

# Users Group Topics – May 7<sup>th</sup> and 8<sup>th</sup>

The following topics will be assigned date and time slots on the agenda in the next few weeks. For planning purposes, please go to [www.opsplus.com](http://www.opsplus.com) for reservation information. Dinner on Monday night will be at a New Orleans style seafood restaurant that features shellfish. Please let us know if you have allergies we need to ask the restaurant to consider.

Our goal is that this meeting equips you to take advantage of every possible attribute of our systems to effectively and efficiently gather, process and manage your broker dealer data.

## Topic list (Version 7.01 and 7.02)

- Trusted Contact Person (TCP)
  - We expedited v. 7.01 release in Q4 2017 to ensure compliance with Feb. 5 TCP deadline
- Beneficial Owner required May 11 (Entity Accounts)
  - We are expediting 7.02 release in Q2 2018 to ensure compliance with May 11 Beneficial Owner deadline
- Master Download
  - This powerful data interface tool warrants time and attention to ensure that you reap the time and labor benefits
- Change Log
  - Now you will know the old value, new value, who made the change and when... on any data table you deem important to track
- Foreign investors
  - Full accommodation of international address and ID number standards
- Mail-merge
  - 17a3 enhancements and extended to Shazam for latest version of Microsoft Office
- Back Office WEBNAF
  - Detailed customer data gathering made easy for back office staff using your own forms
- Backup
  - Automated Backup to designated cloud location for Disaster Recovery (DR) and Business Continuity Plan (BCP) purposes

## Data overview, processing, analysis and decision making

1. Industry data sources
  - a. Are you sure you're getting all of the downloads available and aggressively limiting manual entry?
2. Data details
  - a. Get what you can, supplement the rest...Many hands make light work, delegate to your reps.
  - b. Maximize efficiency in processing.
3. Data analysis
  - a. Knowing what you have.
  - b. Making sure the rest of the company has information pertinent to them.
4. Data presentation
  - a. Business intelligence tools now available.
  - b. Data visualization made easy – a picture is worth a thousand words.

## DST Fanmail, IDC and Vision

1. DST's Jeff Gilpin & Todd LeSage will bring you up to date on the expanded and new services available from Fanmail, IDC and Vision. They will also be available the entire day (Monday) to answer questions and expand your understanding of how much more value you can get from DST. We have had the privilege of traveling to DST's headquarters in Kansas City and being briefed by Jeff and Todd, which is a scheduling feat. We are pleased to extend that privilege to you.
2. Staying on subject, we will make sure you know how to use the tools in WinOPS to take advantage of all DST's data feeds.
3. Direct Account Records & Transactions (DART): Introducing our new, fully automated data aggregation system that can be used independently or integrated with WinOPS...Independently in the event your operations department doesn't have time for one more task...Integrated in the event the full picture needs to be presented alongside processing. If you want intelligent aggregation of data but do not need performance reporting, DART is that tool.

## Business Intelligence (BI) and Data Visualization Unpacked

1. **Business intelligence** (BI) is an umbrella term that includes the applications, infrastructure and tools, and best practices that enable access to and analysis of information to improve and optimize decisions and performance. (Gartner's Data & Analytics)
2. A primary goal of **data visualization** is to communicate information clearly and efficiently via statistical graphics, plots and information graphics. In simple terms, a picture is worth a thousand words.
3. Hear directly how one of our clients is already taking advantage of our powerful BI tool to deliver intuitive data visuals directly to target recipient's desktop and mobile devices.
4. Using the BI tool to define the deliverable, you can then cost effectively distribute key elements to reps and branches using WebOPS Dashboard.

5. Data categories include Assets Under Management (AUM), revenue, account types, vendor and product type concentrations, rep and customer age demographics, qualified/non-qualified metrics and more.
6. Can BI serve you in your quest to monitor the compliance horizon effectively and efficiently?

## Support, Service & Training

1. Using personality profiles and learning styles to enhance and improve our support, service and training offerings to you.
  - a. This session will guide you through testing, analysis and understanding of using a Myers–Briggs based system. Upon completion, you will receive a testing packet and textbook that can be used at any time with anyone on your team.
  - b. Built on the previous foundation, we will be soliciting your ideas of how you would like to see service, support and training extended to you and your team.

## Investment Advisory

1. Fee based advisory services are backed by non-commissionable transactions...
  - a. Do you want to blotter these transactions in your primary WinOPS or put them in separate WinOPS systems?
  - b. What data sources do you want/need incorporated in your downloads (TD, Schwab, Orion, etc.)?
  - c. How can DART serve your IA activity?

## Cybersecurity

1. What are the risks on the horizon?
2. What have we done to mitigate them?
3. What are you doing to mitigate them?
4. 92% of cyber-attacks begin with an email message...hear firsthand from industry experts on “email protection” overlay services for your existing email service
5. What about Ransomware...are you sure you can recover or are you resigned to paying the ransom to get your data back?

## Disaster Recovery and Business Continuity

1. Are you using us effectively to meet the requirements of FINRA rule 4370?
2. We will explore the least complex/most practical solutions to the most complex and expensive solutions and solutions that fall in between.

## UI & UX

1. It's easy to immerse yourself in the data and ignore the aesthetics...but chances are good your millennial staff will notice the user interface (UI) and have opinions on the user experience (UX). We will explore your thoughts and listen closely to your contributions about the UI and UX you would like to see us pursue.

## Imaging Solution

1. The WinOPS imaging component has proven to be a powerful tool that rivals very expensive solutions available elsewhere. If you are taking advantage of it, you will appreciate the changes we have made. If you are not taking advantage of it, this will be a good time for you to give it serious consideration.

## Did you know...?

1. Throughout the two days, we will have rapid fire reviews of key enhancements that you may not be aware of or using effectively. Among these topics are the following:
  - a. Commission forecast
    - i. To-the-penny preview of pending commissions, including overrides and splits.
  - b. Trail detail subfolder
    - i. Behind the trail rollup line item on commission statement, your rep sees every account balance and trail amount.
  - c. Master download QA review
    - i. Touch it once/fix it now versus exit download process, login to other area of system (customer, rep, order, product) make changes, log back in and resume download process. QA review streamlines all aspects of download cleanup.
  - d. WEBNAF
    - i. Manual entry of customer data is still a fact of life. Use your own intuitive forms to capture data instead of opening and closing tabs on data entry screens.
  - e. Compliance Console
    - i. What it shows, how it works and why it streamlines onboarding and review process.
  - f. Miscellaneous
    - i. We will set aside a short time for flash-card style review of additional enhancements, pausing to take questions only where necessary. The goal is to make sure you are aware of enhancements but not belabor the point if you don't have questions.

See you in Denver!

Attached you will find the topics to be covered during the May 7-8 Users Group.

No surprise that regulatory issues push a fair part of the agenda. Fortunately, this year we are out in front of the most visible regulatory issues, so we can focus the majority of the attention on constructive enhancements.

We expedited v. 7.01 release in Q4 2017 to ensure compliance with Feb. 5 TCP deadline and we are expediting v. 7.02 release in Q2 2018 to ensure compliance with May 11 Beneficial Owner deadline. This means you can have your Version 7.02 update tested and in place by the end of April.

The topics will be assigned date and time slots on the agenda in the next few weeks. For planning purposes, please go to [www.opsplus.com](http://www.opsplus.com) for reservation information. Dinner on Monday night will be at a New Orleans style seafood restaurant that features shellfish. Please let us know if you have allergies we need to ask the restaurant to consider.