

ASI Client Acquisition Solution®

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ADVISOR SOFTWARE

FOR PORTFOLIO CONSTRUCTION

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ASI Client Acquisition Solution generates a client-specific investment strategy, based on an analysis of clients' needs and an assessment of their current portfolios. Before, we were promoting our products – now we're helping advisors build relationships. Certainly, our product offering is compelling, and a key piece of the presentation, but it's now an interaction that's all about the client.”

– Managing director at a medium-sized broker-dealer

Empower Your Advisors to Work Smarter and More Efficiently

The screenshot displays the 'Client Acquisition Solution' interface. At the top, it shows 'Step 2 of 9: Construct Proposed Portfolio'. Below this, there's a table for 'Portfolio Guidelines' with columns for Proposed Allocation, Target Allocation, and Adjust Allocation. The table lists various asset classes like Large Cap, Mid Cap, Small Cap, Real Estate, Preferred Stock, International Equity, Fixed Income, Cash, Alternative Investments, and Style - Other/Unclassified. Below the table, there's a section for 'Enter Holdings' with options to select model portfolios, securities, or fixed income securities. A table of holdings is visible, listing assets like Vanguard Wellington Fund, Vanguard Health Care Fund, SPDR Dow Jones REIT ETF, MainStay High Yield Corporate Bond Fund, iShares Barclays TIPS Bond Fund, and iShares Barclays 7-10 Year Treasury Bond Fund.

THE CHALLENGE

Financial services companies face an increasingly competitive landscape when it comes to ensuring advisor and customer satisfaction. Advisors want to align themselves with financial institutions that provide the foundation they need to boost productivity and expand assets under management. At the same time, investors prefer advisors and financial institutions that are quick to deliver the most personalized, high quality proposals and recommendations. Portfolio construction and proposal generation has proven to be a frustrating and time-intensive process that reduces advisor effectiveness.

THE SOLUTION

ASI Client Acquisition Solution Streamlines Portfolio Construction and Proposal Generation

An institutional-caliber portfolio development and proposal generation solution, ASI Client Acquisition Solution enables financial service providers and their advisors to deliver more personalized portfolios for their clients. ASI Client Acquisition Solution is used today by tens of thousands of investment advisors, brokers and personal bankers affiliated with hundreds of financial institutions. Enterprises are able to streamline and automate the delivery of proposals which adhere to an organization's policy guidelines. A flexible application, the solution can also be customized to accommodate an organization's product offerings as well as its sales, marketing, branding, legal and compliance preferences.

This screenshot shows a 'Current vs. Proposed Analysis' section. It features two pie charts representing the current and proposed portfolio allocations. Below the charts is a table comparing the two portfolios across various asset classes. The table includes columns for Current Portfolio, Proposed Portfolio, and Difference. The differences are highlighted in red for decreases and green for increases.

	Current Portfolio	Proposed Portfolio	Difference
Large Cap	23.23%	17.46%	5.77% DECREASE
Mid Cap	8.39%	2.04%	6.35% DECREASE
Small Cap	2.93%	0.00%	2.93% DECREASE
Real Estate	0.00%	20.00%	20.00% INCREASE
Preferred Stock	0.00%	0.00%	0.00%
International Equity	35.59%	3.01%	32.58% DECREASE
Fixed Income	20.25%	36.34%	16.09% INCREASE
Cash	9.61%	21.15%	11.54% INCREASE
Alternative Investments	0.00%	0.00%	0.00%
Style - Other/Unclassified	0.00%	0.00%	0.00%

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Best-In-Class Investment Proposal Enhances Operational Efficiency

ASI Client Acquisition Solution is the only proposal generation solution that covers a broad spectrum of investment products, such as mutual funds, exchange-traded funds, separately managed accounts, stocks, bonds, variable annuities and alternative investments into one platform. Using ASI Client Acquisition Solution, advisors can quickly and easily generate more consistent, actionable investment proposals, convert more prospects to clients and better serve existing clients.

Web Based Platform Is Easy-to-Use, Easy-to-Install

ASI Client Acquisition Solution offers an intuitive, web based platform that is easy-to-use and maintenance free. It is available to enterprise financial services companies on an annual, subscription basis and can be hosted in-house at the financial services institution or by Advisor Software. An individual edition of the software is also available for independent advisors. Independent advisors can sign-up on Advisor Software's website and receive a login and password within 24 hours.

If you would like more information please visit our web site or contact us:

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A personalized investment proposal for
Adam James
 124 Broderick Street
 San Francisco California 94123
 Voice: 415.993.4321

Asset Allocation A personalized investment proposal for Adam James August 06, 2008 prepared by Brad Page Voice: 415.796.8400

Risk Profile (as of August 06, 2008)
 Analysis of the holdings in your current portfolio indicates that it is a **conservative** portfolio. If you implement the proposed portfolio, the new portfolio will be considered **conservative** based on the underlying holdings.

Current Portfolio Risk: Conservative
 Proposed Portfolio Risk: Conservative

Proposed Asset Allocation (as of August 06, 2008)
 The asset allocation models for your current and proposed portfolios are provided below. Based on the holdings selected for the proposed portfolio staying with a conservative asset allocation strategy is most appropriate.

Assets	\$	%	\$	%
Large Cap Value	\$201,028.84	19.89%	\$116,164.09	19.31%
Large Cap Growth	\$581,687.42	22.27%	\$102,877.66	6.20%
Mid Cap Value	\$2,114.74	0.10%	\$11,985.96	0.52%
Mid Cap Growth	\$27,000.48	1.27%	\$106,189.61	4.98%
Small Cap Value	\$3,497.44	0.18%	\$27,887.78	1.30%
Small Cap Growth	\$64,446.84	3.22%	\$104,343.87	4.89%
Fixed Income	\$0.00	0.00%	\$159,616.60	7.30%
Preferred Stock	\$0.00	0.00%	\$21,328.98	1.00%
International Equity - Diversified	\$0.00	0.00%	\$91,437.37	4.29%
International Equity - Emerging	\$11,694.73	0.58%	\$10,864.83	0.50%
International Equity - Europe	\$481,528.75	23.64%	\$719,012.70	32.27%
Treasury Inflation-Protected Security	\$25,127.88	1.18%	\$46,128.72	2.16%

Proposed Transactions A personalized investment proposal for Adam James August 06, 2008 prepared by Brad Page Voice: 415.796.8400

Proposed Transactions (as of August 06, 2008)

Total number of transactions: 49
 Total Sell: 25
 Total Buy: 15

Symbol	Name	Transaction	Value
BCA3H	Cash	Sell	\$2,962.00
FLWIN	EDMG Value 2023	Sell	\$22,490.00
AAFL	APPLE INC	Sell	\$17,870.40
ADQ	iShares Lehman Aggregate Bond	Sell	\$97,099.80
AMGN	AMGEN INC	Sell	\$86,492.36
BOPFX	Barton Investment Funds Truist Barton Growth Fund	Buy	\$194,861.04
C	CITIGROUP INC	Sell	\$969.82
CSDD	CSDD \$175 INC	Sell	\$335.87
CXA	SPDR Lehman California Municipal Bond ETF	Buy	\$21,328.98
DE	DEERE & CO	Sell	\$67,268.42
DNA	GENENTECH INC	Sell	\$33,600.00
DOXX	Dodge & Cox Funds Dodge & Cox Stock Fund	Buy	\$16,362.86
EMB	iShares JPMorgan USD Emerg Markets Bond	Buy	\$63,985.95
FLCHP	Caterpillar 44 10/20/2021	Sell	\$40,995.00
FLWIN	San Francisco WB EMH 5 Y	Sell	\$26,432.00
IOV	iShares S&P North Amer Tech Software	Sell	\$86,031.88
IOV	iShares S&P 500 Index	Sell	\$264,110.06
IRF	iShares Russell 2000 Index	Buy	\$238,619.82
JACTX	Janus Investment Fund, Janus Global Technology Fund	Sell	\$45,555.81
JACTX	Janus Investment Fund, Janus Utilities Fund	Buy	\$42,057.97
JNK	SPDR Lehman High Yield Bond ETF	Buy	\$63,985.95
JNPR	JUNIPER NETWORKS INC	Sell	\$15,584.00
LMT	LOCKHEED MARTIN CORP	Sell	\$164,080.00
LOD	iShares S&P 500 Divd Growth Corp Bond	Buy	\$63,985.95
MRK	MERCK & CO INC	Sell	\$38,170.00
ORCL	ORACLE CORP	Sell	\$98.58
PFC	PROZER INC	Sell	\$7,984.00
PPP	iShares S&P US Preferred Stock Index Fund	Buy	\$21,328.98
PTRIX	PIMCO Funds, Total Return Fund, Institutional Class iShares	Buy	\$184,891.04
FTRES	UBT 03/07/2015	Sell	\$20,520.00
RWR	DJ Wilshire REIT ETF	Buy	\$102,064.35
SMA	TICV Core Fixed Income	Buy	\$163,864.15
SMA	JPMorgan Intern Multi MA	Buy	\$287,608.29

Deliver Professional, High-Quality Proposals in Four Easy Steps

ASI Client Acquisition Solution enables advisors to create compelling, thorough investment proposals in four easy, workflow-based steps including:

- Client Assessment:** Advisors can efficiently collect a client's information and evaluate his or her financial preferences and risk profile via a thorough questionnaire. Portfolio holdings information may be uploaded directly into the application or entered manually.
- Portfolio Analysis:** The application leverages a broad range of diagnostic tools including detailed breakouts by sector, style and security overlap as well as Monte Carlo simulation and efficient frontier analysis to assess a client's portfolio.
- Portfolio Creation:** The portfolio construction functionality provides a simple investment selection process that enables advisors to quickly adjust the existing portfolio to be consistent with selected asset allocation targets or model portfolios, using their preferred and approved products.
- Proposal Generation:** Once the advisor completes the investment selection process, a trade list is presented; and the advisor may produce a professional, comprehensive investment proposal and/or investment policy statement for the client.