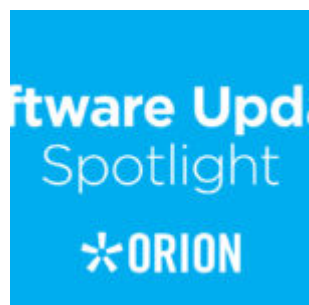


Simplify ADV Reporting, View Moody's Ratings, and More with These New Software Updates



Last month, we released our May 2017 software update. In this post, we'll highlight three of that build's new features: Compliance Corner, Composite updates, and Moody's.

Updated data queries, new Composite features, and Moody's ratings are just a few additions that will streamline your processes.

Ready? Let's get started.

Compliance Resources

Compliance Testing

Filing

Form ADV

Audit

Additional Help

Orion can simplify many ADV reporting requirements for you based on the data in our system. Below are queries to assist you in populating Form ADV, Part 1A.

ADV - Part 1A Section Reference	Description Of Requirement	Orion Query
Item 5.C(1)	Approximate number of clients provided investment advisory services during most recently completed fiscal year.	Assets Under Management
Item 5.C(2)	Percentage of clients that are non-U.S. persons.	ADV - Foreign/Domestic AUM
Item 5.D(1)	Types of clients ¹ .	ADV - AUM by Registration Type
Item 5.D(2)	Percentage of AUM attributable to each type of client ¹ .	ADV - AUM by Registration Type
Item 5.F(2)	Number of AUM and total number of accounts on discretionary and non-discretionary basis ¹ .	ADV - AUM by Discretionary vs Non-Discretionary

¹Relies on advisor tagging such data in Orion database.

Orion can simplify many ADV reporting requirements for you based on the data in our system. Below are queries to assist you in populating Form ADV, Part 1A. **Effective October 2017.**

ADV - Part 1A Section Reference	Description Of Requirement	Orion Query
Item 5.F(3)	Approximate amount of an adviser's AUM attributable to non-U.S. persons.	ADV - Foreign/Domestic AUM
Item 5.I	Total AUM attributable to a wrap fee program ¹ .	ADV - Wrap Managed AUM
Item 5.K(1)	Percentage of AUM invested in 12 broad asset categories ¹ .	ADV - AUM by Asset Class
Item 5.K(1)	Percentage of AUM invested in 12 broad asset categories ¹ .	ADV - AUM by Asset Category
Item 5.K(3)	Identify custodians that account for at least 10% of SMA AUM.	ADV - AUM by Custodian

¹Relies on advisor tagging such data in Orion database.

Get Out of the Corner with These Updates

The Compliance Corner app now boasts tabs for easier navigation and workflow.

Under the Form ADV tab, you'll find a list of data queries you can run, helping you populate required information in your Form ADV.

We also included an updated query list to accommodate 2017 Form ADV reporting changes.

Compliance Resources Compliance Testing Filing **Form ADV** Audit Additional Help

Orion can simplify many ADV reporting requirements for you based on the data in our system. Below are queries to assist you in populating Form ADV, Part 1A.

ADV - Part 1A Section Reference	Description Of Requirement	Orion Query
Item 5.C(1)	Approximate number of clients provided investment advisory services during most recently completed fiscal year.	Assets Under Management
Item 5.C(2)	Percentage of clients that are non-U.S. persons.	ADV - Foreign/Domestic AUM
Item 5.D(1)	Types of clients ¹ .	ADV - AUM by Registration Type
Item 5.D(2)	Percentage of AUM attributable to each type of client ¹ .	ADV - AUM by Registration Type
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¹Relies on advisor tagging such data in Orion database.

Orion can simplify many ADV reporting requirements for you based on the data in our system. Below are queries to assist you in populating Form ADV, Part 1A. **Effective October 2017.**

ADV – Part 1A Section Reference	Description Of Requirement	Orion Query
Item 5.F(3)	Approximate amount of an adviser's AUM attributable to non-U.S. persons.	ADV - Foreign/Domestic AUM
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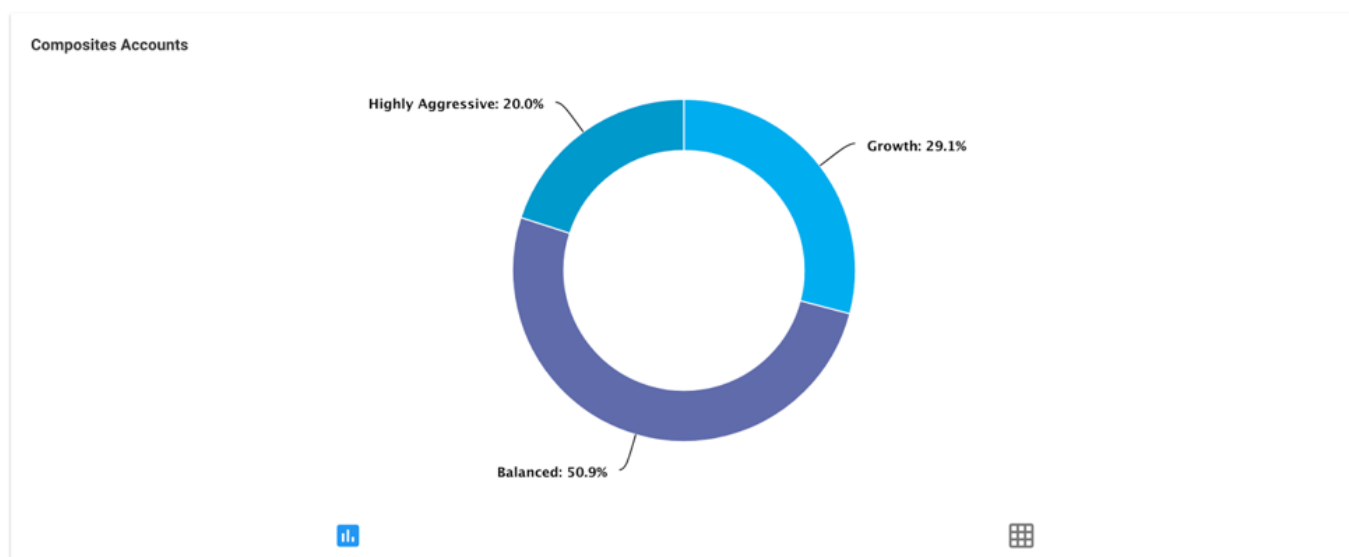
¹Relies on advisor tagging such data in Orion database.

To make sure the queries provide the information you're looking for, review the data queries to ensure you're using the correct corresponding data fields. And remember, you can request a new data query from Orion if you need data more specific to your needs and can't find a match to your liking already in our list.

Creating Magic with Composites

Our new update includes several changes to the Composite app.

If you've logged into the Composite app in recent weeks, the first change you likely noticed is its new landing page. The first pie chart you'll see displays AUM by Model and Management Style, and a second pie chart displays the number of accounts by Model and Management Style.



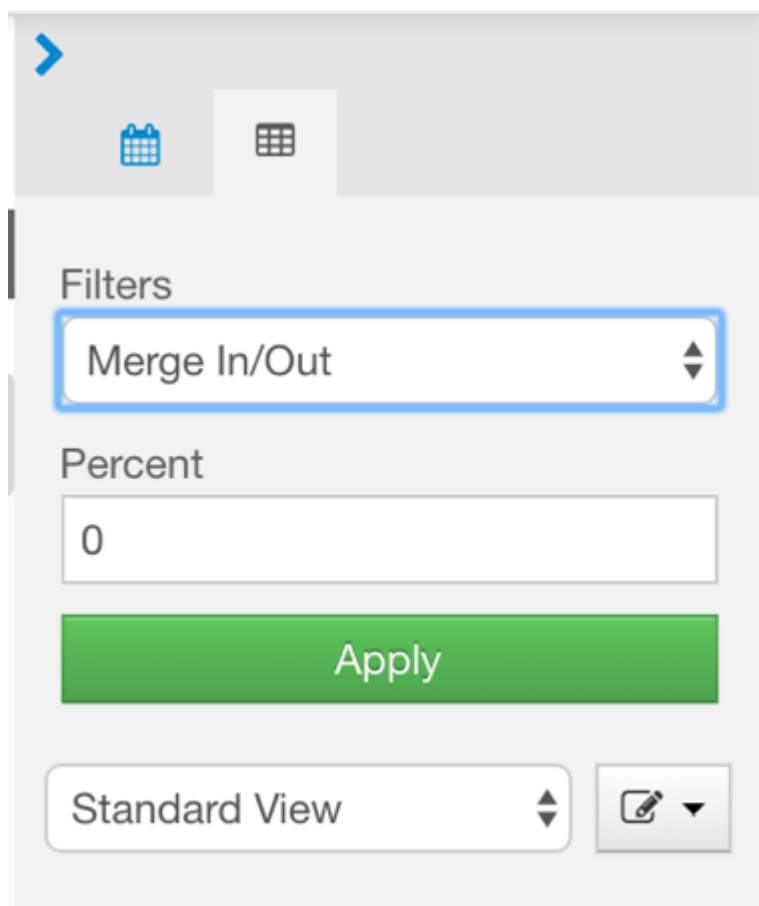
You also have a table showing Model and Management Style period performance, Quarter-to-date, Year-to-date, 1 Year, 3 Years, 5 Years, 10 Years, and Since Inception performance.

Each chart or table allows you to view the accounts making up those numbers.

Now, let's wrap up composites with two more quick updates.

Previously, you had to "make live" your entire preliminary composite account list. Now, you can choose one or multiple accounts to make live, and view the rest of your accounts in the preliminary account list.

And lastly, the "merge in/out filter" shows all the accounts that had a merge in/out transaction during a given time period. Now you can enter a percentage to only show those accounts with merge in/out transactions greater than that percentage.



Filters

Merge In/Out

Percent

0

Apply

Standard View

Getting into the Reporting Mood(y's)

Recently, Orion integrated with Moody's to provide advisors with automatically updated Moody's Investors Service bond ratings directly in the Orion platform. Ratings are automatically updated and can be added to Orion fixed income reports, giving you a clear sense of risk associated with a portfolio.

You can also opt to have Moody's bond ratings included automatically in your Orion reports by signing an addendum to your Orion agreement.

This article is part of a series that reviews new features in our recent software update. If you'd like to see a list of every change made, you can read the full release notes [here](#).

If you have any questions about today's information, please log into Orion Social to contact our Subject Matter Expert teams.