

SOLVING ETF DATA REPORTING CHALLENGES

AGENDA

- **AVAILABLE DATA SOURCES**
- **RELEVANCY OF DATA WITH MULTIPLE SOURCES**
- **CLEANSING OF DATA FOR AGGREGATION, RECONCILIATION, AND NORMALIZATION**
- **INTEGRATION OF DATA AND LEVERAGING REPORTING TOOLS AND CRM**
- **DATA USE FOR CALCULATING COMMISSIONS**



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AVAILABLE DATA SOURCES

- Varying sources of data, which sources are best for your specific business focus?
- How will the data will be used?
 - Distribution reporting, compensation, analyzing trends, etc.
- Multiple Types of Data Sources
 - Firm Data Packs
 - 13F Data from various providers
 - Market Share Data
 - Custodians
 - Custom-built data sets and interfaces
- Critical to identify the “best” sources of data and to use multiple sources to reconcile them against each other



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CLEANSING, AGGREGATION, RECONCILIATION, AND NORMALIZATION OF DATA SOURCES

- Data cleaning is just as important for ETF data as it is for Mutual Fund data
- Organization and use/presentation considerations
 - Segregated from or as part of the full view with MFs, SMAs, etc
 - Territory and Channelization considerations
 - Normalization to the lowest level of data across multiple sources
- Why Data Cleaning is critical
 - Experience and Evolution of Data Cleansing
 - Enhancement of Data
 - Ability to Leverage Data Source Relationships
 - Proactive Unify Registered Rep Database
 - Intermediary Team Data Source

INTERMEDIARY TEAMS

DATA POINTS



Team name, along with registered and non-registered members



Address, phone, email, fax, social media



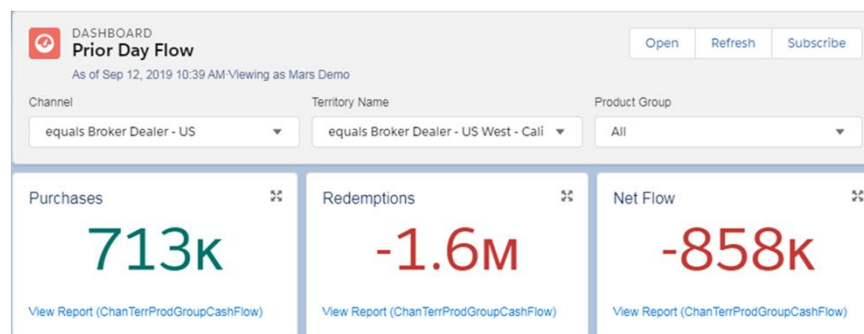
Titles, member bios, areas of focus

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INTEGRATION OF DATA AND LEVERAGING REPORTING TOOLS AND CRM

- Leverage Data at Firm/Office/Rep Profiles
- Utilize Data for Reporting and Analyzing
- Simulate Sales and Redemptions
- Analyze Tax Loss Harvesting
- View Market Share Analysis



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DATA USE FOR CALCULATING COMMISSIONS

- Rules vary across firms
- Data availability for flexibility of rules
- Tailor to specific client requirements
- Move away from using only CRM Activity
- Confidence in Data – More apt to integrate



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