BNY MELLON | PERSHING

Managed Accounts Technology

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BNY Mellon's Pershing provides integrated end-to-end managed account solutions that includes custodial, technology, investments, operational, trading and practice management support for advisors seeking to work with an industry recognized provider of managed account solutions.

Integrated within Pershing's NetX360®, our managed accounts technology provides an intuitive, cohesive and flexible advisory experience that can help increase efficiencies and create scale. It's designed to deliver seamless accessibility to: advisor-directed, mutual fund/exchange-traded fund (ETF) wrap, third-party strategists, separately managed (SMA) and unified managed accounts (UMA). The technology's flexibility makes it easy for you to provide end-to-end support from proposal to performance reporting for different types of investors, ranging from emerging to high-net-worth. New functionality aggregates managed accounts assets, regardless of custodian and allows you to view and manage your full book of advisory business in one seamless environment. A single, integrated solution creates the opportunity for greater productivity and increased operational efficiencies designed to allow you to focus on your client relationships.

Integrated tools to help you manage your advisory business

Our broad range of innovative technology, practice management and wealth reporting capabilities give you everything you need to help your clients strive to meet their investment goals.

MANAGED ACCOUNT ADVISOR TOOLS

- Strategic Proposal System
- Client Onboarding and Account Maintenance
- Model Management
- Drift and Surveillance Tools
- Block Trading and Rebalancing
- Research Center
- Enterprise Billing System
- Business Intelligence
- Business Process Management
- Wealth Reporting[1]

MANAGED ACCOUNT EXPERIENCE

[1] Services provided by BNY Mellon's Albridge. Albridge Solutions, Inc. (Albridge) is an affiliate of Pershing LLC, member FINRA, NYSE, SIPC, a subsidiary of The Bank of New York Mellon Corporation (BNY Mellon).

[2] Block Trading and Rebalancing tool is available for Pershing Custody clients only.

An End-to-End Managed Account Experience

The technology provides an easy-to-use intuitive experience to support you throughout the client experience. You can access sales tools to help with prospecting and leverage portfolio management tools to manage client portfolios and show your value. Client management tools and a suite of business intelligence tools are designed to simplify time-consuming daily tasks and help you grow assets and compete in the industry.

Sales Tools

Our robust sales tools give you the ability to review client needs, analyze recommendations and generate investment proposals.

STRATEGIC PROPOSAL SYSTEM

This sales tool helps you assess a client's risk tolerance and review current portfolio holdings using the integrated client profiling and portfolio comparison tools. Design and compare investment portfolios using the integrated portfolio construction and analytics tools. Seamlessly transition from goal setting to proposal generation to deliver a clear and customizable investment proposal presentation that is tailored to your client's specific investment objectives, risk tolerance and goals. Integrated access to data and available reports provided by Morningstar, Inc. (Morningstar®), such as the Portfolio X-Ray, Portfolio Snapshot, and Investment Detail reports, gives you the ability to analyze current assets and build recommendations showing hypothetical results.

Sample data and asset allocation shown are for illustrative purposes only, and are not intended to be a recommendation to buy, hold or sell any security.

PORTFOLIO ANALYTICS

Access a suite of integrated analytics reports and data to develop a comparison of an investor's current holdings and the proposed investment portfolio that includes statistics on performance, risk, security overlap, regional concentration and other investment diagnostics.

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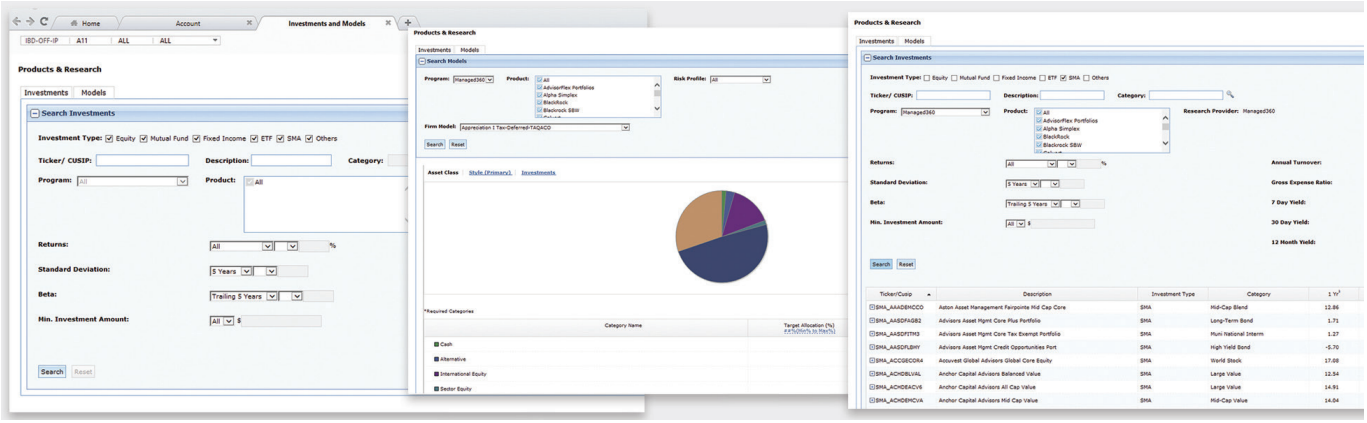
RESEARCH CENTER

Research Center is a centralized repository for firm-specific product and program information as well as access to investment research reports. The tool supports a consultative process. Review the most recent mutual fund, ETF, SMA and individual equity information with direct access to analytical data and reports provided by Morningstar.



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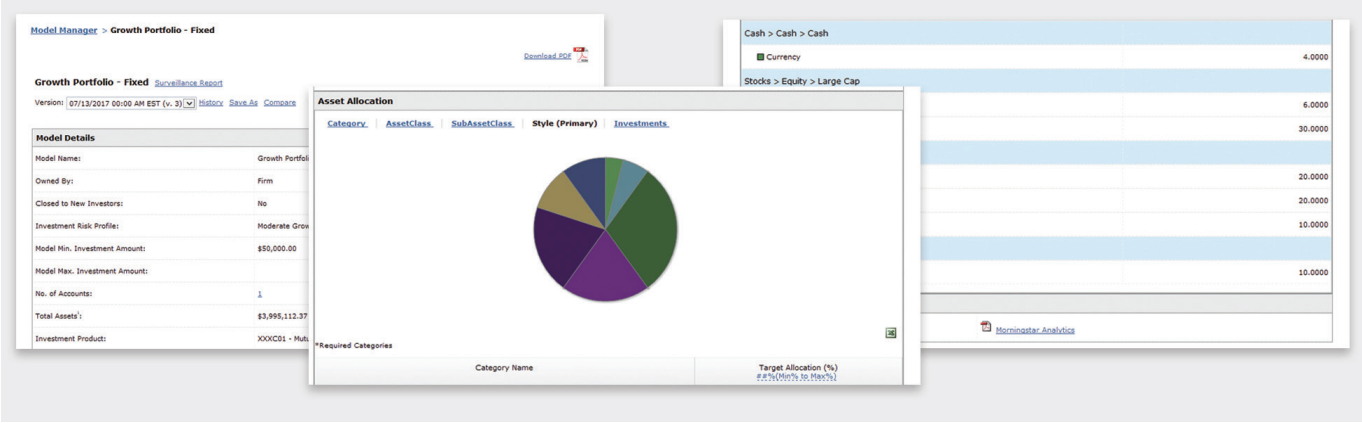
Portfolio Management

Spend more time on revenue-generating activities by leveraging the available portfolio management tools to efficiently create, manage and edit models across an entire book of business.

MODEL MANAGEMENT

The model management tool is designed to simplify the management of your clients' portfolios. The tool has been engineered to help you efficiently construct portfolios for your clients. You can create and store custom models prior to the proposal generation process, link single or multiple accounts to a specific model and monitor and track both firm and customized models using the online dashboard. You can monitor portfolio surveillance, generate drift reports and access integrated Morningstar analytics to help you keep clients informed of the allocation status of their accounts. The tool also allows your firm to provide model guidance and oversee your activity.



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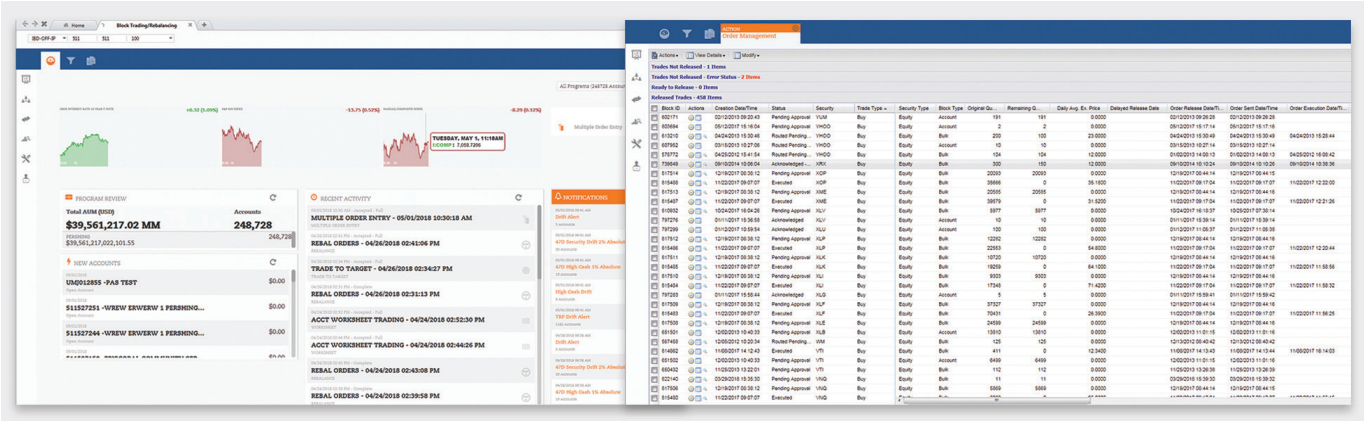
BLOCK TRADING AND REBALANCING

This integrated tool simplifies the task of rebalancing and trading accounts in advisor-directed programs and is designed to bring a new level of scalability, operational efficiency, transparency and control to the portfolio management process. You can create, maintain and monitor multiple models with varying degrees of flexibility as well as assign, rebalance and process trades across multiple accounts at once, in a transparent environment where you can easily monitor and manage activity. Proposed order screen alert/warning functionality, the ability to view "what if" investment scenarios and pre-trade checks are integrated with the Pershing Rules Engine™ to make it easier to manage your portfolios and to help you maintain compliance.



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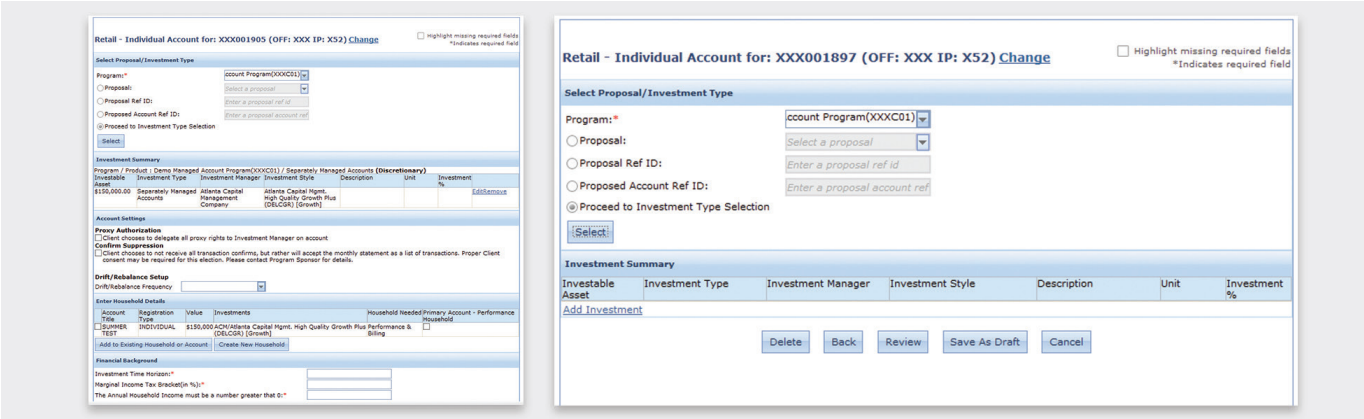
Client Experience

Deepen client relationships and create efficiencies with integrated tools that are designed to help you onboard, manage, maintain and grow your client accounts.

CLIENT ONBOARDING

Client onboarding allows you to open and fund brokerage and advisory accounts in a single, streamlined experience. We've simplified the account opening experience by guiding you and your clients through every step of account opening. Integration with financial planning tools allows advisors to easily transition from goals-based planning to new account opening. The tool allows for Salesforce® CRM integration and eSignature capabilities, which can help streamline the process and make it easy to transition prospects to clients.



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WEALTH REPORTING

Integrated wealth reporting tools, powered by BNY Mellon's Albridge[2], provide you with the capabilities to manage your client relationships while helping you compete in today's marketplace. Access on demand, quarterly and household level performance reporting. Quarterly performance reports are shared with clients via NetXInvestor®.

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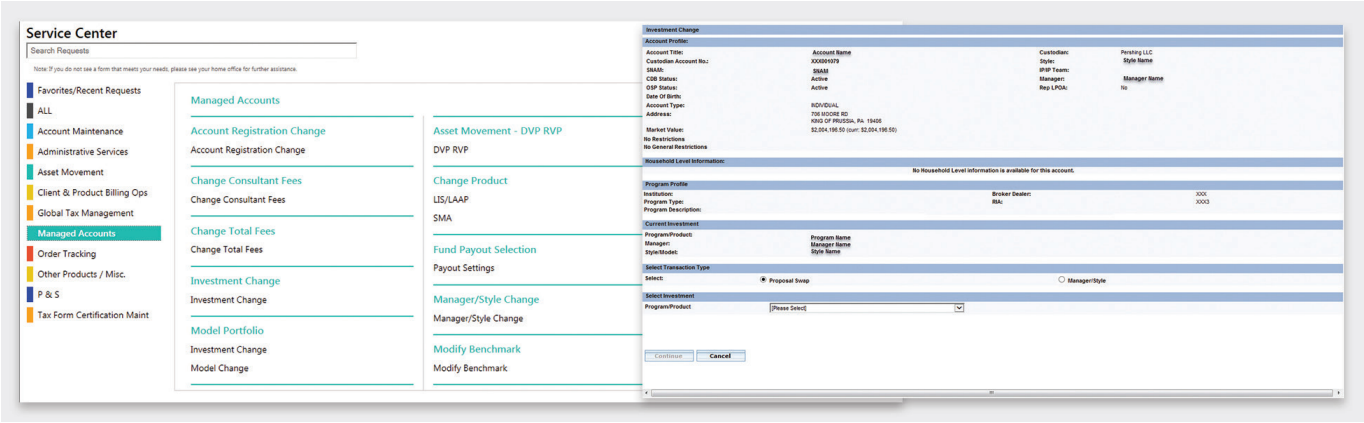
BUSINESS PROCESS MANAGEMENT

Business process management tools, including managed account opening and maintenance workflow tools, are designed to provide efficiencies and transparency for operational tasks, simplifying your work and giving you more time to focus on activities that may help you grow your business. These tools are integrated into common menu options such as Service Center and Asset Movements. We've also integrated access to the Enterprise Billing System at the home office level to streamline back office processes.



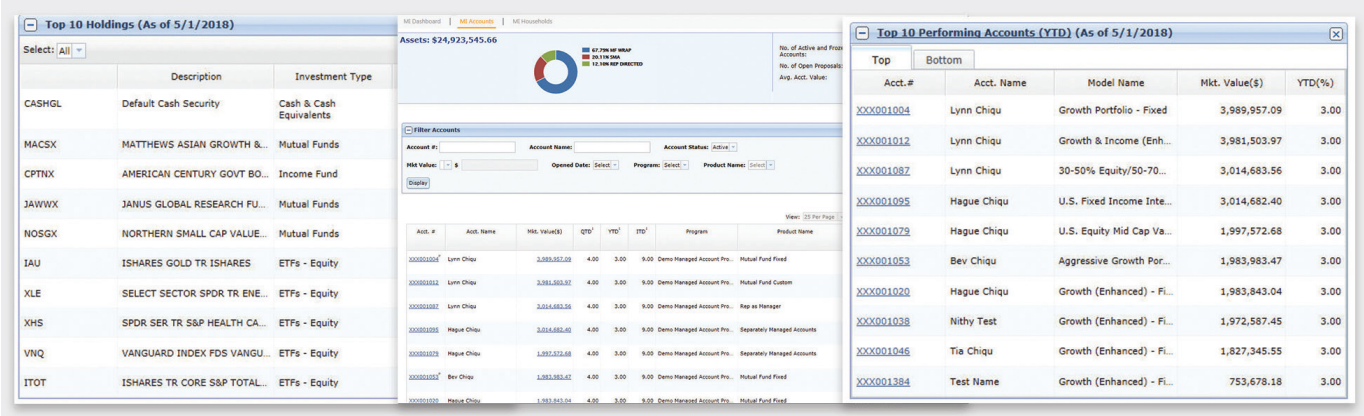
[2] Albridge Solutions, Inc. is an affiliate of Pershing LLC, member FINRA, NYSE, SIPC, a wholly owned subsidiary of The Bank of New York Mellon Corporation (BNY Mellon).

Business Intelligence

Accessing these tools can help improve efficiencies and productivity by providing a framework for prioritizing daily activities and optimizing revenue-generating activities.

ADVISOR DASHBOARD

The Advisor Dashboard puts pertinent information at your fingertips, which can help you better manage and grow your business by displaying key data related to your accounts through book of business analysis. Access to on demand book of business reports can help drive decision making with the potential outcome of improving results. Report Center provides you with the ability to quickly and efficiently use pre-defined report templates or create ad hoc semi-custom reports.



Top 10 Holdings (As of 5/1/2018)

Select: All

	Description	Investment Type
CASHGL	Default Cash Security	Cash & Cash Equivalents
MACSX	MATTHEWS ASIAN GROWTH &...	Mutual Funds
CPTNX	AMERICAN CENTURY GOVT BO...	Income Fund
JAWWX	JANUS GLOBAL RESEARCH FU...	Mutual Funds
NOSGX	NORTHERN SMALL CAP VALUE...	Mutual Funds
IAU	ISHARES GOLD TR ISHARES	ETFs - Equity
XLE	SELECT SECTOR SPDR TR ENE...	ETFs - Equity
XHS	SPDR SER TR S&P HEALTH CA...	ETFs - Equity
VNQ	VANGUARD INDEX FDS VANGU...	ETFs - Equity
ITOT	ISHARES TR CORE S&P TOTAL...	ETFs - Equity

Top 10 Performing Accounts (YTD) (As of 5/1/2018)

Top | Bottom

Acct.#	Acct. Name	Model Name	Mkt. Value($)	YTD(%)
XXX001004	Lynn Chiqu	Growth Portfolio - Fixed	3,989,957.09	3.00
XXX001012	Lynn Chiqu	Growth & Income (Enh...	3,981,503.97	3.00
XXX001087	Lynn Chiqu	30-50% Equity/50-70...	3,014,683.56	3.00
XXX001095	Hague Chiqu	U.S. Fixed Income Inte...	3,014,682.40	3.00
XXX001079	Hague Chiqu	U.S. Equity Mid Cap Va...	1,997,572.68	3.00
XXX001053	Bev Chiqu	Aggressive Growth Por...	1,983,983.47	3.00
XXX001020	Hague Chiqu	Growth (Enhanced) - Fi...	1,983,843.04	3.00
XXX001038	Nithy Test	Growth (Enhanced) - Fi...	1,972,587.45	3.00
XXX001046	Tia Chiqu	Growth (Enhanced) - Fi...	1,827,345.55	3.00
XXX001384	Test Name	Growth (Enhanced) - Fi...	753,678.18	3.00

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The platform tools, solutions and functionality described herein are based upon data available at the time of publication and are subject to change at any time without notice.

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