



2018 ASSET MANAGEMENT OPERATIONS & COMPENSATION SURVEY: FREQUENTLY ASKED QUESTIONS

SURVEY COMPLETION

How long will it take to complete the survey?

The time to complete the survey will depend on how well you know your firm, how readily available your data is, and the number of employees for which you are completing compensation information.

We understand the survey is thorough, but we capture data points essential to providing you with extensive and meaningful results.

Will I need to complete ALL pages of the online survey?

No. The survey has built-in logic to skip questions that do not pertain to your firm based on your answers. In addition, there are duplicated compensation data pages for the 40+ positions. If you have 20 employees, you only need to complete 20 of those pages. In the event you need to complete the survey for employees in the same role, you have that ability. You may skip the unneeded pages.

Can I start the survey and finish responding later or on a different computer?

Yes, you may stop and return to complete the survey at any time. You must click NEXT on the page to save the survey up to that point. The link will remember the last page you completed.

I want to complete the survey, but I do not have access to all compensation data. Can someone else enter that data separately?

Yes. We split the survey into two sections for this purpose. Each respondent will need to request a survey link and let the Survey Administrator know that the survey will be divided.

SurveyAdmin@augtheexchange.org

Be sure that each portion is complete before the deadline to ensure that your firm is eligible to receive the results.

Can I complete only one section of the survey?

You may complete only the Operations portion of the survey to receive those results. However, incomplete responses will not receive the data.

If compensation data provided is not sufficient, compensation data results will not be released to the firm.

SECURITY & DATA ACCESS

Who will know I participated? Who will see my responses?

Access to the participating firms' names and data will be strictly limited to the Survey Administrator and the professional survey consultant analyzing the results.

Why is a password required to complete the survey?

We utilize this additional level of security to restrict access to survey responses in progress.



How do I get the survey password so I can enter my responses?

Send an email to the Survey Administrator at SurveyAdmin@AUGTheExchange.org to request a link.

This password is different from the one you use to access the members-only portion of the website.

Who has access to the results?

Participating firms will receive the aggregated and analyzed results. No raw, unanalyzed data is shared beyond the Survey Administrator and the survey consultant. Firms that did not participate in the survey may purchase the results from the Survey Administrator.

Will participants be able to figure out from the results who a particular participant is? If, for instance, my firm is unique in my region in terms of AUM and products offered?

No. We are committed to maintaining the confidentiality of your data. Respondents will remain anonymous. Only aggregated data will be presented. No analyzed results will be published if the results set could potentially reveal any particular firms' identity.

SPONSORS

Is The Exchange affiliated with SS&C Advent or the IAA?

AUG, The Exchange is a completely independent membership organization comprised of firms in the wealth and investment management industries. SS&C and IAA are the sponsors that make the survey possible.

Will co-sponsors of the study have access to my response data?

No. The survey is created online with an AUG Survey Monkey account not accessible to any sponsors or their representatives. The raw data will only be accessible by the Survey Administrator and the survey consultant. In appreciation of their sponsorship, The Exchange will provide the sponsors with only the published, analyzed survey results available to participating firms.

ELIGIBLE PARTICIPANTS

Are firms that are not members of The Exchange invited to participate in the survey?

Yes. The survey is an industry study. Expanding the potential respondent pool beyond The Exchange's current members is an added benefit to all participating firms. This provides data from the broader investment community thereby offering a more relevant result set.

SURVEY RESULTS

When will the results be published?

The final report and data tables will be sent to participants in October. This is timed to give the ability to use the information when making yearend compensation decisions.

I would like to receive the results without participating? Is that possible?

Yes. Participating firms will receive the published results free of charge. AUG, The Exchange reserves the right to sell the results for a fee to non-participating firms.



What are the qualifications of the professional survey consultant being utilized for this project?

Visit augtheexchange.org and navigate to “What is the Ops & Comp Survey” to read the biography of the survey author.