

Benefits of Working With an AIF[®] Designee



WHAT MAKES AIF DESIGNEES DIFFERENT?

Is the investment advice you are receiving really in your best interests? Does the investment advice help you reduce compliance, litigation, and reputational risks? Unless your advisor understands and follows a fiduciary process, you can't really be sure. Even those investment professionals who are required to act as fiduciaries might not have the experience or training to prepare them for this enormous responsibility.

Only Accredited Investment Fiduciary[®] (AIF[®]) Designees have been certified specifically for their ability to follow a fiduciary process with their clients' best interests at heart. Here are some attributes that make AIF Designees different from other advisors or financial professionals:

EXPERIENCE

Designees are required to provide documented industry and educational experience to qualify for the designation.

EDUCATION

Designees must complete AIF Training, which covers the Prudent Practices[®] for managing fiduciary assets for wealth, nonprofit and retirement clients.

COMPETENCE

Designees must pass a rigorous examination to prove comprehension of the Prudent Practices[®] and ability to act in the best interest of clients.

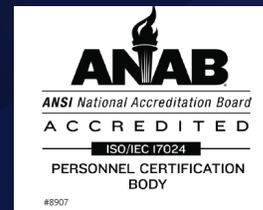
ETHICS

Designees adhere to a code of ethics and conduct standards that show a commitment to a higher degree of industry professionalism.

CONTINUING EDUCATION

Designees commit to keeping their knowledge and skills sharp by completing annual continuing education requirements.

Fi360 is accredited by the ANSI National Accreditation Board for the AIF Designation, making the designation part of an elite group of independently accredited designations in financial services.



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To see if your advisor is an AIF Designee, visit

www.Fi360.com/designeesearch

DRIVE THE CONVERSATION WITH YOUR INVESTMENT ADVISOR:

Some advisors always operate in a fiduciary capacity, others only act as a fiduciary for certain specified services, and yet others are not permitted by their company to take on the obligations of a fiduciary at any time. Use the following points to better understand the standard of care your advisor is providing you.

- Will you act as a fiduciary in all scenarios when managing my portfolio or plan assets?
- How long have you been acting in this fiduciary capacity? Can you describe your experience acting as a fiduciary advisor?
- What fiduciary training have you received? Do you hold any designations focused on fiduciary best practices?
- Provide at least three references of clients who are using your services in your capacity as a fiduciary advisor.
- What services do you provide to help clients meet their fiduciary obligations? Please disclose and describe any potential conflicts of interest.
- Describe your total compensation or fees received for your proposed services.

An advisor should be able to provide clear and concise answers to all of these questions and be willing to disclose that information in writing. In addition, any AIF® Designee should be able to describe how their relationship with you will operate and list the resources and tools that are incorporated into their business practices.

Broadridge Financial Solutions (NYSE: BR), a global Fintech leader with \$5 billion in revenues, provides the critical infrastructure that powers investing, corporate governance, and communications to enable better financial lives. We deliver technology-driven solutions that drive business transformation for banks, broker-dealers, asset and wealth managers and public companies. Broadridge's infrastructure serves as a global communications hub enabling corporate governance by linking thousands of public companies and mutual funds to tens of millions of individual and institutional investors around the world. Our technology and operations platforms underpin the daily trading of more than U.S. \$9 trillion of equities, fixed income and other securities globally.

[Broadridge.com](https://www.broadridge.com)



AIF DESIGNEES HAVE THE KNOWLEDGE AND RESOURCES TO HELP CLIENTS WITH:

- Creating and maintaining a comprehensive investment plan, strategy or policy statement that documents the processes and procedures that will be used to manage the plan/portfolio.
- Analyzing and optimizing asset allocation strategies and investment menus.
- Applying objective standards for evaluating and recommending appropriate investment options, products, and solutions.
- Monitoring and reporting plan/portfolio performance.
- Evaluating a client's current fiduciary practices and recommending actions to help mitigate compliance, litigation, and reputational risks.
- Understanding their important fiduciary roles, responsibilities and obligations with more confidence.

