

SummaryProspectus.com: File, Ready, Go! SM



Stop pre-printing prospectuses to save with an automated summary prospectus solution.

Broadridge Financial Solutions, Inc. and NewRiver, Inc. have partnered to provide mutual fund companies with a simple, efficient solution to the SEC's Summary Prospectus Regulation. Our comprehensive solution combines Broadridge's best in class inventory, print, and fulfillment capabilities with NewRiver's patented electronic database to create a unique and highly valuable service offering.

The mutual fund simply files the prospectus on EDGAR. We take care of the rest - print on demand, full statutory prospectus requests, hosting the documents and complying with the linking and layering requirement - so you can focus on your core business of increasing assets under management. With our solution, prospectuses are readily available in response to investor requests and all requirements for summary prospectus delivery are easily met.

SummaryProspectus.com meets all SEC requirements for summary prospectus delivery and website support. It ensures cost savings, compliance, and consistency across all distribution channels and simplifies investor compliance with a single-source, best practice solution. Best of all, it's available now. Which means you can reap the benefits of the summary prospectus - and better serve your investors - today.

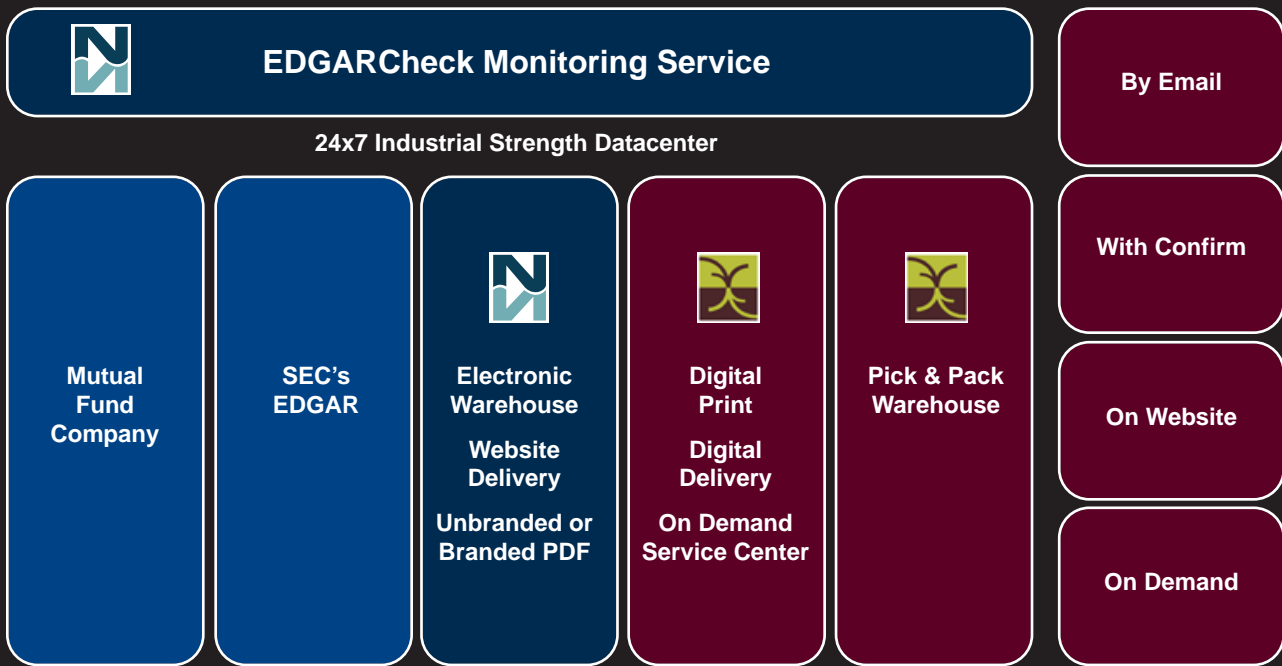
Thinking of Adopting the Summary Prospectus? Here's Your Checklist.

In order to adopt the summary prospectus as a delivery option, you must provide:

- ✓ A website with free, direct access to disclosure documents
- ✓ For each fund, all related disclosure documents - summary prospectus, statutory prospectus, statement of additional information (SAI), semi-annual and annual reports, and any related supplements - must also be available on this website
- ✓ Statutory and Summary Prospectuses, and SAIs, must each include a Table of Contents that is hyperlinked to support inner-document navigation
- ✓ A mechanism to support "back and forth" navigation within document sections and direct linking to external documents
- ✓ Ability to move in two-clicks between the summary prospectus and other documents
- ✓ A phone number and email address for investors to request any of these documents in print or electronic form
- ✓ The ability to deliver requested documents, by paper or email, within 3 business days
- ✓ Continuous access to the current version of the document for 90 days (if delivered in paper format) or for 6 months (if delivered electronically)
- ✓ 24x7 Website availability to meet the force majeure requirement



SummaryProspectus.com synchronizes advanced technology to ensure compliance, reduce costs, and enable consistent document delivery via a single EDGAR filing.



Let Us Drive Your Summary Prospectus Solution (So You Can Focus on Sales)

When it comes to implementing the summary prospectus, you want cost savings and simplicity, not a new project to burden your IT staff. SummaryProspectus.com offers an automated, EDGAR-sourced unified solution that helps you:

- Build and manage a compliant “layered disclosure website” with daily updates sourced from fund’s EDGAR filings
- Meet all obligations of the SEC’s Summary Prospectus Rule including access to all documents including a linking methodology within and between documents
- Guarantee 24/7 web access and force majeure level support for summary and statutory prospectuses, SAs, and other documents
- Handle “on demand” requests for paper and electronic disclosure documents and ensure they are “in the mail” within the required 3 business days
- Offer private label branding to ensure a consistent, transparent customer experience across your distribution platform





File, Ready, Go!

What if you could file one time on EDGAR and ensure that:

- Any requirement for summary prospectus is met – both for delivery and website support;
- Any time an investor or fund distributor needs an accurate prospectus, it's available on your branded website; and
- With every summary prospectus delivered, you save money and encourage environmental sustainability by reducing page count and eliminating inventory waste.

Accessing your filings straight from EDGAR, SummaryProspectus.com provides these automated services to free you to focus on sales and customer service:

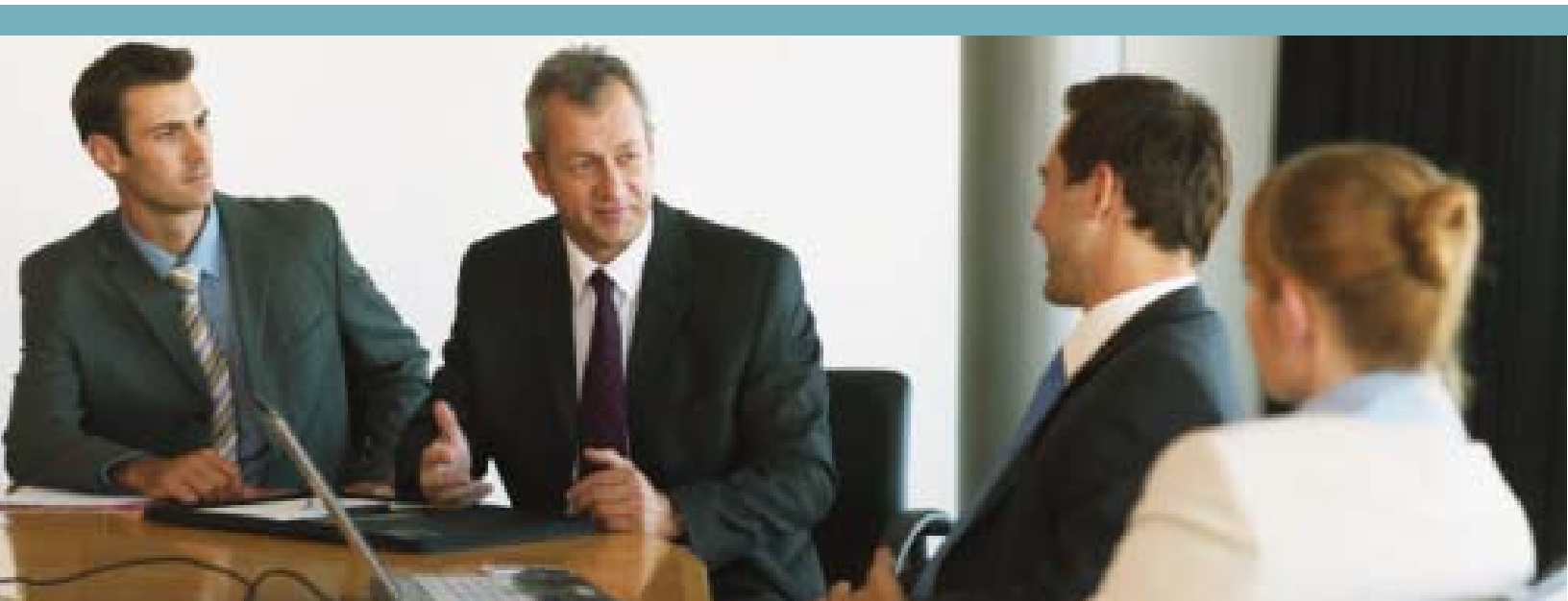
Hosting Center – A virtual document warehouse that provides 24/7 website maintenance and print-ready PDF availability for every fund on your platform. The Hosting Center shifts the fund company delivery obligations to ensure proper procedures and an escalation process are in place in the event services become unavailable.

Website – A private labeled, compliant summary prospectus website that meets SEC layered disclosure and linking methodology requirements, and is updated nightly from EDGAR.

On Demand Center – Turnkey support is provided for both phone and email requests from investors with guaranteed delivery of paper or electronic documents within 3 business days. An audit trail is captured of each prospectus delivery, and can even provide detailed chargeback reports to help clients recoup costs from fund distributors.

Fund PDF with EDGARChecksm – Designed for fund companies who want to retain their brand identity on printed and website documents, Fund PDF uses a fund company's own print-ready PDFs of prospectuses (and other compliance documents). Every day EDGARCheck verifies that the PDF provided is the same version that was filed on the SEC's EDGAR system to ensure total concordance and compliance.

Active Linksm – One of the more complex tasks of website maintenance is providing continuous access to paper prospectuses delivered for at least 90 days and electronic prospectuses for 6 months after such documents or links are provided to an investor. The service manages document links according to rule requirements, eliminating the compliance hassle for you. In fact, documents are maintained for 7 years within a central document repository.



Your obligation, our business.

NewRiver helps organizations “raise the bar” on investor disclosure and transaction quality with products that are focused on the critical challenge faced by financial services firms – how to achieve continuous improvement in a highly regulated industry. No other company unlocks the value of compliance filings for mutual fund resellers so efficiently and in so many ways as NewRiver’s suite of products. Because you provide your organization and investors with information from the most authoritative source, the SEC’s EDGAR database, you can improve sales and operations while reducing business risk. We’ve been helping 200 clients do this for over 13 years. Let us help you today.

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