



# Tools & Analytics for Advisory

---

Empowering the front office  
through personalization,  
automation & compliance

# PFTPPro Wealth Management Suite

Sophisticated **front office digitalization** tools that deliver value to clients across channels and reduce cost-to-serve.

How do you increase the profitability of investment services when the regulatory landscape is shifting, competition increasing, budgets shrinking and clients demand even more sophisticated and innovative services for less?

## Create value for clients while lowering costs

PFTPPro delivers sophisticated, personalized, compliant and ongoing services through each client’s preferred channels, exploiting all possible opportunities for automation.

## Choose PFTPPro

Transform the way your relationship managers interact with your clients

- Retain and win new clients with personalized, value adding services across channels
- Lower cost-to-serve through automation
- Guarantee the compliance of your services with MiFID II, FinSA, SFDR and other regulations
- Govern and monitor the front office from headquarters

### PROVIDE VALUE TO INVESTORS

- Personalization of investment solutions to their unique situation
- Advice informed by sophisticated quantitative analysis
- Ongoing monitoring and alerting
- Hybrid, omni-channel services

**Unique, value-adding services based on advanced technology justify fees and commissions**

### LOWER COST TO SERVE

- Improve efficiency through automation, to be adopted incrementally as desired
- Self-service and hybrid portals
- Proactive tracking and alerting
- Governance from headquarters guides relationship managers and clients

**Cutting-edge technology to facilitate the work of relationship managers and investors**

### CONTAIN RISK

- Customizable compliance blueprints for MiFID II, FinSA, SFDR, IDD, GDPR, PRIIPS, etc.
- Modular architecture allows for incremental adoption
- Service oriented architecture allows for easy integration

**Compliant, modular and service oriented, minimizing regulatory and operational risks**



PFTPPro is the leading wealth management solution in the European market, as confirmed by Forrester’s Digital Wealth Management Platforms Wave in Q1 2022

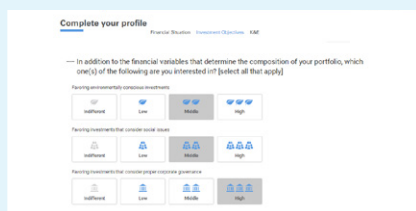
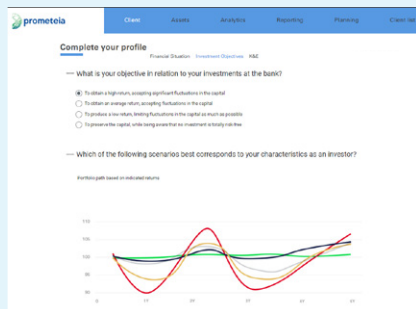
# PFTPro Client Profiling

## Compliance and consistency

### NEED

- **Compliance**  
with FinSA and MiFID II investor protection, SFDR requirements
- **Personalization**  
of advice to client characteristics and preferences
- **Consistency**  
of service across clients and relationship managers

### SOLUTION



- **Customizable questionnaire blueprint**
    - Financial situation
    - Investment objectives
    - Knowledge and Experience
    - Sustainability preferences
- **Summary of client characteristics** and their implications for products and portfolios
  - **Profile updates** as required
- **Digital online completion** by client or relationship manager
  - **Algorithm** to match client and profile
- **Centralized repository** for client characteristics

### VALUE ADD

- ✓ **Easy** to complete questionnaire
- ✓ Always available for **reference**
- ✓ **Consistent**, client specific **guardrails** and thresholds for what is allowed in the portfolio help relationship managers stay compliant
- ✓ Guarantees **FinSA, MiFID, SFDR** and **Cross-border** requirements
- ✓ All **client info** in one place
- ✓ Systematic collection of **client needs** and **preferences**



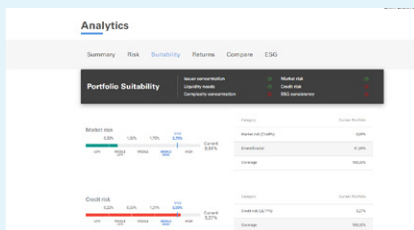
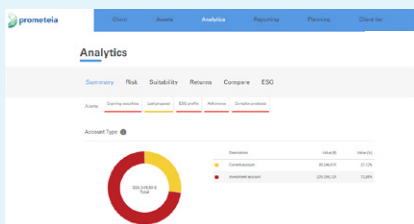
# PFTPro Portfolio Analysis and Reporting

## Transparency and sophistication

### NEED

- **Transparency**  
with the client regarding the state of the portfolio
- **Personalization**  
coherence of portfolio with client preferences over time
- **Consistent Quality**  
range of analytics to measure the quality of portfolios and recommendations
- **Service sophistication**  
based on advanced but easy to understand KPIs
- **Ease of use**  
consolidated view of portfolio KPIs
- **Financial expertise**  
in the eyes of the client

### SOLUTION



- Analysis of **internal** and **external accounts**
- **Composition** and **exposure** (AC, currency, etc.)
- Summary **KPIs** (PTF quality, ESG, etc.)
- **Risk metrics** (market, credit, liquidity)
- **Client reports** with customizable templates
- **Market data** and **analytics feed** included

#### PERSONALIZATION module adds:

- Portfolio **suitability indicators** (FinSA, MiFID II, SFDR)
- **Comparison vs model portfolio**

#### ADVANCED module adds:

- Time-weighted **performance** & contribution
- **Risk/Return** indicators
- **Tracking** vs models and benchmarks

### VALUE ADD

- ✓ **Up-to-date** portfolio KPIs available at any time
- ✓ **Clear** and **actionable** insight into the portfolio composition
- ✓ All key portfolio info in a **single place**
- ✓ Advanced views of portfolio reinforce relationship manager's **expertise**
- ✓ Client reports reflect **positioning of service**
- ✓ Indicators of **compliance** and **coherence with client needs**
- ✓ Rebalancing **calls-to-action**
- ✓ Enhanced **sophistication** of analytics and reports
- ✓ Compare investment solutions with a **what-if analysis**

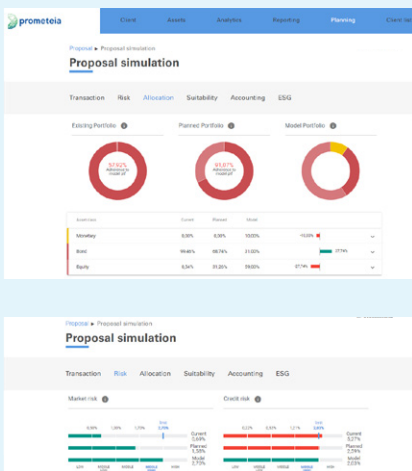
# PFTPro Investment Proposal

## Quality and compliance

### NEED

- **Compliance** with FinSA, MiFID II and SFDR investor protection
- **Lower cost-to-serve** to increase profitability
- **Personalization** of advice to the client's situation
- **Service quality** timely investment ideas delivered to client
- **Consistency** of service across clients and relationship managers
- **Commercial efficiency** improve distribution of preferred products

### SOLUTION



- Automatic **pre-trade checks**
  - Regulatory (Suitability, FinSA, MiFID II, SFDR, Cross-border)
  - Product placement & tax optimality
- **Proposal simulation**
- **Pre-post comparison**
- **Documentation & transparency** with customizable templates
- **Risk management**
- Pre-integrated **market data & analytics** data feed

#### **ADVANCED module adds:**

- **Client limits and restrictions** (e.g. ESG)

#### **AUTOMATION module adds:**

- Automatic order **recommendations**
- Proprietary **optimizations**
- **Guided** by rules set by **CIO's office**

### VALUE ADD

- ✓ **Reduction** of **regulatory risk** through the application and documentation of pre-trade investor protection checks
- ✓ **No manual checks** necessary
- ✓ All proposals **suitable** to client
- ✓ **Consistent application** of **proposal quality controls** across relationship managers and clients
- ✓ **Simple** to interpret proposal KPIs illustrate benefits and quality
- ✓ Highlight products to **increase placement** (e.g. positive view)
- ✓ Enhanced **personalization**
- ✓ **Faster** creation of compliant, personalized proposals
- ✓ Delivery of **more investment ideas** to **more clients more often**
- ✓ Pre-post analytics to illustrate coherence with **fiduciary duties**

# PFTPro Engagement

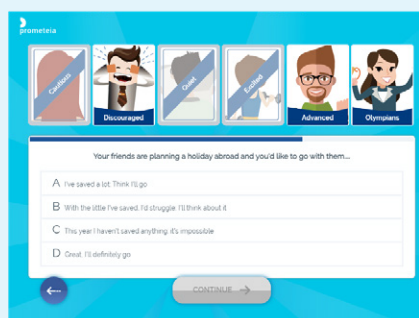
## Prospect engagement

### NEED

→ **Prospecting**  
for new investment services clients

→ **Engagement**  
of new clients in the investment process

### SOLUTION



- **Gamified approach** to non-regulatory **profiling**

- **Customizable “fun” questionnaire** blueprint

- Financial situation
- Investment objectives
- Knowledge and Experience

- **Digital online completion** by prospective client

- Highlights of expected **prospect characteristics** and **behaviours**

- **Algorithm** to match prospect to an example portfolio allocation

- Illustration of **past** and **expected performance** of the example **allocation**, as well as basic KPIs to encourage investment

### VALUE ADD

- ✓ **Easy** client engagement with investment offering

- ✓ Makes the first steps to investment **more accessible**

- ✓ **Fun** and **modern**

- ✓ **Fully digital**

- ✓ **No authentication necessary**, can be made available to anyone and everyone

- ✓ **Drive traffic from anywhere** - website, mailings, social media

- ✓ **Drives users** to contact bank or directly to investments onboarding

# Robo Advisory

**The world is full of low-cost, commodity robo advisors.  
How would you do it differently? What distinctive value would you add?**

Offer your unique advisory services, your way. Digitally.



## BE DIFFERENT

Your clients come to you for a reason, and your brand brings with it certain expectations

Translating that unique advantage to a digital service is hard and may be risky, but it can be done. It must be done

Because the benefits are unmistakable, and you can't be left behind

### → CONVERT SAVINGS TO INVESTMENTS

Make it easy and cheap to invest, encouraging savers with too much cash to become investors

### → CAPTURE NEW CLIENT SEGMENTS

Attract digital clients, emerging wealth and the price-sensitive with a great UX, lower minimums and fees

### → LOWER COST TO SERVE

Serve new segments profitably with a low incremental cost of serving each new digital client

## PROMETEIA PFTPRO ROBO ADVISORY: SOPHISTICATED ADVISORY SERVICES MADE SIMPLE



### FLEXIBLE

Wide array of components to configure a distinct, unique customer experience



### EASY ON I.T.

Straightforward integration into existing core and front systems



### COMPLETE

All you need to get up and running - process, data, **FinSA compliance**



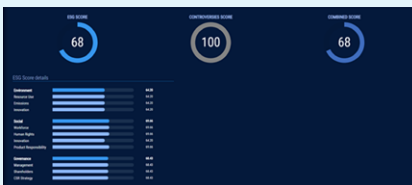
# PFTPro Data and Analytics

## Easy access to product data

### NEED

- **Compliance**  
with FinSA and MiFID II KYP requirements
- **Service sophistication**  
based on advanced but easy to understand product KPIs
- **Transparency**  
with the client regarding the state of the portfolio and its constituents
- **Personalization**  
of advice to the client's situation in function of product characteristics

### SOLUTION



- Financial product **data and analytics data feed**, including:
  - Risk - market, credit, liquidity, PRC
  - Regulatory classifications
  - Composition - asset class, currency, etc.
  - Customizable quality scoring
- **Any product covered**, including OTC
- **All product types**, from simple to most complex
- **20+** year track-record with >125 clients

#### ESG analytics:

- **450+** metrics
- **Category, pillar and summary scores**
- May be taken up separately

#### PRIIPs:

- **Fact sheets / KIDs / KIIDs**
- **Production of documentation** for own products
- May be taken up separately

### VALUE ADD

- ✓ All financial product market data and analytics necessary for **KYP** as required by regulation:
  - **FinSA**
  - **MiFID II**
  - **PRIIPs**
  - **SFDR**
- ✓ **Product data** to support
  - PTF analysis & monitoring
  - Personalized proposal construction
- ✓ **Single, consolidated feed**
- ✓ **Market data** sourced from leading **providers**
- ✓ Specialist data management leading to **superior quality** and **cost efficiency**
- ✓ **Robust processes** overseen by subject matter experts
- ✓ **Contractual expertise**



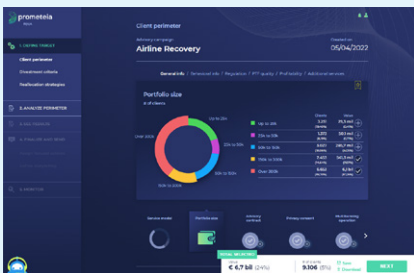
# PFTPro Investment Idea Distribution

## Deliver more ideas to more clients more quickly

### NEED

- **Commercial efficiency**  
improve distribution of preferred products
- **Service quality**  
wide range of timely investment ideas
- **Convert**  
execution only clients to advisory clients
- **Lower cost-to-serve**  
to increase profitability
- **Personalization**  
of advice to the client's situation

### SOLUTION



#### CIO-facing investment idea distribution campaign process, including:

- Selection of target clients
- Identification of sell positions
- Definition of **ideas/allocation strategies**
- Simulation of **compliant, personalized reallocations** for single clients
- Assignment of **ideas to clients**
- Creation of **accompanying storytelling**

#### Relationship manager-facing idea reception

- **One-click** personalized **proposal** based on CIO's investment idea
- Review of **associated storyline**
- **Manual** and/or **guided customization**
- Forward to **self-service channels**, if any

### VALUE ADD

- ✓ Investment idea lifecycle governance by **CIO's office**
- ✓ **Compliant** by design
- ✓ Able to handle **millions of portfolios** at the same time
- ✓ **One-click application** by relationship manager
- ✓ **Improves portfolio KPIs**
- ✓ Targeted, optimized and compliant proposals with storytelling lead to an enhanced **customer experience & service**
- ✓ **Client proposals automatically personalized**, room for relationship manager to personalize further online
- ✓ **Flexibility** for CIO to create complex ideas using preferred products, still one-click for relationship manager

# PFTPro Wealth Management Suite - Architecture

The PFTPro enterprise wealth management platform is the expression of Prometeia's unique WealthTech approach, uniting advanced methodology, process and technology in the service of business objectives.

Its modules may be freely combined to deliver specific functionalities, and together guarantee complete coverage of WM processes and workflows.

## USER EXPERIENCE



**RELATIONSHIP MANAGER**  
web and tablet

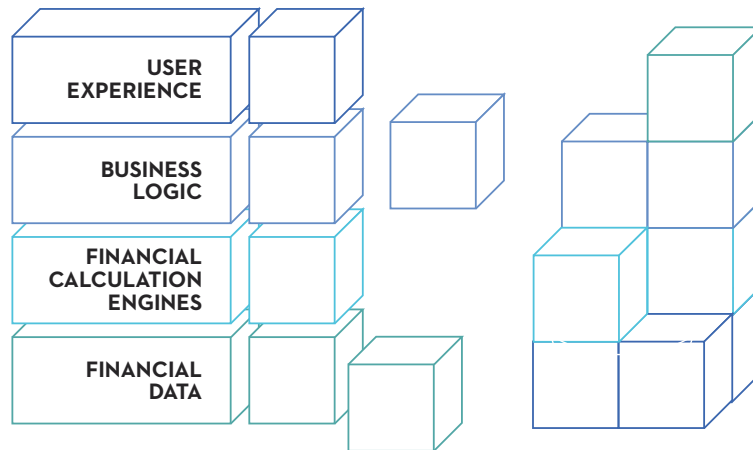


**CLIENT**  
web and tablet



**CLIENT**  
mobile

SIMPLY CHOOSE THE MIX OF COMPONENTS WHICH BEST SUITS YOUR NEEDS



ON PREMISE, PRIVATE OR PUBLIC CLOUD



### J2EE

Pure Java Enterprise

### ENTERPRISE / SOA

Open and easy to integrate  
APIs available

### SCALABLE

Both up and out

Leading provider of Wealth and Risk Management **software**, **data** and consulting **services** to the financial sector

Helps you:

- **Digitally enhance** the **advisory business** and improve **client engagement**
- Guarantee **FinSA, MiFID** and **SFDR compliance** with **automated pre- and post-trade checks & reporting**
- **Exceed client expectations** by better **leveraging technology & data analytics** to provide **sophisticated, personalized services**
- Keep **track** of **client needs**
- **Understand, monitor, track** and **alert** client's **portfolio**
- Put together **hyper-personalized investment proposals** in line with CIO's investment ideas at scale

***Differentiate from your competitors  
where it matters – in the front office***



Twitter: @PrometeiaGroup

Linkedin: prometeia

YouTube: prometeia

Facebook: prometeiagroup

[www.prometeia.com](http://www.prometeia.com)

For further information:

**[switzerland@prometeia.com](mailto:switzerland@prometeia.com)**