TECHNOLOGY SOLUTIONS MATRIX.

WOODBURY FINANCIAL
Member of Advisor Group

Technology Designed for Financial Professionals

Our comprehensive suite of technology solutions provides you with the systems and services to streamline your practice, giving you more time to focus on your clients and their needs.

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RUNNING YOUR BUSINESS OPERATIONS

#	SYSTEM/SERVICE	DESCRIPTION	COST
1	**ADVISOR PORTAL** *Powered by Advisor Group*	Access home office solutions across areas of client management, office management, products, advisory services, business development, training & events, technology, and support in one integrated website.	INCLUDED
2	**CLIENT CENTRAL** *Powered by Advisor Group*	Create and maintain books and records for clients and accounts with Pershing (and non-brokerage NFS accounts opened in Salesforce) in a client-based recordkeeping system with centrally-stored data. Client Central performs real-time error checking and requires clients to sign customer agreements only once.	INCLUDED
3	**COMMISSION REPORT CENTER** *Powered by Advisor Group*	Access commission information and reports instantly, and easily export the data. OSJs can also view information for their entire branch.	INCLUDED
4	**DOCUMENT MANAGEMENT** *Powered by Docupace*	Store and manage documents and images in a flexible web-based environment for information about clients, accounting, human resources, operations, and more. Reduce physical file storage, simplify branch office audits, and enable remote access to files with this intuitive system.	$33/mo.per professional [1] + $5/mo. for additional storage (1GB)
5	**EFORMS – QUIK!** *Powered by Efficient Technology, Inc.*	Find, complete, and save eForms from a library of financial industry firms, including insurance, annuities, mutual funds, securities, clearing firms, custodians, and more. All forms integrate automatically with your client and account information to reduce data entry.	INCLUDED
6	**EMAIL SERVICES** *Powered by Smarsh & Redtail*	Manage and archive your business emails with an approved vendor.	Varies*
7	**eSIGNATURE** *Powered by SIGNiX*	Expedite the signature process by using digital signatures, available on select forms in eForms Quik! Manage the signing ceremonies using a convenient and thorough utility powered by MyDoX.	INCLUDED
8	**OPS PORTAL** *Powered by Advisor Group*	Access operations materials and resources in a single, intuitive, user-friendly hub. Find what you're looking for with the powerful search functionality, save favorite resources, view trending materials, and see a summary of open tickets.	INCLUDED

*Contact Advisor Support for more information.
1-No additional cost for assistant access.

9	**QUICK SUBMIT** *Powered by Insurance Technologies*	Conduct straight-through processing of variable annuity applications with a platform that integrates suitability pre-approval and carrier new business processing workflows. Reduce not-in-good-order (NIGO) items, improve efficiency with eSignature, and submit directly to carriers with this powerful platform.	INCLUDED
10	**SERVICENET** *Powered by Salesforce*	Submit and track service, technology, and support requests in an online system available 24/7 that provides status updates and notifications along the way.	INCLUDED
11	**WEBSITES** *Powered by FMG Suite, Twenty Over Ten, & Broadridge*	Create a customized web presence for your practice to effectively market to prospects and communicate with current clients. All approved vendors include built-in compliance review workflow.[2]	Varies[3]

DRIVING YOUR PRODUCTIVITY

#	SYSTEM/SERVICE	DESCRIPTION	COST
12	**ADVISOR BUSINESS INTELLIGENCE** *Powered by Advisor Group*	Generate multi-dimensional reports and review analytic data on your practice to track goals, identify cross-selling opportunities, maximize client profitability, and conduct cost/benefit analyses on segments of your business.	INCLUDED
13	**BUSINESS VALUATION CALCULATORS** *Powered by Advisor Group*	Calculate the value of your practice to prepare for a buy/sell agreement, determine asset value for a full or partial book of business, or assess the internal value of a multi-owner entity.	INCLUDED
14	**ENVESTNET RETIREMENT SOLUTIONS (ERS)** *Powered by Envestnet*	Manage current group retirement plans and build proposals to acquire new plans. Effectively manage the process from suitability assessment and fund line-up comparison to branded reports for plan-level performance monitoring.	\$1,500/yr.[4]
15	**MARKETING PLATFORMS** *Powered by FMG Suite & Broadridge*	**MyCMO** *(powered by FMG Suite)* Access a library of pre-approved emails, social posts, cards, newsletters, videos, and more. Build custom campaigns and schedule communications through this easy-to-use platform with a built-in compliance workflow. Go Pro for access to ongoing email, social, and video campaigns.	MyCMO: \$50/mo. MyCMO Pro: \$100/mo.
		Forefield Marketing Library *(powered by Broadridge)* Access a library of more than 3,000 pre-approved marketing pieces, including emails, seminar presentations, concept pieces, and newsletters.	INCLUDED

2-You may use a non-approved website vendor, but will then be charged a \$10/mo. fee for Sungard monitoring services to meet compliance requirements.
3-See Preferred Website Vendors list for pricing details.
4-Includes annual retirement plans compliance fees.

16	**MYNOTIFICATIONS** *Powered by Advisor Group*	Receive custom email notifications—or deliver them to individuals on your staff—on the events you choose. Make your inbox work for you.	INCLUDED
17	**MYSUBSCRIPTIONS** *Powered by Advisor Group*	View, process, cancel, and enroll in subscription services within Advisor Portal for all subscription items offered by the firm.	INCLUDED
18	**MY SUCCESSION PLAN** *Powered by Advisor Group*	Connect with other financial professionals to form a succession plan, continuity plan, or conduct a business acquisition. Get expert assistance with your needs and a free valuation from Truelytics valued at $500.	$300/yr.
19	**ONLINE REGISTRATION CENTER** *Powered by Advisor Group*	Streamline the onboarding process for recruits with this web-based system that guides them through all necessary registration steps. Monitor all submissions from Advisor Portal.	INCLUDED
20	**SOCIAL MEDIA DASHBOARD** *Powered by SunGard*	Manage your social media communications and view all social feeds in one location. The dashboard also features a seamless advertising submission and review process.	$10/mo. per financial professional
21	**THE KNOWLEDGE CENTER** *Powered by Advisor Group*	Access a library of online training resources, create personalized curriculums, and track course progress in a system that is available on all devices.	INCLUDED
22	**VARIABLE ANNUITY INTELLIGENCE TOOL** *Powered by Morningstar*	Evaluate and compare variable annuities using a variety of contract and benefit criteria. Make suitable investment recommendations with confidence and generate reports to share complex information with clients in an easy-to-understand way. Find answers about fees/charges, filter and screen contracts and benefits, and distill contracts to a single page (plus one pager per rider).	INCLUDED
23	**WEALTH MANAGEMENT PLATFORM** *Powered by Envestnet*	Access integrated research, investment products, and business tools for managing a fee-based practice. The platform offers four programs: Advisor Managed Portfolios (AMP), Separately Managed Accounts (SMA), Unified Managed Portfolios (UMA), and Genesis Model Portfolios (GMP). Choose from diverse strategists and more than 250 SMA managers.	INCLUDED

MANAGING CLIENTS

#	SYSTEM/SERVICE	DESCRIPTION	COST
24	**CASHEDGE** *Powered by AllData*	Generate a holistic view of client assets and liabilities in one location. By collecting data from external accounts and bringing it into OneView, this platform allows you to capture more assets, see a client's complete financial picture, and provide better advice.	$75/mo.
25	**eQUIPT CLIENT PORTAL** *Powered by Advisor Group*	Empower your clients with this intuitive and streamlined user experience, offering registration for the portal and support for a variety of self-servicing capabilities, including user name recoveries, password resets, and linking of household accounts. Mobile App is also available.	INCLUDED
26	**eQUIPT FOR FINANCIAL PLANNING** *Powered by Advisor Group*	eQuipt for Financial Planning includes a streamlined process for establishing financial planning clients, electronic invoicing for clients to pay via credit/debit card, and online logging of checks received.	INCLUDED
27	**MORNINGSTAR ADVISOR WORKSTATION** *Powered by Morningstar*	Conduct investment planning with access to research, portfolio analysis, goal planning, and sales presentations. This platform integrates with OneView to bring in client and account data, and is available on mobile devices.	Solution #1: $1,800/yr. Solution #2: $2,650/yr.
28	**MORNINGSTAR FACT SHEETS** *Powered by Morningstar*	Access concise, investor-ready fact sheets to compare and explain investment offerings. Clearly present risk and portfolio holdings through a variety of measures that include exclusive Morningstar data.	Partner products included
29	**NETX360®** *Powered by Pershing*	Access real-time Pershing brokerage account information, including service solutions, trade placement/order changes, market data, and analytical capabilities. You can also access Pershing account data from the NetX360 mobile app. Features include mobile check deposits, abillity to sort and filter in My Practice > Balances, redesign of the trading screen, and more.	INCLUDED

30	**NEW ACCOUNT OPENING** *Powered by Advisor Group and Salesforce*	**eQUIPT FOR NEW ACCOUNTS** *Powered by Advisor Group* Digital account opening solution enabling you to conduct full end-to-end account opening, including initial prospecting, investment recommendations, and all necessary data to successfully open and fund an account. eQuipt integrates modern functionality such as eSignature, eDelivery and electronic funding.	INCLUDED
		CLIENT CENTRAL *Powered by Advisor Group* Open new accounts and maintain books and records for clients with Pershing (and non-brokerage NFS accounts opened in Salesforce) in a client-based recordkeeping system with centrally-stored data. Client Central performs real-time error checking and requires clients to sign customer agreements only once.	INCLUDED
		SALESFORCE NEW ACCOUNT OPENING *Powered by Salesforce* Easily convert your prospects to clients by opening new accounts—brokerage and non-brokerage—using data you've already captured.	INCLUDED
31	**ONEVIEW** *Powered by Albridge*	Aggregate client data—at client and household levels—and produce reports that combine brokerage accounts, WMP accounts, and accounts held directly at product sponsors.	INCLUDED
32	**SALESFORCE MOBILE** *Powered by Salesforce*	Create and view client records, updated ServiceNet tickets, AUM charts, and more directly from your mobile device. Create notes and tasks, and upload files and photos. Launch and manage business practices. Free download for iOS and Android.	INCLUDED

RUNNING A COMPLIANT OFFICE

#	SYSTEM/SERVICE	DESCRIPTION	COST
33	**ACCOUNT SUPERVISION** *Powered by Salesforce*	In a paperless environment, FLS/managers can conduct online review, approval and communication for new accounts and account changes. The system lets FLS/managers review accounts, filter information, add comments, and view a history of all actions.	INCLUDED
34	**ADVISORMAIL** *Powered by LiveOffice*	Review, supervise, monitor, and archive email messages sent and received by all affiliated persons in this compliance system that meets all regulatory requirements.	INCLUDED
35	**CARBONITE** *Powered by Carbonite and MicroAge StoreSite*	Deploy, back up and manage your data on this hybrid cloud solution that mitigates loss, while maximizing network and end-device performance. Carbonite Endpoint provides support for laptop, tablet and smartphone data protection. Access data remotely and securely from any device at any time.	$50 per device
36	**EMAIL ENCRYPTION** *Powered by Smarsh*	Scan and encrypt emails containing sensitive customer information to ensure security and compliance in client correspondence.	INCLUDED
37	**ENTREDA** *Powered by Entreda*	Protect and monitor your hardware and software using Entreda cybersecurity compliance software. Manage your users, devices and networks ensuring a cyber-safe environment. Entreda provides helpful remediation of non-compliance issues, and generates SEC/FINRA Compliance reports.	INCLUDED
38	**MYREPCHAT** *Powered by Ionlake*	MyRepChat (MRC) provides financial professionals with a solution to compliant SMS texting. Communicate through text with your clients for birthdays, anniversaries, events, appointments and more.	$15/per month per financial professional
39	**REGED** *Powered by RegEd*	Complete firm element compliance requirements and supervise completion of requirements for all advisors and employees under your supervision. Available certifications include new affiliate certifications, annual requirements (e.g., Annual Compliance Meeting), and ongoing requirements (e.g., Outside Business Activities).	INCLUDED $15/user for ACM On Demand

40	**TRANSACTION REVIEW PREP** *Powered by SunGard*	Identify data deficiencies at the trade, account, or client level to ensure that information is complete for all transactions.	INCLUDED
41	**TRANSACTION REVIEW SUPERVISION** *Powered by SunGard*	Conduct First Line Supervisor (FLS) trade review in a paperless environment that allows for review, commenting, and approval.	INCLUDED

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