Customized, on-demand, real-time, accurate, and transparent wealth reporting

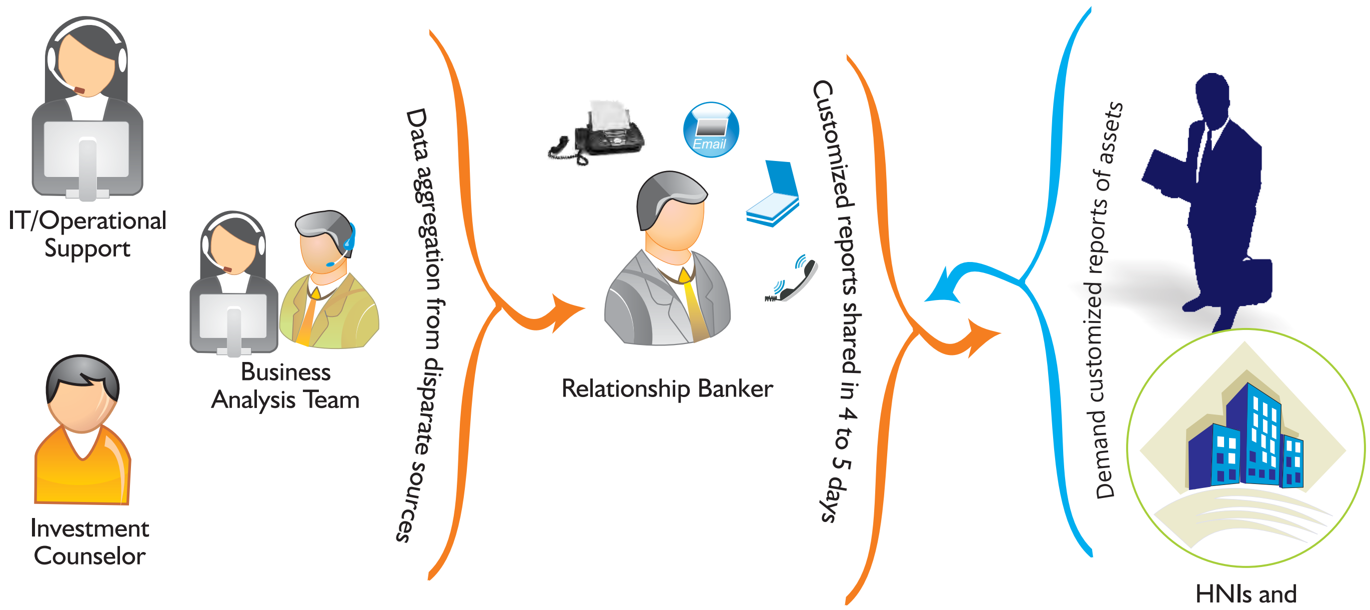
# Responsive Reporting for Smarter Wealth Management

NEWGEN

*One world. One workplace.*

## Overview

Today's asset owners expect their primary financial institutions to provide a consolidated view of their net assets, including non-custody investments (investments with other banks or wealth management entities), in a customized report, delivered on-demand. Moreover, clients have become cautious about the performance of their investments, and demand complete transparency from their wealth managers in asset reporting. In such a scenario, banks not only face the challenge of offering a comprehensive portfolio of products, but are also expected to provide customers with on-demand, real-time, customized reports of the performance of their assets. Further, financial institutions need to ensure that their communication with customers is consistent across channels.



Typical Wealth Management Reporting Scenario

## Reporting Challenges

While efficient client reporting is critical to the success of wealth management institutions, they still struggle to deliver consistent, on-demand, and customized reports to their clients. Aggregating data collected from multiple disparate systems is challenging and requires major support from back office operations. Further, report creation involves multiple reviews by financial advisors, analysts, and legal and compliance functions, which adds to the process complexities.

### Key Client Reporting Challenges Faced by Relationship Managers

**Customized Reports On-demand**

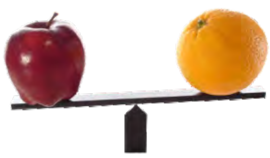
Generating on-demand reports tailored to the varying needs of customers

**Regulatory Compliance**

Meeting the ever-changing fiduciary standards and compliance requirements;

**Comparative Analysis**

Providing comparative data such as historical performance and performance of alternative products;



**Accuracy and Transparency**

Eliminating chances of missing regulatory notes, disclaimers, or any other component of the report, and avoid manual calculation or data entry errors

## Newgen's Solution

Newgen's OmniOpus enables end-to-end automation of the Wealth Management Reporting process, covering every aspect of client reporting – including data aggregation, validation, creation of personalized reports, multi-channel distribution, and archiving.

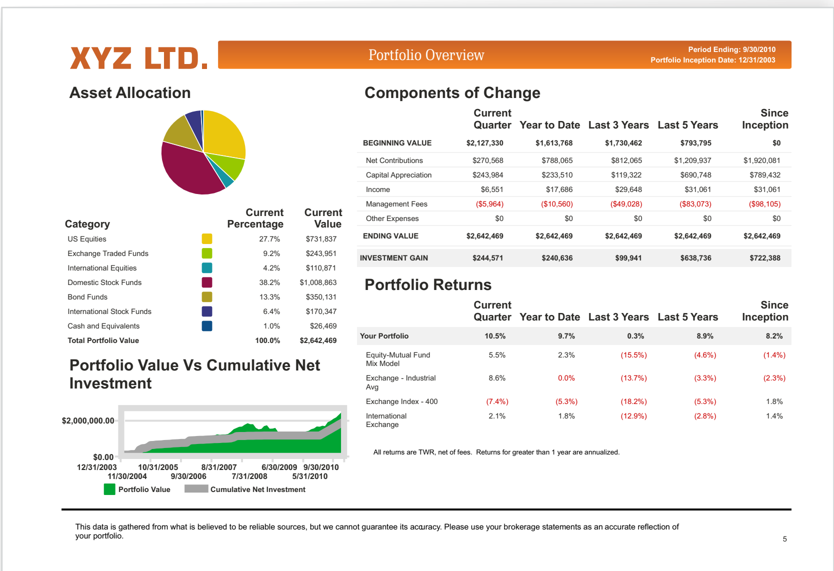
OmniOpus allows Relationship Managers (RMs) to tailor, and contextualize the reports based on the specific needs of the clients. It treats a report as an aggregation of several components, each of which is a reusable logical grouping of data items, computations, static text, and layout. Further, OmniOpus allows wealth management organizations to adapt to new requirements quickly, and aggregate data from multiple sources to produce real-time performance statistics. RMs can generate reports on-demand, or schedule reports to be sent to clients at specified intervals, with no support required from back-end operations, and no long approval cycles.

## Key Features

- Component-based templates that can be tailored as per the client's need
- Drag & drop functionality for designing custom reports
- Graphical representation of data with comparative analyses based on historical performance and performance of alternative products
- Workflow-based approvals for each component, for necessary validations and auditing
- Automatic fetching of dynamic data-fields within each component
- Component level disclaimers and filters
- Multi-lingual, multi-currency report generation
- Single platform for multichannel delivery of reports - print, email, web, and mobile

## Key Benefits

- Reports tailored to customers' needs and available upon request
- Relationship Managers are empowered to schedule reports for varied frequencies– daily, weekly, or fortnightly, depending on customers' preferences
- Consolidated, fair, and transparent reporting of assets, ensuring adequate disclosure of risks to customers
- Accurate calculations, supported by complex consolidation, validation, and graphical representation of data
- No need of multi-level approvals
- Comparative analyses data, allowing customers to assess the relative performance of their assets
- Reports delivered via customers' preferred channels – print, email, web, mobile
- Highly personalized and compelling customer experience, ensuring increased customer satisfaction
- Elimination of risks associated with missing regulatory notes/disclaimers, calculation errors, etc.
- 100% compliance with regulations



XYZ LTD.

Portfolio Overview

Period Ending: 9/30/2010
Portfolio Inception Date: 12/31/2003

Asset Allocation

| Category | Current Percentage | Current Value |
|---|---|---|
| US Equities | 27.7% | $731,837 |
| Exchange Traded Funds | 9.2% | $243,951 |
| International Equities | 4.2% | $110,871 |
| Domestic Stock Funds | 38.2% | $1,008,863 |
| Bond Funds | 13.3% | $350,131 |
| International Stock Funds | 6.4% | $170,347 |
| Cash and Equivalents | 1.0% | $26,469 |
| **Total Portfolio Value** | **100.0%** | **$2,642,469** |



Components of Change

| | Current Quarter | Year to Date | Last 3 Years | Last 5 Years | Since Inception |
|---|---|---|---|---|---|
| **BEGINNING VALUE** | **$2,127,330** | **$1,613,768** | **$1,730,462** | **$793,795** | **$0** |
| Net Contributions | $270,568 | $788,065 | $812,065 | $1,209,937 | $1,920,081 |
| Capital Appreciation | $243,984 | $233,510 | $119,322 | $690,748 | $789,432 |
| Income | $6,551 | $17,686 | $29,648 | $31,061 | $31,061 |
| Management Fees | ($5,964) | ($10,560) | ($49,028) | ($83,073) | ($98,105) |
| Other Expenses | $0 | $0 | $0 | $0 | $0 |
| **ENDING VALUE** | **$2,642,469** | **$2,642,469** | **$2,642,469** | **$2,642,469** | **$2,642,469** |
| **INVESTMENT GAIN** | **$244,571** | **$240,636** | **$99,941** | **$638,736** | **$722,388** |

Portfolio Returns

| | Current Quarter | Year to Date | Last 3 Years | Last 5 Years | Since Inception |
|---|---|---|---|---|---|
| **Your Portfolio** | **10.5%** | **9.7%** | **0.3%** | **8.9%** | **8.2%** |
| Equity-Mutual Fund Mix Model | 5.5% | 2.3% | (15.5%) | (4.6%) | (1.4%) |
| Exchange - Industrial Avg | 8.6% | 0.0% | (13.7%) | (3.3%) | (2.3%) |
| Exchange Index - 400 | (7.4%) | (5.3%) | (18.2%) | (5.3%) | 1.8% |
| International Exchange | 2.1% | 1.8% | (12.9%) | (2.8%) | 1.4% |

All returns are TWR, net of fees. Returns for greater than 1 year are annualized.

This data is gathered from what is believed to be reliable sources, but we cannot guarantee its acuracy. Please use your brokerage statements as an accurate reflection of your portfolio.

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Sample Reports

## About Newgen

- Leading Global Provider of Business Process Management (BPM), Enterprise Content Management (ECM) & Customer Communication Management (CCM)
- 1000 installations across 50 countries
- Solutions for Banking, Insurance, Healthcare, BPO/SSCs, Telecom and Government
- Credited with some of the world's largest implementations
- Innovative culture, consistent R&D investments, 40 patents
- Employee strength 1200+
- Certified for ISO 9001:2008, ISO 27001:2005 and CMMI Level3

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