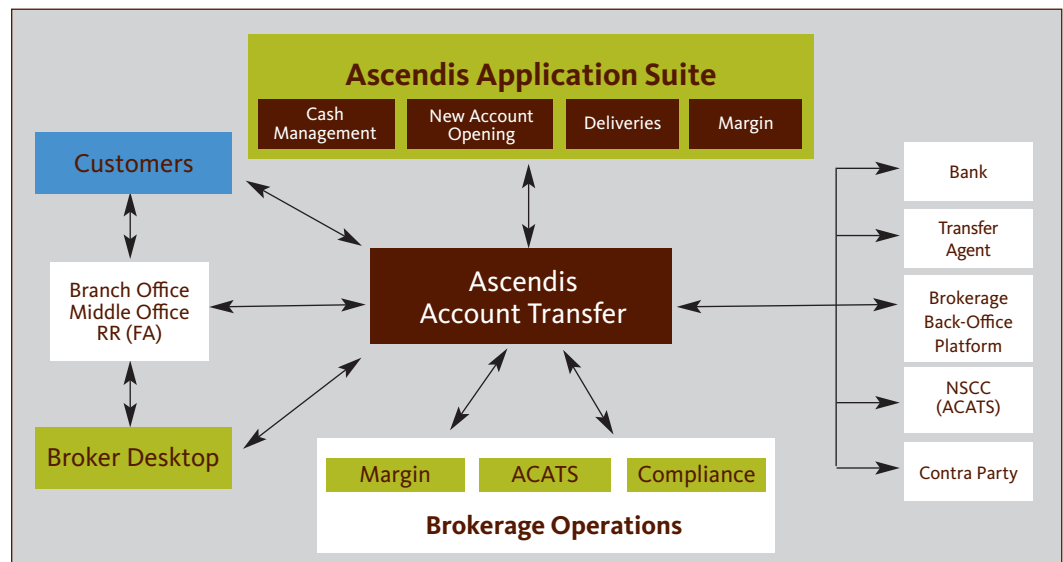


Ascendis® Account Transfer

Rise To A New Level Of Customer Service



Streamline each operation from initiation to completion

- Ascendis Account Transfer now means a single point of entry for ACATS and Non-ACAT transfer requests
- Full integration to NSCC's ACATS system via the multi-batch processing
- Complete tracking, follow-up and monitoring of delivery and receipt of assets for the self-paced Non-ACAT transfers
- Exceptions are immediately identified for fast resolution. By automating the total transfer process, Ascendis Account Transfer allows for an efficient transfer to improve customer service

Improve Compliance and Eliminate Penalty Fees

- Reduce transfer delays and failures caused by operational errors
- Expedite transfers and promptly resolve exceptions
- Establish pre-built rejects for non-validated transfers to eliminate purge status and SRO violations and fees

Automate the total transfer

Whether ACATS or Non-ACATS, Ascendis Account Transfer provides unimpeded asset movement through the entire transfer lifecycle.

- Client defined exceptions are identified for each transfer and routed to an "open" queue for timely resolution. Transfers can be auto-accelerated if no exceptions found
- Documentation checklist allows confirmation of receipt of all required documents at the very beginning stage of transfer. If any are missing, a separate pending-documentation queue is established.
- Respond quickly to client inquiries using comprehensive audit trail that details entire lifecycle of the transfer with timestamps and user comments

Review, Monitor, Observe

- **Queue** management based on routing rules with customizable view and individual user preferences
- **Monitor** any transfer request and easily determine current status and next stage of the transfer lifecycle
- **Query** functionality allows for identification of responsible broker and status / stage of each transfer
- **By monitoring** each stage of each transfer, managers can now evaluate and re-assign workflow. Ascertain delays. Examine and act upon productivity issues in the delivery or receiver area. Identify problems at the branch level
- **Flexible design** allows firms to set up system that best meets their business needs
- **Performance metrics** to further analyze your business
- **Comprehensive routing and business tools** provides management overview
- **Overall productivity** is enhanced and transfers proceed without delay

Integrated to make business better

- Integrates with Ascendis New Account Opening, Margin, Deliveries and Cash Management solutions
- Facilitates transfers without involving investor participation beyond normal approvals
- Open and flexible application programming interfaces allow for integration with a firm's back office systems, scanning and document tracking solutions
- Dynamic data updates through every step of the transfer process

Communication. Flexibility. Comprehensive.

- Direct communication with NSCC is maintained through all intra-day cycles
- ACATS, Non-ACATS and Mutual Funds transfers are supported
- Reminders and notifications can be applied to open transfers for next day follow-up
- Comprehensive internal contra-party database
- Credit administration approval checks
- Detailed audit trail tracks each step. Personnel involved. Current status

Ascendis Account Transfer is where productivity meets profitability

By streamlining the human factor, your department's cost savings can be dramatically increased. Inter-departmental communication improves, reducing redundancy and mistakes. Insight into operational performance allows for proactive staff management.

To learn more about Ascendis Account Transfer or any of our other products and services, call us at 1-888-237-1900 or visit our website at www.broadridge.com/ascendis.

Ascendis...
do more. worry less.



Securities Processing Solutions
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