

NewRiver Services



Premier support for trusted partnership, personalized service, and maximum value

At NewRiver, we believe the embodiment of our brand isn't just the technology solutions we create; it's the customer experience you live every day. Our commitment to product and service excellence enables us to remain on the cutting edge, and to foster enduring relationships with over 100 financial service leaders and regulators.

In an industry where many believe that "customer service is dead," we breathe life into each customer experience with a world-class Services organization attuned to your day-to-day client support needs and emerging business challenges.

When It Comes to Managing Compliance, We Know Your Pain Points

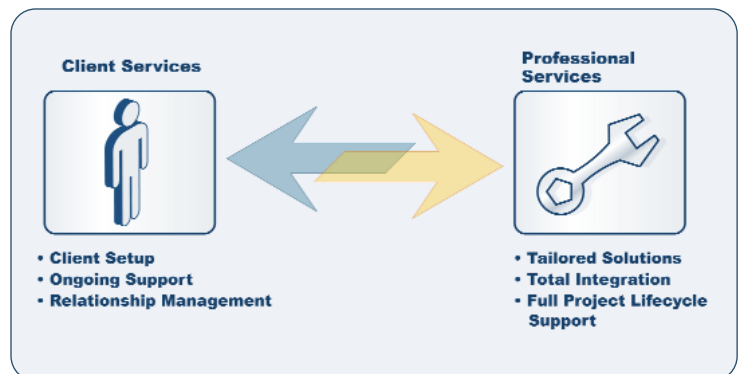
Poor compliance can result in (at best) regulatory audits and (at worst) costly regulatory fines or civil lawsuits. Add on the damage to your company's reputation and loss of your clients' hard-earned trust, and it becomes clear that your best option is to avoid compliance service problems now rather than to resolve them later on.

NewRiver empathizes with the compliance challenges you face. One of our service missions is to shorten the time from product purchase to "go live" solution. How do we do this? By keeping a watchful eye on industry regulation and an ear open to client feedback. Our Web-based solutions and patented technology provide "big company service" to financial firms of all sizes. Just as important, our flexible open architecture, XML interface, and single-sign on capability enable us to customize and integrate our ASP solutions to your unique client business needs and systems requirements.

Customer-Focused for Setup, Support, and Tailored Solutions

NewRiver Services is comprised of two divisions:

- **Client Services** – A comprehensive Services organization structured to provide the critical elements necessary for successful setup and support of your NewRiver product. We provide "best practice" setup, ongoing service, and relationship management through three integrated teams: Business Services, Client Support, and optional Account Management.
- **Professional Services** – Sometimes you need more than a "plug and play" product; you need a technology team to customize and integrate a solution to meet your unique business rules, internal systems, and/or reporting requirements. As a peer organization to Client Services, the Professional Services group works with your business and IT people to build fully integrated solutions or extend NewRiver product capabilities to optimize your compliance management systems and personalize your customer experience.



Partners in Electronic Compliance and
Intelligent Document Fulfillment

Client Services

“End-to-end” client setup, product support, and relationship management

Even with the best solution, compliance data and disclosure documents can be difficult to manage on your own. That’s why we back our industry-best technology with a “best practice” Client Services model featuring a responsive team ready to meet your daily product support and evolving business needs.

Our Services infrastructure is driven by two guiding principles:

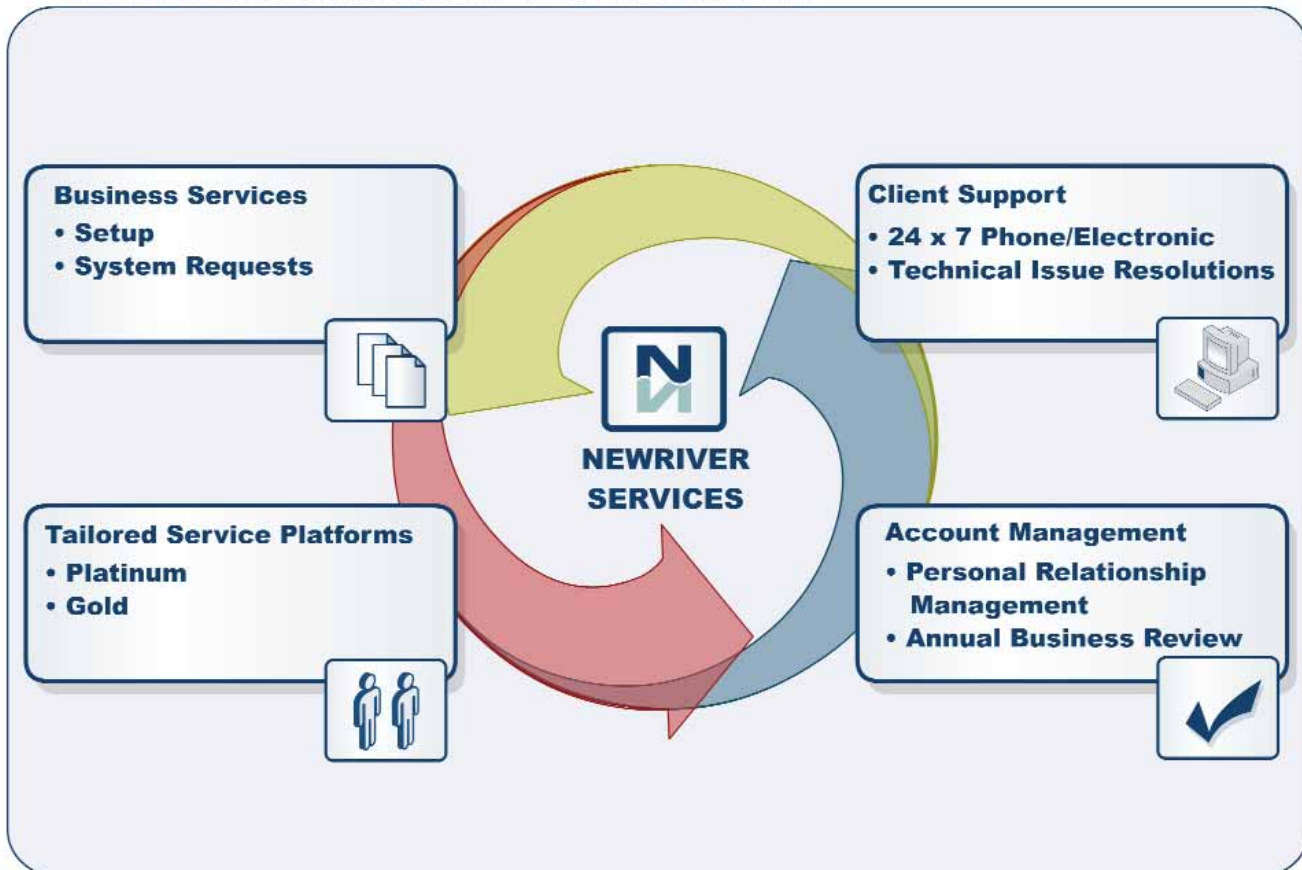
- **Be Easy to Work With** – We’ve designed our Services structure to be client-friendly and easy to use. In other words, you don’t need to get to know our organization to get the level of service you deserve; there is just one name, one number for all your support and service needs.
- **Direct Delivery for Your Service Needs** – “Direct Delivery” means we’ve eliminated the middle man in delivering our service to you. Whenever possible, the person you will be talking to on the phone is the same individual who will follow up and resolve your request.

Multi-Tiered Client Services

Client Services offers three tiers of integrated support:

- **Business Services** – Our Business Services Engineers provide new client setup, meet ad-hoc service requests (e.g., business rules adjustments, custom reports), and offer Level-2 Tech Support (e.g., answers to technical questions).
- **Client Support** – A one-stop shop for both product support and attentive “CustomerCare”. Our Technical Support group provides timely answers to “how to” questions, data validation, and other general questions related to your NewRiver product. CustomerCare representatives assist you with general service inquiries related to your NewRiver solution (e.g., billing inquiries).
- **Account Management (optional)** – The NewRiver Account Manager serves as your business partner and client champion to ensure client satisfaction and escalate any service/technical issues. Your Account Manager stays attuned to your needs with quarterly on-site visits, “best practice” reviews, and a strategic Annual Business Review.

CLIENT SERVICES: END-TO-END CUSTOMER SUPPORT





Gold and Platinum Client Platforms

NewRiver provides every client with the level of service they need to assure the success of their NewRiver compliance technology solution. Our Gold platform covers all clients and includes setup, ad-hoc requests, technical support, and NewRiver's CustomerCare program.

Our Platinum platform is designed for clients who qualify based on their NewRiver annual expenditure and contract agreement. Platinum customers have a more personalized level of service through their Account Manager and a strategic Annual Business Review.

Note: For an additional fee, "Gold Clients" may opt for an Account Manager who becomes an extension of their business and a client service champion within NewRiver. A key value-add of the Account Manager is the Annual Business Review which includes a client satisfaction survey, performance metrics, and NewRiver "best practice" strategy recommendations.

Programs & Offerings	Gold	Platinum
Client Advisory Board	By Invitation	By Invitation
Account Manager	Optional	Standard
Annual Business Review	Optional	Standard
Client Support	Standard	Standard
Technical Support	Standard	Standard
CustomerCare	Standard	Standard
24/7 Severity (Level-1 Support)	Standard	Standard
NewRiver Services Portal	Standard	Standard
eCase Management	Standard	Standard
Knowledge Base	Standard	Standard
FAQ's	Standard	Standard
Access to NewRiver Business Services	Full	Full
Access to NewRiver Professional Services	Full	Full





Premium Programs and Offerings

Client Advisory Board

The NewRiver Client Advisory Board ("CAB") provides a highly interactive forum designed to optimize NewRiver/client collaboration. Through this collaboration, you are exposed to NewRiver Best Practices, developed by NewRiver or other clients, and NewRiver gains valuable insight regarding client use of our products. The CAB has a voice in the NewRiver Product Roadmap. NewRiver is committed to the CAB process and will periodically review the list of CAB companies to ensure a global representation of our partners.

Account Management

The NewRiver Account Manager is your business partner who builds a strong alliance with you and key members of your team. Acting as your trusted advisor, your Account Manager becomes an extension of your business and a valuable point of escalation within NewRiver. Your Account Manager is available by phone and in-person via on-site quarterly visits, "best practice" service reviews, and a strategic Annual Business Review.

Annual Business Review

The Annual Business Review ("ABR") is designed to maximize return on investment through a detailed review of current use factors and a strategic look at your business climate and anticipated challenges and opportunities. The ABR is conducted by your Account Manager at your site of choice. The ABR is a standard service provided to Platinum-level clients, but is available to Gold-level clients through the purchase of the optional Account Management program. Tailored for each client, the ABR typically includes a client satisfaction survey, audit of product use levels and other service metrics, and business strategy recommendation to better meet your evolving business goals.

Client Support

Client Support offers responsive service for technical support and general inquiries:

- **Technical Support** – Technical Support provides timely answers to "how-to" questions, data validation questions, and other general questions related to any product within the NewRiver product set.
- **CustomerCare** – For non-technical inquiries related to your NewRiver solution (e.g., billing), CustomerCare phone support is available during normal business hours on weekdays.

24/7 Severity-1 Support

In the event of a system outage, slow down, or other Severity-1 issue, NewRiver Client Support is available 24 hours a day, seven days a week, and 365 days a year.

NewRiver Services Portal

Available at www.newriver.com, the NewRiver Services Portal provides 24x7x365 online access to:

- **eCase Management** – eCase Management provides the capability to open and/or update a case through email or the self-service portal. Access to detailed case status is available 24/7 through the self-service portal.
- **Knowledge Base** – The Knowledge Base is our way of helping you take advantage of those that have gone before you. Day in and day out, Client Support answers questions and resolves problems reported by our clients. Any of these cases considered to be of general interest are published to the Knowledge Base. Through the NewRiver Services Portal, clients have access to all of these solutions with the help of an easy-to-use, intuitive search engine.
- **Top 10 FAQ's** – On a regular basis, the most frequently searched issues are gathered and posted for easy access.

Professional Services

ASP technology built to your business rules and system integration needs

NewRiver offers a robust set of ASP-based products that are quick and easy to set up, enabling simplified compliance management and reduced regulatory risk. For many clients these industry-best, turnkey solutions meet all of their needs. But for those clients who desire a more tailored solution or a fully integrated system, NewRiver Professional Services is ready to assist.

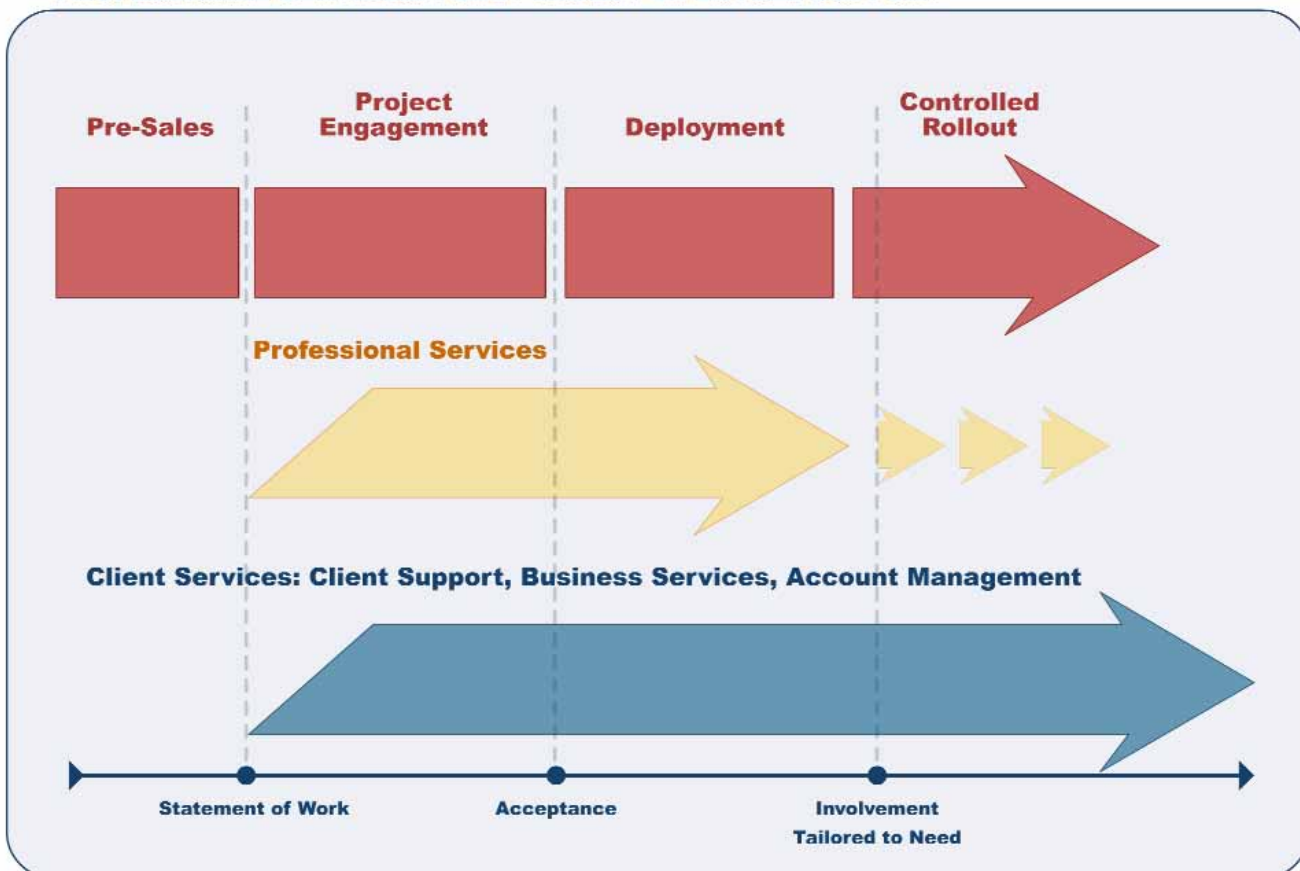
Professional Services is staffed with all roles and skill sets necessary to deliver full-scale software projects via our team of software consulting experts. Simply put, we have the people, resources, and know-how to build and launch your custom solution.

Sample projects performed by Professional Services include:

- Product customizations or extensions
- Complex report creation
- Integration of NewRiver products to client front-office and/or back-office systems
- Process review and re-engineering

Our ultimate objective is happy customers eager to tell the world about their positive NewRiver experience. These references are what grows our business and forges lasting client relationships. That's why we begin each project with the same goal as our clients: a short time to solution deployment. This empowers our clients with rapid time-to-benefit, maximum return on investment and, as a result, a better customer experience.

PROFESSIONAL SERVICES: FULL PROJECT LIFECYCLE SUPPORT



Peace of Mind



NewRiver Services Differentiators

Responsive Team – We've built our Services organization to be flexible to respond to a variety of client sizes and service needs. In short, we create the industry's best technology and support it with the best service professionals.

Flexible Technology – In addition to our flexible, responsive Services team, our ASP-based open architecture and patented process technology enable us to build and support custom requests "better, faster, cheaper" than your internal IT staff or our industry competitors.

Service Continuity – Setup, support, and ad-hoc services are all delivered from the same department – providing synergy in service and a more rewarding customer experience.

Ease of Use – The right people, solutions, and service methodology are a powerful combination that ensures ease of use and a high level of satisfaction for each customer.

About NewRiver, Inc.

NewRiver, Inc. is the industry 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.

Contact Us

To learn more about NewRiver Services or any of our compliance ASP solutions, contact us in the most convenient way for you:

- Call us toll-free at **1-800-481-2331** Monday through Friday, 8:30 a.m. to 5:00 p.m. EST
- Email NewRiver Sales at **sales@newriver.com**
- Click online at **www.newriver.com**

For existing NewRiver customers who wish to open a case, choose one of these options:

- Call NewRiver Client Support at **978-247-7300** Monday through Friday, 8:00 a.m. to 5:00 p.m., EST
- Email us at **support@newriver.com**
- Visit the Services Portal located on the home page and in the Services section of our website at **www.newriver.com**