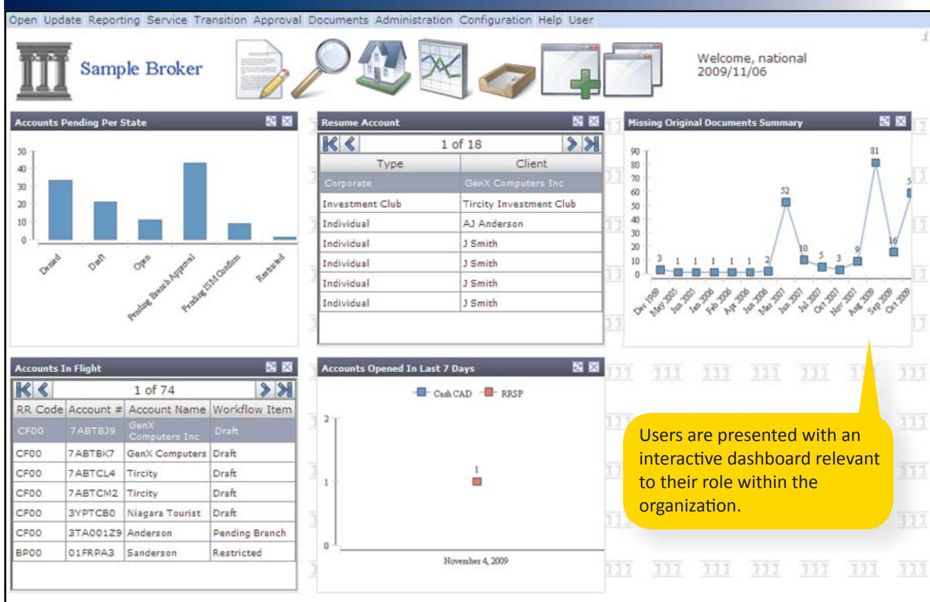
Arius OpenAdvantage®

PRODUCT TOUR

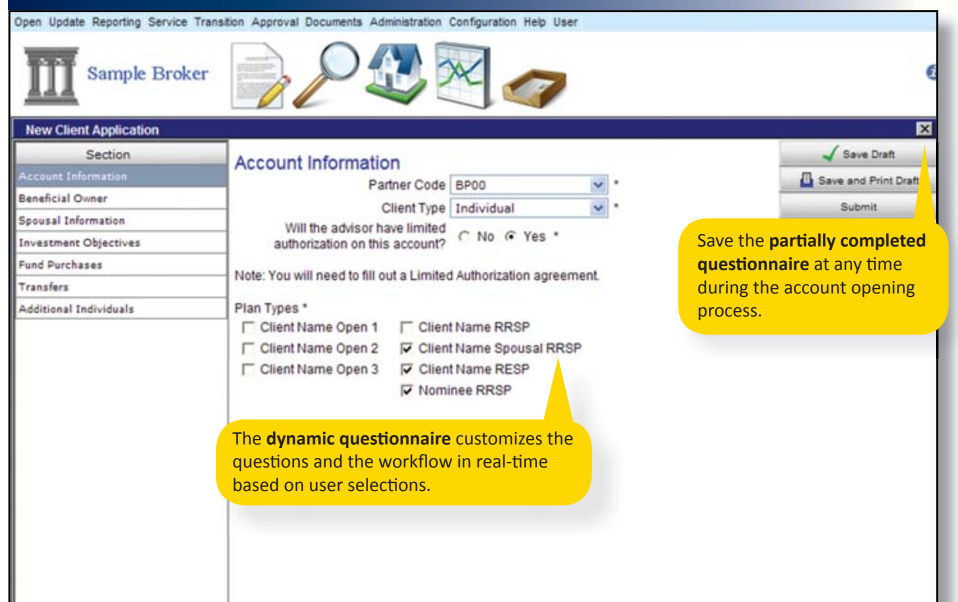
Arius OpenAdvantage® is a powerful account opening platform that can be tailored to meet the needs of clearing firms, mutual fund dealers as well as retail and institutional brokerages. OpenAdvantage enables financial services firms to increase operational efficiency, improve client services and reduce costs by providing a personalized account opening experience. This product tour is designed to illustrate the features and benefits of the OpenAdvantage platform. For this demonstration, a mutual fund broker is used to illustrate OpenAdvantage's ability to customize workflows, business rules and forms during the account opening process.

Interactive dashboard



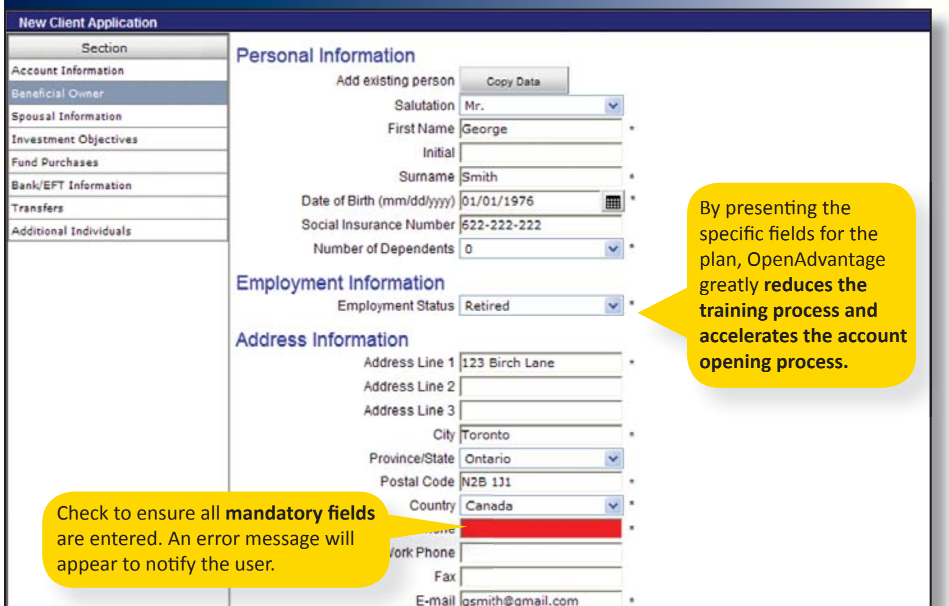
OpenAdvantage features an interactive dashboard which offers users a snapshot view of number of pending accounts, missing documents, total number of accounts opened and more. The dashboard can be easily configured to meet the needs of the user based on their role within the organization.

Dynamic questionnaire



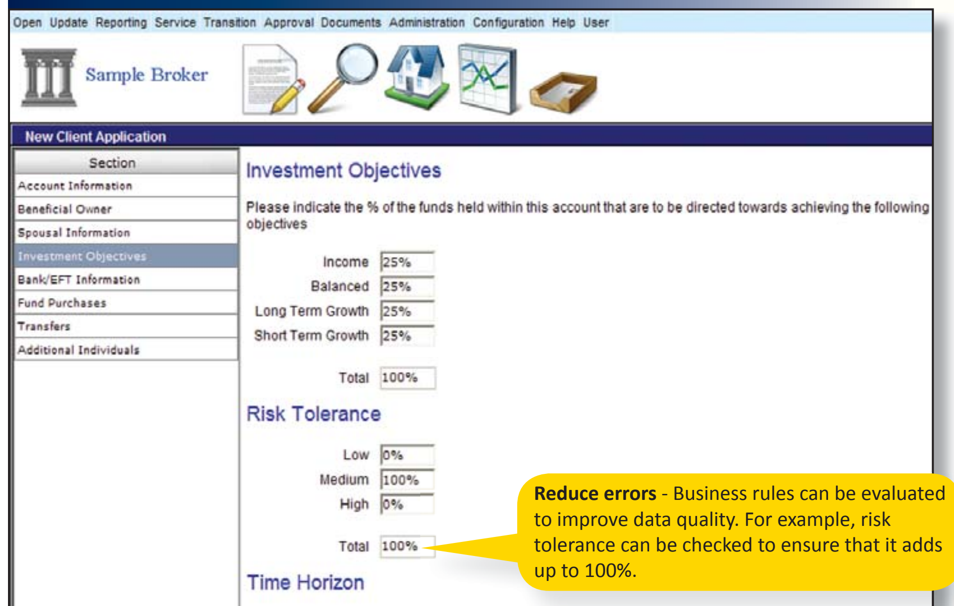
The dynamic questionnaire accelerates the customer on-boarding process by presenting only relevant questions while highlighting mandatory fields. Additionally, OpenAdvantage utilizes questionnaire responses to populate multiple forms and components of the sales process eliminating duplicate data entry.

Improve NIGO scores



Institutionalize best practices and compliance standards by automating workflow, approval processes and business rules. OpenAdvantage will increase the confidence in your account opening process by reducing Not In Good Order (NIGO) rates and automatically enforcing that all mandatory fields are populated prior to account submission.

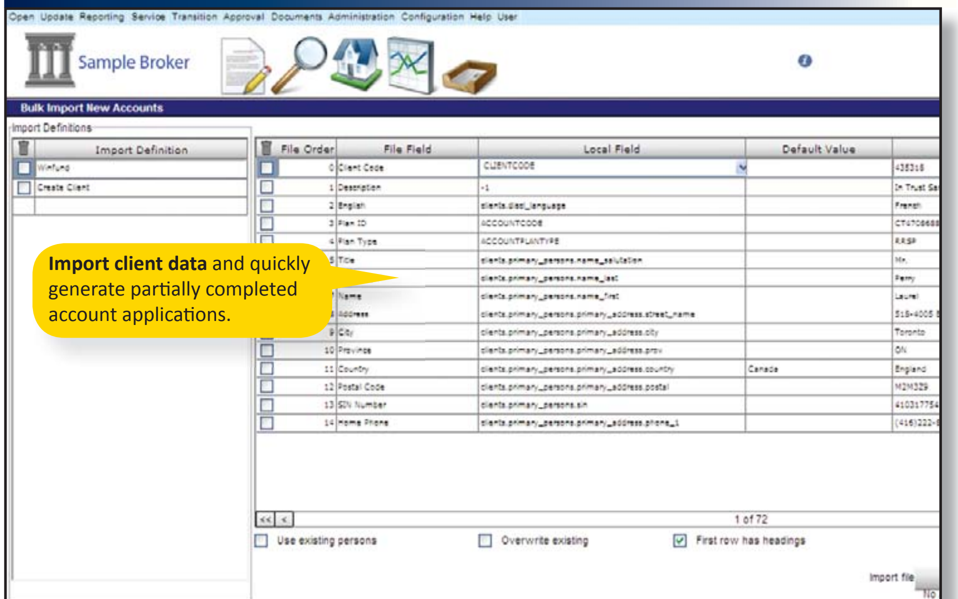
Evaluate business rules



OpenAdvantage automatically checks for errors, reducing time and ultimately improving the customer experience. Calculated fields are evaluated using business rules and accounts not meeting business standards can be reported and viewed on-demand.

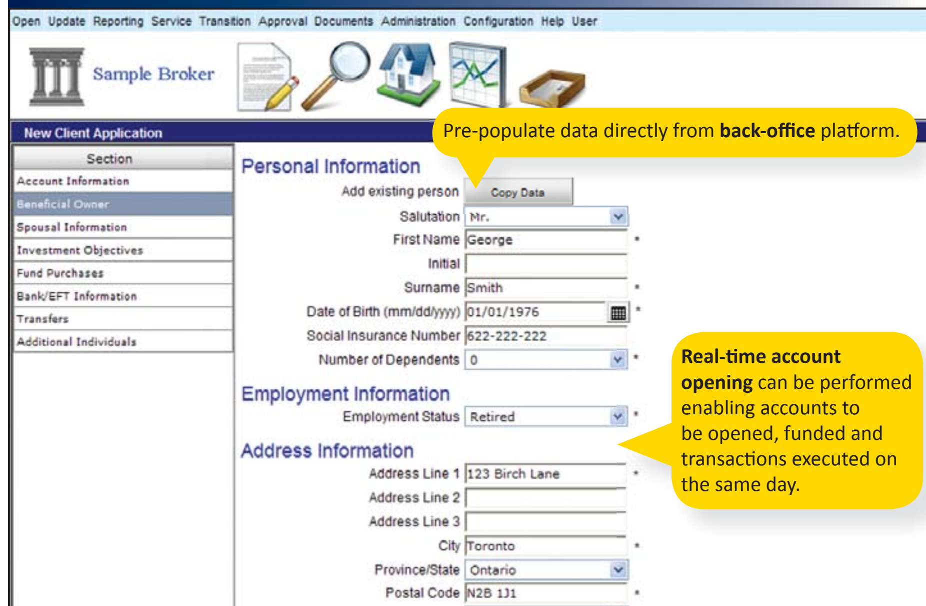
Arius OpenAdvantage

Pre-populate forms with client information



New accounts can be opened quickly and accurately by importing and leveraging known client information, allowing the sales force to spend more of their time cross-selling/up-selling. Enable new representatives to quickly transfer client assets into OpenAdvantage by simply importing spreadsheet data and automatically generating partially completed applications.

Back-office integration

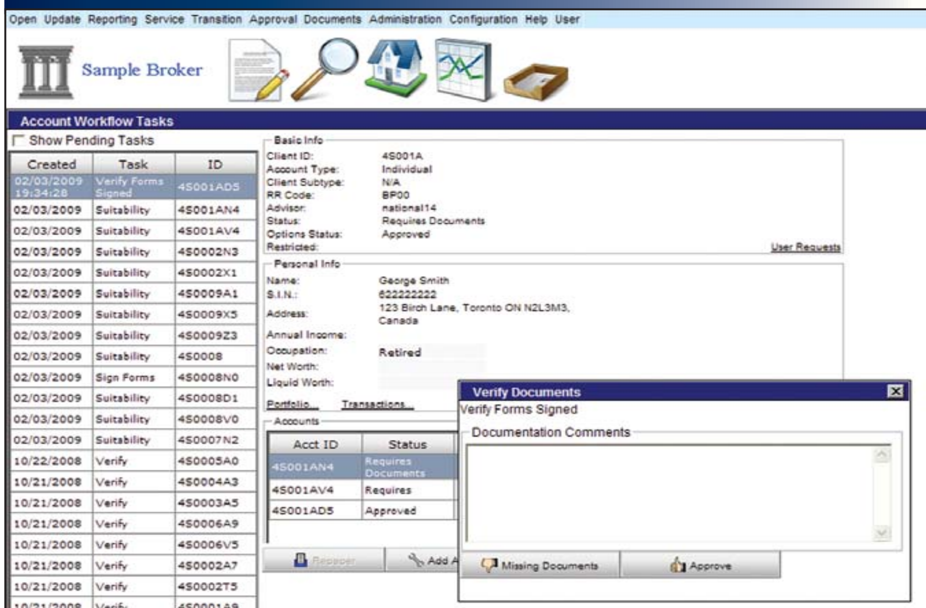


OpenAdvantage is an open platform which enables seamless integration with numerous back-office systems through standard interfaces including web services and XML. OpenAdvantage is a proven solution which has spanned multiple sectors including clearing firms, mutual fund dealers as well as retail and institutional brokerages.

OpenAdvantage has been deployed in leading back-office integrations including:

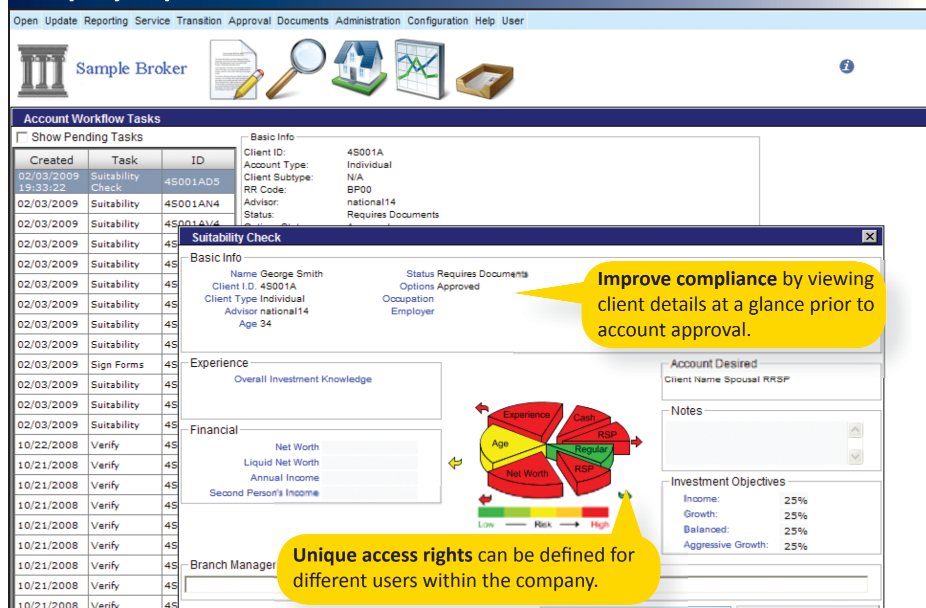
- **Winfund**® W.connect
- **IBM** ISM™
- **ADVENT** Axys®
- **Sungard** Phase 3
- **Broadridge** Dataphile

Automatic alerts of non-compliant accounts



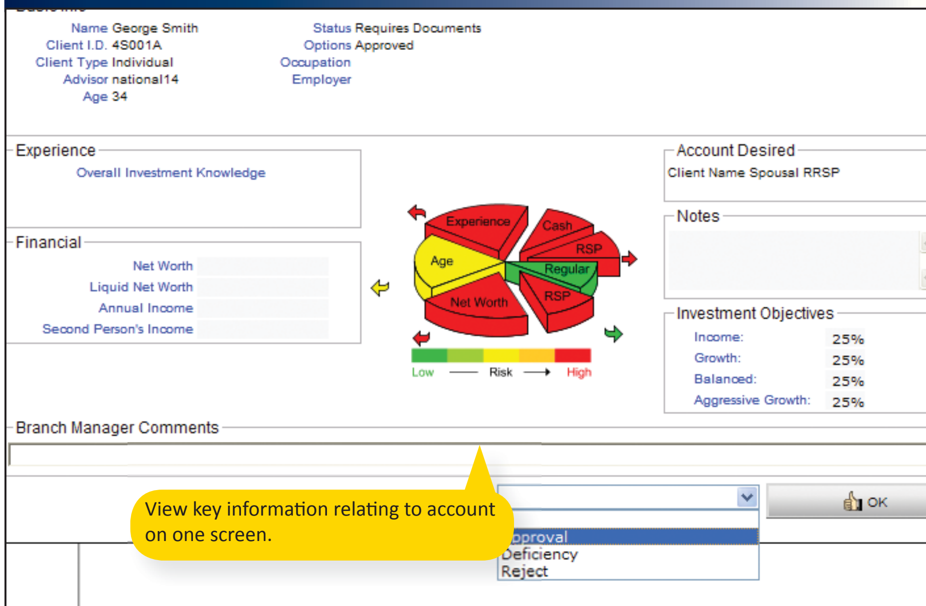
In the account workflow task pane, the approver is able to automatically view and report accounts not meeting prescribed business rules or compliance standards. The assigned user is able to access a comprehensive list of tasks assigned to each account, and with only a few clicks, all of the information pertaining to the account can be viewed including comments, documentation requirements and approval status.

Simplify supervision



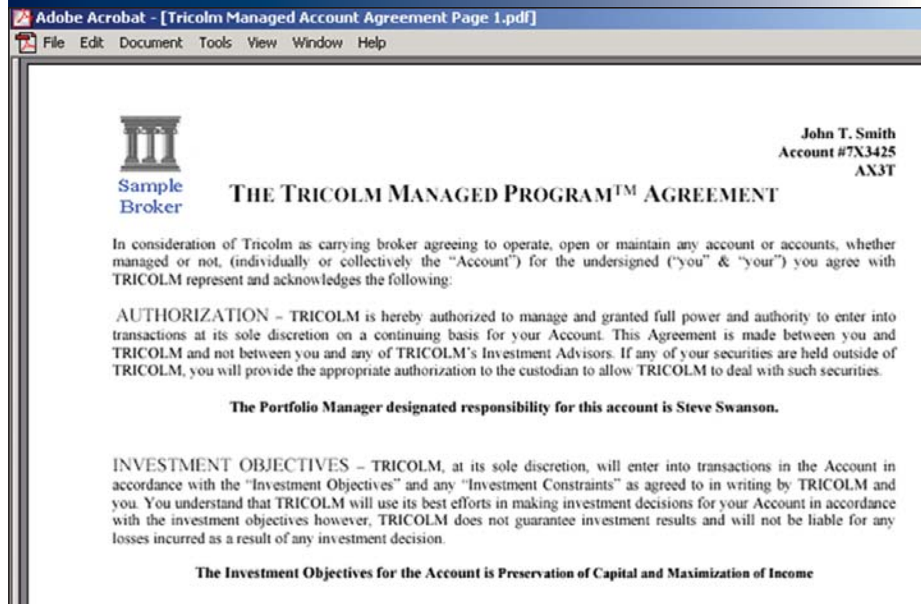
Branch managers can access a snapshot of the account application and have the ability to instantly scrutinize any irregularities in the application based on the risk governance models.

Accelerate approvals



On one convenient screen, the approver can view a client snapshot prior to approving the account. This snapshot includes investment objectives, experience, net worth and employment details. Accounts ready for approval can be sorted by task name or date for added convenience. OpenAdvantage can perform account openings in real-time enabling accounts to be opened, funded and transactions executed on the same day.

Generate a personalized welcome kit



John T. Smith
Account #7X3425
AX3T

THE TRICOLM MANAGED PROGRAM™ AGREEMENT

In consideration of Tricolm as carrying broker agreeing to operate, open or maintain any account or accounts, whether managed or not, (individually or collectively the "Account") for the undersigned ("you" & "your") you agree with TRICOLM represent and acknowledges the following:

AUTHORIZATION – TRICOLM is hereby authorized to manage and granted full power and authority to enter into transactions at its sole discretion on a continuing basis for your Account. This Agreement is made between you and TRICOLM and not between you and any of TRICOLM's Investment Advisors. If any of your securities are held outside of TRICOLM, you will provide the appropriate authorization to the custodian to allow TRICOLM to deal with such securities.

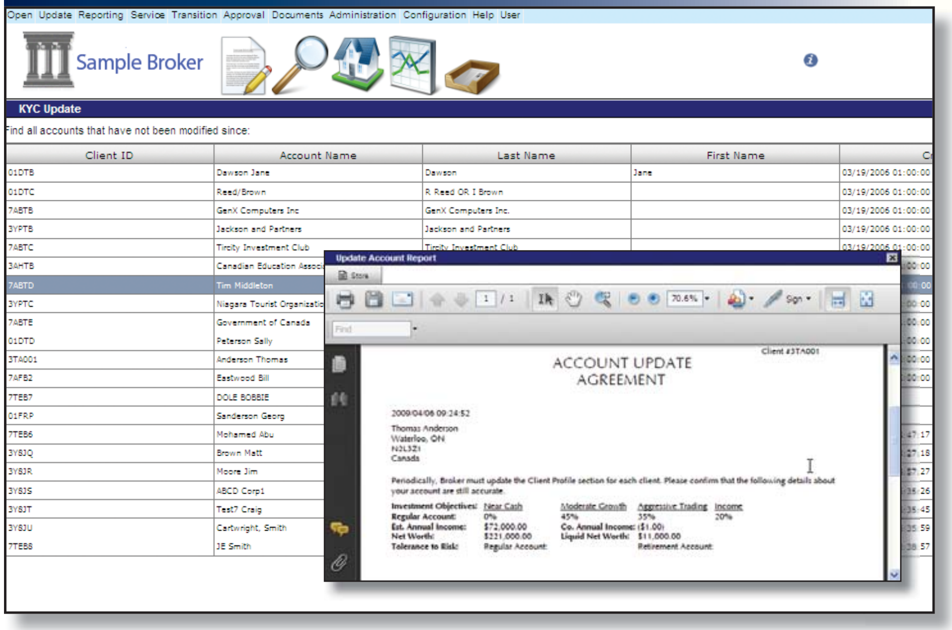
The Portfolio Manager designated responsibility for this account is Steve Swanson.

INVESTMENT OBJECTIVES – TRICOLM, at its sole discretion, will enter into transactions in the Account in accordance with the "Investment Objectives" and any "Investment Constraints" as agreed to in writing by TRICOLM and you. You understand that TRICOLM will use its best efforts in making investment decisions for your Account in accordance with the investment objectives however, TRICOLM does not guarantee investment results and will not be liable for any losses incurred as a result of any investment decision.

The Investment Objectives for the Account is Preservation of Capital and Maximization of Income

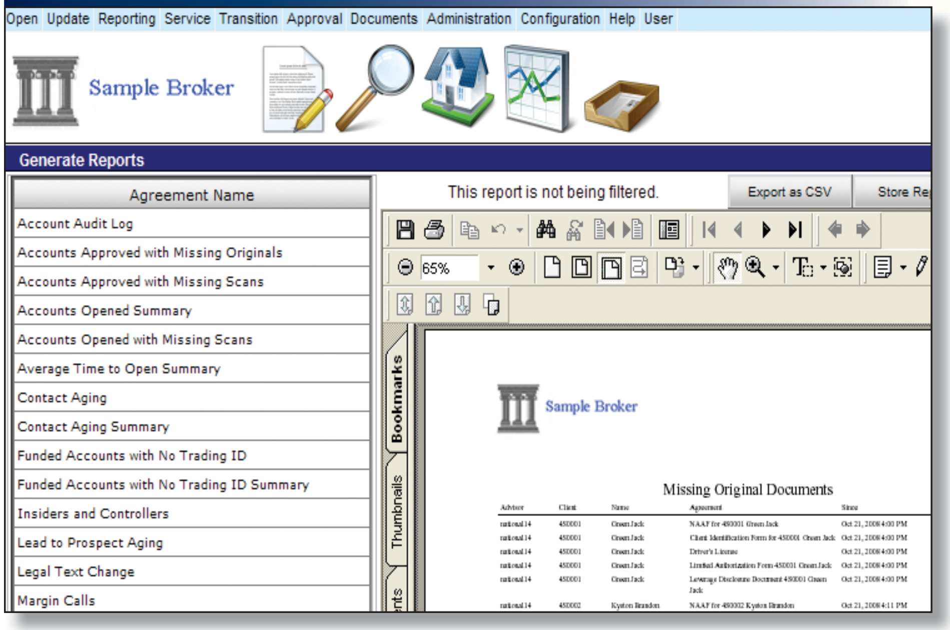
OpenAdvantage is capable of generating a welcome kit that includes all of the necessary paperwork ready for client signature. This welcome kit can be easily personalized for an individual or branded for an organization. Multiple PDF forms can be automatically populated reducing duplicate data entry requirements and removing the risk of errors due to re-keying of data.

Universal updates



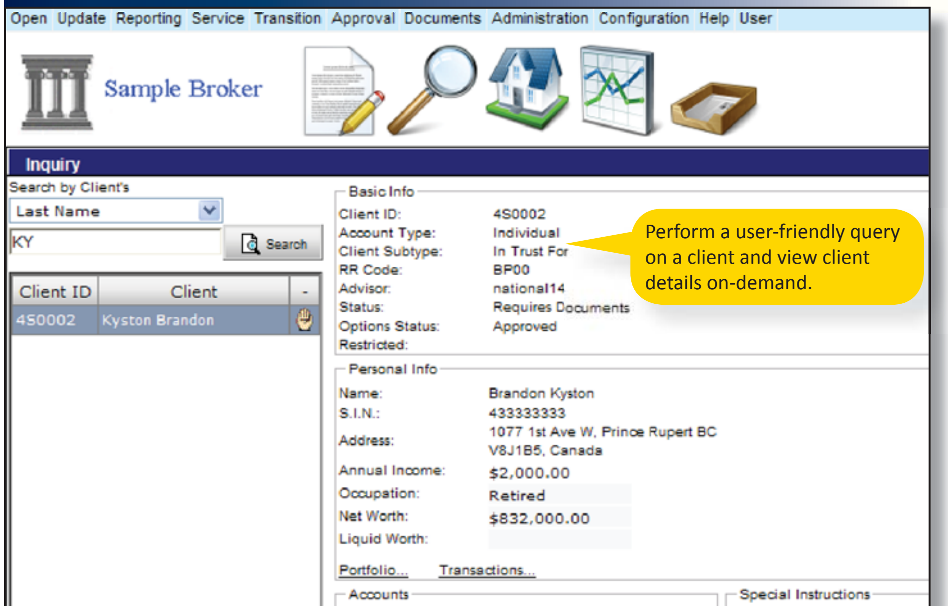
OpenAdvantage will track when an account was last updated. This information can be used to determine which accounts are in good standing. A professional *Account Update* letter can be generated with a single click on-demand.

Ease regulatory audits



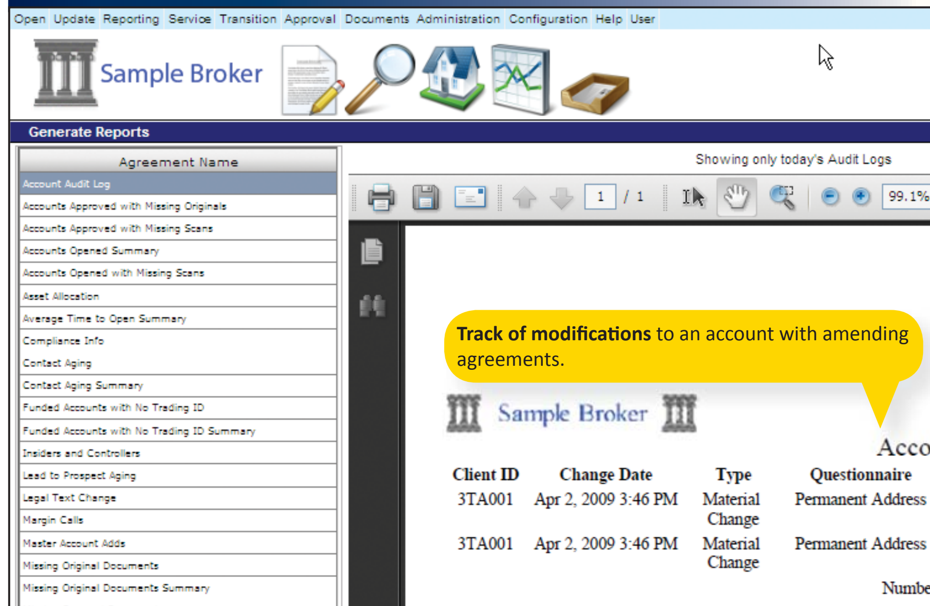
Produce comprehensive compliance and audit reports increasing the transparency of internal processes and efficiency within the organization. OpenAdvantage can produce more than thirty reports including business metrics, operational efficiency and portfolio supervision.

Query client details



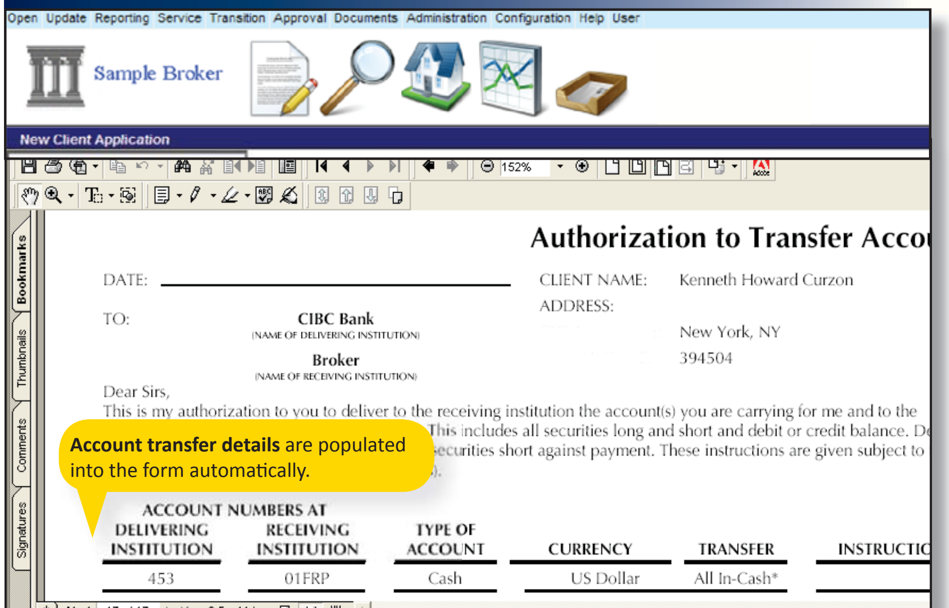
OpenAdvantage allows users to view all of the relevant details captured in a client's file on a single screen. For more detailed information, simply drill-down on the relevant zones.

Track modifications



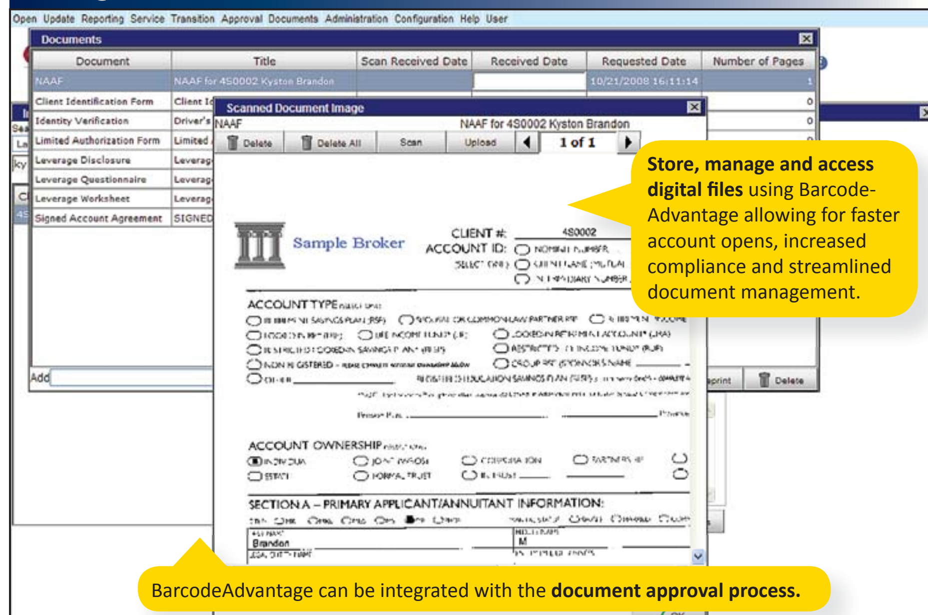
Keep track of modifications to an account with amending agreements. Previous versus new objectives and account features can be easily compared.

Perform fast account transfers



OpenAdvantage utilizes questionnaire responses to populate multiple forms and components of the sales process eliminating duplicate data entry. Existing client and product information can pre-populate forms and partially completed questionnaires can be saved allowing for the account opening to be stopped and started as needed.

Manage documentation



The OpenAdvantage platform can be extended with BarcodeAdvantage™ to enable rapid processing, fast retrieval and centralized management of massive document archives while enhancing corporate compliance practices and policies. With BarcodeAdvantage, paper documents are scanned, stored and organized using barcodes – transforming a paper trail into a rapidly accessible, centrally managed, digital document archive.

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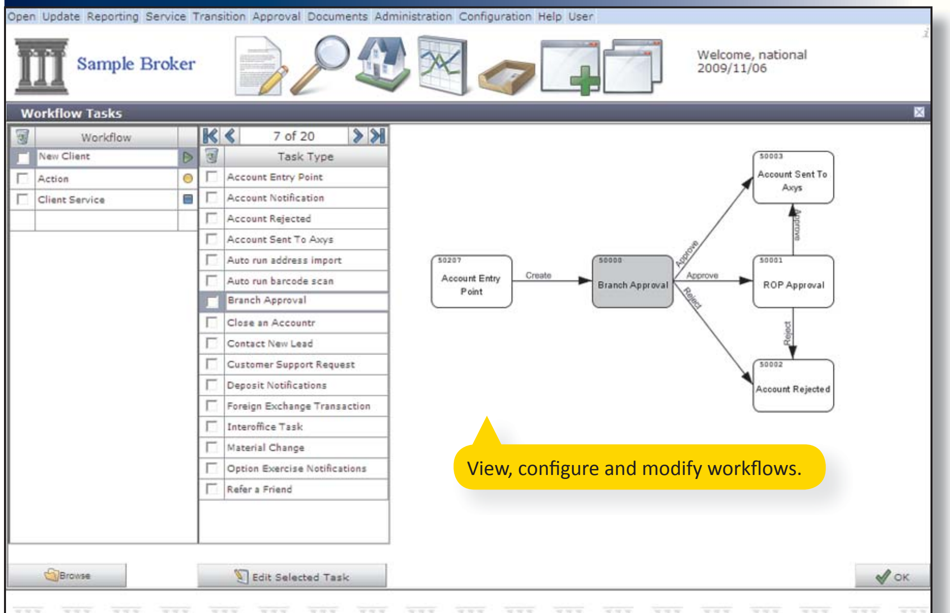
Configure workflows, business rules and questions



OpenAdvantage is designed to enable business analysts (with proper permissions) to configure all aspects of the account opening process including questionnaire, business rules, workflow and generated documents. Updating the account opening and updating process is as easy as 1, 2, 3: Change, Review, Deploy.

Arius OpenAdvantage - Supporting your business

Call or email us to book a personal demonstration at 519-885-9045 or info@ariussoftware.com.

ARIUS SOFTWARE

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