Performance Reporting

Aggregated, Consolidated Data to Present a Holistic Client Picture

Award-winning.
Advisor-preferred.

"Outstanding Achievement in Performance Reporting"
wealthmanagement.com, 2015

"Must-have Solution"
InvestmentNews
Technology Usage and Satisfaction Survey, 2012-2014

"Top pick"
Financial Planning Magazine's
Advisor Surveys, 2010 and 2011

Cerulli Associates found that 57% of U.S. households with at least $10 million in investible assets are now working with five or more financial advisors, and 44% of wealthy households had changed their primary financial advisor over the past 12 months[2]. Providing performance reporting is the single most critical factor investors look for[3].

The Industry's Best Performance Reporting

Scalable and reliable wealth reporting solutions

A holistic view of investor assets has never been more important: the ability to accurately and clearly illustrate performance and progress towards a goal for any point in time helps the best advisors collaborate more effectively with clients. Albridge delivers an accurate, single view of all of investor assets, even those "held away," to help advisors illustrate the full financial picture and guide better decision making. Over 80,000 advisors at over 140 financial organizations supporting more than 40 million client accounts[1] take advantage of our comprehensive web-based solution.

BNY Mellon's Albridge is an affiliate of Pershing LLC.

Benefits:

› **Anytime, Anywhere Access.** A one-size-fits-all approach will not work to meet the complex requirements of today's multifaceted financial services providers. Albridge offers access to investor performance reporting on demand, for any point in time, both customizable and configurable. Client meetings can take place at the client's convenience, with the benefit of access to comprehensive reporting on any device to provide real-time answers.

› **Personalized Rate-of-Return Calculations.** Advisors can select from three rate-of-return calculations: Daily Time-Weighted Return (DTWR), Internal Rate of Return (IRR) and Modified Dietz.

› **Configurable Reporting.** Albridge offers your firm and your advisors flexibility with asset classification, benchmarking and report package content. Our reports can be private labeled to align with your firm's brand and configured to display allocation, holdings, benchmark comparisons and more.

› **Flexible Delivery.** Flexible data delivery services allow Albridge clients to consume data via flat batch files, real-time Web Service calls or by single sign-on or framed-in version of the full Albridge Wealth Reporting application. By allowing this flexibility, clients have the ability to review the information they need, and use the data in a variety of ways.

[1] June 30, 2012

[2] *Cerulli Special Quantitative Update: Investors in the High-Net-Worth and Ultra-High-Net-Worth Marketplace*, March, 2011

[3] DALBAR, Inc., 12th Annual Trends and Best Practices in Investor Statements: Brokerage

Client Performance Reporting

Painting a complete picture

Accurate performance reporting is an integral part of the wealth management business and an expectation of your clients. Albridge delivers on-demand reporting that covers performance, asset allocation, holdings analysis, transactions, benchmarking and more.

› Comprehensive portfolio risk and return data.

› Investor-level historical performance by portfolio, account, asset class and security level returns.

› Asset allocation model portfolio guidelines.

› Standard or customized benchmark comparisons.

› Choice of rate-of-return methods: DTWR, IRR and Modified Dietz.

› Configurable report settings, including graphing.

› Transparency into portfolio composition, positions, cash flows and returns.

› Ability to choose report packages and automate reports through batch processes.

› Integration of firm branding and disclosures on reports. Albridge and Netx360® integration.

› We offer unmatched solutions for measuring and reporting performance at the individual holding, asset class, account, investor and consolidated portfolio levels. Our proven dedication to data timeliness, data accuracy and an expanded data footprint makes us an industry leader.

› Albridge Quarterly Performance Reporting, our enterprise solution, provides access to a comprehensive performance reporting package—meeting your firm's needs for automated quarterly processing, reporting content and calculation methods. The value-added service enables your firm to generate reports based on a defined list of accounts or portfolios to meet advisor and client needs.

- Offers flexible report packages.
- Provides performance reports by portfolio, account, asset class and security level returns.
- Customizes cover pages and market commentary.
- Allows for a seamless, automated process for delivering quarterly reports to your firm.

Albridge Wealth Reporting

Built with one goal in mind—increasing an advisor's productivity

Take advantage of our web-based, scalable and reliable portfolio accounting and performance reporting solution and benefit from a more efficient workflow process, exponentially higher client satisfaction and increased business productivity. Albridge Wealth Reporting enables advisors to:

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

We continue to innovate and improve Albridge Wealth Reporting based on advisor feedback. Our advisor-focused user interface offers easy navigation, tile-based dashboards, and quick-click access to important client information—with the ability to share key reports and charts with investors, on any device.

Advantages

Advisors continue to rely on Albridge for a number of reasons:

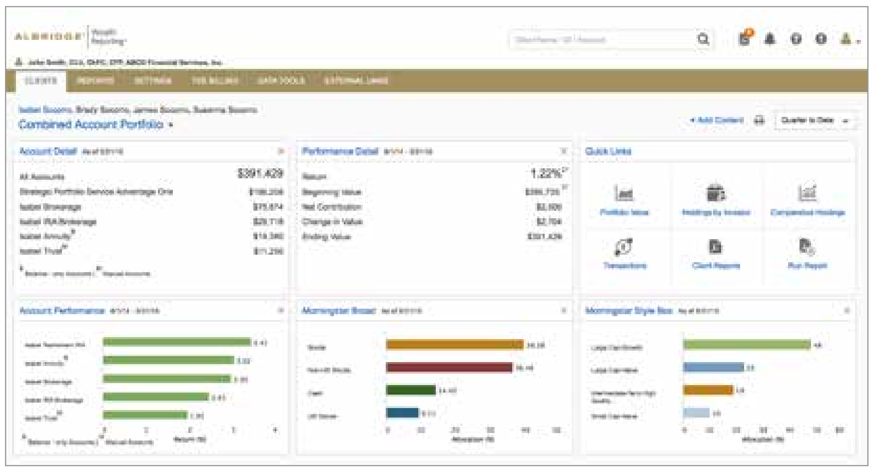
- **Productivity.** Spend less time manually entering data and preparing for client reviews; maximize client service, marketing and referral-gathering.
- **Flexibility.** Albridge offers a range of standard reporting formats. Batch reports can be generated for multiple clients and customized with your firm logo and legal disclosures.
- **Interoperability.** Albridge Wealth Reporting is compatible with and can be linked to leading third-party software, including financial planning and client relationship management applications.
- **Accountability.** To support annual business planning and goal-setting activities, supervisors and advisors may view books-of-business in total or by client segments, products or other metrics.
- **Access.** Albridge retains all historical client and transactional data from the start of service, which allows point to point, detailed performance reporting on all data ever loaded.
- **Support.** Continuing support is available—online or by email or phone; frequent online training sessions cover beginner, intermediate, and advanced topics for continued learning.

Popular Report Samples

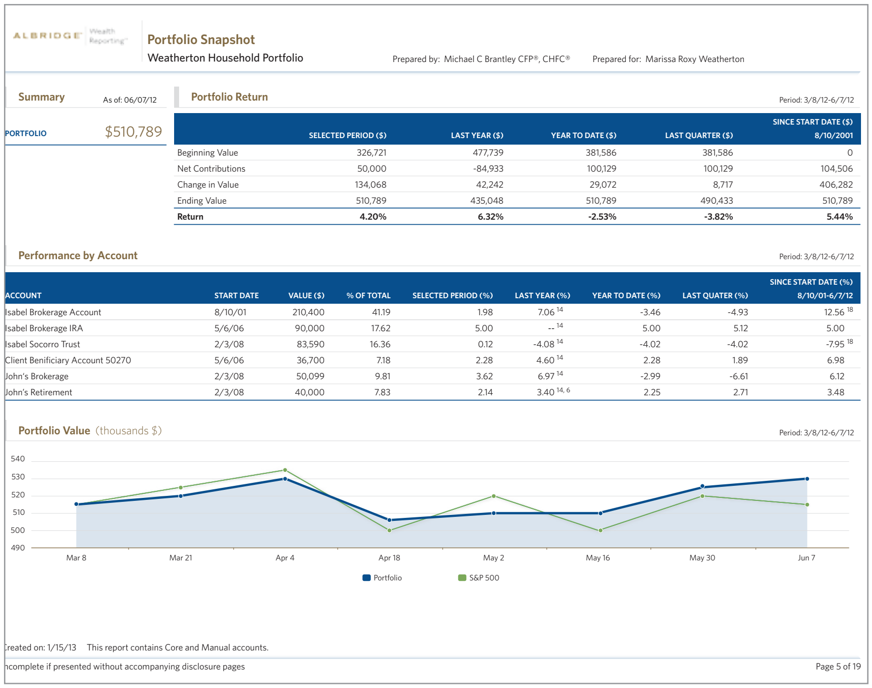
Albridge's client reports provide an accurate, single view of client portfolio information and enable the display of information for individual clients or for user-defined portfolios, which are essentially "households" of accounts representing any combination of clients or accounts. Client reports consist of holdings, transaction and performance reports, and are available in three formats: a web-based on-screen display, an easy-to-print and present PDF document and a comma-separated value (CSV) export format, for use in spreadsheet applications. All reports are generated for either a specific time period or date.

Advisors can quickly and easily produce client reports to have critical information available to share portfolio performance and create holistic financial plans.

Our Combined Account Portfolio report gives you a high-level view of client assets and activities, with easy access to frequently used "Quick Links."



The Portfolio Snapshot report is one of the most inclusive one-page reports available in Albridge Wealth Reporting. It represents a combination of the most frequently used reports that display asset allocation, benchmark comparison and multiple time periods of performance at the account and portfolio levels.


ALBRIDGE Wealth Reporting

Portfolio Snapshot
Weatherton Household Portfolio

Prepared by: Michael C Brantley CFP®, CHFC®   Prepared for: Marissa Roxy Weatherton

Summary As of: 06/07/12

PORTFOLIO $510,789

Portfolio Return Period: 3/8/12-6/7/12

	SELECTED PERIOD ($)	LAST YEAR ($)	YEAR TO DATE ($)	LAST QUARTER ($)	SINCE START DATE ($) 8/10/2001
Beginning Value	326,721	477,739	381,586	381,586	0
Net Contributions	50,000	-84,933	100,129	100,129	104,506
Change in Value	134,068	42,242	29,072	8,717	406,282
Ending Value	510,789	435,048	510,789	490,433	510,789
Return	**4.20%**	**6.32%**	**-2.53%**	**-3.82%**	**5.44%**

Performance by Account Period: 3/8/12-6/7/12

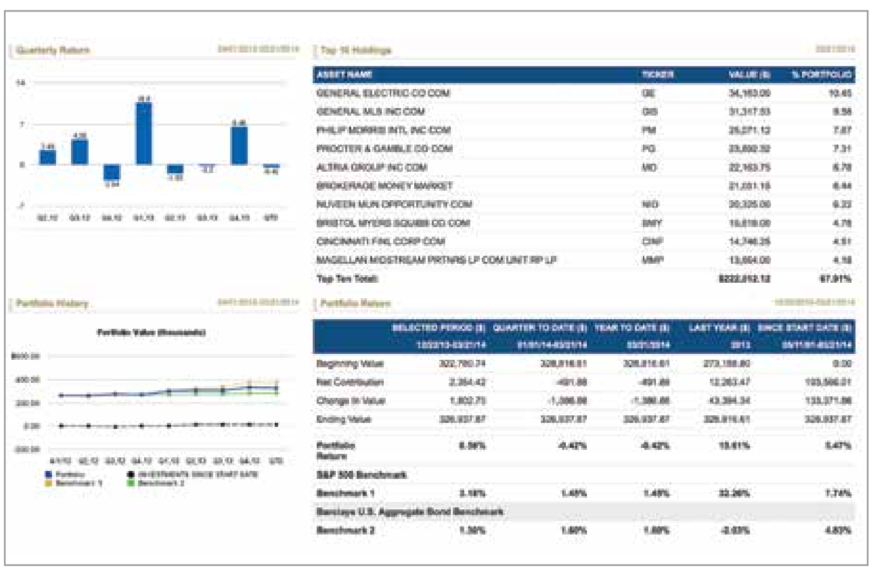
ACCOUNT	START DATE	VALUE ($)	% OF TOTAL	SELECTED PERIOD (%)	LAST YEAR (%)	YEAR TO DATE (%)	LAST QUATER (%)	SINCE START DATE (%) 8/10/01-6/7/12
Isabel Brokerage Account	8/10/01	210,400	41.19	1.98	7.06 [14]	-3.46	-4.93	12.56 [18]
Isabel Brokerage IRA	5/6/06	90,000	17.62	5.00	-- [14]	5.00	5.12	5.00
Isabel Socorro Trust	2/3/08	83,590	16.36	0.12	-4.08 [14]	-4.02	-4.02	-7.95 [18]
Client Benificiary Account 50270	5/6/06	36,700	7.18	2.28	4.60 [14]	2.28	1.89	6.98
John's Brokerage	2/3/08	50,099	9.81	3.62	6.97 [14]	-2.99	-6.61	6.12
John's Retirement	2/3/08	40,000	7.83	2.14	3.40 [14, 6]	2.25	2.71	3.48

Portfolio Value (thousands $) Period: 3/8/12-6/7/12

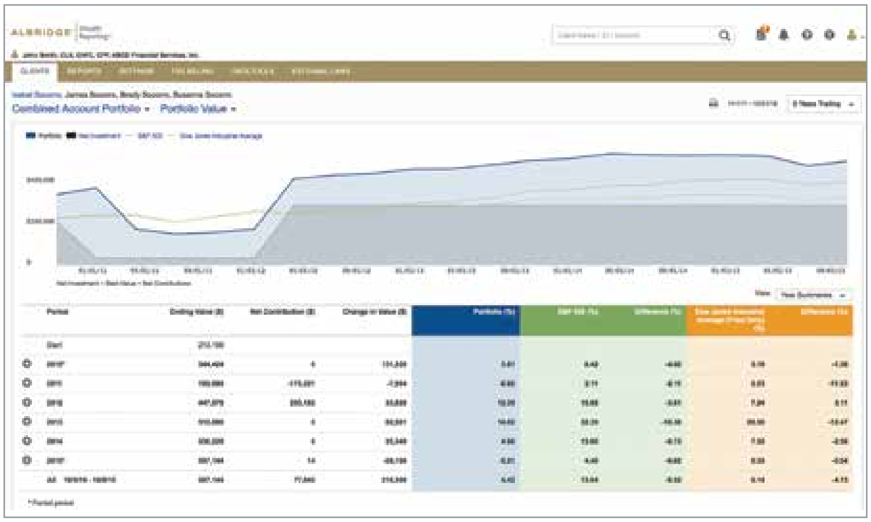
Created on: 1/15/13 This report contains Core and Manual accounts.

Incomplete if presented without accompanying disclosure pages   Page 5 of 19

Our Top 10 Holdings Report gives you an idea of client exposure within a portfolio and aids in analysis and benchmarking.



The Combined Account Portfolio, Portfolio Value helps to show performance across a household, over the time periods requested by the advisor (or client).



Albridge

Manage Your Business, Not Your Data

Call us: **(877) 252-9963**

Email us: **info@albridge.com**

Visit us: **albridge.com**

ABOUT US

Albridge Solutions, Inc. is a leading provider of enterprise data management solutions that deliver a single view of an investor's broad range of assets. Our proprietary technology consolidates and reconciles client account and transaction data from hundreds of data sources representing banking, brokerage, insurance, retirement, managed accounts and more. Albridge provides the foundation for financial organizations to leverage a single source of information to power a number of mission-critical technology applications. Albridge Solutions, Inc. is an affiliate of Pershing LLC, a BNY Mellon company.

Pershing and its affiliates provide global financial business solutions to advisors, asset managers, broker-dealers, family offices, financial organizations, 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.

BNY Mellon is a global investments company dedicated to helping its clients manage and service their financial assets throughout the investment lifecycle. Whether providing financial services for institutions, corporations or individual investors, BNY Mellon delivers informed investment management and investment services in 35 countries and more than 100 markets. BNY Mellon can act as a single point of contact for clients looking to create, trade, hold, manage, service, distribute or restructure investments. BNY Mellon is the corporate brand of The Bank of New York Mellon Corporation.

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CCB-ALB-PREP-7-17

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