

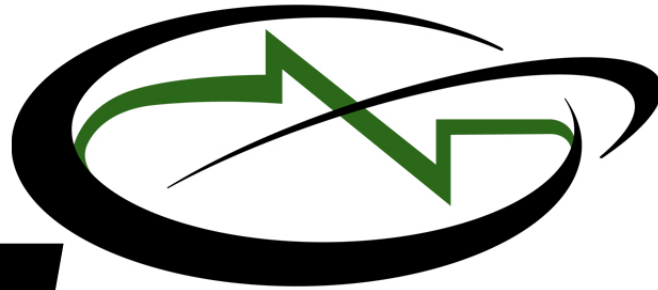
Account Aggregation
A Break Through Technology

Presented By:

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PRESIDENT

NDEX SYSTEMS INC



ndex[®] *SYSTEMS*

ABOUT NDEX



- Established in 1999
- Based in Montreal
- Fully independent – Ndex is 95% owned by its employees
- Over \$105 billion is managed or administered on the platform
- Over 200 firms in the US, Canada and elsewhere use the Ndex wealth management platform
- Over 10 million individual client accounts
- Platform serves a wide range of clients from Independent Brokers, Wealth Management firms, Family offices and Broker Dealers

BUSINESS SOLUTIONS



- Supports both single and multi custodial platforms
- Best-in-class design supports Portfolio Management, Customer Relationship Management, Securities Management, Trade Order Management, Compliance, Fee Management, Operations and Client Reporting
- Designed to support the full wealth management lifecycle in a single, easy to use system.
- Allows clients to minimize administrative tasks while maximizing investor relationships
- Ability to manage all firm activities with a single platform - not individual modules
- Helps you improve performance by offering a holistic view of your investor's portfolios

FUNCTIONALITY OVERVIEW



- Entirely web-based solution
- Accessible from anywhere
- Interfaces with over 140 custodians in North America
- Interfaces with over 80 back office processing platforms
- Access multiple custodians at the same time
- True consolidated account statements
- All user permission levels are firm driven and controlled by the firm

FUNCTIONALITY DETAIL



- Portfolio management
- Performance reporting
- Portfolio rebalancing
- Batch trading
- Retail trading
- Securities and order management
- Client relationship management
- Advisor, administrator and client online access
- Activity management
- Fee management, processing and reporting
- Customized reporting tools
- Advanced search and data query tools
- Compliance reporting
- Firm-branded investor online access to view their accounts

ACCOUNT AGGREGATION



- What is account aggregation?
- What are the benefits to:
 1. Clients
 2. Advisors
- Creation of virtual and holistic view portfolios in order to better manage the client.
- Provide client with a virtual portfolio
- Create what if scenarios using 3rd party client data

HOW DO YOU AS AN ADVISOR GET THE DATA FROM MULTIPLE SOURCES IN ORDER TO GET THE OVERALL PICTURE?



- Ideal situation is a data feed from multiple sources feeding into one application.
- What if you can't get all data feeds?
- Traditionally this meant manually inputting all activity, positions, etc. into an aggregator application.
- A time consuming method and prone to keying errors.

NDEX SOLUTIONS



1. Digitalization and loading of statements

What is digitalization?

- Client statement is scanned and saved into a PDF on Advisor desktop
- The PDF version is loaded into the NDEX application
- Data in Ndex is verified to to the statement
- Once verified the data is processed and fed into the Ndex application for full functional use as if it too had come from a custodial feed

2. Screen scraping

What is screen scraping?




- Screen scraping or web scraping is the ability to automatically scrape or retrieve information from a 3rd party website or application
- The retrieved information is then formatted and fed into the Ndex application for full functional use as if it too had come from a custodial feed

NDEX SCREEN SCRAPING CAPABILITIES



- Developed a proprietary screen scraping technology
- Clients allow Ndex to automatically go into their 3rd party held account and scrape or retrieve the required information
- Ndex converts the retrieved information into a format that feeds into the Ndex application for full functional use as if it too had come from a custodial feed.

SCREEN SCRAPING


Account Name:	Account Id	Provider	Creation Date	Last Update Date	Status 
  Refresh existing upload					

Add Account - Google Chrome

https://www.ndexsystems.com/fengine/microsoft_browser/fullservice/AddVirtualOffbookAccount.do?portfolioId=*

Add an account for a 3rd party upload for Offbook Portfolio *003-*ODL6G:



Select the provider of information for this account:

Country: All Bank Credit Card Investment Bill 

Provider Name:

E-mail address:

- 1st Bank USA
- 1st Manatee Bank USA
- 1st Source Bank USA
- AT&T Universal Card USA
- ATB Online Business Canada
- Achieva Credit Union USA
- Adirondack Bank Personal USA
- Advanta Credit Cards USA
- Advia Credit Union USA
- Alabama Telco Credit Union USA
- Alerus Financial USA
- Ally Bank USA
- Amazon Store Card USA
- Amegy Bank Business USA
- Amegy Bank Personal USA
- America First Credit Union USA
- American Enterprise Bank of Florida USA
- American Express Canada
- American Express USA
- American Momentum Bank USA

request to configure to: 3rdpartysiteupload@ndexsystems.com

STATEMENT DIGITALIZATION

Current account(s) created by Statement Upload in the portfolio DELETE

Statement Upload Management

Document Name:	Source:	Document Type:	Inserted by	Inserted/ Modified on	Status

ADD DELETE CLOSE

Statement Upload Management - Add document - Google Chrome

https://www.ndexsystems.com/fengine/microsoft_browser/fullservice/statementUploadAddDocument.do?portfoli...

Statement Upload Management - Add document

Document Name:

Source:

Document Type:

Document date:

File path (.pdf):

CLOSE SAVE

For all additionally requi... ion, please forward request to configure to: 3rdpartysiteupload@ndexsystems.com


- BMO Harris PP Statement
- BMO Harris PP Transactions
- CGOV
- FCC
- Hartford
- Haywood
- ING
- Peters Co
- SUN America
- Scotia

Manage Statement Upload Accounts

Current account(s) created by Statement Upload in the portfolio

 DELETE

Statement Upload Management

	Document Name:	Source:	Document Type:	Inserted by	Inserted/ Modified on	Status 
<input type="radio"/>	HSBC Aug201408.pdf	HSBC	Montly Statement	System Administrator	2015/04/30	To verify

 ADD

 DELETE

 CLOSE

CAD USD Exchange Rate at 2015/04/29 : 1.00 USD = 1.2023 CAD

Portfolio	ROR	IRR	Average Cost	Book Value	Close Price	Market Value	Income Since Inception	Total Gain/Loss
U.S. Options			-2.3%	-1,422,445.00		-1,597,16	0.00	-185,660.00
<input type="radio"/> CALL-100 CSCO'16 JA@30-Margin account -0.2%								
Number of Contracts: -700	USD 0.6546		<u>-55,449.00</u>	USD 1.41	-118,667.01	-64,251.00	0.00	-64,251.00
						-116%	0.0%	-116%
<input type="radio"/> CALL-100 DIS'15 JL@97.5-Margin account -0.4%								
Number of Contracts: -150	USD 3.7124		<u>-67,386.00</u>	USD 14.66	-264,385.77	-198,714.00	0.00	-198,714.00
						-295%	0.0%	-295%
<input type="radio"/> CALL-100 INTC'15 JL@37-Margin account 0.0%								
Number of Contracts: -200	USD 1.5546		<u>-37,624.00</u>	USD 0.13	-3,125.98	34,424.00	0.00	34,424.00
						91.5%	0.0%	91.5%
<input type="radio"/> CALL-100 INTC'16 JA@40-Margin account 0.0%								
Number of Contracts: -400	USD 1.2688		<u>-61,415.00</u>	USD 0.34	-16,351.28	45,015.00	0.00	45,015.00
						73.3%	0.0%	73.3%

- Other Accounts
- Other Accounts
- Margin short account
- Margin short account
- Delivery against pay
- Delivery against pay
- Margin account
- Margin account
- Margin short account
- Margin short account
- Delivery against pay
- Cash-A

Portfolio *003-*ODL6G	ROR IRR		Average Cost	Book Value	Close Price	Market Value	Unrealized Gain/Loss	Income Since Inception	Total Gain/Loss
Totals (including Cash Balance)				3,152,990.26		3,293,782.08	140,768.46	0.00	140,768.46
Cash Balance			7.5%	248,409.66		248,409.66		0.00	0.00
Canadian Cash Balance				112,132.20		112,132.20		0.00	0.00
U.S. Cash Balance				136,277.46		136,277.46		0.00	0.00
Fixed Income Securities			5.2%	170,000.00		170,000.00	0.00	0.00	0.00
Canadian Fixed Income			5.2%	170,000.00		170,000.00	0.00	0.00	0.00
<input type="radio"/> EFT GIC 1.65% 12FB15A-HSBC Cash			3.0%						
Nominal Value: 100,000.00	100.00	100,000.00	100.00	100,000.00	0.00	0.00	0.00	0.00	
					0.0%	0.0%	0.0%	0.0%	
<input type="radio"/> HTGIC 1.9% 14AG15A-HSBC Cash			2.1%						
Nominal Value: 70,000.00	100.00	70,000.00	100.00	70,000.00	0.00	0.00	0.00	0.00	
					0.0%	0.0%	0.0%	0.0%	
Mutual Funds			3.6%	118,915.60		118,915.60	0.00	0.00	0.00
Canadian Mutual Funds			3.6%	118,915.60		118,915.60	0.00	0.00	0.00
<input type="radio"/> B2B TR H/IIA A/NL/N (BTB100)-HSBC Cash			3.6%						
Number of Units: 118,915.600	1.00	118,915.60	1.00	118,915.60	0.00	0.00	0.00	0.00	
					0.0%	0.0%	0.0%	0.0%	



**THE ADVISOR NOW HAS AN AGGREGATED VIEW
OF ALL CLIENT HOLDINGS**



Who do we interface with

Ndex is currently scraping from over 600 financial sites

Questions?



NDEX would like to thank you all for attending our presentation and to Interactive Brokers for facilitating it.

Please feel free to contact us through Interactive Brokers

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