Folio Institutional Monthly Advisor Call September 24, 2014

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Want to add a colleague to the invitation list? Have an idea or request for a future Advisor Call?

Send us a note via conference chat on your screen.

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Folio Institutional

Folio Investing

The Folio Team



Blaine McLaughlin

Vice President Folio, Business Development



Bill Davis Vice President Folio Client Services



Helen Shepro Chief Marketing Officer Folio



Greg Vigrass President Folio Institutional





Today's Agenda

- Introductions
- Service & Operations Update
- Featured Presentation: Folio's New Private Placement Platform
- Conclusion

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Password Resets

As part of Folio Institutional's ongoing efforts to ensure the security of client accounts, clients are now required to change their password.

You can help your clients to change their password:

1. The Client Settings Page

If you have Account Manager-level access to a client, you can initiate the password reset email for your client. Go to the **Client Settings** page and select **Reset Client Password** to send the reset email to their primary email address on file.

-OR-

2. "Reset Password?" Path through www.FolioClient.com.

Clients can send themselves the password reset email by going to the **Login** page and clicking **Reset Password.**

Note: Advise clients to allow up to five minutes for the password reset email to arrive in their email inbox. <u>Although we send the email right away, some internet</u> <u>service providers and email hosts (Yahoo, Gmail, etc.) have</u> <u>a slight delay in delivering emails.</u>



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Required Minimum Distributions

About Required Minimum Distributions

A Required Minimum Distribution (RMD) is the minimum amount your clients must withdraw from their retirement accounts after the age of 70 ½. Withdrawals must be made by **December 31** of each calendar year after the required beginning date.

Why should I think about this now?

Amidst year-end tax lot management stress, holiday frenzy and other year-end obligations, it is one less thing you have to worry about if you take care of this now.

Please advise your relevant clients and act now.

What kind of accounts do RMDs apply to?

- Traditional IRAs
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- SEP IRAs
- SIMPLE IRAS ٠
- 401(k) plans
- 403(b) plans

- 457(b) plans
- **Profit Sharing Plans**
- Other Defined **Contribution Plans**

Folio Institutional [®]		Logout
Client Accounts Models Allocations Dashboa	rd (Beta) Settings Resources	Help Se
Statements & Tax Records: View Reports from: 2013 - 2014		Helpful Info Visit the Help C more about taxe Change the way
Monthly Statements Trade Confirmations Tax Center	er Billing Notices	selected for sale
documents below. IRS Forms 1099, 1099-R & 5498	8	View open and for each accour Information pag
2014	SELECTED IRS FORM INSTRUCTIONS	
IRA Form RMD Delivered: 02.10.2014	Form 1099 (2013 万) Form 1099-R (2013 万) Form 5498 (2013 万)	
2013	• Form 8949 (2013)	
E Form 1099 Delivered: 02.26.2014		
Form 1099-R Delivered: 01.28.2014		
IRA Form RMD Delivered: 01.30.2013		
Form 5498 (UNREAD) Delivered: 06.04.2014		

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Advisor Dashboard

Folio Institutional's Advisor Dashboard

Designed to save time, simplify workflow, and provide information in ways that make it easier to manage your practice, grow your assets under management, and provide outstanding client service.

Advisor Dashboard gives you the *flexibility and control* to see only the information you want in your customizable layout.



Advisor Dashboard is currently in beta and will be available later this year.

If you would like to participate in usability groups or focus groups for future product or service releases, please send us a note in the chat box.



Private Placements √//FOLIO[™]

Presented by:

Blaine McLaughlin, Business Development Folio Institutional



Folio's Private Placement Platform Is a Revolutionary New Offering with Benefits to Issuers, Investors and Advisors Alike

V//\FOLIO[™]



VIA FOLIO[™] Brings the Offering Process Online to Support a Variety of Private Placements

- Private securities can be listed, bought and sold online, automatically cleared, settled and custodied at Folio
- VIA FOLIO will support all types of companies looking to raise capital, such as:
 - Private debt offerings
 - Equity in start-ups
 - Debt financing for non-profit socially motivated institutions
 - Bridge financing for companies doing acquisitions
- Offerings from across all sectors will be available, including real estate, technology, consumer goods, healthcare and more.

VIA FOLIO[™] Provides Access to Private Placements and a Seamless Experience on Par with Public Securities

- For you and your clients even if they do not currently have a Folio account on FolioInstitutional.com
 - Private placement offerings can be made available to you and your clients, regardless of whether your client has an account on the Folio platform
- Other intermediaries broker-dealers, accountants, law firms – involved in capital raising
- Issuers and entrepreneurs who want to raise capital cost-effectively and more efficiently

Please refer us to intermediaries or entrepreneurs who might find VIA FOLIO useful

Let us know if you'd like to schedule a private demo to learn how VIA FOLIO can benefit you and your clients

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To learn more about private placements as they become available on the platform, please contact us.

We will gladly set up a demo to show you how the system works, and how you can take advantage of this new asset class to effectively serve your clients.



Blaine McLaughlin

Business Development 703-245-4826 McLaughlinB@FolioInstitutional.com





Easily Access Past Advisor Calls

- Download past presentations directly from the Folio Institutional Resources Page
- Recording of this call will be available online on September 26, 2014.

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Market Research	Folio Institutional hosts monthly conference calls that are open to all advisors. These events cover a range of topics from regulatory/compliance updates, to new product/service	
Ready-to-Go Folios	announcements, to industry best practices and third-party guest presentations.	
Model Manager Exchange	The section of the se	
List of Available Securities	Below are links to the presentations of our previous calls. If you have any questions regarding any of the covere	
Mutual Funds	topics, please don't hesitate to contact us.	
Fixed Income	2014 Advisor Call Archive	
Variable Annuity Services		
Cash Investments	Wednesday, August 27, 2014 A	
Advisor Calls	Featured Presentation: Utilizing Satellite Portfolios in your Practice Presenter(s): Arno Mayer and Michael Matthews, Financial Trust Asset Management	
Advisor Communications	Watch Video	
Service Fees		
	Wednesday, July 30, 2014 🔎	

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October Advisor Call - Preparing for Year End and Folio's Patented Tax Lot Management Tool

Wednesday, October 29, 2014 @ 4:15 PM ET

To invite additional team members, send us an email at Support@FolioInstitutional.com.

Preparing for Year End

The end of the year is fast approaching. Do you know everything that you need to do for your clients' accounts by December 31? We'll review the key activities you'll want to complete before year-end, along with important dates and deadlines that you'll want to keep handy.

Tax Lot Management Tool

Reinforce your value as an investment professional by providing a high level of tax management services for your clients. Learn more about Folio's **Tax Lot Management Tool**, which will help you analyze client portfolios and optimize the tax scenarios that are most beneficial for them.

Tax Lot Management Tool

Use this tool to achieve the tax results you want from securities sales. It applies all open tax lots, except securities held in non-Folio holdings, to draw the range of taxable gains and losses at various cash proceeds amounts. To use the tool, click a point inside the image, use the silders or up/down arrows to specify cash proceeds and gain/loss amounts, select order options and click Preview Orders. Use Advanced Features to filter tax lots, specify security inclusions/exclusions or manually select tax lots. More >





Thank you for joining us.

Advisor Direct Line	1-888-230-5635		
Email	Support@FolioInstitutional.com		
Hours	Monday-Friday	7:00 a.m 12:00 AM ET	
	Saturday-Sunday	8:00 a.m. – 4:00 PM ET	



