SMArtX Advisory Solutions

MANAGED ACCOUNT TECHNOLOGY

BUILT FOR WEALTH ADVISORS

MANAGER BROCHURE

Platform Snapshot

SMArtX Advisory Solutions is a leading innovator of managed accounts technology and architect of the SMArtX turnkey asset management platform ('TAMP'). As a leader, SMArtX is on the forefront of changing the way the managed accounts industry operates by providing new operational efficiencies and modern functionality to all corners of managed accounts applications.

INSTITUTIONAL MONEY MANAGERS

Active strategies are managed by RIAs and subject to SMArtX's due diligence process.

SEAMLESS OPERATION

Passive strategies can update allocations through a simple Portfolio Editor interface.

TURNKEY DISTRIBUTION

Strategies passing due diligence are available to all SMArtX clients.

DIRECT MARKETING

Managers can update their customized microsite with qualitative marketing information.

INSTANT ALLOCATION

SMArtX clients can allocate to strategies with the click of a button.

SELL INTO THE CHANNEL

Managers have the ability to see and contact each RIA allocated to their strategy.

NO TRADING BURDEN

SMArtX executes all the trades directly into client accounts intra-day.

INTRA-DAY INFORMATION

Investment firms can see their strategy's intra-day performance and trade history.

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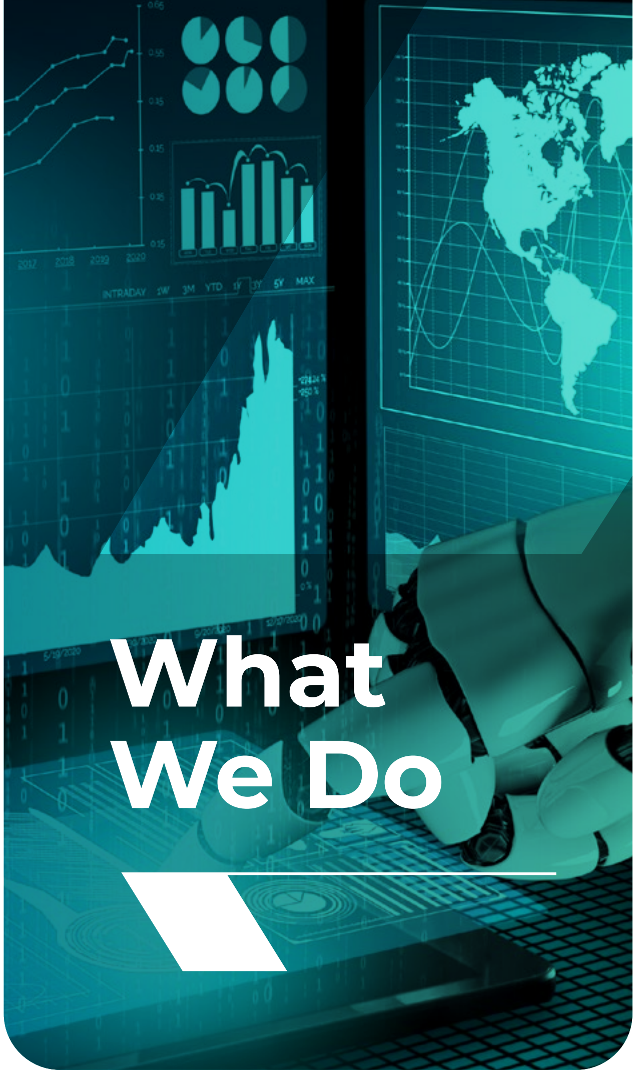

What We Do

SMArtX Advisory Solutions delivers a disruptive, innovative technology solution to drive productivity gains and increase operational efficiencies. Our technology helps simplify an advisor's move to independence, facilitate a broker-dealers' transition from commission-based to fee-based accounts, seamlessly integrate to a firm's managed account practice, and cater to asset managers looking for their own platform for product distribution.

As a technology provider, SMArtX leverages its modular infrastructure and open APIs to provide custom enterprise solutions to investor platforms, asset managers, banks, and TAMPs. Advisors and broker-dealers can also access the SMArtX TAMP for investment management solutions ready to go right out of the box.

AUTOMATED FUNCTIONALITY

Active managers do not do anything more than what they are already doing: trading their investment strategy.

CUSTOM MARKETING

The SMArtX strategy microsites provide strategy-specific, custom information, including commentary, webinar recordings, and white papers.

CLIENT PENETRATION

Our dashboard provides investor information including account size and contact information.

INTRA-DAY REPORTING

Investments firms can now see exactly how their strategy's model portfolio is performing at any time of the day.

Manager Benefits

The SMArtX platform provides investment managers with a highly scalable, turnkey distribution platform, enabling access to investors around the world through model portfolio delivery.

Distribution is facilitated through the SMArtX off-the-shelf turnkey asset management platform ("TAMP"). Asset managers can also create their own customized, white labelled platform for direct distribution to clients.

SMArtX powers managed accounts platforms across the financial services industry, including integrations into custom user interfaces, institutional platforms, and financial technology applications. Adding investment strategies to SMArtX is more than just sitting on a shelf waiting to be picked up, but instead active inclusion in a technology being adopted by channels moving towards modern managed account solutions.

- Turnkey distribution to advisors, B/Ds, RIA aggregators, OCIOs, and institutions
- No fund structuring or out-of-pocket operating costs
- Quick set up of strategies on the platform
- Automated, real-time trading functionality for quick entry/exit and minimal performance dispersion
- Intra-day performance reporting and trade history
- Open to traditional, alternative, and direct indexing investment strategies

Investment Strategies

Traditional, Alternative, and Direct Indexing Strategies in One Account

SMArtX is able to offer traditional, alternative, and direct indexing strategies via UMA, enabling advisors to build customized portfolios to meet their client objectives.

MARKET CAP

Large, Mid,
SMID, Small

GEOGRAPHY

Domestic, International,
Global, Regional

SECURITY TYPE

US Equities, Options,
ETFs, ADRs, REITS, MLPs

INVESTING METHODOLOGY

Value, Growth,
Opportunistic,
Tactical, Index

SECTORS

Communications, Consumer, Energy, Financials, Healthcare, Industrials, Infrastructure, SRI/ESG, Technology, Real Estate, Utilities

INVESTMENT STRATEGY

Long Only, Long/Short, Short Only, Covered Call, Options-Based, Arbitrage, Market Neutral

The DEPLOY Program

An Enterprise Solution Built for Asset Managers

The DEPLOY program leverages SMArtX's managed accounts technology to create a custom, white-labelled platform for asset managers that is a centralized source of product distribution. DEPLOY can streamline middle and back office operations to lower the burden of running managed accounts. Asset managers use a single dashboard to make portfolio adjustments at scale, where trades

are implemented simultaneously in real-time across linked accounts. Clients can open accounts and allocate to any number of model delivery strategies and fund products in a unified managed account, as well as manage separately managed accounts, through a single interface.

The program features:

- Hosted client on boarding
- White label reporting and user interface
- Trade rotation
- Single sign on
- Trade execution
- Automated billing
- Trade reconciliation and breaks
- GIPS/client reporting

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SmartX Due Diligence Process

Each actively managed investment management firm on the broad platform is subject to our due diligence process and is assessed on its diversity of investment strategies, philosophy, and established track record of investment performance.

Key personnel and principals are subject to background verification reviews, and each actively managed firm must be a registered investment advisor to be part of the platform.

Each actively managed firm is required to

- Be a registered investment advisor (RIA) in good standing with the SEC or their relevant state regulator
- Submit to third party background checks on key personnel, covering criminal, regulatory, and credit histories.
- Present their Form ADV Part II and brochure for review
- Complete our due diligence questionnaire

In addition, each of these actively managed firms is subject to some or all of the following depending on the types of models, i.e. Alternative Investment or Long Only Portfolios:

- Third-party verified audited financials
- ADV Disclosure section and Part II brochure reviews
- Review of audited track records for the last 36 months
- Assessment of fund statements submitted directly by their administrator
- GIPS compliance certification or third-party review of historical strategy performance

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