



The Department of Labor Fiduciary Rule

The DOL Fiduciary Standard Rule Change: Advisor Impact

The new Department of Labor Fiduciary Standard rule, which takes effect April 10, 2017, was created to ensure that an investor's best interest is a pillar in the investment advice process.

Specifically, this rule applies to advisors who provide advice and guidance to clients investing in individual retirement accounts – like 401(k) accounts or Individual Retirement Accounts (IRA).

The rule also shifts the definition of a fiduciary from the titles of the individuals giving investment advice to the types of services provided by the advice giver.

We know it's difficult to focus on helping your clients reach their retirement goals while also keeping up and complying with ever-changing regulations. The more you can automate your organization's compliance processes, the more you can focus on delivering value to your clients.

Informa Investment Solutions has a suite of solutions to help you manage and automate compliance processes that support your fee-based advisory model.



Our solutions will help you:

- ▶ Standardize your portfolio proposal and report template process to ensure your firm's compliance standards are consistently represented
- ▶ Control compliance at a user level by giving you the ability to set parameters for advisors and administration based on role
- ▶ Access proposal creation history and a usage trail to monitor and improve your firm's compliance process
- ▶ Calculate and report monthly, quarterly or annual returns with and without fees for easy comparison and disclosure to your clients

Contact us

Contact us to speak with a representative in more detail about how choosing our solutions will give your team the freedom and peace of mind to focus on what is most important: your clients.

1-800-789-5323
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For over forty years, Informa Investment Solutions has provided clients a full spectrum of back to front office applications and services.

Our unique ability to provide investment professionals with customized systems, data, and services has made us the leading service provider in the marketplace.

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