# Guide to ProStation

ProStation is divided into four main sections:

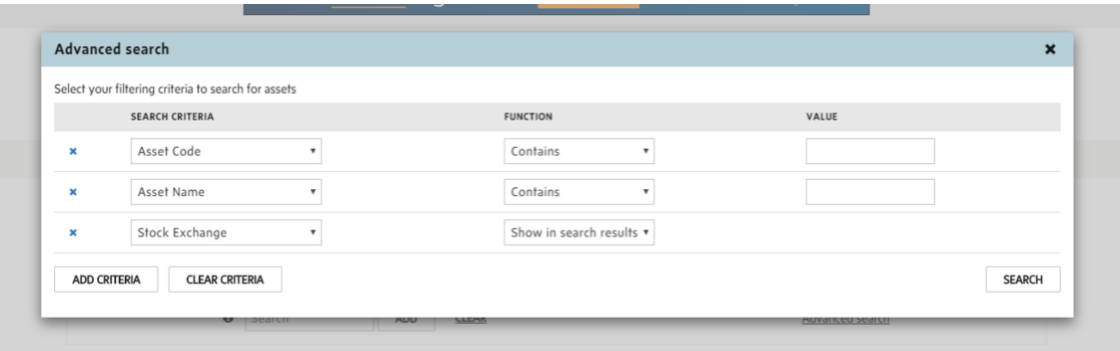
**Client Proposals:** Create a customized portfolio for specific, individual clients. This is where the ProStation defaults to when you open it. This is your list of clients and prospects.

**Model Portfolios:** Create once; use often. You can create a “model” portfolio that can be reused easily for future clients.

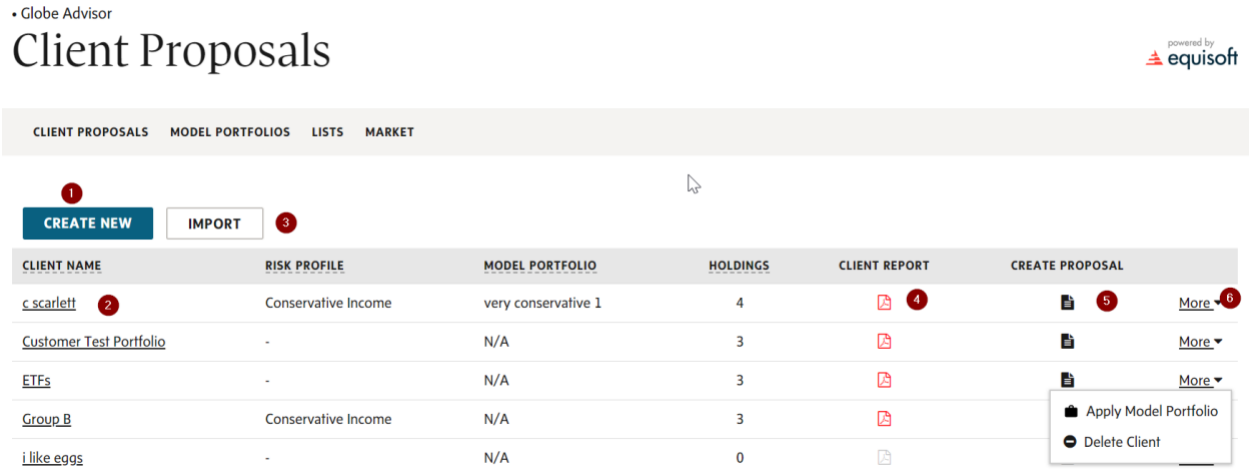
**Lists:** Similar to the Watchlist on Globe Investor, this part of the tool is used to track equities.

**Market:** Directs you to the main Markets page in Globe Investor.

Note: If you are looking to conduct a stock/ fund search, click the "Advanced Search" link within a portfolio or list to launch the following popup window:



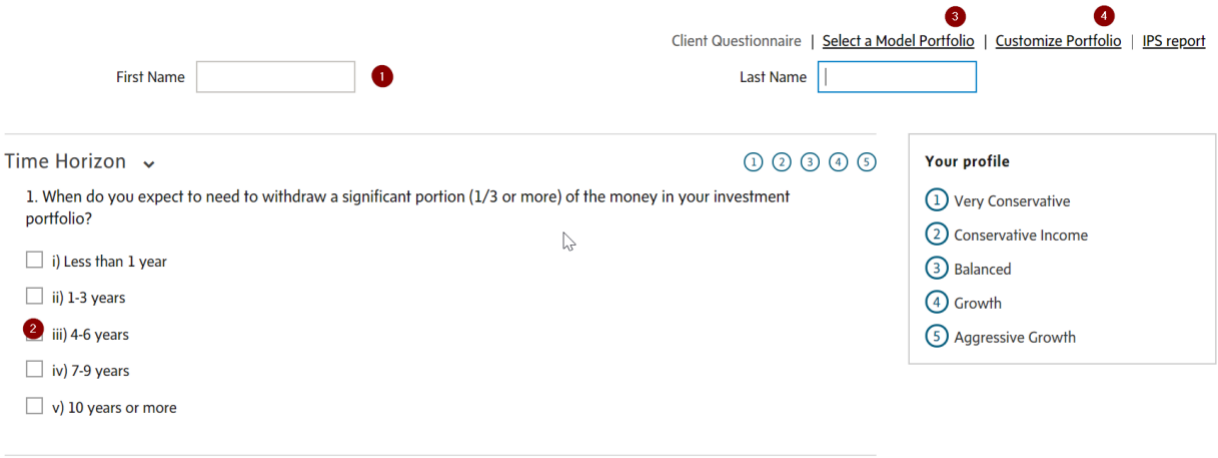
# Client Proposals




The 'Client Proposals' page allows you to create, consult, analyze and delete portfolios.

1) You can create a client's portfolio by clicking on the 'CREATE NEW' button. (Please see Create a Client section for more info.)
2) You can review/edit an existing portfolio by clicking on the client's name in the 'CLIENT NAME' column. Please see Customize Portfolio section for more info.
3) You can import a .csv file following specific guidelines and locate the client data file created in ProStation by clicking on the 'IMPORT' button. (Please see Import a Portfolio section for more info.)
4) You can generate a one-page portfolio diagnostic statement report by clicking on the PDF icon in the 'CLIENT REPORT' column. (Please see Portfolio Diagnostic Statement section for more info.)
5) You can generate an all-in-one Investment Proposal package by clicking on the document icon in the 'CREATE PROPOSAL' column. (Please see IPS Report section for more info._
6) You can apply a Model Portfolio to a client, or delete a client by clicking on 'More' and selecting the appropriate option in the drop down menu. (Please see Model Portfolios section for more info.)

## Create a Client




After you click on the 'CREATE NEW' button, ProStation will ask for a client's full name and ask you to complete the 15-question questionnaire.

1) Enter your client's first and last name.
2) You can determine your client's profile by answering the questions. It isn't necessary to complete the questionnaire to customize your portfolio. (Please see Client Questionnaire for more info.)
3) You have the option to select a pre-existing model portfolio for this client (optional). (Please see Model Portfolio section for more info._
4) You can create a completely new portfolio, consult the asset mix, add assets to the portfolio and modify the target amount to invest.

## Client Questionnaire

The first step when setting up a Client Proposal within ProStation is completing the Client Questionnaire.

This questionnaire is completed on-screen and the results update dynamically. Many advisors have asked for this in a PDF document. To download, click on this link:

Although this questionnaire is not mandatory, this step is important for determining your client's risk tolerance and subsequent Portfolio proposal. This questionnaire is to help you in assessing your client's investor profile and is only part of the full "Know-Your-Client" process. (This questionnaire is in line with the MFDA Bulletin #0611-C published on July 21, 2014.)

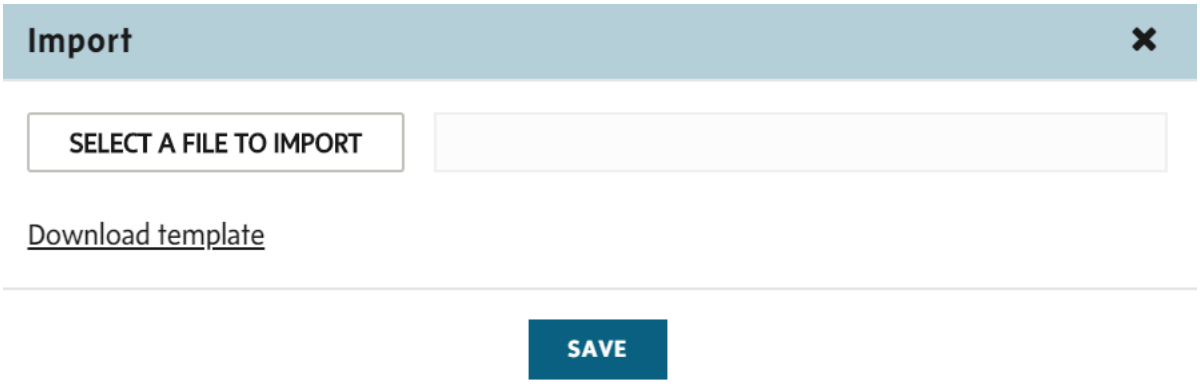
The questionnaire has 15 questions and is divided into 5 categories: Investment Time Horizon, Investment Knowledge and Investment Objectives (with one question in each of thesecategories), Risk Capacity (6 questions) and Risk Attitude (6 questions).

As questions are completed, your client's profile is updated automatically according to the following objectives:

1. Very Conservative
2. Conservative Income
3. Balanced
4. Growth
5. Aggressive Growth

Once established, this risk profile will populate a recommended asset mix in the Customize Portfolio stage of the Investment Proposal setup process. It also displays Deviation (by percentage) automatically from your Proposed Portfolio, making it easy to bring your recommended allocation in line with your actual client holdings allocation.

## Import a Portfolio



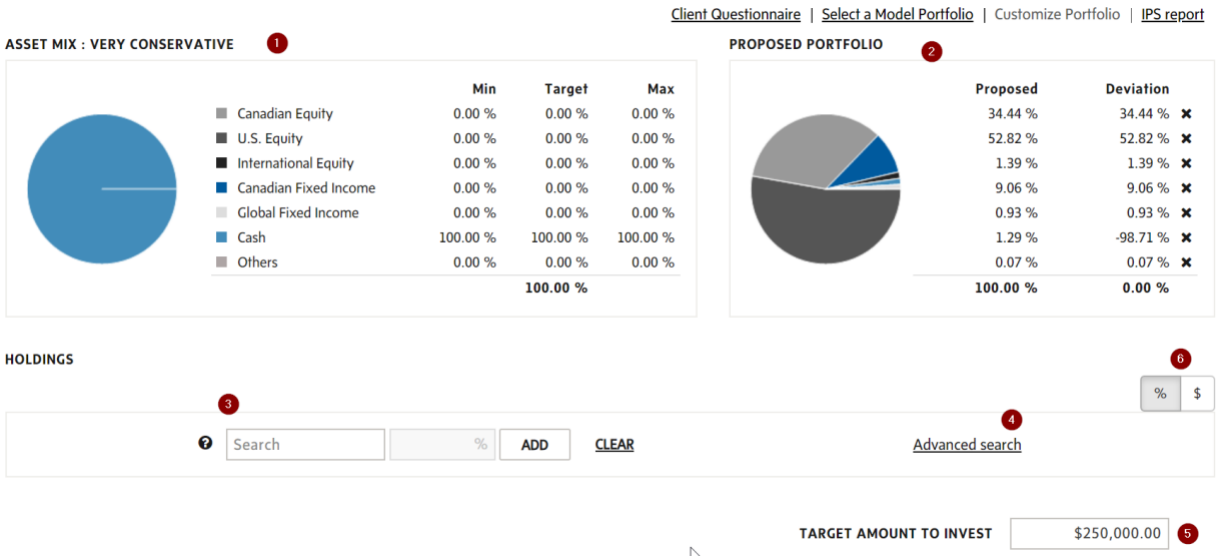

Users of the new ProStation can import a .csv file (created in most back-office and CRM systems) that adheres to specific guidelines. Save the file from your back-office or CRM system to your local directory, select the “Import” option in the new ProStation and locate the data file created for that client.

The fields that ProStation can currently import include:

1. CIF
2. Relationship Record Type
3. Relationship Name
4. First and Last Name
5. Language Preference

6. Person Relationship: Birthdate, Primary Email, Primary Phone, Street, City, State/Province, Zip/Postal Code, Country, Financial Account Number, Account Type, Ownership
7. Product: Record Type, Product: Product Code, Current Value, Product: Currency.

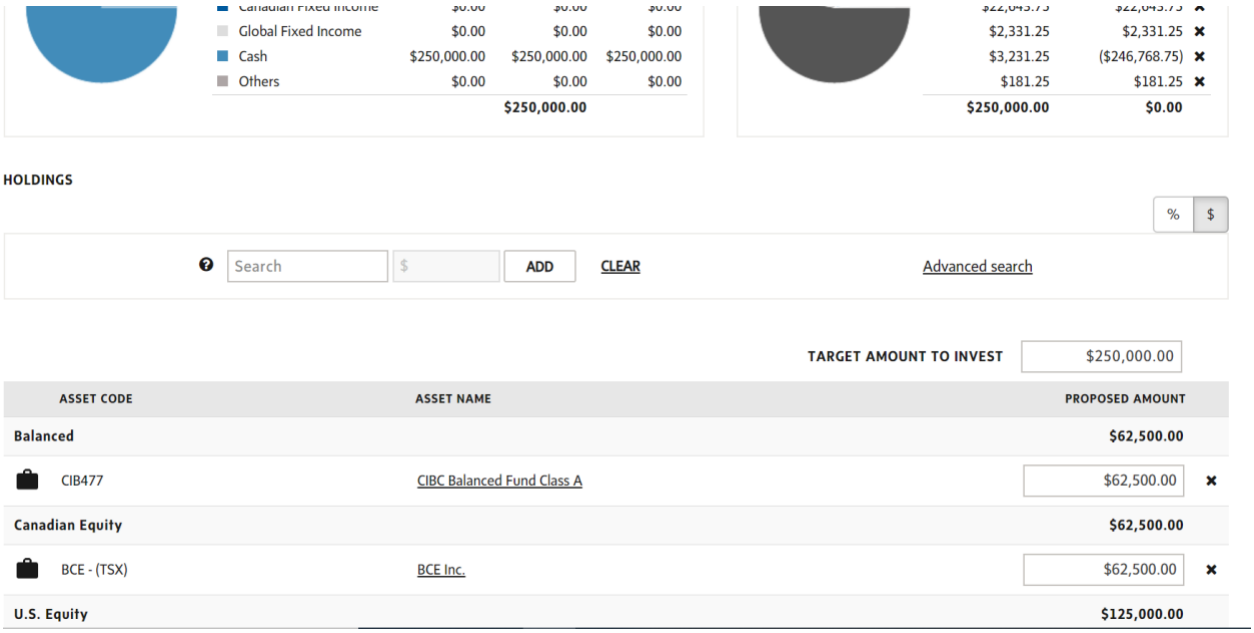
## Customize Portfolio




1) If you completed the client questionnaire, ProStation will generate a recommended Asset Mix.
2) ProStation will prompt you to balance the portfolio you have created against the Asset Mix recommended by the Questionnaire. Add/remove holdings and change instrument allocations to match your client's risk tolerance. The Proposed Portfolio will update automatically as you make changes. It is not necessary to match the recommended allocations to generate a Client Proposal at this point.
3) Add holdings to a portfolio by typing the asset code or asset name. (Please see Quick Search section for more info). To add the asset in the portfolio, enter the appropriate percentage or amount and click on the 'ADD' button.
4) You can search for an asset using additional criteria by clicking on 'Advanced Search'. Please see Advanced Search section for more info.
5) You can modify the target amount to invest by typing the amount in the 'TARGET AMOUNT TO INVEST' field.
6) The page default is percentage. You can switch to dollars by clicking on the '$' button.

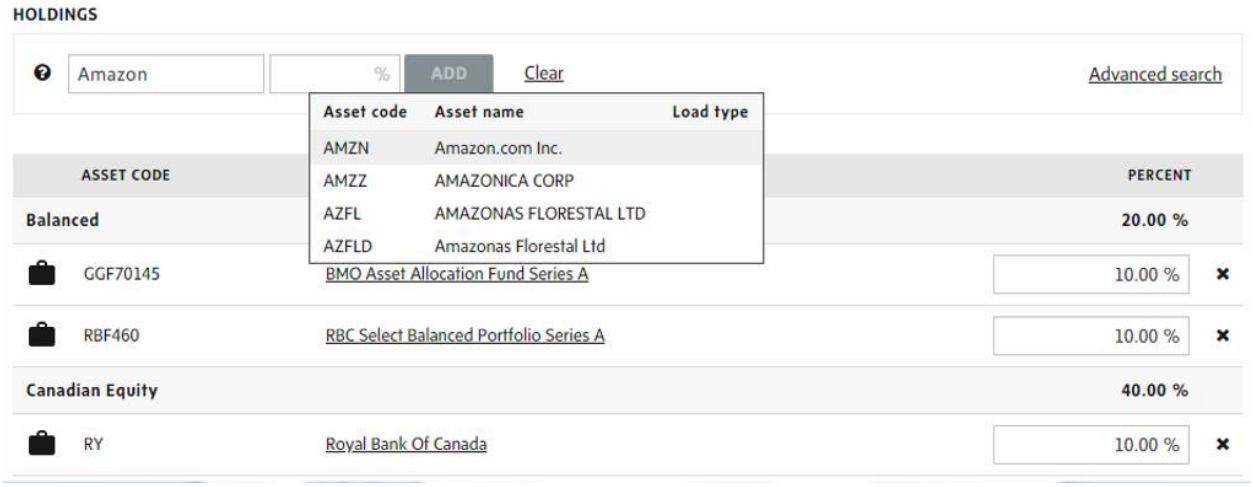
## Target Investment by Precentage (%) or Dollars ($)

1) The page default is percentage. You can switch to dollars by clicking on the '$' button.
2) You will be able to enter either the percentage of total amount invested for different assets, or dollar amount, depending of the option selected.




## Quick Search

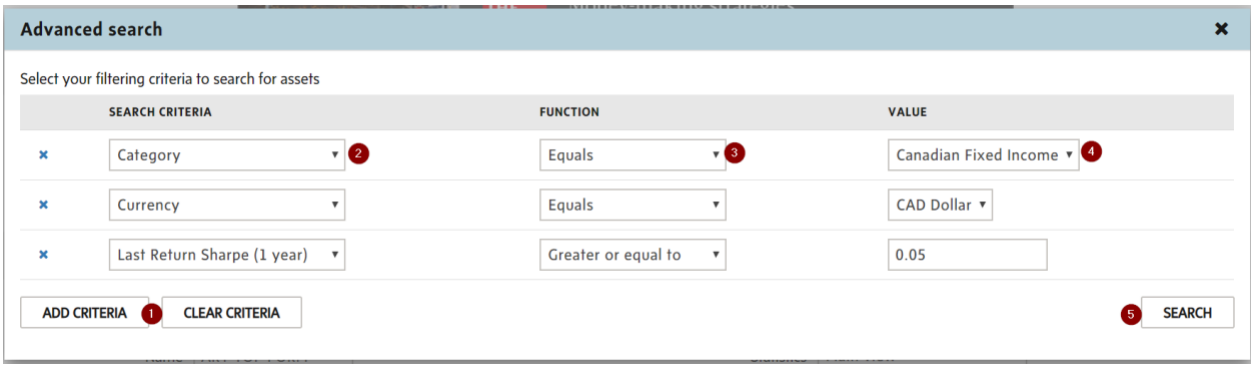
Add current portfolio holdings by typing the asset code or asset name. By default, the system will search for assets for which the name or code begins with the characters entered in the 'Quick Search' field (minimum of 3 characters).



# Advanced Search

ProStation contains a powerful "all in one" screener tool that is  integrated directly within the software. While building a Model or Customized Portfolio, or Watchlist, click on ‘Advanced Search’ to launch the following:

Search criteria include: Currency, Category, Company, Asset Name, Load Type, Year to Date, Last Return, Last Return Sharpe, Standard Deviation, Alpha, Beta, Management Expense Ratio, Minimum Investment, Average Maturity, Stock Exchange.

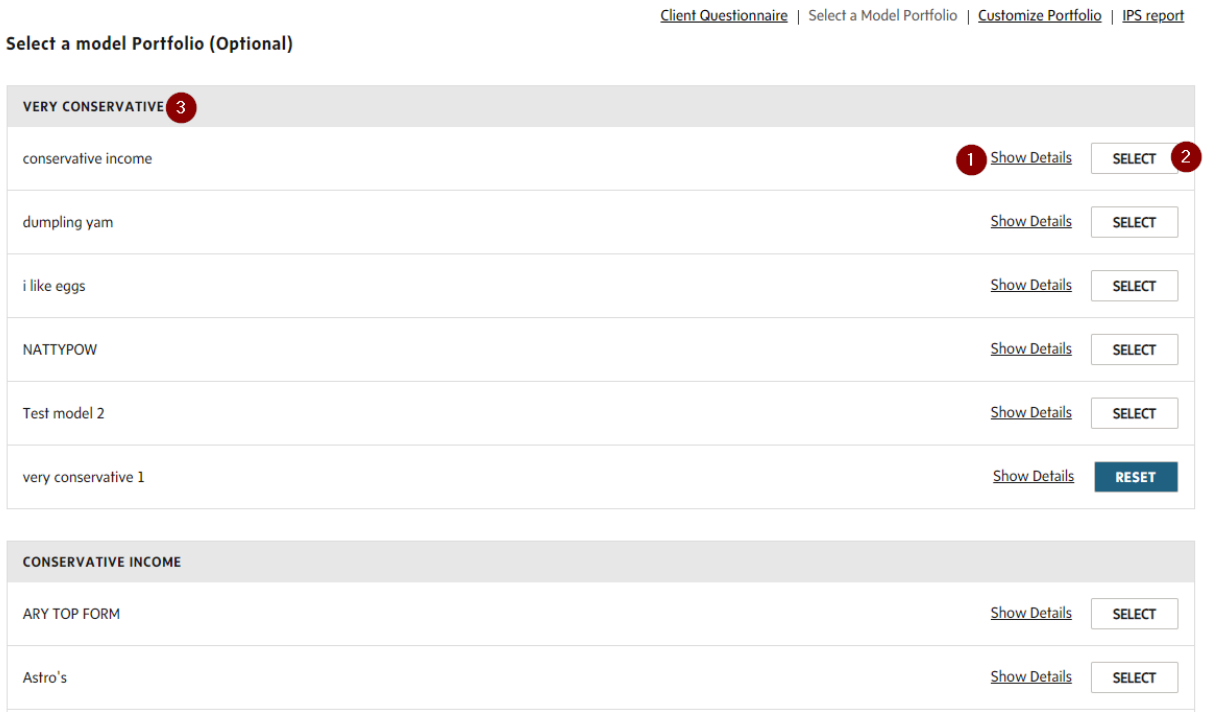



1) Add or remove search criteria by clicking on the ‘ADD CRITERIA’ or ‘CLEAR CRITERIA’ buttons.
2) Select the type of criteria you want to include in you search by clicking on the drop down menu in the ‘SEARCH CRITERIA’ column.
3) Select a function by clicking on the drop down menu in the ‘FUNCTION’ column.
4) Select or enter a value by clicking in the field in the ‘VALUE’ column

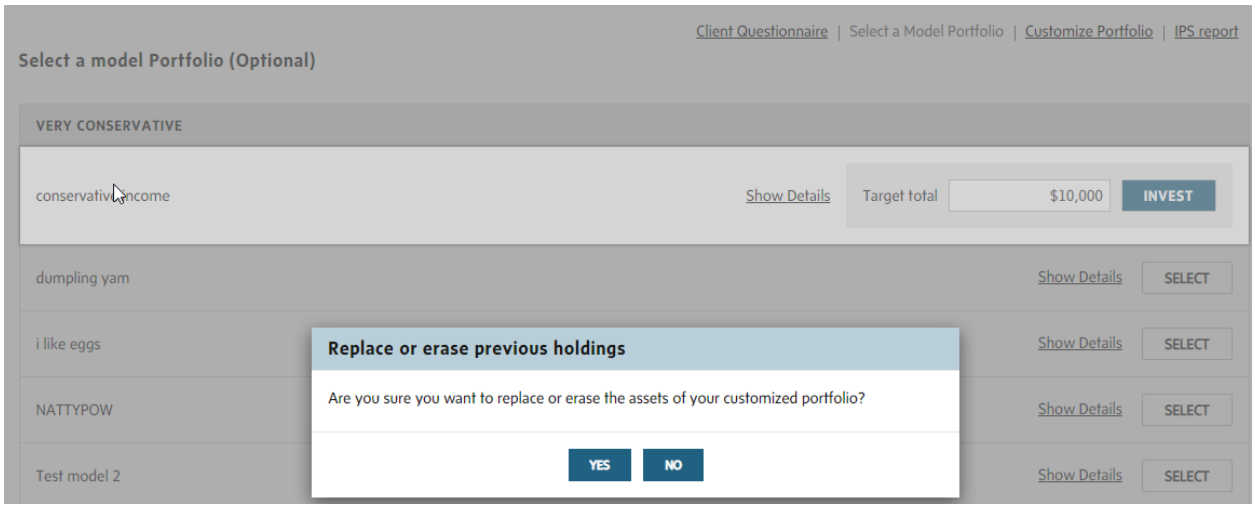
(Example: Search for a Canadian Fixed Income product trading in CAD Dollars that has returned 5% or greater in the past year.)

5) Once your selections are made, click on the ‘SEARCH’ button.

# Select a Model Portfolio




1) You can view the Model Portfolio's holding by clicking on 'Show Details.'
2) You can select the Model Portfolio by clicking on the 'SELECT' button.
3) The "Profile" label (Very Conservative, Conservative, Balanced, Growth, Aggressive Growth) is for reference only and does not enforce allocation requirements on the holdings entered.




If you choose to apply a Model Portfolio, it will overwrite whatever holdings you have entered.

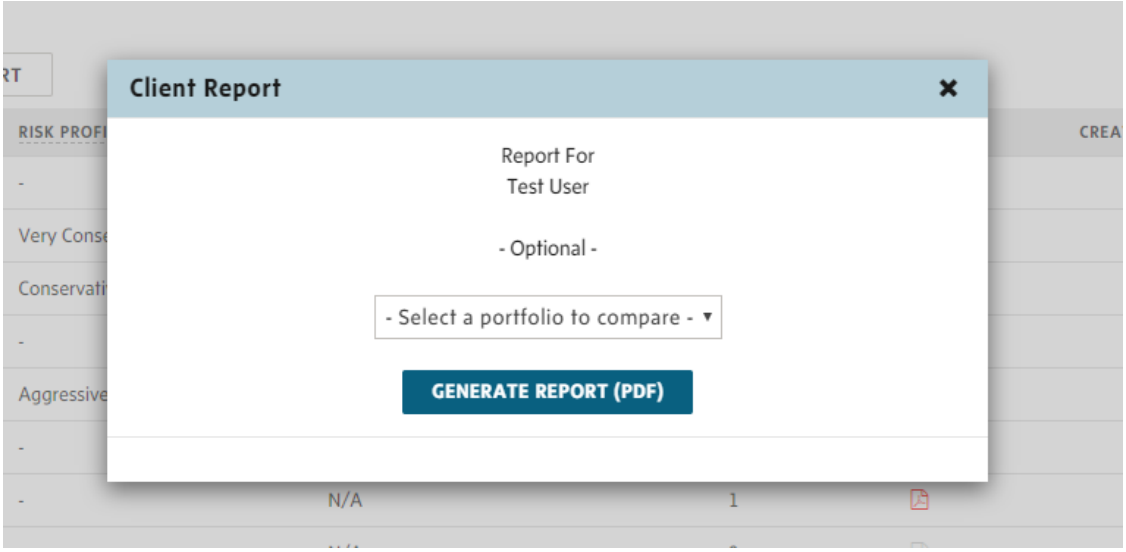
## Client Report (Portfolio Diagnostic Statement PDF)

This document is designed to help advisors provide a simple easy-to-understand 1 page performance report to their clients. It is not necessary to complete the Client Questionnaire (KYC) to generate it.

### Portfolio Comparison

It is now possible to compare two portfolios when generating a Client Report:

- In the "Client Proposals" list, click the PDF icon associated with your client under the "Client Report" column.
- This generates the following popup window




- Either choose an additional item from the drop down (optional) or click the 'GENERATE REPORT (PDF)' button.

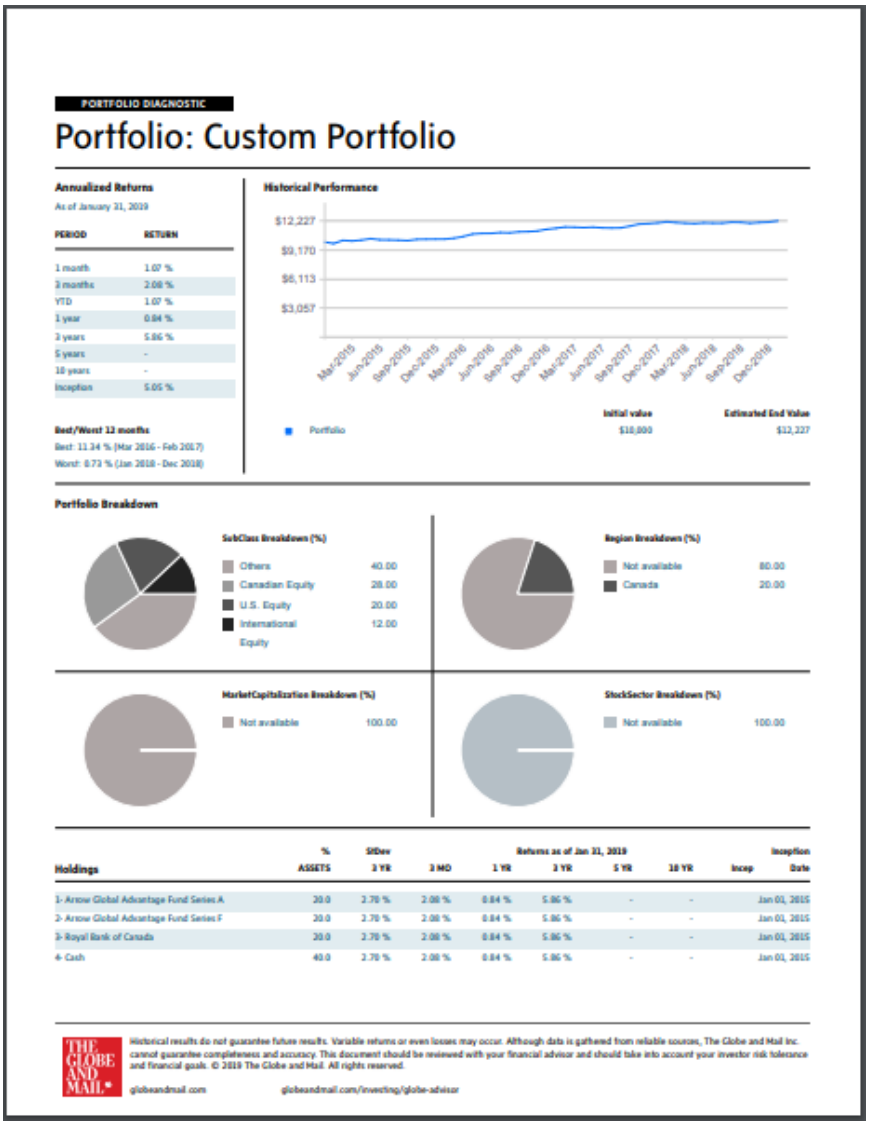
Many Globe Advisor members have noted that the "Portfolio Compare" function found in the legacy version of ProStation was an important part of their sales and onboarding processes.

Note that in order to generate the PDF, ProStation requires portfolio must be balanced to 100%.

This document is a replica of the document found in our legacy systems, updated with modern Globe and Mail brand standards. Features include:

1. Annualized Returns
2. Historic Returns against a blended benchmark. (Please see [Blended Benchmark]() section for more info.)
3. Portfolio Breakdown (Sub Class, Region, Market Capitalization, Stock Sector)
4. Holdings.

Sample PDF:



PORTFOLIO DIAGNOSTIC

# Portfolio: Custom Portfolio

**Annualized Returns**

As of January 31, 2019

| PERIOD | RETURN |
|---|---|
| 1 month | 1.07 % |
| 3 months | 2.08 % |
| YTD | 1.07 % |
| 1 year | 0.84 % |
| 3 years | 5.86 % |
| 5 years | - |
| 10 years | - |
| Inception | 5.05 % |

**Best/Worst 12 months**

Best: 11.34 % (Mar 2016 - Feb 2017)

Worst: 0.73 % (Jan 2018 - Dec 2018)

**Historical Performance**



| | Initial value | Estimated End Value |
|---|---|---|
| Portfolio | $10,000 | $12,227 |

**Portfolio Breakdown**

**SubClass Breakdown (%)**

| | |
|---|---|
| Others | 40.00 |
| Canadian Equity | 28.00 |
| U.S. Equity | 20.00 |
| International Equity | 12.00 |

**Region Breakdown (%)**

| | |
|---|---|
| Not available | 80.00 |
| Canada | 20.00 |

**MarketCapitalization Breakdown (%)**

| | |
|---|---|
| Not available | 100.00 |

**StockSector Breakdown (%)**

| | |
|---|---|
| Not available | 100.00 |

| Holdings | % ASSETS | StDev 3 YR | Returns as of Jan 31, 2019 3 MO | 1 YR | 3 YR | 5 YR | 10 YR | Incep | Inception Date |
|---|---|---|---|---|---|---|---|---|---|
| 1- Arrow Global Advantage Fund Series A | 20.0 | 2.70 % | 2.08 % | 0.84 % | 5.86 % | - | - | | Jan 01, 2015 |
| 2- Arrow Global Advantage Fund Series F | 20.0 | 2.70 % | 2.08 % | 0.84 % | 5.86 % | - | - | | Jan 01, 2015 |
| 3- Royal Bank of Canada | 20.0 | 2.70 % | 2.08 % | 0.84 % | 5.86 % | - | - | | Jan 01, 2015 |
| 4- Cash | 40.0 | 2.70 % | 2.08 % | 0.84 % | 5.86 % | - | - | | Jan 01, 2015 |

THE GLOBE AND MAIL

Historical results do not guarantee future results. Variable returns or even losses may occur. Although data is gathered from reliable sources, The Globe and Mail Inc. cannot guarantee completeness and accuracy. This document should be reviewed with your financial advisor and should take into account your investor risk tolerance and financial goals. © 2019 The Globe and Mail. All rights reserved.

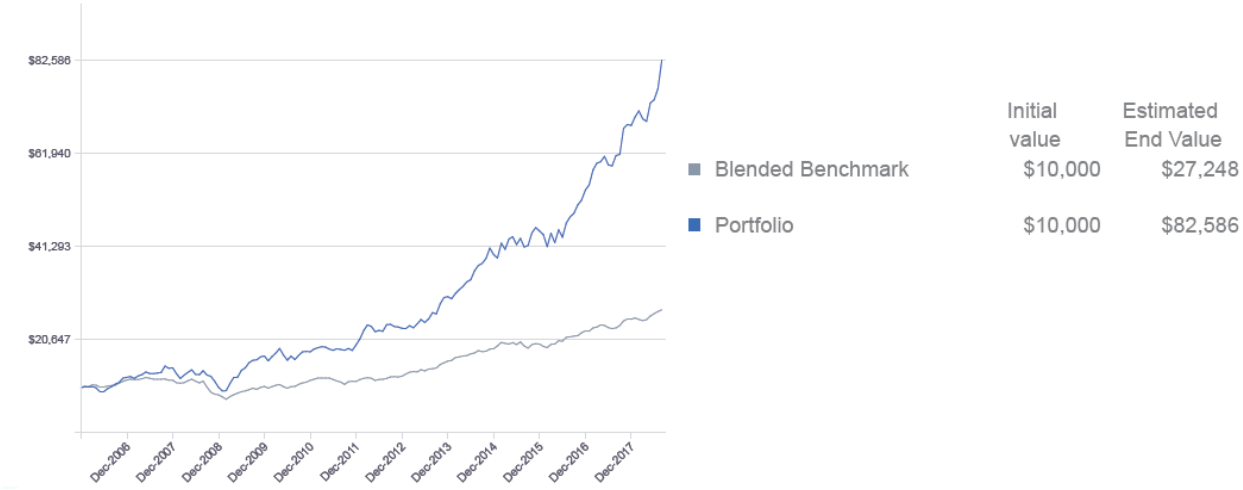
globeandmail.com globeandmail.com/investing/globe-advisor

## Blended Benchmarks

The Investment Proposal PDF simulates the Historical Return of your proposed portfolio going back 10 years using the initial value entered. Additionally, it plots portfolio performance against a relative Blended Benchmark:

- The Blended Benchmark is comprised of market indices representing each specific asset in the same proportion as the proposed portfolio.
- The Blended Benchmark is designed to provide insight in the periodic return behaviour and the resulting end value of the proposed portfolio assets relative to the blended benchmark indexes over a specified period.

**Historical Performance**



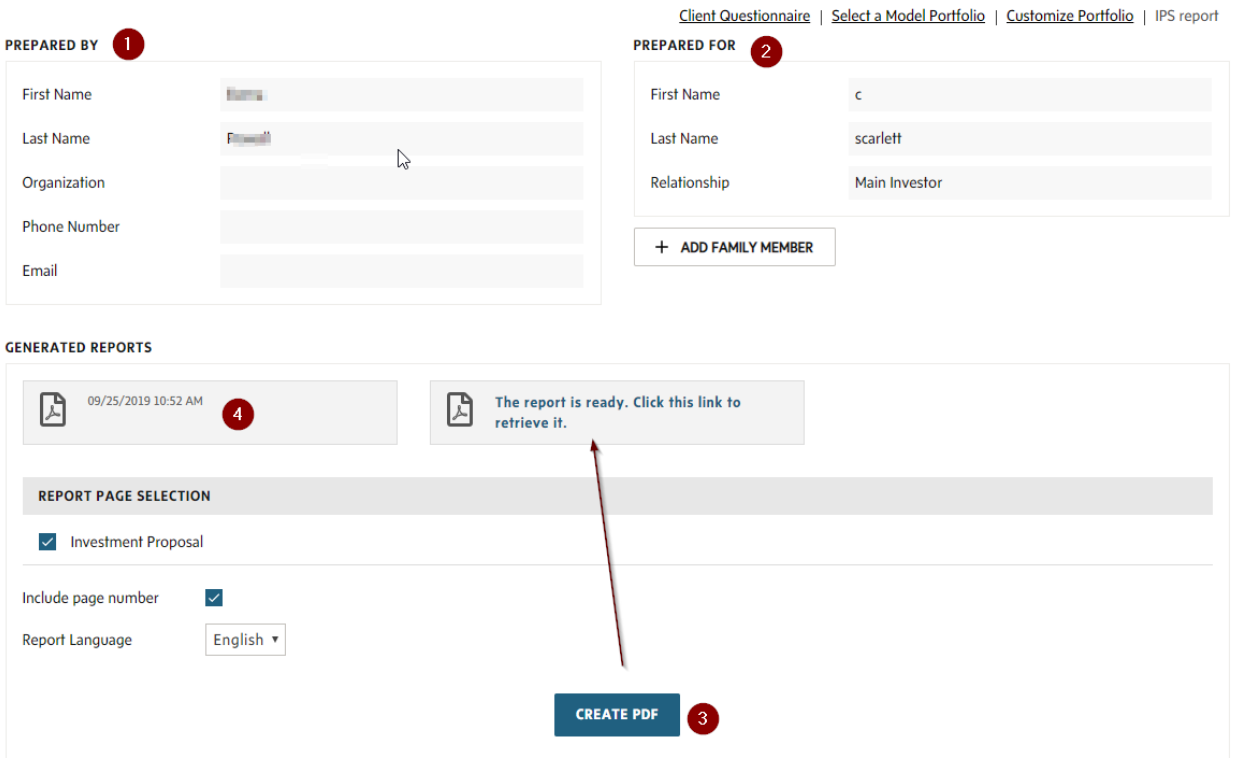

For example:

- If your client's portfolio is diversifies between Canadian and U.S. equities equally, using a Canadian index only as the benchmark would not be a true measure of asset performance relative to all markets.
- Rather, you may want to use an average of the S&P/TSX Composite Index and the S&P 500 Index combined.

Click on the following link for more details on how a Blended Benchmark works with simulated portfolio valuation:

https://www.theglobeandmail.com/globe-investor/personal-finance/how-to-create-your-own-weighted-average-benchmark/article624919/

## IPS Report




1) Who the report is prepared by
2) Who the report is prepared for – you can include spouse/ partner, child, business, parent, etc. (optional)
3) You can create the report by clicking on the 'CREATE PDF' button
4) You can view an archive of generated reports under the 'GENERATED REPORTS' section

## Client PDF Documents - Matrix

All PDF documents in the new ProStation are streamlined into one Investment Proposal package that's meant to replace the three documents used by advisors historically. This PDF can be generated only once the Client Questionnaire (KYC) is completed and prospective portfolio is balanced sufficiently to meet KYC tolerances.

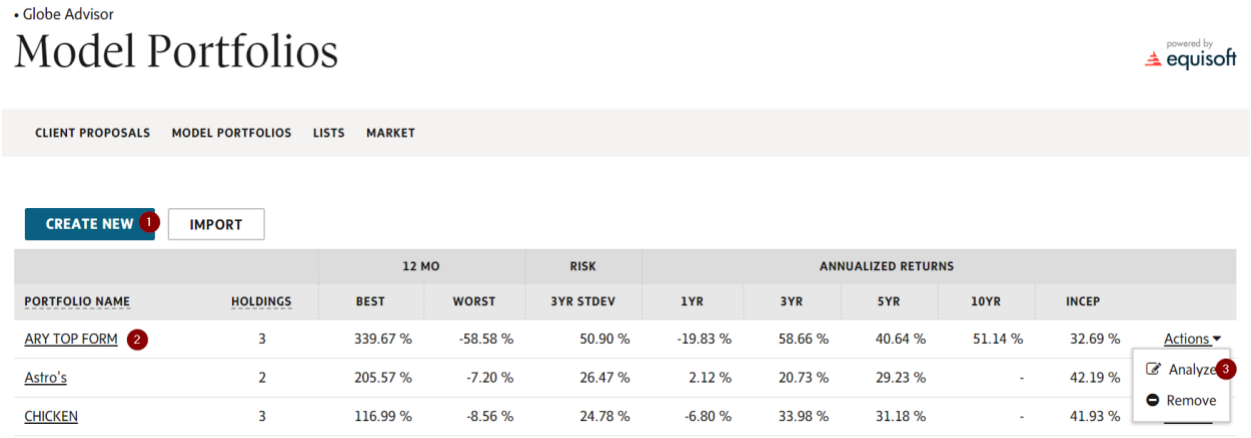
**The Investment Proposal includes:**

1. Presentation Cover Sheet
2. Investment Profile description
3. Portfolio Asset Allocation Breakdown by sub-class, region, style, sector and market capitalization

4. Historical Performance chart with initial and estimated end value (plus Blended Portfolio overlay)
5. Portfolio Statistics
6. Risk vs Return (plus Blended Portfolio overlay)
7. Correlation
8. Disclosure
9. Roles and Responsibilities

The (above) Investment Proposal package as provided by the ProStation legacy software was divided into two documents: Presentation Builder and Investor Policy Statement.

## Model Portfolios

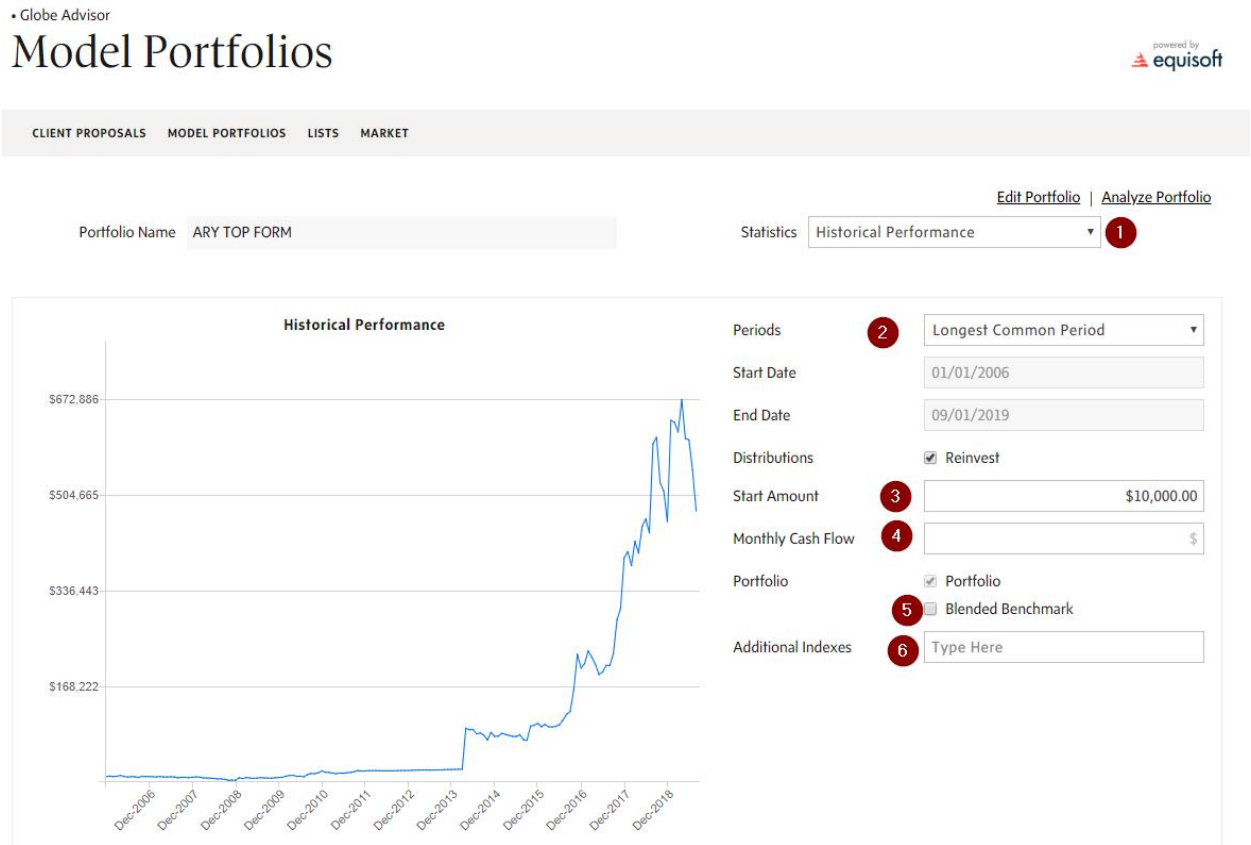



1) You can create new Model Portfolio by clicking on the 'CREATE NEW' button.
2) Use Quick and Advanced Search to select holdings. The asset mix will update automatically as you assign allocations

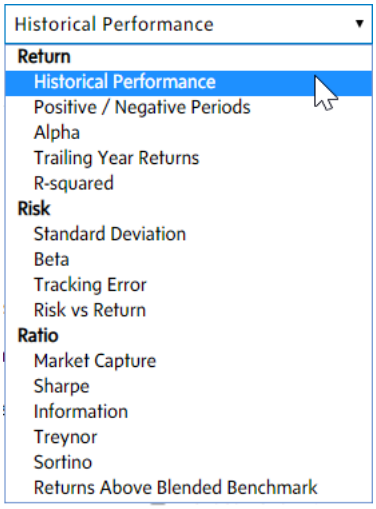
   Note: the total percentage of the portfolio must be 100% and the percentage of each asset should be bigger than zero.
3) Once complete, click "Analyze Portfolio" to test (optional).

### Analyze Portfolio

This will assist advisors looking to run portfolio diagnostics including stress tests and statistical interpretation.




1) You can select the type of statistics you want to analyze by clicking on the 'Statistics' drop down menu and selecting the appropriate option.




2) You can select the periods by clicking on the 'Periods' drop down menu and selecting the appropriate option.

3) You can set the start amount for the portfolio by clicking in the 'Start Amount' field and typing in the amount.

4) You can set the monthly cash flow by clicking in the 'Monthly Cash Flow' field and typing in the amount.

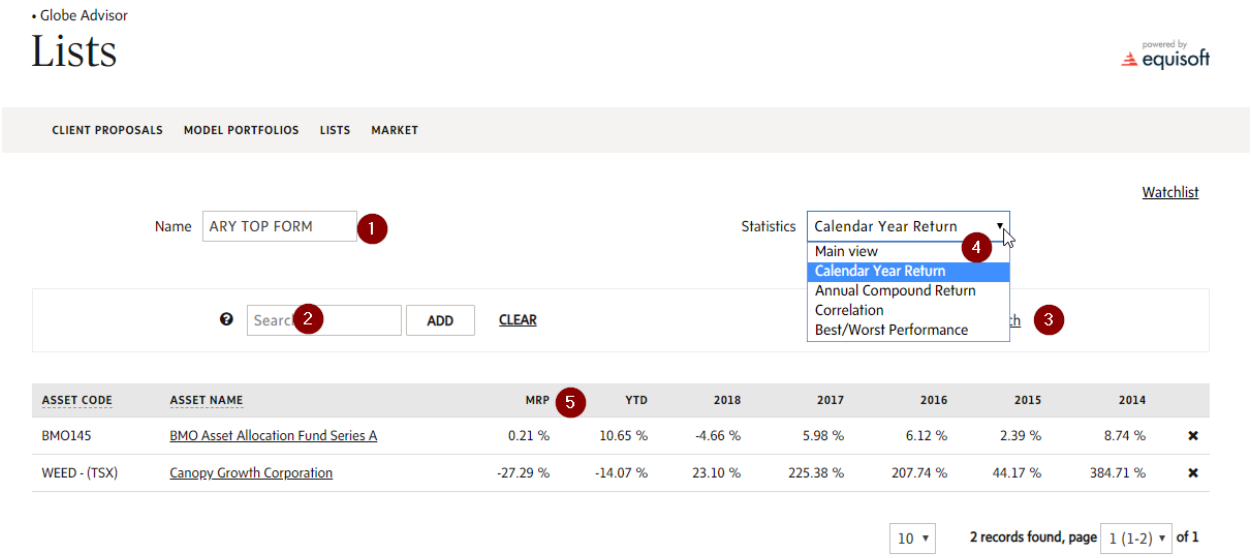
5) You can compare your portfolio with a blended benchmark by checking the 'Blended Benchmark' box.

6) You can compare your portfolio with additional indexes by typing the name of the index in the 'Additional Indexes' field and selecting the appropriate option in the list that appears.

Note: This analyze portfolio feature is only available in Model Portfolios and not Investment Proposals.

## Lists

The new ProStation comes equipped with a List tool that make it easy to locate Canadian mutual funds and North American stocks and create lists of your favourite stocks and funds for quick reference.




1) You can enter the name of the Lists here
2) Add stocks or funds by typing code or asset name. (Please see Quick Search section for more info). To add the asset in the portfolio, enter the appropriate percentage or amount, and click on the 'ADD' button.
3) You can search for an asset using additional criteria's by clicking on 'Advanced Search' icon. (Please see Advanced Search section for more info.)

4) 4) Once you're done, you can select 5 data visualizations found in the 'Statistics' dropdown menu: Main View, Calendar Year Return, Annual Compound Return, Correlation, Best/Worst Performance
5) MRP stands for Most Recent Period

Note: there is no integration between Lists and Client Proposals (ie. "Add to Portfolio').