SMArtX Advisory Solutions

MANAGED ACCOUNTS TECHNOLOGY BUILT FOR FINANCIAL SERVICES

ENTERPRISE
BROCHURE

WWW.SMARTXADVISORY.COM

As the financial technology industry continues to expand, enterprise firms are looking for more flexible, intuitive, and dynamic solutions than the legacy managed accounts software pervasive in many technology stacks.

Complicated and archaic applications can stifle an enterprise's ability to meet the evolving demands of their clients and limit the adoption of recent innovations in the financial technology landscape. To address this, some firms have built their own technology at great monetary expense, only to then be required to maintain the platform with updates, data feeds, and changing technologies. As a result, firms are realizing that outsourcing technology solutions, and therefore shifting the operational burden (but not control), to others can provide a better solution.

SMArtX brings modern solutions to help streamline the investment management process, open infrastructure to accommodate a wider offering, automate manual processes, and simplify the investment advisor's workflow within an infrastructure designed to meet the demands of today's advisors.

Welcome to the SMArtX #bettersolution.

SMArtX's API-first, cloud-native technology operates within a modular, micro-services architecture, providing clients a tailored solution catered to their unique specifications.

SMArtX offers its technology in two distinct ways:

REPLACE

The SMArtX turnkey asset management platform ("TAMP")

SMArtX is available as an off-the-shelf TAMP for advisors seeking breadth of investment product and ease of use, while automating the investment processes and simplifying the everyday tasks of managing client accounts.

INTEGRATE

SMArtX Technology Integration

SMArtX licenses its proprietary technology to enterprise firms looking to create, customize, or upgrade their existing managed accounts technology as a fully integrated solution by integrating managed accounts data directly into existing technology stacks

SMArtX is the managed account technology and TAMP platform of choice for multiple RIAs, broker-dealers, and asset managers.

SMArtX developed **4 key aspects** that enable its technology to effectively deploy into enterprises. They are:

Open Application Program Interfaces ('APIs') enable bi-directional managed accounts data to be delivered to and from an Enterprise interface. This means you can use the SMArtX system without having to go through the SMArtX user interface ('UI') and instead use your own.

Cloud-based service ensures there is no 'on-site' technology, hardware upgrades, or related costs. SMArtX clients always have the latest version of the software.

Modular Infrastructure provides the flexibility to use and customize only certain aspects of the SMArtX platform. This level of control and adaption delivers a product to the exact specifications of the client.

Microservices Architecture means that each time a command is run, it doesn't have to engage the entire monolith process, but rather can administer just the required segment. SMArtX can also address coding changes within one specific area instead of taking down the entire process. This equates to a simple UI, reliable operations, and the ability to managed millions of accounts at scale to easily grow alongside your business.

Enterprises can employ SMArtX technology to assist with several business applications across the firm.

- **The SMArtX solution can facilitate an effective shift** from commission to fee-based business models to provide a steady revenue stream, succession planning, and significant metrics for company valuation.
- **Outsourcing technology shifts** the operational, trading, and administrative burden to SMArtX
- **Attract advisors with an award-winning managed accounts platform** simply designed to meet the needs of the modern advisor.
- **Distribute and manage in-house** strategies and products directly to advisors
- Enterprise clients **can have their own completely** white labeled managed accounts solution
- Firms can **tier and integrate multiple fee** structures
- **Firms can curate the investment solutions** and functionality of the platform
- **SMArtX can operate completely behind the scenes** to power the managed accounts segment of your existing technology stack.
- The sub-advisory relationship typically **only requires a client to sign a Limited Power of Attorney** ('LPOA') form to get started.
- **A complete support structure** to train your home office on the SMArtX platform and/or work directly with advisory firms to produce the best outcomes.

Each Enterprise instance **has access to all the feature** functionality of the SMArtX UMA platform including:

- Intraday real-time trading execution
- Continuous intraday reporting
- Full sleeve transparency with sleeve data feeds
- Tax harvesting
- Manager-traded and model delivery separate accounts
- Position substitutions and account-based exclusions
- Complete billing solution
- Full support structure
- Simple ‘Rep. as Portfolio Manager” functionality
- Cash management tools
- Automated rebalancer
- Access to alternative trading strategies

Our strategic relationships enable wealth advisors to open client accounts at various custodians*.

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