ These functions are optional and entitlement driven.

For professional use only. Not for distribution to the public.
### ACCESS LEADING THIRD-PARTY INFORMATION AND TECHNOLOGY SOLUTIONS

Access to industry-leading financial services tools, research and market data helps you respond to new sales and revenue opportunities and address existing client inquiries.

- **NetX Services™** provides you with real-time access to over 300 industry-recognized companies that provide financial tools and information via your firm’s front-end platform or third-party software. It integrates with your platform to create a superior user experience and enhance operational efficiencies through Pershing’s core processing systems, financial tools and information.

- With **Premium Content**, you can benefit from the power of leading third-party content from over 250 providers—directly through NetX360. Access informative descriptions; demos; tutorials; premium market data, news, research; and premier business tools, all at preferred pricing and without long-term commitments.

<table>
<thead>
<tr>
<th><strong>MARKET DATA &amp; NEWS</strong></th>
<th><strong>RESEARCH</strong></th>
<th><strong>TOOLS</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Dow Jones News Service®</td>
<td>Argus® Research</td>
<td>Albridge Wealth Reporting™</td>
</tr>
<tr>
<td>Economic Overview, powered by Interactive Data Corporation</td>
<td>ConvergEx Group</td>
<td>Black Diamond Performance Reporting™</td>
</tr>
<tr>
<td>Market-Q, powered by Interactive Data Corporation</td>
<td>Credit Suisse® Research</td>
<td>e-Document Express™</td>
</tr>
<tr>
<td>Thomson Reuters® News and Commentary</td>
<td>Market Edge®</td>
<td>Ebix SmartOffice</td>
</tr>
<tr>
<td>Security Digest Investment Portal</td>
<td>Morningstar® Fund Analytics</td>
<td>Equifax Decision Power®</td>
</tr>
<tr>
<td></td>
<td>Morningstar Equity Research</td>
<td>MoneyGuide Pro™</td>
</tr>
<tr>
<td></td>
<td>The Rankings Service™</td>
<td>Morningstar Advisor Workstation™</td>
</tr>
<tr>
<td></td>
<td>The Research Alliance</td>
<td>Morningstar Portfolio X-Ray®</td>
</tr>
<tr>
<td></td>
<td>Standard &amp; Poor’s MarketScope® Advisor</td>
<td>Morningstar Annuity Intelligence®</td>
</tr>
<tr>
<td></td>
<td>Thomson Reuters Investor Tools</td>
<td>Morningstar Portfolio Builder™</td>
</tr>
<tr>
<td></td>
<td></td>
<td>NaviPlan®</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Redtail Client Relationship Management</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Salesforce.com</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Wealth2k® Income for Life Model®</td>
</tr>
</tbody>
</table>

For a full description of these third-party providers, visit the Resources page on NetX360.

---

6 Morningstar Annuity Intelligence requires an enterprise agreement directly between your firm and Morningstar before this feature can be enabled in NetX360.

For professional use only. Not for distribution to the public.
BUSINESS PROTECTION THROUGH REGULATORY SECURITY AND RESILIENCY

With NetX360 you have access to tools and timely information to help you navigate the complex and ever-changing compliance and regulatory environment.

› The Rules Engine™, Pershing’s proprietary database of complex order management rules, automatically addresses approximately 300 regulatory, credit and business issues concerning new account openings, trading and more.

› Enterprise Workflow routes exception items to appropriate parties based on a number of factors, including the role of the initiator and specific rules violated (collectively called “transition conditions”). It is integrated with our imaging application that delivers automatic matching of requests and documentation. It also provides for an exception process, whereby a document is received, but no corresponding transaction has been entered in the system. The business processes in production today are:
  – New account opening and maintenance
  – Order approval
  – Trade cancellations or corrections
  – Asset movements (federal fund wires, checks, Automated Clearing House (ACH) transactions, journals, account transfers)
  – Asset movement standing instructions and periodic instructions
  – Margin items (margin calls, cash due, stock due, restricted transactions)
  – Insufficient funds processing for checking accounts
  – Voluntary offer responses
  – Document processing
  – Service requests and service inquiries (approximately 300 types)

› You can monitor model creation, block trading and rebalancing activity, all in a transparent environment. It can also help ensure pre- and post-trade compliance and inform you about events and regulations that may affect your clients’ accounts.

› Remain compliant with complex industry rules and regulations with NetX360’s suite of Anti-Money Laundering Surveillance, Trade Surveillance and Sales Practice Monitoring tools by Actimize®, a leading provider of risk and compliance solutions.

› Access quote detail, company profiles, latest company news, options, fund prospectuses, related company information, Securities and Exchange Commission filings and more.

› Leverage tools to track your training and continuing education requirements and develop tailored attestations, regulatory updates and written supervisory policies and procedures. It can also help you efficiently manage your insurance carrier appointments, state securities registrations and FINRA licenses.

› Tax Center includes tools to estimate taxes, access to Pershing’s Tax Handbook and Tax Guide and information on TurboTax® and H&R Block®. A Mutual Fund Tool provides information regarding the percentages of tax-exempt income on municipal funds by state.

For professional use only. Not for distribution to the public.
WE ARE PERSHING. WE ARE BNY MELLON.

Pershing, a BNY Mellon company, and its affiliates provide global financial business solutions to advisors, asset managers, broker-dealers, family offices, fund managers and registered investment advisory firms. A financial services market leader located in 23 offices worldwide, we are uniquely positioned to provide advisors and firms global insights into industry trends, regulatory changes and best practices, as well as shifts in investor sentiment and expectations. Pershing provides solutions—including innovative programs and business consulting—that help create a competitive advantage for our clients.

PERSHING LLC.

As the New Model Clearing Firm™, Pershing LLC provides a broad suite of financial business solutions so advisors and broker-dealers can drive their business forward in a dynamic industry and regulatory environment. Our clients range from full service, institutional and independent firms to self-directed and bank-affiliated broker-dealers and span the globe. With a keen eye on delivering dependable operational support, robust trading services, flexible technology, an expansive array of investment solutions, practice management support and service excellence, our solutions help advisors and firms manage their businesses efficiently and serve their clients effectively. Pershing LLC (member FINRA/NYSE/SIPC) is a BNY Mellon company.

Visit pershing.com to learn more about Pershing’s flexible technology and watch your business grow.

© 2014 Pershing LLC. Pershing LLC, member FINRA, NYSE, SIPC, is a wholly owned subsidiary of The Bank of New York Mellon Corporation (BNY Mellon). Trademark(s) belong to their respective owners. For professional use only. Not for distribution to the public.