



Form Magic's File-Mate ADV

User Guide

Welcome to File-Mate ADV

Welcome to the File-Mate ADV User Guide. File-Mate is designed to help you manage your SCC ADV regulatory documents or ADV Part 2A and Part 2B documents easily and effectively.

File-Mate allows you to enter your ADV information in a Wizard like application, moving you through each section of the new SEC Brochure document. Each section will have a particular theme that you will need answer, or explain, and each section will have the exact SEC instructions to guide you along the way.

Once you have entered your answers in each section and have create the required supplements (Adviser sections), you will be ready to print your fully formatted document. File-Mate handles all the form details such as Table of Contents, Material Changes and header and footers when need.

Where to begin?

If you have downloaded the installer already, then you can skip to the installer section. And if you have it installed then go ahead and skip to the Working in the Program section.

Downloading the Demo

Visit the following web site:

http://www.formmagic.com/file-mateADV_downloads.html

And download the Windows version of the software. Once the software has finished downloading to your machine, move to the installer section for complete run down of the features and how to for installing.

Installing File-Mate

Before you begin the installation process, save your work and exit other open programs, and disable virus protection utilities.

Installation notes

To install File-Mate in Window NT, you must log on with Administrator privileges. Window 2000 Professional, XP and Vista users must log on with Administrator or Power User privileges.

Vista and Windows 7 users may find that they need to disable Windows User Account Control (UAC) in order to use the program. Alternately you may override UAC by setting the application to “Run as Administrator”.

Minimum hardware and software requirements

To install and use File-Mate, you need the CD-ROM in the File-Mate package or the downloadable installer. Plus your computer should meet the following minimum equipment and software:

- An Intel-compatible 486/33 PC or Higher.
- At least 64 MB of RAM.
- A hard disk with at least 110 MB of free space (for application and data storage).
- A CD or DVD drive (not needed for downloadable installer).
- Window 2000, Windows XP or Windows Vista, Windows 7.

Running the Installer

You must use the installation program to install File-Mate – you can't install File-Mate by dragging files to your hard disk.

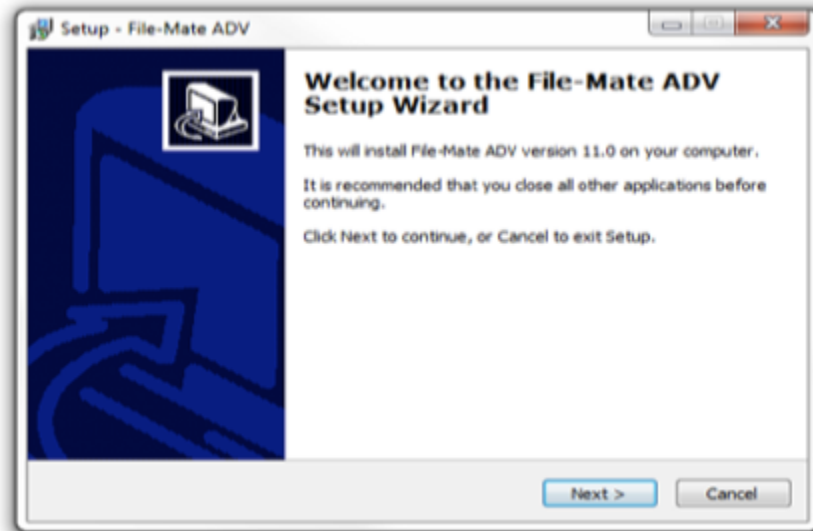
For late-breaking information about File-Mate, browse the contents of the CD and view the Readme file or visit www.FormMagic.com.

To install File-Mate:

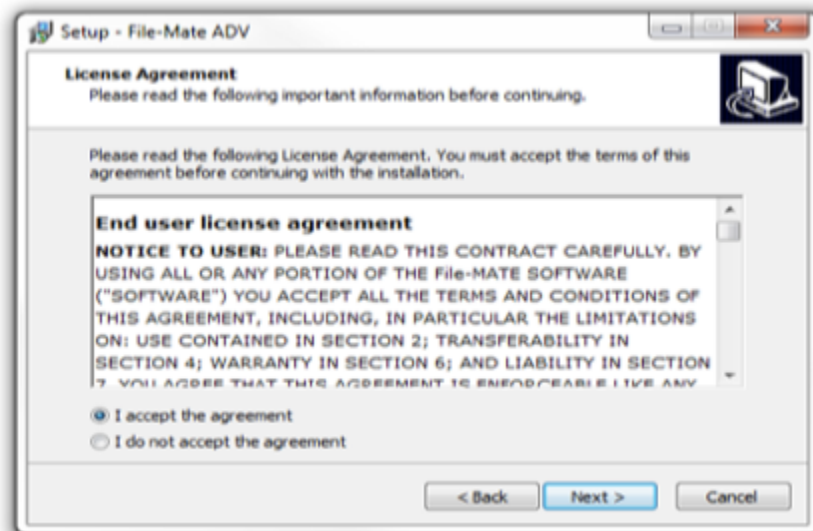
1) If you have a CD, insert the CD into you CD or DVD drive, or navigate to the folder containing the downloaded installer file and double click the file to run the installer.

Or, open the installer file “File-Mate_Installer.exe”

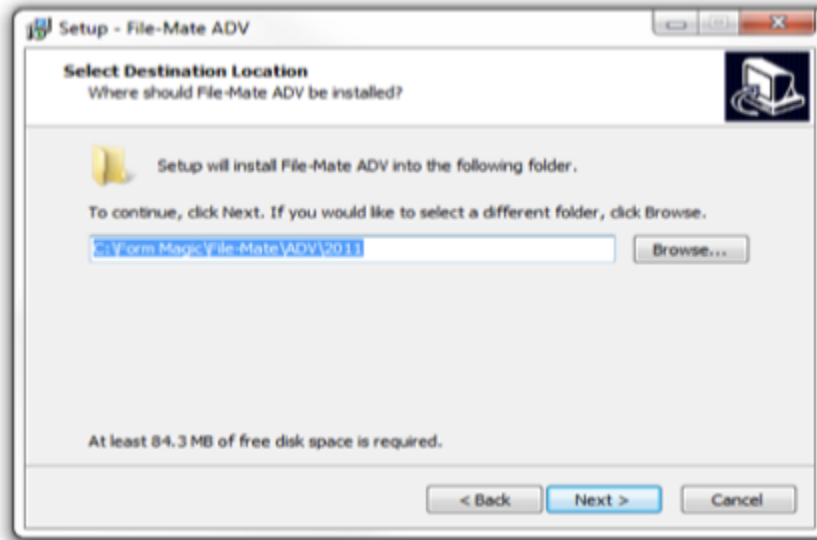
2) When you see the File-Mate Welcome panel, click Next to continue.



3) License Agreement, click the “I accept the agreement” to continue.



4) In the Destination Folder panel, choose the folder where you want to install File-Mate.

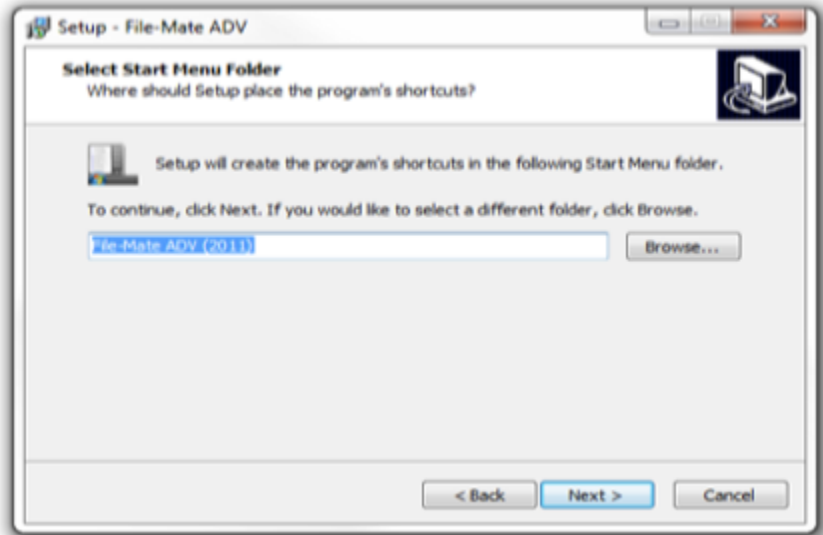


By default, File-Mate will be installed in the C:\File-Mate\2011.

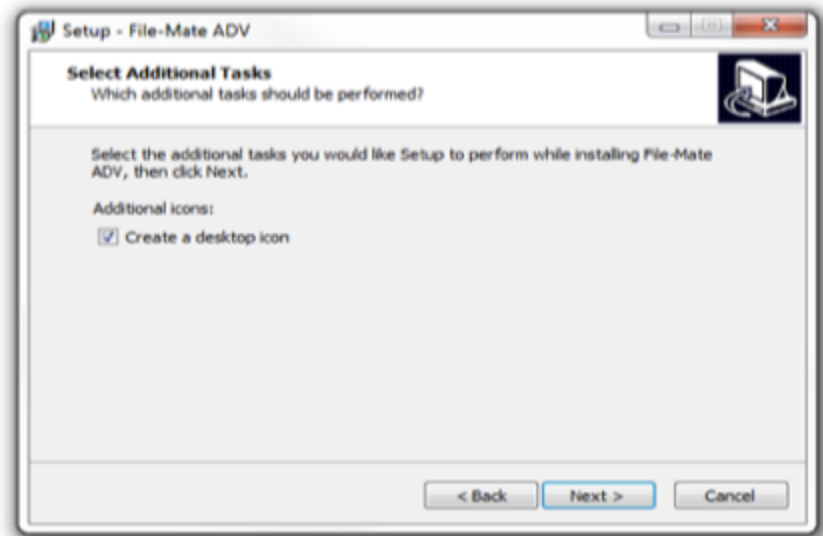
If you want to install File-Mate in another folder or on another drive, click the drop down menu within the folder display and navigate to the folder where you want to install File-Mate. If the selected disk doesn't have enough space for the files you select, or is write-protected, you can leave the installer and delete existing files to make more room on the disk. If the disk is locked, or isn't a hard disk, you can choose another drive.

4) Click Next.

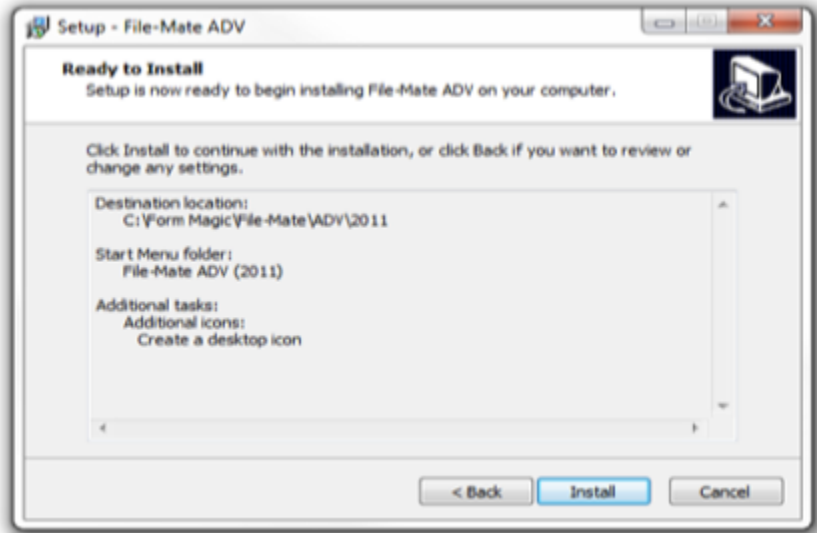
5) In the Select Start Menu Folder window, select the name that you would to have display in your Windows Start menu. Default is File-Mate ADV (2011). Click Next to continue.



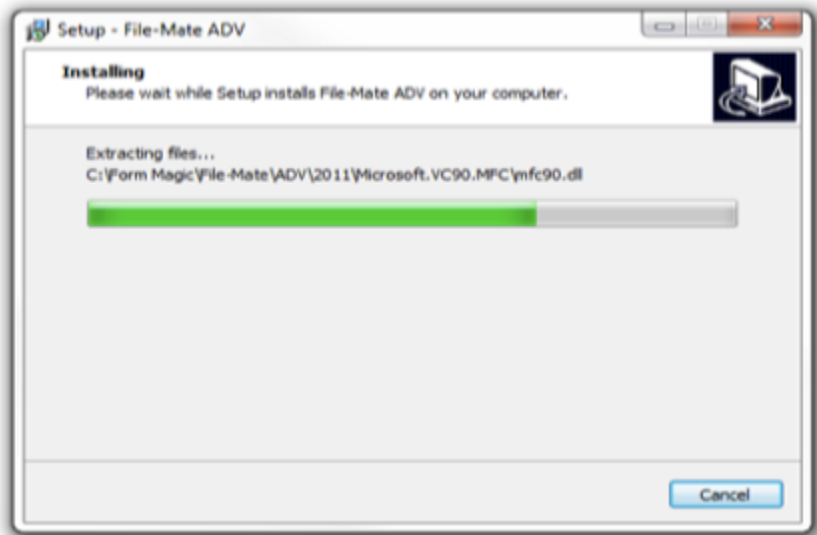
6) In the Select Additional Tasks window, you can choose to have a desktop icon and/or a quick launch icon created. Click Next to continue.



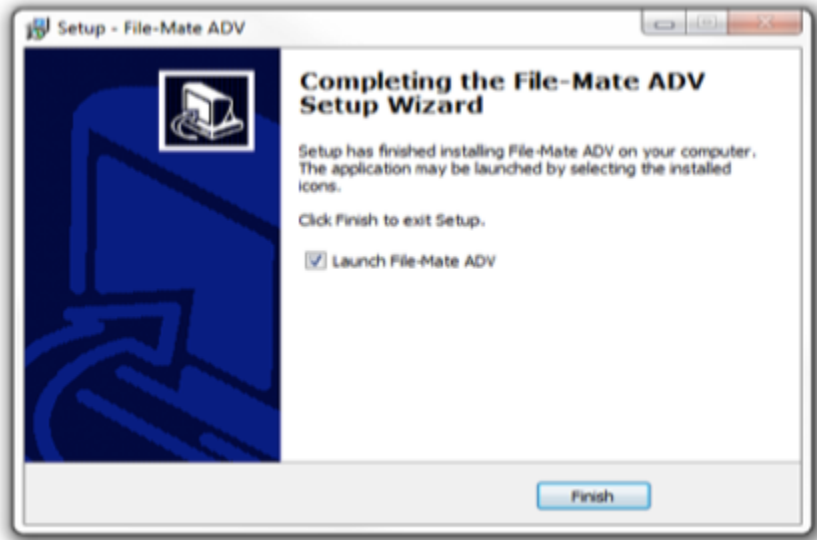
7) The Summary window is a summary of your previous choices, examine the contents, if they are correct, click Install to begin the installation.



Install in progress...



8) When the installation is complete, click Finish.



If you choose to launch File-Mate ADV, the program will open after the installer is closed.

Otherwise you can use the Start menu to open the program.

Uninstalling File-Mate

- 1) Click the Start button > Setting > Control Panel.
- 2) Double-click Add/Remove Programs.
- 3) Select File-Mate from the list of applications.
- 4) Click the Remove button.
- 5) Click Next to remove the application.

Where files are stored on your hard disk

C:/<varies depending on OS>/File-Mate/ADV/2011

What file should I backup, just in case?

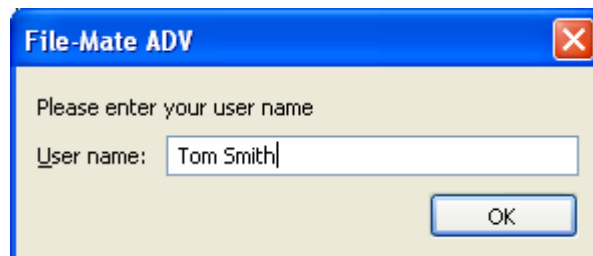
C:/<varies depending on OS> /File-Mate/ADV/2011/2011.frm

Opening the program for the first time

The first time you open the program you may see the following Alert (or one similar to this) dialog. Be sure to click **Unblock** otherwise the program will not be allow to operate correctly.



You will also be asked to enter a User Name. You can enter anything you wish, but note this will be the name used as the person editing the software.



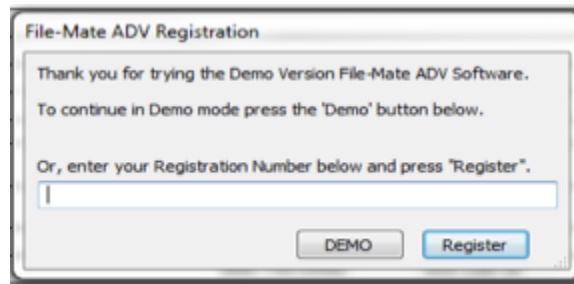
Registering File-Mate ADV

Each time you open the un-registered software you will be asked to either register the software, or choose to run the software in demo mode.

If you have purchase the software, go ahead and enter your number now.

If you don't have a registration number, or don't have with you right now, don't worry. Go ahead and press the DEMO and you will be allowed to enter the program. There is not limit to the length of time the program will run in demo mode, however, all of your printed output will contain a watermark until the program is registered.

To return to this dialog, use the Help menu "Registration" option.

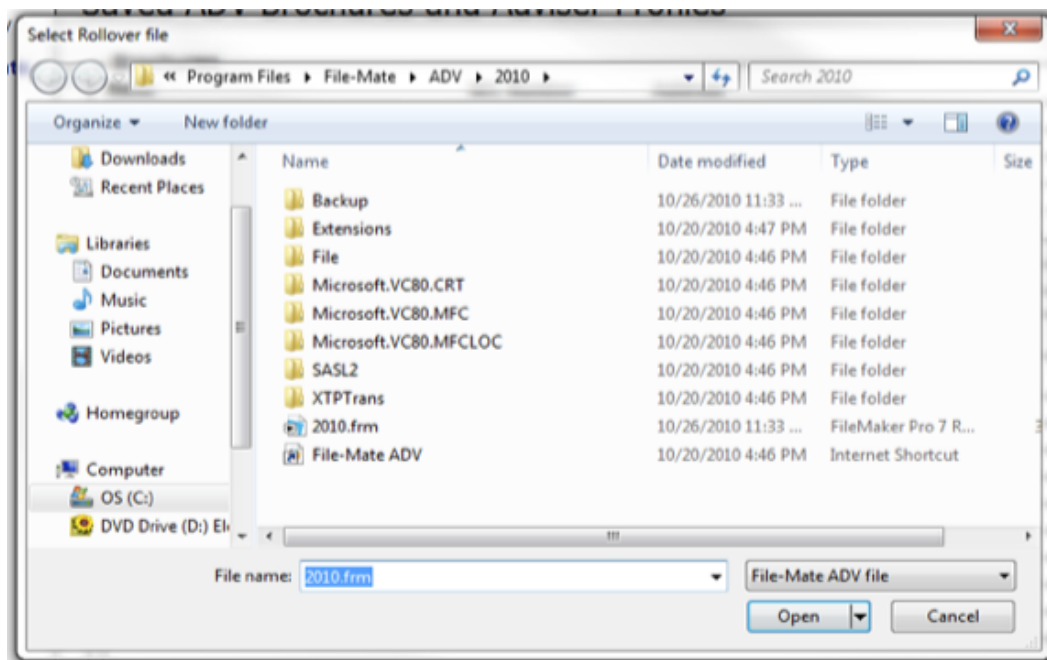


Upgrading from an older version

If you are a returning customer I'm sure most of this is looking pretty familiar, but I'm guessing the first thing you will want to do is import your data from the old version to this new version. If so here's what you want to do.

Rollover steps:

- From the File menu, click **[Rollover]**
- You will be presented with a “Select Rollover file” dialog like this:



Select the file you wish to import with this dialog and click Open. The program will import the data and re-map the previous ADV Part II format to the new Brochure style format.

Working in the Program

This guide shows you how you can enter edit and print your ADV Part II form information in the File-Mate application.

You will learn how to use File-Mate software to:

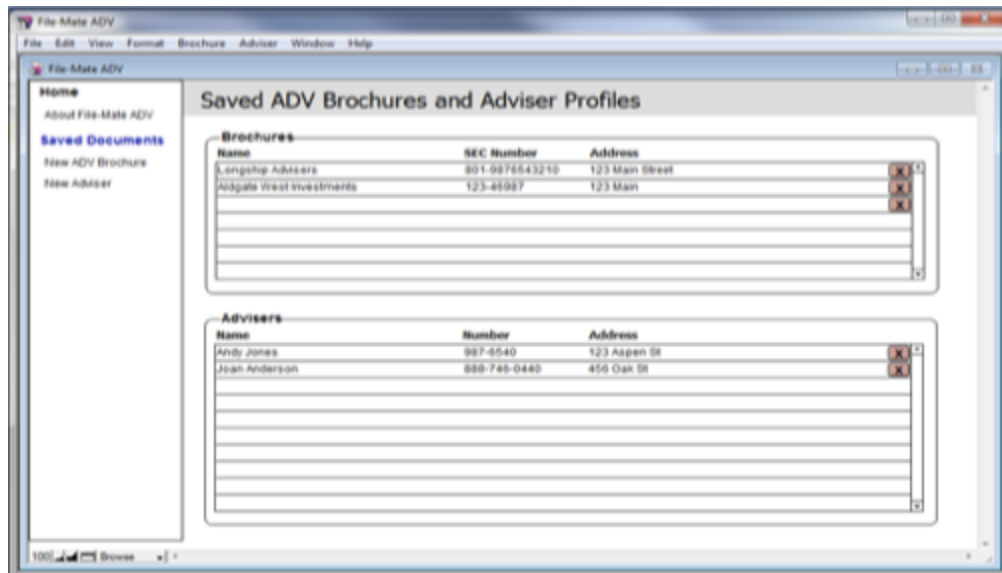
- File-Mate Basics (views and navigation)
- Create a New ADV Part 2A Form.
- Duplicating an existing form
- Selecting and editing an Existing ADV Form.
- Printing options.

General Navigation

File-Mate ADV is organized with a Home page and two different data entry sections; the first being Part 2A, and the second Part 2B Supplements (Adviser sections). File-Mate starts in the Home page view. In the Home page you can create a new blank form or choose existing form to edit, review or print.

After creating a new form (ctrl-N), or selecting an existing form from the list you are taken to the first page of the form wizard, this wizard will guide you through entering data to complete the ADV Part 2A form. Note that when you are working on an ADV form you will only have access to that one form. To change to a different version of the form or create a new form, you will need to return to the Home page

Home Screen Layout



- **Home** is your start point for creating a new form, or editing an existing form.
- **New ADV Brochure**, creates a new blank brochure.
- **New Adviser**, creates a new blank Adviser sections

Entering Data

If this is the first time the application is opened, you will need to create a new ADV Part 2A Form. After the initial form is created, you can create additional forms, or you can select an existing form from the list on the Home page.

You can create as many forms as you need.

New Form

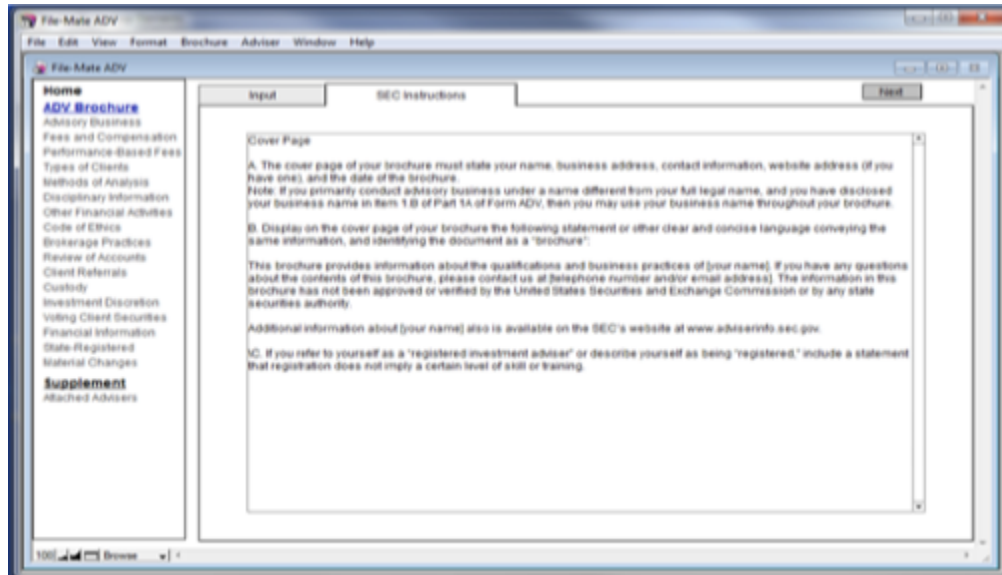
On the Home Page

- Click [**New ADV Brochure**]. A new blank form displayed.

The screenshot shows the File-Mate ADV software interface. The window title is "File-Mate ADV". The menu bar includes "File", "Edit", "View", "Format", "Brochure", "Adviser", "Window", and "Help". On the left, there is a navigation pane with a "Home" section containing "ADV Brochure" and a "Supplement" section containing "Attached Advisers". The main area is titled "Input" and "SEC Instructions". It features a "Next" button in the top right. The "Applicant Information" section contains the following fields: Firm Name, Contact Person, SEC File Number, Address 1, Address 2, City, State, Zip, Phone, Fax, Web, Email, and Date (pre-filled with 10/27/2010). A "Review" button is located to the right of the form fields.

Enter your data in the pages, when you are done with this page use the Next button to move the next page of the form. The software will guide you through the creation of the ADV Part 2A Form. In each section you will need to answer the questions from the SEC for that particular section, to view the SEC questions, click on the “SEC Instruction” tab for that section.

Here’s an example of the SEC Instructions:



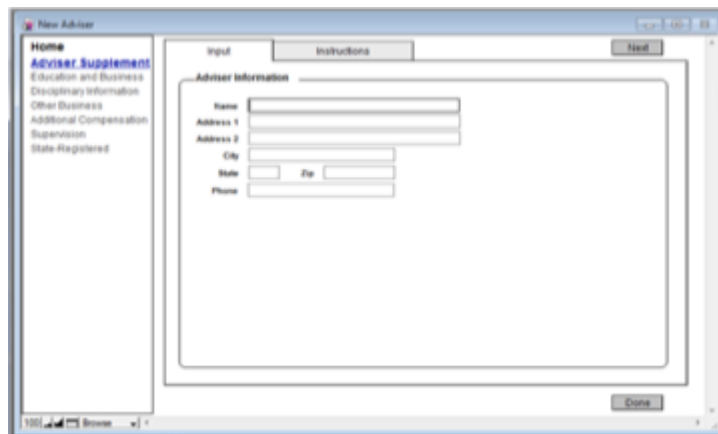
When you have completed all of the sections, you are ready to add an Adviser or Print your form.

New Adviser

The Adviser section, known as Part 2B Supplement, is the record that contains the information about the individual advisers with the firm that is described in the Part 2A section of the ADV Form. You can create one or more Part 2B sections in File-Mate and by attaching them to a Part 2A section, they will print together as one form.

There are two places where you can create a New Adviser.

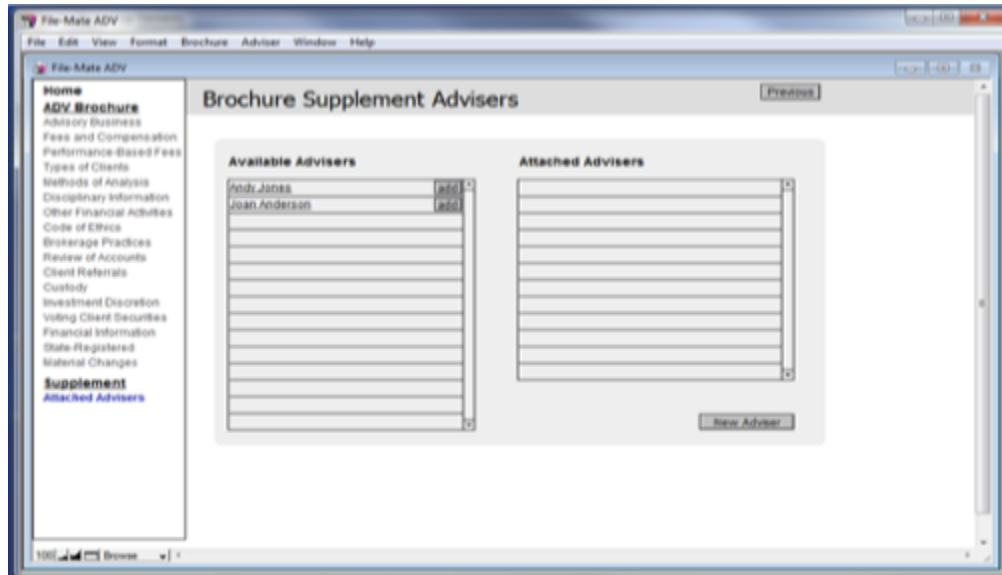
On the Home Page or from the Attached Adviser page within a Part 2A form
Click [**New Adviser**]. A new blank form displayed



Here is a new Adviser window.

Create a separate Adviser section for each Adviser in your Firm that need to be included in a Part 2A section.

Once you have created the Adviser section, you will need to attach the adviser to the Part 2A section. To do this, open the Part 2A section and select the “Attached Adviser” page.

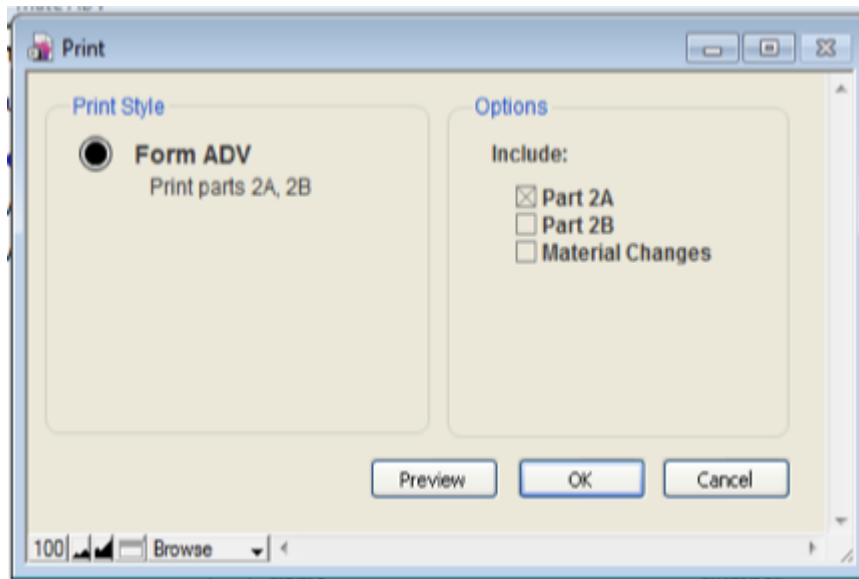


Use the “Add” button to move the desired Adviser from the left “Available Advisers” list to the “Attached Adviser” list on the right.

The Advisers in the “Attached Adviser” list will now print with the Part 2A section.

Printing

Use your laser and ink jet printers with plain paper to print the ADV Part 2 form. You will need to print one Part 2A section, along with one or more Part 2B supplements to form a complete ADB Part 2 Brochure.



Options:

You can choose one or all of the sections to be included in your output.

- Part 2A
- Part 2B
- Material Changes

Buttons

- Preview
- OK
- Cancel

Previewing a Form

If you select the Preview option, the preview of your form will be displayed. This can be very useful to check over your form prior to printing giving you a chance to read and find any mistakes before print to paper.



To exit from this view, use the navigation strip at the top of the preview

PDF Creation option

In order to create a PDF document you will need to have installed some kind of third party software that transforms the print output of File-Mate ADV and converts it to a PDF document. Additional if you are planning on submitting this PDF documents to the IARD it needs to be a text searchable PDF document.