NETX360®

Premium Content

Premium services to help boost your productivity in NetX360®

Pershing®

BNY MELLON

NetX360® is your gateway to many of the industry's most in-demand research providers, tools, market data and news to keep you ahead of the pack.[1] On the right are some of the providers you can access through NetX360.

Market Data and News

- Interactive Data Corporation
- Thomson Reuters
- MT Newswires
- Dow Jones

Research

- Argus
- Convergex Group
- Credit Suisse
- Market Edge
- Morningstar
- Research Alliance
- Standard & Poor's
- Thomson Reuters

Tools

- Albridge
- Black Diamond
- Broker's Ally
- Ebix
- Equifax
- MoneyGuidePro
- Morningstar
- NRS
- NaviPlan
- Redtail
- Salesforce.com
- Standard & Poor's
- Wealth2k

Premium Content

Access over 50 widely known third-party providers directly through NetX360. Pershing offers these premium services to help boost performance and efficiency.[1] The following descriptions are provided by third parties. To learn more about these offerings, visit the "About Content" page in NetX360, found under "Markets & Research."

Market Data and News

Economic Overview

Powered by Interactive Data Corporation, the Economic Overview offers macroeconomic indicators, such as the Gross Domestic Product Price Index, consumer spending, unemployment and Treasury rates, in addition to a full economic calendar and economic highlights—available with any premium market data subscription.

Market-Q

Market-Q is a comprehensive service designed for financial services professionals that brings together global real-time pricing information, news, research and other financial and market data into one flexible workstation.

With no software to download, Market-Q is designed to offer anywhere, anytime access[2] for professionals who need a cost-effective and flexible, yet sophisticated market data solution.

Market-Q includes powerful features, such as advanced charting with studies and drawing tools, market alerts, data export, Dynamic Data Exchange (DDE), market scanners, options chains, searchable news and weather maps and can integrate into your firm's proprietary content. You can include the premium add-ons listed below to further boost your streaming experience:

- NASDAQ® Level II Quotes. A display of all bids and offers from market makers and electronic communication networks for NASDAQ securities.
- Time and Sales. Request time and sales quote information for equities, including tick-by-tick last sale, bid and ask data across exchanges for up to 20 days.

Moving from an average level of technology integration to a fully-integrated environment could allow [firms] to reallocate the equivalent of five weeks per staff member annually from operational tasks to client acquisition and prospecting.

— Aite study:
RIA Technology Integration: The True Opportunity Cost of Inefficiency

[1] Additional fees may apply for premium services. The products and services, and their descriptions, are provided by third parties. Pershing does not control or monitor the third-party products and services, and their inclusion in NetX360 and this brochure is not an endorsement by Pershing. Pershing is not responsible for content or recommendations contained in premium services.

[2] Subject to system availability and an Internet connection.

- **Streaming Options.** Access a dynamic display of underlying options and options by expiration.
- **MT Newswires North American Live Briefs PRO.** Breaking multi-asset class news and analysis of U.S. and Canadian equities, exchange-traded funds (ETFs), commodities, fixed income, forex and economic news.

Security Digest Investment Portal

Access to the base offering includes delayed quotes, mini charts, news, company and mutual fund profiles, Securities and Exchange Commission (SEC) filings and much more. You can upgrade your market data package to include any of the following:

- **Real-Time Quotes.** Obtain real-time quotes on stocks, options, exchange-traded funds ETFs and more from the New York Stock Exchange® (NYSE®), the NYSE MKT, the NASDAQ and the Options Price Reporting Authority (OPRA). Upgrade to the Unlimited Real Time quote package and set up real time custom QuoteTracks® to monitor hundreds of stocks simultaneously.
- **Historical Prices.** View historical prices for individual equities and funds for up to 10 years from a single source.
- **Intraday and Historical Charts.** Create informative charts for more than 10,000 stocks and mutual funds in a variety of styles and compare them to other securities or indices.
- **MT Newswires North America.** Real time U.S. news service covering thousands of NYSE and NASDAQ listed companies to keeps clients on top of publicly traded companies in the U.S., 12 hours a day. Comprehensive coverage of U.S. economic news, commodities, fixed income, equities, ETFs and shifts in global financial markets.

Thomson Reuters® News and Commentary

Access to real-time breaking news and events from Thomson Reuters. The dedicated Reuters News teams focus on delivering market-moving news and commentary relevant to financial professionals. Reuters News gives you deeper, expert insight into what's driving the markets and affecting your client portfolios.

Research

Argus® Research

Argus provides independent equity analysis on more than 700 securities derived from the Argus six-step process for analyzing stocks—examining each firm's growth prospects, financial strength, management quality, industry environment and valuation, while also reviewing the risks facing investors. Argus Research offers access to daily economic commentary, Vickers Weekly Insider Report, Weekly Staff Report and Model Portfolios.

Convergex Group

Convergex Group employs a global network of more than 90 independent research providers. It offers recommendations from multiple research firms, arrived at without collaboration, resulting in a consensus view on a given security. Additionally, Convergex Group provides a single-page report illustrating a comparable study of where a security lies within its respective industry and sector.

Credit Suisse® Research

Get equity research from Credit Suisse on more than 1,100 U.S. and Canadian companies with daily reports, such as First Edition, Tech Daily and Healthcare Daily. Weekly reports include U.S. Focus List and Investment Strategy.

Market Edge®

Market Edge provides quantitative equity research on nearly 5,000 companies. The Stock and ETF Center report provides price, volume and technical analysis metrics, as well as a proprietary "Power Rating," which indicates a company's technical condition. The Full Service offering provides daily market commentary, screening tools, short-term trading ideas and Smart Chart—an interactive charting package containing bar, point and figure, line and candlestick charting capabilities.

Morningstar® Fund Analytics

Morningstar Fund Analytics provides detailed PDF reports on more than 27,500 open-end funds, 600 closed-end funds and 1,400 ETFs and exchange-traded notes. Learn about developments in the changing mutual fund industry with Morningstar Editorial and illustrate investment scenario with Morningstar Fund Hypotheticals—including systematic investments or withdrawals, custom fees and rebalancing.

Morningstar® Equity Research

This offering provides analysis and ratings on 1,800 stocks. Also, users can access Morningstar's flagship Tortoise and Hare stock portfolios, as well as its Strategist columns and daily videos. Detailed data pages provide up to 10 years of financial history for more than 9,800 stocks in Morningstar's database.

Research Alliance

The Research Alliance is a consortium of long-standing, institutional-grade investment research available via NetX360. Through the five firms in the group—Zacks, AltaVista, Jaywalk and CreditSights—the Research Alliance provides comprehensive coverage of U.S. stocks and ETFs, macro trends in fixed income investing, and daily updates on market events and economic developments. The Research Alliance is the most cost effective, one-stop-shop for customers who need investment research.

Through NetX360, the Research Alliance offers stock, fixed income, exchange-traded fund and investment strategy research from a group of best-in-class providers. Customers can view investment recommendations on over 4,000 stocks and over 700 ETFs, as well as read investment strategy reports updated daily.

The providers in the Research Alliance are all well established, institutional-grade providers with a total of over 100 years of market experience. The Research Alliance is simply the most cost-effective and comprehensive way for a Pershing client to keep abreast of market trends and stay on top of their clients' investments.

Standard & Poor's (S&P) MarketScope® Advisor

MarketScope® Advisor provides you with access to market commentary, independent investment analysis and news and data on a broad range of asset classes, including stocks, bonds, mutual funds, ETFs, variable annuities and options.

- Stock Reports: S&P provides coverage on over 9,800 U.S. and non-U.S. companies and qualitative buy, sell or hold opinions and STARS (Stock Appreciation Ranking System) rankings on over 1,500 U.S. companies and over 430 non-U.S. companies.
- European MarketScope: European MarketScope is an independent, real-time newswire that provides news and commentary on European equities. European MarketScope journalists focus on factors that make a difference to share price and publish a unique combination of news, commentary and strategy, saving clients from the daily deluge of information and providing the keys to making better investment decisions.
- News and Commentary: MarketScope provides editorial commentary and analysis in MarketMovers, Research Notes, Street Talk, Broker Views and News, Trader Tactics and Trends and Ideas.
- ETF Reports: Gain access to S&P's proprietary ETF research, which provides detailed analysis on more than 700 domestic and international equity ETFs.
- Mutual Funds Research: S&P mutual fund research provides rankings, commentary and holdings-based analysis on over 22,000 mutual funds.
- Hypothetical Portfolios: MarketScope's new analysis tool provides a means to create hypothetical portfolios that are tailored to client needs and that illustrate not only the effects of contributions, withdrawals and rebalancing, but also tax rates, expenses, inflation and more.
- Bonds Research: S&P's bond research provides intraday data, commentary and ratings actions on over 45,000 issuers and 200,000 issues.
- HoldingScan: Analyze the underlying holdings of a portfolio—including stocks, mutual funds and ETFs—to evaluate your clients' asset allocation, sector weightings and benchmark performance against major indices.

Every advisor desktop is different, but common applications such as CRM, portfolio management, financial planning, research, document management, etc., become far more effective when data flows between the individual applications. Wealth management firms must concentrate on integrating the advisor desktop as well as integrating information from across other silos in the firm and held away assets to both improve advisor productivity and foster the collaborative and holistic relationships clients are expecting and demanding.

— ***Tower Group:***
Wealth Management: Top 10 Technology Initiatives

- Watchlists: Create and easily monitor customized lists of stocks, funds and ETFs.
- Options: Standard & Poor's Options Strategies is a new, disciplined approach to options investing that offers you structured options strategies based on S&P's equity research. The S&P options service provides resources to help educate you on hedged strategies and address specific questions in order to enhance your due diligence with your clients.

Thomson Reuters® Investor Tools

Provides data such as analysts' ratings, insider trading activity, key statistics and financial reports. This service also provides access to First Call® consensus estimates, which include earnings estimates for the current quarter, the current fiscal year and the previous year's actual earnings.

Tools

Albridge Wealth Reporting™

This award-winning[3] Web-based portfolio management platform delivers a single view of all of your clients' assets, helping you achieve your most sought-after outcomes: a more efficient workflow process, exponentially higher client satisfaction and increased business productivity. Albridge Wealth Reporting enables you to:

- Automate data entry to reduce time spent preparing for client review meetings.
- Consolidate client account data from hundreds of diverse sources: proprietary feeds, banking, brokerage, insurance, retirement, managed accounts, alternatives and trusts.
- Quickly produce and distribute consolidated client performance reports that cover performance, asset allocation, holdings, transactions, benchmarking, cost basis and more.
- Integrate client account data into the applications you use every day.

[3] Top Performance Reporting Solution, *Financial Planning* (2010, 2011); Top Advisor Tech Tool, *InvestmentNews* (2012, 2013, 2014) and Outstanding Contribution in Wealth Reporting (2015), WealthManagement.com.

Business Process Solutions

Albridge's fully integrated document management and workflow system helps you be more operationally efficient and is a scalable solution for any size office. This customizable, SEC 17a-4-storage compliant business process management tool allows home office staff and advisors to store documents electronically.

Albridge helps create value for broker-dealers in the following ways:

› Improved Regulatory Response. Access archived reviewer notes. Enable rapid audit response with document search and retrieval.

› Increased Operational Efficiency. Drive operational efficiency, from document capture and indexing, to operational and principal review.

› Faster Transparent Account Opening. Speed new account document submission and approval. Enable field to see processing status and retrieve documents anytime.

› Efficient Routing of Annuities. Route annuity paperwork along with Subscribe® annuity orders through the approval process, then submit both to carriers electronically.

› Greater Peace of Mind. Work with implementation consultants to ensure your solution leverages industry best practices.

Sales Practice Monitoring

Albridge Sales Practice Monitoring, powered by Actimize, is a sophisticated, rules-based surveillance technology that helps you to efficiently supervise your entire business using Pershing and Albridge data. Albridge Sales Practice Monitoring will help to create value in the following ways:

› Better Compliance. Achieve a consistent, deeper review process to help reduce the risk of regulatory fines, legal fees and arbitration claims paid, and non-arbitration settlements.

› Increased Efficiency. Establish rules-based alerts to help focus your supervisory staff on the highest-risk business, while enabling efficient and consistent daily processes.

› Enhanced Effectiveness. Allow your producers to spend more time on asset gathering with electronic blotter reviews in the field.

Business Intelligence and Data Warehouse

Albridge Business Intelligence and Data Warehouse enables broker-dealers to organize, access and analyze data, helping them to increase effectiveness and productivity. The solution centralizes data into one enterprise repository, eliminating information silos across the company, while protecting the security and integrity of data.

Albridge Business Intelligence and Data Warehouse will create value for your firm in the following ways:

› Turnkey Data Warehouse. Use Albridge and Pershing data, hosted and managed by Albridge, to supply the data warehouse.

› Ad Hoc Reporting Tools, Dashboards and Pre-Defined Reports. Support each function within your firm with core reports based on industry best practices.

› Integrated Custom Data Feeds. Incorporate your firm's own custom data into the data warehouse.

› Built-In Security and Sophisticated User Entitlements. Grant secure access to information based on user-defined permissions.

Applink™

Albridge's Applink provider program will help you facilitate interoperability, increasing productivity for your firm and your advisors. Albridge's relationships with more than 90 of the industry's most valued technology providers offers them reliable connections to Albridge Wealth Reporting.

This enables advisors to maximize their use of client account data and integrate crucial technologies and outsourcing components.

Workstation

- Pershing: NetX360®

Financial and Estate Planning

- AdviceAmerica: AdvisorVision
- Advicent: NaviPlan and Profiles and Figlo
- AdvisoryWorld: ICE
- Aralia: Estate Planning Network
- Cheshire Software: Wealth Manager
- eMoney: Advisor Platform
- Finance Logix: Advisor and Client Portal
- inStream: Financial Planning
- LifeYield: Unified Managed Household & Retirement Income Technology
- Lumen Systems: Financial Planning Professional
- MasterPlan Financial Software: MasterPlan
- Money Tree Software: TOTAL Planning System
- SunGard: PlanningStation/AllocationMaster
- Wealth2K: Income for Life Model
- Wealthtrace: Financial Planning

Research and Analytics

- BlackRock: BlackRock Advisor Site, Fund Information
- Blaze Portfolio: Atom Align
- Eaton Vance: Eaton Vance Products, Fund Information
- Gravity Investments: G-Sphere, Portfolio Diversification and Optimization
- Interactive Data: Albridge Market Information
- Morningstar®: ByAllAccounts
- Ordex Systems: WealthMax
- PIE Technologies: MoneyGuidePro
- Prudential: Prudential Funds Professional Site, Fund Information

Risk Management

- Riskalyze: Risk Management
- RiXtrema: Risk Analysis

Client/Business Relationship Management

- Advisor Products Inc.: AdvisorSites
- Allied Financial: Act4Advisors
- AppCrown: CRM
- Big Contacts: Big Contacts for Financial Professionals
- Client Marketing Systems, Inc.: Advisors Assistant
- CRM Software: Junxure I
- Ebix CRM: SmartOffice
- Pareto Platform: Business Development Relationship Management
- ProTracker: ProTracker Advantage
- Redtail Technology: Our Business Online
- Smarsh: smarshCRM
- Sycamore: Client Manager, Compliance Manager
- Tango Consulting: Analytics
- Upswing: Upswing CRM for Advisors
- Wealthbox: CRM

Automated Forms

- Efficient Technology, Inc.: Quik! Forms Library
- LaserApp: Form Filling Technology

Data Aggregation and Compliance

- Fiserv: AllData Advisor®
- Gentech: Nexus
- NICE Actimize: Actimize Brokerage Compliance

Advent OnDemand

Advent's OnDemand with Data Management makes the world-class portfolio reporting of Advent Portfolio Exchange® (APX) available to firms via a Software-as-a-Service (SaaS) model, without the back office or technology requirement. So you can focus on what your firm does best—with ready access to the information you need to do it.

Advent Portfolio Exchange

Advent Portfolio Exchange (APX) is an end-to-end portfolio management solution that integrates the front-office functions of prospecting, marketing, and customer relationship management with the back-office operations of portfolio accounting and reporting. This enterprise solution leverages a single SQL database to deliver critical client information via an easy-to-use browser-based user interface. APX delivers improved client service with enhanced security for today's amplified compliance environment and is available for deployment locally or in the Cloud, via Advent OnDemand, with or without full business process outsourcing services.

Black Diamond Performance Reporting™

Black Diamond's platform is purpose-built for independent advisors and wealth managers. It provides innovative and dynamic portfolio management and reporting delivered through an easy-to-use, feature-rich Web-based application customized to each individual user. Advisors can access Black Diamond's customizable platform and reports online anytime, from anywhere. An innovative iPad® app adds even more value, incorporating an intuitive user interface optimized for iPad viewing and navigation and synchronized with each user's personalized settings. Black Diamond receives daily, automated data extracts from multiple account systems and platforms, and reconciles the data to ensure accurate performance results. And like all the data stored on the platform, performance data is easily accessible via a Web-based application, customized for each unique user.

Broker's Ally Pro™

This integrated database and word processing system enables you to initiate and track clients' daily, weekly, monthly and annual activities.

e-Document Express™

Access client account information via CD-ROM. Each CD-ROM includes brokerage account statements, trade confirmations and tax documents that can be sorted, searched and printed.

Ebix SmartOffice

SmartOffice Premier Edition is a financial advisor software solution designed to address the very specific needs of growing advisory firms. SmartOffice is a Web-based Customer Relationship Management (CRM) software for financial advisors available in a flexible, fully-hosted Web environment, or on its own.

- Investment Tracking: Easily track and manage client assets to help grow a profitable managed account business.
- Marketing & Sales: Identify and act upon opportunities with new and existing clients.
- Customer Service: Deliver consistent value to retain happy clients and generate referrals.
- Policy Tracking: Manage all types of policies, including share balances for variable life policies.
- Reporting: Provide your clients with consolidated financial reports.
- Compliance: Reduce the liability and exposure of your firm and control your sales processes and practices.
- Business Value: Optimize the value of your firm by creating an organized, manageable, and collaborative framework for your business.

Equifax Decision Power®

The Equifax Decision Power tool can help your firm comply with the "Know Your Customer" requirements of the USA PATRIOT Act and is specifically designed for the brokerage industry, combining credit information, advanced risk modeling and fraud assessment tools.

MoneyGuide Pro™

MoneyGuide Pro is a financial planning application that takes a new approach by replacing traditional, detailed cash-flow planning software with an easier, faster, goal-oriented process that is more engaging for the client. With MoneyGuidePro, you can create a Retirement Lifestyle Plan to help clients maximize the enjoyment they will receive from their investments during their lifetime.

Morningstar Advisor Workstation℠ Enterprise Edition

Morningstar's innovative, Web-based solution has been built exclusively to support advisor business. Advisor Workstation assists in the delivery of investment advice by providing tools for in-depth research, portfolio creation and monitoring for multiple clients and accounts, as well as reports. Advisor Workstation includes data on more than 25,000 open-end funds, 650 closed-end funds, 800 ETFs, 11,000 stocks, 85,000 variable annuity and life subaccounts, and 90 college savings plans.

Morningstar Portfolio X-Ray®

Access the underlying holdings of every managed investment product it contains, as well as any individual securities held in the portfolio. With graphical elements, such as the Morningstar Style Box™ and the Sector Graph, the Portfolio X-Ray tool provides a read on the overall diversification of an overall portfolio.

Morningstar Portfolio Builder™

Portfolio Builder™ helps you quickly capture relevant client data, determine risk tolerance, identify an appropriate asset allocation and construct a suitable portfolio.

NRS ComplianceEssentials™

NRS ComplianceEssentials helps broker-dealers create and maintain policies and procedures, comply with anti-money laundering (AML) training requirements and better manage your advisors' securities licenses and registrations. NRS ComplianceEssentials includes a sophisticated registered representative license tracking and CE tracking tool which is accessible to advisors.

NaviPlan®

NaviPlan is a powerful and flexible financial planning application that allows you to accommodate a full range of client needs—from simple to sophisticated. NaviPlan is a leading solution for detailed tax planning, advanced financial planning solutions and ultra-high-net-worth clients, and it is also flexible enough to produce quick, goal-based assessments on the fly. NaviPlan is built to produce precise plans, no matter what your planning needs are. Its detailed cash flow analysis, regular tax updates and Monte Carlo scenario simulation calculations will keep your clients' plans up to date and accurate, while its modular and goals-based assessments help you adapt to any needs uncovered in client meetings.

Redtail Client Relationship Management (CRM)

This Web-based client management solution is designed specifically for advisors and registered investment advisors. Once enrolled, you and everyone in your office can access the same client notes, documents, schedules and account data. Redtail includes features such as multi-user calendaring, document management, family householding, "Know Your Customer" information, reporting, workflow management and more. Redtail has integrated client management, sales automation, client support and marketing automation tools.

Salesforce.com®

This is a CRM solution to manage client data and enable you to collect and compile data from multiple independent systems into an integrated client-centric desktop. Salesforce CRM is accessible through NetX360 via a single sign-on and allows you to share your Salesforce contacts and opportunities with NetX360. Salesforce CRM can provide you with access to multi-user calendaring, document management, family householding, "Know Your Customer" information, reporting, workflow management and more.

Wealth2k® Income for Life Model®

The Income for Life Model is an online solution from Wealth2k that provides you with software to develop outcome-focused retirement income strategies. Users can also tap into Retirement Time™, an optional, client-facing website that they can personalize and leverage to promote their own use of The Income for Life Model to clients and prospects.

The Income for Life Model provides the ability to tailor income distribution strategies that meet clients' specific objectives, preferences and risk tolerances. Combined with Retirement Time, it becomes an integrated system that you use to market, illustrate and monitor outcome-focused retirement income strategies. The solution:

- Enables you to engage with and educate clients on the subject of retirement income distribution
- Provides an actionable implementation plan, through integration with NetX360
- Offers flexibility to combine different types of investments and asset classes into an income plan
- Helps you use optional online vehicles to improve communications and lead-generation efforts

ValueAlliance®

Pershing also provides our valued clients with an extensive network of business resources at preferred rates, on a wide range of third-party products and services that your firm uses every day, from office services to financial planning software, through our ValueAlliance program. Let Pershing introduce you to some of the industry's leading people, products, and solutions, focused on helping you achieve your business goals. To learn more about ValueAlliance, visit pershing.com.

[4] High-net-worth.

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.

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