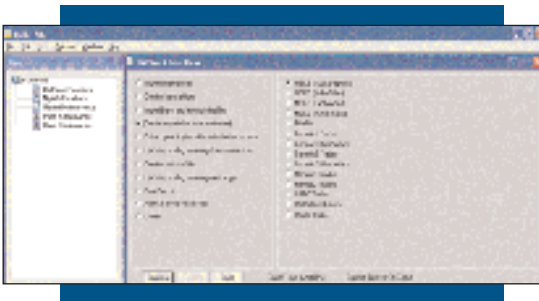


# Defined Contribution/401(k)

## DV Direct: ASC's in-house daily recordkeeping option

Many firms desire the flexibility to work with all types of plans and advisors. As a result, many ASC clients strategically utilize ASC in three different ways: traditional balance forward recordkeeping, outsourced daily recordkeeping, and also in-house daily valuation via DV Direct.

DV Direct enables users to provide the same sophistication and functionality of large investment firms and insurance companies without large investments in additional resources, systems, or increased risk. DV Direct makes daily valuation easy, efficient, profitable, and less expensive than traditional recordkeeping. This option also enables users to maintain personalized control of their client relationships, rather than risk losing them to a vendor. The flexibility gained in adding this option, along with its inherent efficiencies, has allowed users to keep their existing clients and grow their business to new levels of profitability.



## DV DIRECT FEATURES:

- Trading access to virtually all mutual funds
- Work with brokers of your choice on an automated basis
- Integrated trading links with Matrix Settlement and Clearance Services, Schwab Broker/Dealer, Schwab Trust and Fidelity, as well as other flexible trading options
- Comprehensive trade tracking to reduce trading errors and minimize trading liability
- Comprehensive reporting for daily reconciliation
- Individual participant level rate of return calculations
- Fully automated dividend allocation, cash receipts and disbursements, ACH debit capabilities, and options for check writing and 1099's
- Self directed brokerage accounts, and managed accounts at both the plan and participant level
- Options for many functions to run for a group of plans in unattended mode (e.g. statements, expenses, statements extracts, etc.)
- Automatic rebalance options
- Investment profile options (modeling)
- Global access for call center support

## IN-HOUSE DAILY RECORDKEEPING OPTION DV DIRECT

### ONE-STOP AUTOMATED ACCESS TO ALL INVESTMENT PRODUCTS

