

NewRiver Fund Fact Sheets SM



Timely, accurate fund information in print and on the Web

The time and effort spent updating fund fact sheets is challenging enough, but as firms increase the number of non-proprietary funds they offer in response to market pressure, the job gets even harder. By the time you hunt down performance data, current fund descriptions and other data, incorporate your internal compliance disclosures, confirm content, and release to print, the information you publish may already be obsolete. There have never been more compelling reasons to outsource this critical component of investor communications.

An Automated Approach to Fund Fact Sheets With Compliance Built In

NewRiver offers an outsourced solution that ensures accurate and timely fact sheets and performance summaries — without taxing your internal marketing, operations, and compliance resources. With NewRiver Fact Sheets, you get:

- Fund fact sheets and performance summaries for over 21,000 fund CUSIPs
- Performance summaries “on demand” for any client-defined fund groupings
- Plan-specific content in print, online, as digital assets, or integrated with EnrollCompleteSM or NewRiver MicrositesSM

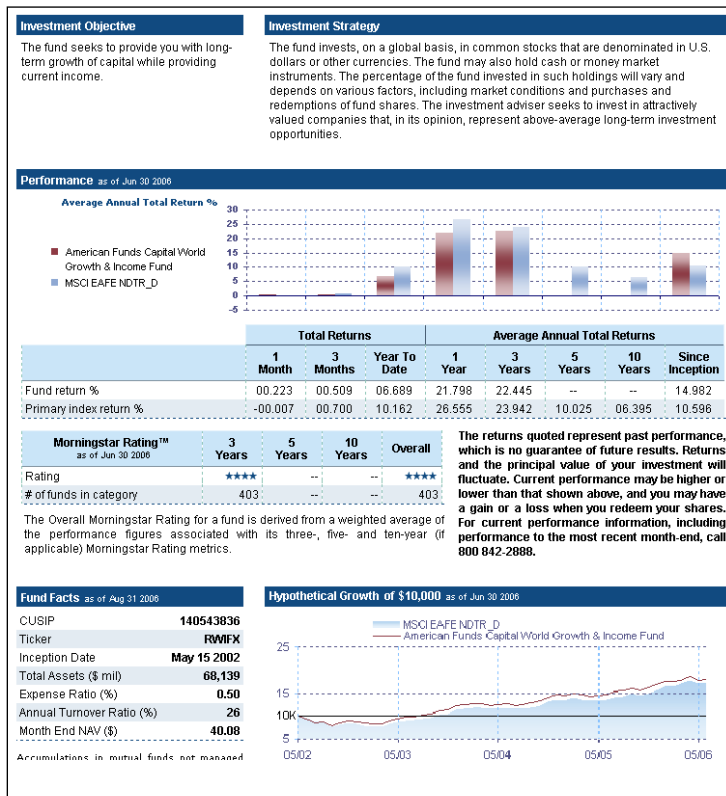
NewRiver combines innovative design, compliance expertise, and publishing automation to publish crisp, accurate fund fact sheets and timely plan performance summaries – integrating the latest data from EDGAR and Morningstar with your proprietary client data. In addition, NewRiver’s patented process technology and flexible publishing platform can accommodate multiple third-party performance data sources and document output needs.

Optimize Your Document Delivery in Print and on the Web

NewRiver Fact Sheets are just one way to build cost-efficiency and quality compliance into your investor disclosure documents.

Add NewRiver’s **Intelligent Delivery Services**[®] to distribute prospectuses, supplements, and semi-annual and annual reports in print and electronically for the most cost-effective way to meet 404(c) “safe harbor” compliance requirements for investor document delivery.

Combine with **EnrollComplete**SM to consolidate all your print and Web communications on a single publishing platform with a central database of content rules and plan logic.



NewRiver Fund Fact Sheets – available in print and online – provide a timely, accurate, and custom-branded set of tools to educate participants and facilitate the individual investment decision.

Who Are NewRiver Fund Fact Sheets Designed for?

- **Retirement Plan Providers** – who wish to replace fragmented internal efforts with an integrated fund data solution that can be personalized for every employer and plan
- **Third-Party Administrators (TPAs)** – who want to offer their clients a premium service that includes branded online fund fact sheets, performance summaries, and prospectuses for each of their sponsors’ plans
- **Brokerage Firms** – who can use NewRiver Fact Sheets to educate investors and create custom performance summaries for favorite fund groupings to help direct investment choices
- **Variable Annuity Manufacturers** – who desire to give producers an attractive set of tools to help investors decide on their initial allocations



Partners in Electronic Compliance and Intelligent Document Fulfillment

Benefits to Your Firm

- **Enhance Participant Experience** – More than just fund descriptions, print and Web fact sheets are marketing tools that provide accurate information and facilitate the investment decision.
- **Reduce Print Costs** – An online, multi-printer ordering interface lets your staff place on-demand fulfillment orders from any location for rapid delivery at competitive rates. And online fact sheets themselves reduce overall demand for printed materials.
- **Promote Online Enrollment** – NewRiver Fund Fact Sheets available on the Web can not only better inform investors, but also provide a direct path to your secure website for online enrollment.
- **Assure Compliant Documents** – Online fund fact sheets contain links to the current prospectus, updated daily with the latest SEC filings on EDGAR

Coverage

- All U.S. open-end mutual funds
- All U.S. exchange-traded funds (ETFs)
- 529 college savings plans
- Variable annuity subaccounts
- Variable life and variable universal life subaccounts

Features

- **Category-Specific Fact Sheet Templates** – supports a wide range of fact sheet templates suited to different investment types and Morningstar investment categories
- **Plan-Specific Performance Cards** – online and print-ready performance summaries maintained for any client-defined collection of funds; Performance data updated with each provider's data cycle
- **Web-Based Fund Management Tools** – self-service fund list and disclosure management tools allow the fund manager to maintain custom disclaimer language and display rules for all print and Web communications
- **Centralized Publishing** – everything needed for both print and Web materials is managed centrally, keeping all your materials in sync and in compliance
- **Data-Agnostic** – integrates data from multiple sources, allowing clients to match the right data source with the right audience
- **Printer-Agnostic** – freedom to coordinate with preferred vendors or internal print fulfillment shops or leverage NewRiver's relationship with leading financial printers
- **Scalability** – covering over 21,000 fund CUSIPs, most changes to your fund lineup can be readily accommodated overnight
- **Branding** – print and online content branded to complement existing communications for plan-specific materials

About NewRiver, Inc.

NewRiver, Inc. is the global leader for electronic compliance and intelligent document services for the financial brokerage and retirement industries. NewRiver's solutions enable brokerages, retirement plan providers, variable annuity providers, and retirement plan recordkeepers to dramatically decrease operational expense, to strengthen customer and business partner relationships, and to improve the productivity of their employees. NewRiver currently serves more than 100 top financial companies, including Allianz/USAllianz Securities; Coates Analytics; E*Trade Securities; First Allied Securities; Lincoln Financial Group; MFS Investment Management; Morgan Stanley; Park Avenue Securities, an indirect Wholly-Owned Subsidiary of The Guardian Life Insurance Company of America; Prudential Financial; Southwest Securities; True North Financial Services; UBS PaineWebber, and Wachovia Securities. NewRiver is headquartered in Andover, Massachusetts.

For more information, please visit www.newriver.com