TradePMR

Brokerage & Custody Services for RIAs

The Technology Platform
by Advisors for Advisors

The TradePMR Story

TradePMR's technology is designed to be exactly what RIAs need because it was developed with the first-hand experiences of its founder and CEO, Robb Baldwin. Robb, a successful RIA, realized after a difficult custodial merger, that what advisors needed was not only tomorrow's technology today, but also a brokerage firm uniquely focused on providing extraordinary support and service to advisors.

Robb worked tirelessly, determined to turn his challenging experience into an outstanding company providing exceptional technology and boutique support to a select group of independent financial advisors. With that goal in mind, TradePMR delivered its first advisor workstation in 1998.

Building on almost two decades of service, and utilizing the feedback of thousands of advisors, we continually refine our platforms to meet the ever-changing needs of the RIA industry. From portfolio rebalancing to a full range of specialized tools like fully integrated Performance Reports, TradePMR continues to provide robust technology solutions to financial advisors.

With the additions of EarnWise, our mobile platform featuring robo technology, and client-driven account opening, we continue forward as a pioneer within the investment industry.

Our firm, true to its roots and unique foundation, gives you a partner of uncommon character and outstanding service.

TradePMR stands ready to help you find your true independence.

CUTTING EDGE TECHNOLOGY WITHOUT SACRIFICING SUPPORT

TradePMR is a brokerage firm providing registered investment advisors with the technology needed to manage their clients' accounts, easily execute transactions, and track the performance of client investment portfolios. Our technology, together with our world-class support, not only makes the transition to TradePMR seamless, but also provides RIA's with ongoing support to help them grow and prosper.

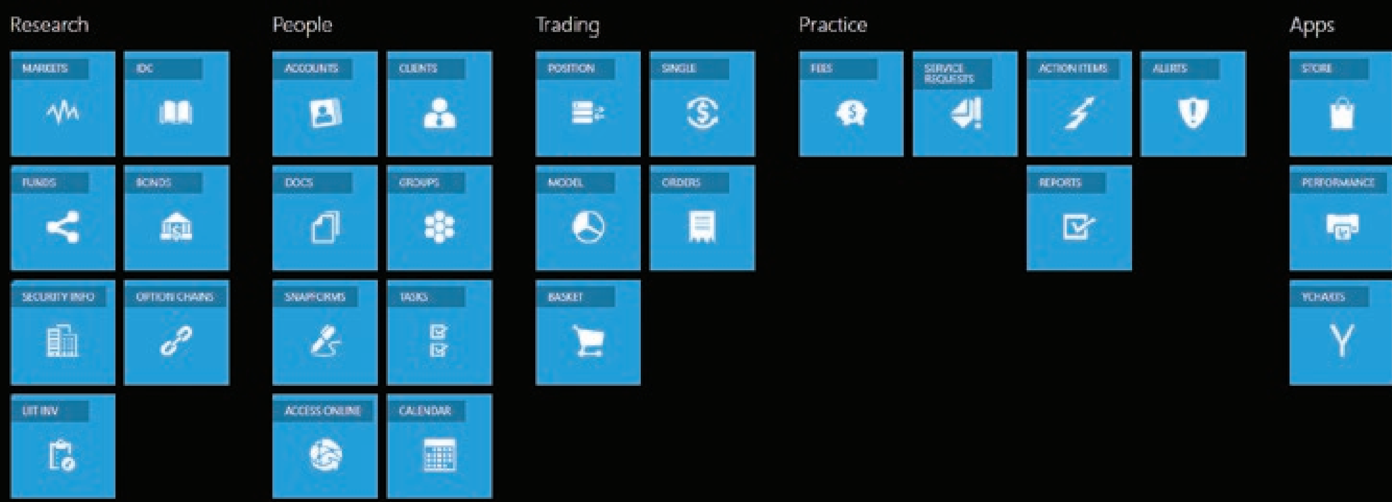
From mobile-ready solutions to hands-on advisor support, TradePMR stands ready to meet the needs of firms both large and small. We not only focus on delivering the technology needed to operate efficiently, but on providing continual support and education to advisors through our professional and attentive staff including:

ADVISOR SERVICES – Our Advisor Services team works diligently to provide advisor satisfaction through training, onboarding support, and continual relationship management designed to help your practice grow.
TRADING - Professional staff who can guide you through complex option transactions, basket trades and model trading.
ACCOUNTS – Get client accounts updated, opened and closed with efficiency by our Accounts team, who is there to guide you from application completion to customer identification verification.
TRANSFERS - Moving client assets quickly and efficiently creates a lasting impression on new clients. Our Transfer Department can walk you through difficult conversions, making the movement of assets quick and easy.
CASHIERING - Fund movement done quickly and accurately makes for long term client retention. Our Cashiering Department provides outstanding support for your clients' monetary transactions.
TECHNOLOGY & QUALITY ASSURANCE – Develops and improves new technology solutions with rigorous testing to ensure impeccable product delivery.

THE TECHNOLOGY YOU NEED, WHEN YOU NEED IT

TradePMR's award-winning[i] advisor workstation and new mobile-ready solution allows you to manage virtually every aspect of your practice with comprehensive and intuitive workflows that feature:

- Integrated fee billing
- Optional integrated Performance Reports
- Electronic account opening
- A secure advisor portal for transaction requests and communications
- Advance trading such as models and trailing stops
- Robo solutions for online, client-driven account opening
- Client portal



Fusion Advisor Workstation

Fusion, TradePMR's flagship product, offers revolutionary workflows to ease the burden of day-to-day back-office operations for RIAs. Features include:

ACCOUNT MANAGEMENT

View and search through client accounts in a variety of simple ways including name, tax id, or account number. View details, history and account demographics with a single click.

ACCOUNT WORKBOOK

View and manage all aspects of an individual account from one easy and intuitive workstation. Fusion allows you to open accounts electronically while simultaneously initializing brokerage ACATs. Our paperless account opening process utilizes DocuSign for simplified identity verification. ACH transactions can be easily entered for both on-demand and periodic requests. Fusion offers quick, seamless navigation between a client's Portfolio, Gains and Losses, Account Snapshots, Statements and more.

TRADING

TradePMR's platform provides a robust trading environment where advisors can quickly and efficiently trade on an individual account basis or on a position basis across multiple accounts. The system offers a variety of trading tools including:

Model Trading - Build Model Portfolios that can be applied to one or more client accounts. Once a model is created, you can analyze the differences between any account and the applied model, or rebalance an account against the model. The resulting trades create a Basket which can be viewed, modified, and executed at your convenience.

Position Trading - Simultaneously open and close positions across all accounts.

Basket Trading - A basket trade works like a shopping cart, you can add multiple accounts, securities and actions (buys/sells) to one basket. A basket is created when placing multiple trades at once.

Trailing Stops - Follow a stock's rising price while setting a trailing sell order in the event of a downturn. A trailing stop is more flexible than a fixed stop loss because it automatically tracks the stock's upward price direction and does not have to be manually reset like a fixed stop loss. Trailing Stop orders can be entered with a trail between 1% and 15%.

FEE CALCULATION

The TradePMR workstation includes a robust fee system that makes it easy to process fees in a timely manner. Firm billings can be calculated quickly and easily in keeping with your preferences including: in advance or arrears, as well as using average daily balance or end-of-period values. A variety of additional settings can be selected including:

- Billing accounts on an individual or group basis
- Billing monthly, quarterly or based upon the days in a period.
- Aggregated tiered fee schedules, flat breakpoints, dollar amounts or flat fee percentage calculations.

PERFORMANCE REPORTING

TradePMR's optional Performance Reports provide robust and professionally crafted data, updated daily, to produce either individual account reports or consolidated reports which combine information from multiple householded accounts. Performance data can be compared to dozens of popular indexes or a blended index (utilizing up to 5 indexes of your choice).

Additional Features include:

- Customizable Cover Page
- Multiple "single click" Snapshot Reports with our most popular demographic information
- Affordability! Our Performance Reports are available at a fraction of the cost of comparable options
- Branding – Performance Reports can be produced with your firm's color logo and distributed electronically to those clients with Access Online

CLIENT RELATIONSHIP MANAGEMENT (CRM)

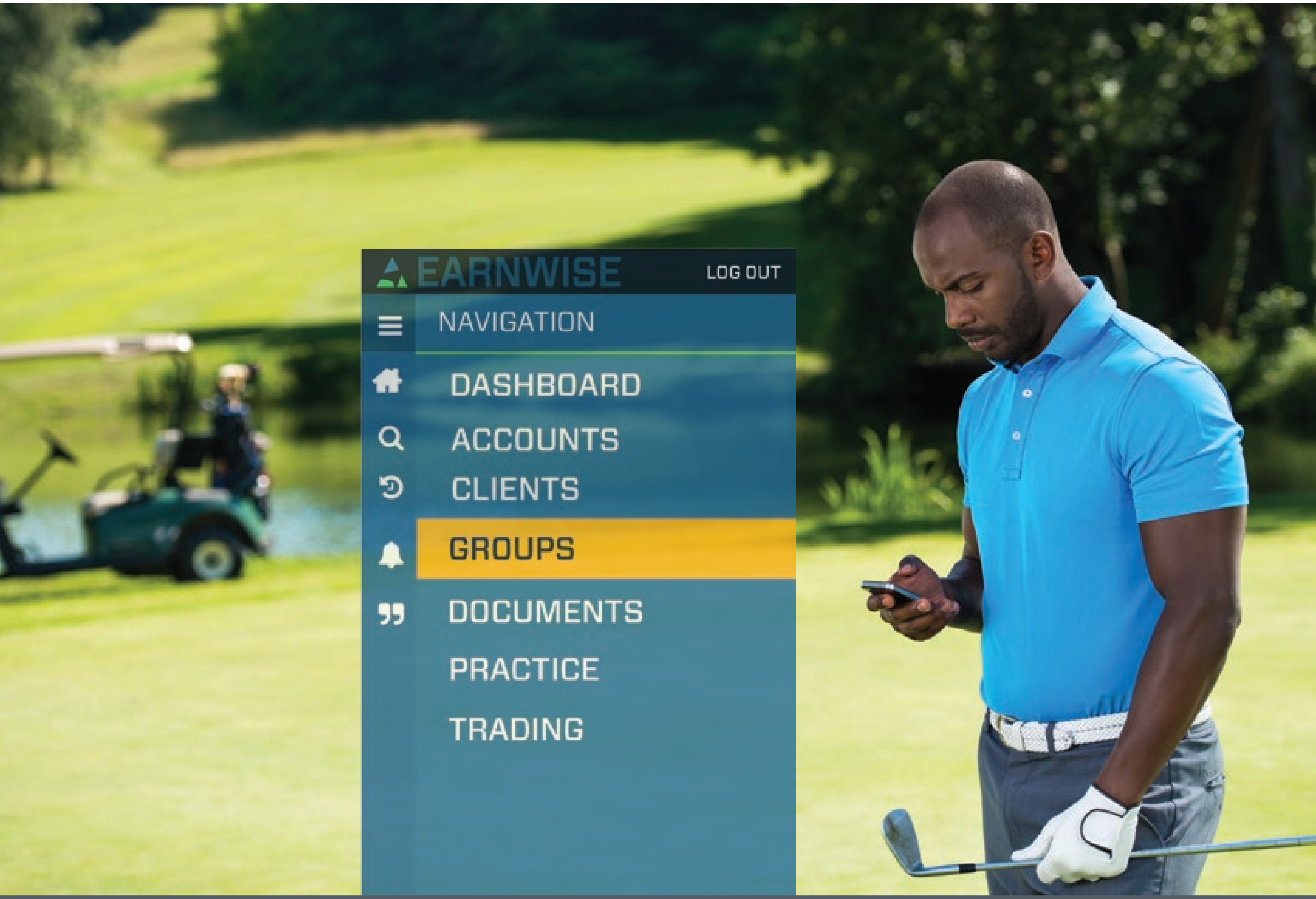
A basic internal CRM allows advisors to manage their client contact information in the same environment where trades, transactions, and a variety of other functions are performed. Client contacts are created at the time of account opening, giving advisors the ability to:

- Enter notes
- Upload documents
- Schedule Tasks.
- Review account demographics

Need greater CRM functionality? TradePMR has partnered with Redtail Technology to deliver its web-based Client Relationship Management (CRM) solutions. Integration allows advisors to update the Redtail CRM database nightly with client data and positions.

TradePMR platforms can also interface with a variety of other popular CRM solutions on the market today.

EARNWISE



THE NEXT GENERATION OF TECHNOLOGY, EARNWISE HAS ARRIVED

TradePMR's commitment is, and will always be, to continuously exceed the technology demands of investment advisors and their clients.

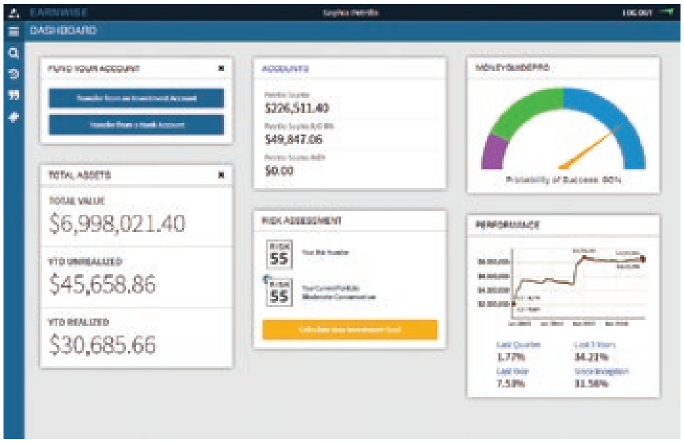
TradePMR provides technology with the easy to use functionality and structure you expect, and a support team that understands your needs and works tirelessly to meet them.

EARNWISE

Mobile-ready, responsive, intuitive and easy to learn, TradePMR's EarnWise and Fusion platforms are designed to exceed your expectations with every click. EarnWise, the next generation of mobile-ready solutions for RIAs, provides our advisors with, what we believe is, the best technology on the market. EarnWise is our most responsive platform to date, providing independent RIAs with features such as:

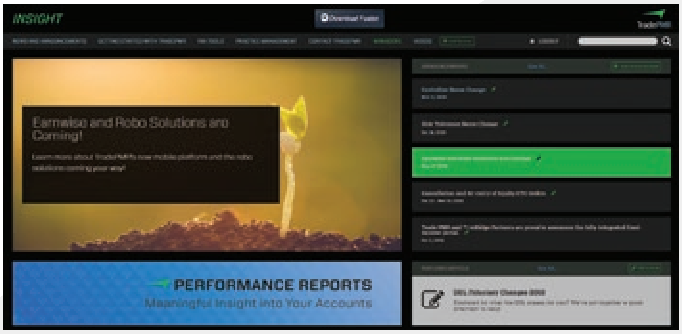
- Smart phone and tablet compatibility for on-the-go meetings
- Web-based solution that successfully operates on laptops, Mac's and PC's
- Robo solutions for client-driven account opening
- Client portal that offers clients easy and flexible access to their accounts
- Advanced technology integrations for account aggregation packages
- RIA-driven automated risk scoring for clients and investment models

EarnWise was developed to connect advisors with the next generation of investors, while providing technology to assist in cultivating enduring relationships with legacy clients. EarnWise has received an enthusiastic reception from advisors.



THE INSIGHT ADVISOR PORTAL

24/7 support is available through TradePMR's Insight Advisor Portal. Insight gives advisors and their staff videos and step-by-step instructions on virtually every transaction available on our platforms. From contact information to best practices, Insight is an intuitive guide to all things TradePMR and should become an indispensable resource for your practice.



Partners

MORNINGSTAR® ADVISOR FOCUSED SOLUTIONS[ii]

TradePMR offers easy data feed options which allow advisors to utilize the robust technologies available through Morningstar Advisor Focused Solutions.

CAPITAL MARKET CONSULTANTS[ii]

Capital Market Consultants (CMC) is an independent investment consulting firm based in Milwaukee, Wisconsin. CMC's exclusive business is to develop and maintain long range investment programs for financial intermediaries. They serve an array of financial institution clients throughout the United States in the banking, trust, brokerage and wealth management industries. Core services include asset allocation, manager and fund research, economic consulting, multi-manager modeling and tactical strategy overlay.

ICE DATA SERVICES[ii]

Interactive Data designs, builds and operates comprehensive, easy-to-use Web-based solutions that can integrate global financial information and proprietary content in visually stunning applications.
With the dynamic conditions of the global financial markets and continued increase in regulation, it is critical that retail banks, private banks, investment companies, online brokers, exchanges and media portals strive to optimize their business processes – while minimizing costs – by using tailored content and interactive analysis of financial market data.

REDTAIL TECHNOLOGY CRM SOLUTIONS[ii]

Redtail Technology delivers web-based Client Relationship Management (CRM) solutions for the financial professional. This is not your typical off-the-shelf CRM solution; rather, it is one designed from the ground up to meet the challenging needs of financial advisors. Unlike traditional CRM solutions, Redtail CRM, is easy-to-use, quick to deploy and delivers a rapid return on investment.

MONEYGUIDE PRO FINANCIAL PLANNING SOFTWARE[ii]

MoneyGuidePro is the first collaborative internet-based software that makes financial planning easy to accomplish. Its unique client-centered approach supports a sophisticated, goal-oriented planning process that designed to be more meaningful to the client and more productive for the advisor. Highly integrated into our platforms, advisors will enjoy the benefits of automated account balance updates through this collaboration.

CALSURANCE ERRORS AND OMISSIONS SPECIALISTS[ii]

Errors and Omissions insurance coverage should be a necessity for any professional in today's litigious society. TradePMR has worked with CalSurance to offer advisors a competitive Errors and Omissions solution with a group E&O program that can provide RIAs easy access to insurance with eligibility for the vast majority of advisors at very competitive rates. Multiple coverage and limit options enable the RIAs to pay only for coverage they need. Coverage is available for activities of not only RIAs, but also those of securities licensees (i.e., registered representatives) and/or life and health agent activity for an additional optional premium.

ADVISORYWORLD[ii]

AdvisoryWorld provides investment analytics, portfolio modeling, proposal generation and customized investment technology for the financial services industry. TradePMR advisors will now have immediate access to AdvisoryWorld's Portfolio and Investment Fact Sheets via the TradePMR Fusion Advisor Workstation.

RISKALYZE[ii]

TradePMR's partnership with Riskalyze provides the next-generation of client self-service technology. They are currently the only Robo with risk number technology that objectively pinpoints an investor's true risk tolerance using the scientific framework that won the Nobel Prize for Economics. It can help automate client engagement, account opening, and even asset management.

SUMRIDGE[ii]

TradePMR advisors can now access SumRidge's Advisor Portal through their Fusion desktop. The Advisor Portal integrates with Fusion to offer live access to the fixed income markets with straight-through process ticketing.

TRADEPMR CORE PRINCIPLES

At TradePMR we are committed to servicing Registered Investment Advisors with the support and services they need to grow their businesses. With that sole purpose in mind, our firm stands committed to the following principles:

Provide the highest level of service and support while operating honestly, fairly and with all due diligence and integrity.

Ensure our success through elevating our advisors to reach their full potential.

Expand existing technologies and develop new and improved technologies to offer state-of-the-art products and services to our advisors.

Exceed our advisors' expectations of service and support by pursuing cooperation, collaboration, and character.

Continue to research, study, and expand our knowledge of the industry to ensure healthy growth and lasting relevance.

Embrace hard work, efficiency, and consistency as the significant differences between being good and being great.

A WIDE RANGE OF PRODUCTS AND SERVICES

Our commitment to providing quality service includes a business relationship with First Clearing[iii], one of the nation's leading brokerage clearing institutions. This relationship brings the benefit of a firm with deep roots in the full-service brokerage business and the strength of being affiliated with one of the largest financial services companies in America.

Now in its fourth decade of service to quality, independently owned broker-dealers, First Clearing maintains a leading position in empowering firms to compete successfully – to help their clients succeed financially.   First Clearing provides access to resources including a range of investment, advisory and banking products; fixed income, retirement and trust services; and industry-leading research.   Client firms also have access to First Clearing's Growth Accelerator® professional development and practice consulting program.

Growth Accelerator® is a registered service mark of Wells Fargo & Company and used under license.

BUSINESS CONTINUITY PROTECTION AND PRIVACY

Please see our website at TradePMR.com for our privacy policy and business continuity plan.

CLEARING ARRANGEMENT

First Clearing carries your client's accounts and acts as custodian for funds and securities deposited with them, through TradePMR, or as a result of transactions it processes for your client's account.

Operating under the exception of SEC Rule 15c3-3(k)(2)(ii), TradePMR does not hold or take possession of client funds or securities.

ACCOUNT PROTECTION

TradePMR is a member of the Securities Investor Protection Corporation (SIPC),which protects securities customers of its members up to $500,000 (including $250,000 for claims for cash). Explanatory brochure available upon request or at www.sipc.org.

First Clearing Coverage: First Clearing as the chosen clearing firm of TradePMR is a registered broker-dealer, non-bank affiliate of Wells Fargo & Company, and a leading provider of clearing and custody services to financial institutions. First Clearing is a member of SIPC.

Securities and cash in client accounts held at First Clearing have two sources of protection that are separate and distinct from the SIPC coverage of TradePMR. SIPC coverage insures each client up to a maximum of $500,000 (including up to $250,000 for claims for cash). For more information about SIPC, please visit sipc.org. In addition, First Clearing maintains a program of additional protection provided through Lexington Insurance Company, ("Lexington") an AIG Company[ii]. For clients who have received the full SIPC payout limit, First Clearing's policy with Lexington provides additional coverage above the SIPC limits for any missing securities and cash in client brokerage accounts up to a clearing-firm aggregate limit of $1 billion (including up to $1.9 million for cash per client).

SIPC and the additional protection from Lexington do not protect against losses from the failure of a security, nor do they insure the quality of investments or protect against losses from fluctuating market value. All coverage is subject to the specific policy terms and conditions. First Clearing's SIPC and additional coverages only apply in the event of First Clearing's insolvency, and do not apply in the event of TradePMR's insolvency.

MEMBER FINRA/SIPC

TradePMR is a member of both the SIPC (Securities Investors Protection Corporation) and FINRA (Financial Industry Regulatory Authority). To contact the SIPC, visit their website at www.sipc.org or call 202-371-8300.

FINRA has a public disclosure program known as BrokerCheck® that allows clients to obtain background information on investment professionals and brokerage firms at www.finra.org or via the BrokerCheck® hotline at (800) 289-9999 Monday through Friday 8 a.m. – 8 p.m., Eastern Standard Time

Securities offered through Trade-PMR, Inc.

[i] Morningstar® Advisor Magazine, Bill Winterberg, Innovation of the Year Award, December 2003
[ii] Redtail Technology, First Clearing, and related entities, Morningstar®, Capital Market Consultants, ICE Data Services, MoneyGuidePro, Calsurance, AdvisoryWorld, Riskalyze, SumRidge, Lexington Insurance Company, and AIG are not affiliates of Trade-PMR, Inc. Securities are offered through Trade-PMR, Inc.
[iii] First Clearing is a trade name used by Wells Fargo Clearing Services, LLC, Member SIPC, a registered broker-dealer and non-bank affiliate of Wells Fargo & Company

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