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Tools & Analytics for Advisory

Empowering the front office through personalization, automation & compliance

TOOLS & ANALYTICS FOR ADVISORY

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

Choose PFTPro

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

FORRESTER®
WAVE LEADER 2022
Digital Wealth Management Platforms

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

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PFTPro Client Profiling

Compliance and consistency

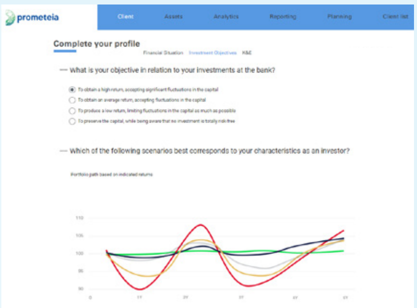
NEED

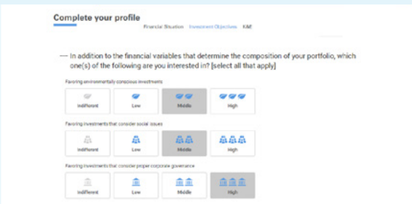
→ **Compliance**
with FinSA and MiFID II investor protection, SFDR requirements

→ **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
- **Digital online completion** by client or relationship manager
- **Algorithm** to match client and profile
- **Summary of client characteristics** and their implications for products and portfolios
- **Profile updates** as required
- **Centralized repository** for client characteristics

VALUE ADD

✓ **Easy** to complete questionnaire

✓ **Consistent**, client specific **guardrails** and thresholds for what is allowed in the portfolio help relationship managers stay compliant

✓ All **client info** in one place

✓ Always available for **reference**

✓ Guarantees **FinSA**, **MiFID**, **SFDR** and **Cross-border** requirements

✓ Systematic collection of **client needs** and **preferences**

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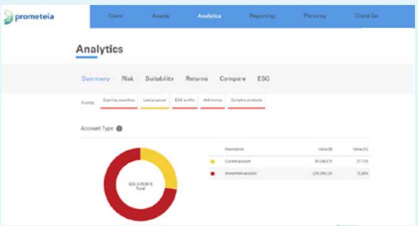
PFTPro Portfolio Analysis and Reporting

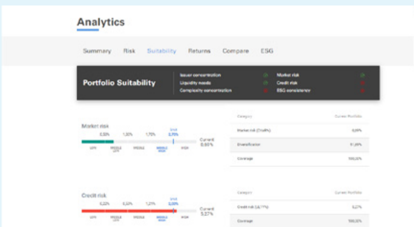
Transparency and sophistication

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**

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PFTPro Investment Proposal

Quality and compliance

NEED

→ **Compliance**
with FinSA,MiFID II and SFDR investor protection

→ **Lower cost-to-serve**
to increase profitability

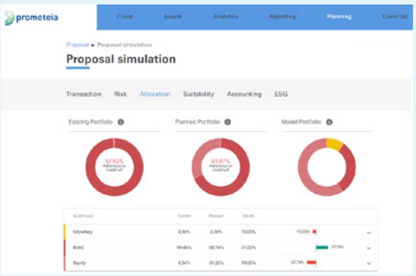
→ **Personalization**
of advice to the client's situation

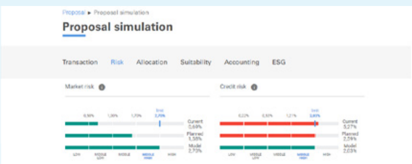
→ **Service quality**
timely investment ideas delivered to client

→ **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**

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PFTPro Engagement

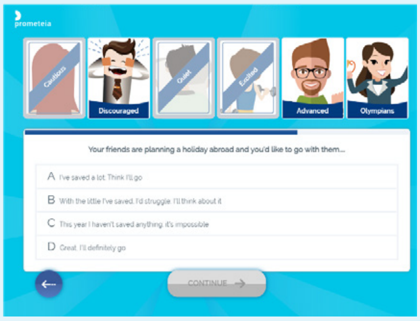
Prospect engagement

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

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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**

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PFTPro Data and Analytics

Easy access to product data

NEED

- **Compliance**
  with FinSA and MiFID II KYP requirements
- **Transparency**
  with the client regarding the state of the portfolio and its constituents
- **Service sophistication**
  based on advanced but easy to understand product KPIs
- **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**

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PFTPro Investment Idea Distribution

Deliver more ideas to more clients more quickly

NEED

→ **Commercial efficiency**
improve distribution of preferred products

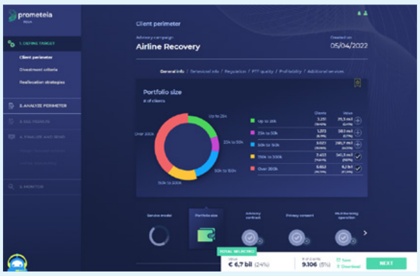
→ **Service quality**
wide range of timely investment ideas

→ **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**

✓ **One-click application** by relationship manager

✓ **Client proposals automatically personalized**, room for relationship manager to personalize further online

✓ **Compliant** by design

✓ **Improves portfolio KPIs**

✓ **Flexibility** for CIO to create complex ideas using preferred products, still one-click for relationship manager

✓ Able to handle **millions of portfolios** at the same time

✓ Targeted, optimized and compliant proposals with storytelling lead to an enhanced **customer experience** & **service**

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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.

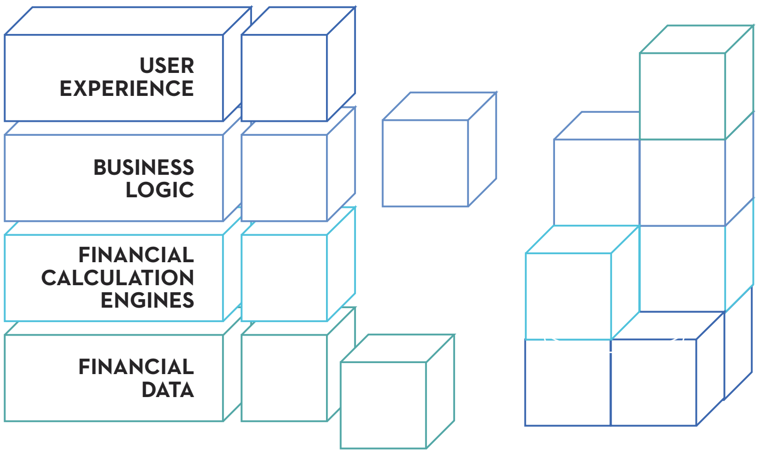
USER EXPERIENCE

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

aws | Microsoft Azure | Google

J2EE	ENTERPRISE / SOA	SCALABLE
Pure Java Enterprise	Open and easy to integrate APIs available	Both up and out

 | www.prometeia.com | for further information: wealthsolutions@prometeia.com

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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** and **track** client portfolios
- → Put together and distribute **hyper-personalized investment proposals** at scale

Differentiate from your competitors where it matters — in the front office

Twitter: @PrometeiaGroup

Linkedin: prometeia

YouTube: prometeia

Facebook: prometeiagroup

www.prometeia.com

For further information:

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