Approved Alternative Investment Programs

The Approved Alternative Investment Programs section provides a list of programs that have been approved for sale through your broker dealer for sponsors that are ALSO subscribers of AI Insight. In some cases, it may also include sponsors who are not yet on the platform. Programs are sorted by asset class and by structure (for example, REAL ESTATE / Non-Traded REIT).

- **If there is a flashing "Current Updates" at the top of the page,** you will need to review program updates prior to working with the program.

- **"Alerts, Policies and Required Forms"** outlines critical information from your BD that applies to <u>all alternative investments.</u> This may include company policy statements, restrictions, and additional documentation that must be submitted with normal subscription documents, etc.

- Use **"Search Filters"** to pinpoint a specific asset class, sponsor, or program.

- **To access individual program information,*** select the asset class to open up a list of available offerings. Each asset class has columns that display sponsor and offering-related information including the Corporate Summary and Program Summary, a shortened version of the PPM or prospectus. Please note that all questions for each program's education module are derived from the Program Summary.

*All information is FOR BROKER DEALER USE ONLY and may not distributed to investors.

Comparative Reports

Under **"Sponsors/Program Details"**, select **"Create Comparison Reports"** to compare two or more programs based on certain select criteria that you or your client find important.
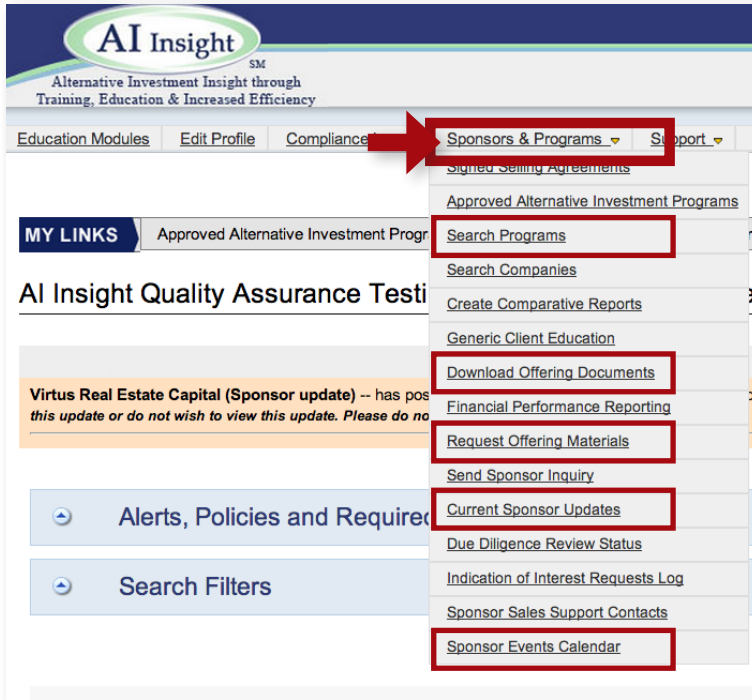
To run a report, go to **Investment Sector**, select an **Asset Class**. Select **Investment Type** and all other desired categories. Go to **Active Status** and select **Active.** Click **NEXT**. Once the system identifies all programs that match your criteria, simply check the programs you want to compare. Click on **Continue** to select up to ten comparison features. Click on **Show Programs from Initial Search** to access the comparison reports. You may narrow your search, change the display, and/or export to an excel spreadsheet (if allowed by your BD).*****

To create a custom filter: For certain criteria that you might use more than once (or over and over again) you may create a filter to save for future use.

Go to **Apply Filters** and click on **Click to Add/ Filters**. Click on **Create New Filter.** Give the new filter a name and select up to ten criteria for that filter. Click on the green **ADD.**

Offering & Sponsor Information

Under "Sponsors & Programs," you'll enjoy easy access to information and materials to help streamline your sales operations. Highlights include:

Search Programs: Search our database by Sponsor or Program Name. Or, you may search by Investment Sector/Type/Structure or by Program Objective. You may also search by Sponsor Subscription Status.

Download Offering Documents: You may access all current offering documents including PPM/prospectus, 10ks and 10Qs, supplements, FINRA-approved marketing materials, etc. You may download, print or email the materials for any public program. **For private programs**, you may ONLY download the offering documents. Printing or emailing any private program's offering materials is strictly prohibited.

Current Sponsor Updates: View a list of all sponsor wholesalers and other sales support staff available to you. Search by sponsor, state where your office is located, etc. Learn all contact information including their geographical territory responsibilities and a short profile on that wholesaler's professional background and interests.

Sponsor Event Calendar: Learn of upcoming sponsor and industry events including webinars, conference calls, due diligence meetings, industry conventions, etc. In addition, you may request more information, send an indication of interest, or record the event in your OUTLOOK calendar.

Request Offering Materials: If you prefer hard copies of offering materials or need to order information to be shipped directly to a client, you may do so directly from AI Insight.
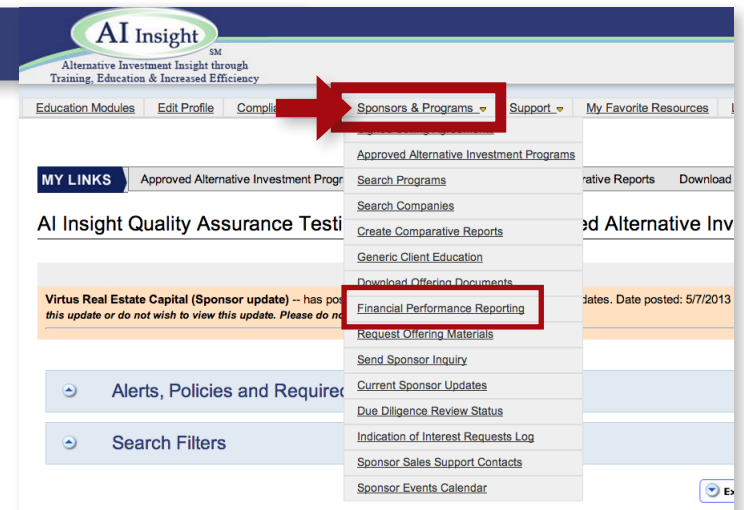
• Select the program(s) you would like to order materials for.
• Provide any special instructions (client addresses, number of copies, special shipping instructions, etc.)
• Click on **Request Offering Material.** An email will be sent to the sponsor and your BD home office for record keeping.

Financial Performance Reporting

Enhanced performance reporting provides ongoing, summarized performance information for each public program on the AI Insight platform. From **"Sponsors & Programs"** select **"Financial Performance Reporting"** to run side-by-side program and industry-level performance comparisons. Criteria selection and options are similar to those used in AI Insight's popular alternative investment comparative reports feature.

AI Insight's reporting component also includes a fully customizable instant alert feature, which will help keep you in the loop regarding performance indicators most important to you.

Please note that financial performance reporting is a premium feature and is available at an additional cost. **Please contact 877-794-9448 or CustomerCare@AIInsight.com for details.**

Accessing & Completing Education Modules

Education Modules | Edit Profile | Compliance Log ▾ | Sponsors & Programs ▾ | Support ▾ | My Favorite Resources | Logout

Education Modules

-- Green denotes that the module has been created by your Broker Dealer.
-- Blue denotes that the module has been created by AI Insight.
-- Yellow Highlight denotes the module is a CE Credit course.

[View All Modules] [View Module created by your Broker Dealer] [View Module created by AI Insight] [View CE Credit Courses]

Test Name	Due Date	Start Module	Send request
Test Name 1	--	Start Module	--
Test Name 2	--	Start Module	--

All advisor tests are located under "Education Modules" on the main site navigation. To determine who created the modules, follow the color codes located at the top of the list.

Available Modules may include:

General Program Tests – PPM or Prospectus-based tests that are typically created by AI Insight and are Optional but Required to Sell Program.

Supplemental Program Tests – created by either your BD or by the sponsor to emphasize specific points or details of the offering.

Internal Training Modules – created by your BD and are designed to train company personnel on special subject areas such as compliance policies.

CEU Modules: continuing education tests created by sponsors, AI Insight, industry associations, or others to provide you with CEs for designations like the CFP.

PLEASE NOTE:

Each test will have a designated protocol chosen by your broker dealer:

- **Optional** – You are not required to take the test regardless of what program(s) you are interested in selling.

- **Optional but Required to Sell** – Testing is required only for programs you plan on presenting to your clients. You MUST successfully complete the program module BEFORE you solicit and, in some cases, even before you may order material directly from the sponsor.

- **Required** – Under ALL circumstances you MUST successfully complete the module(s).

Program Testing Instructions. To begin testing, Click **Start Module**. This may say "Resume" if you have started the test previously. Clicking "Resume" will start the test at your last completed answer.

- You will be asked **"Have you received the offering documents for this program?"** If you have not, click "NO" and order the documents through AI Insight. If you click on "NO" you may be locked out of the system for a short period of time as determined by your BD. Once you have received and reviewed the offering documents return to this page and click on "YES" and **"Click here to start module"**.

- The next question is **"Have you reviewed the Prospectus?"** If you have, click "YES" to proceed.

- You will now be on the main page of your program test, which provides links to the Program Summary, the Corporate Summary, and any other legal or policy references necessary for you to successfully complete the test.

ALL TESTS ARE OPEN-BOOK – Click on the blue link to the **Program Summary** to find an answer. You may wish to open up the Program Summary in a separate browser window to display the test and Program Summary side-by-side. Tests questions and answers follow the same order as the Program Summary. All questions and answers are taken from the Program Summary.

- If you run into a question that is unclear or you feel may be incorrect, feel free to **"submit comment"** immediately. Our Training & Education team will get back to you typically within 24 hours to address your comment.

- Click **SUBMIT** once you have completed the test. The system will immediately provide your score. If your BD has indicated a particular scoring level requirement, the system will take you back to ONLY the questions you missed to let you try again. Once you have correctly answered the required number of questions or achieved the required passing grade, the system will announce your successful completion and immediately transfer your results to your personal, permanent **Compliance Log** for compliance record keeping. Your home office will also be notified. If you are an OSJ, you will have access to a consolidated Compliance Log that lists the results of all your advisor tests.