MANAGED ACCOUNT TECHNOLOGY

BUILT FOR WEALTH ADVISORS

ADVISOR BROCHURE

Why Choose SMArtX Advisory Solutions?

SMArtX developed its technology from scratch, which means we aren't tied to old technology or forced to work with pre-established infrastructure. Instead, we have become a leader in the unified managed accounts (UMA) space by creating modern, award-winning solutions that operate with speed and efficiency.

Clients can use our tools and features through our pre-built SMArtX Turnkey Asset Management Platform (TAMP), which can be customized to fit the needs of advisory firms. For enterprise solutions, including delivering our services through APIs, please see our Enterprise Brochure.

SMArtX has been innovating in the UMA space for over a decade, and we're constantly improving how UMAs work. Our goal is to make them more efficient, simple, and cost-effective.

Come see why SMArtX is the #bettersolution for your advisory business.

What We Do

SMArtX Advisory Solutions provides innovative, disruptive technology solutions that increase operational efficiency and productivity. Our technology simplifies the advisor's workflow, reducing the burden of trading, administrative duties, and other operational tasks. This frees up resources that can be allocated to revenue-generating activities.

A fundamental aspect of the SMArtX Turnkey Asset Management Platform (TAMP) is the use of unified managed accounts (UMAs). UMAs are essentially one account with multiple sleeves that hold internal and third-party strategies, as well as individual securities. Dividing the account into multiple sleeves helps advisors keep track of returns and holdings. (Learn more about UMAs here).

OUTSOURCING

SMArtX offers turnkey access to our tools, from trading to billing to third-party managers, to help streamline your operations.

SCALE

SMArtX can expand with you to meet the growing needs of your firm and extend services when required.

FLEXIBLE ARCHITECTURE

The platform can be customized to meet the workflow needs of all the advisors in your firm

SUCCESSION

Using a third-party platform allows for easy oversight and succession planning as you build your book of business and employee base.

Platform Snapshot

SMArtX Advisory Solutions is a leading innovator of unified managed account (UMA) technology, changing the way the managed accounts industry operates. Our technology provides new operational efficiencies and modern functionality to all corners of managed accounts applications, solving many areas of your advisory business.

- **Intraday real-time trading execution**
- **Continuous intraday reporting**
- **Full sleeve transparency with sleeve data feeds**
- **Tax harvesting**
- **Manager-traded and model delivery sepatate 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[1].

TD Ameritrade Institutional	BNY MELLON | PERSHING	TradePMR
charles SCHWAB	Fidelity Custody & Clearing Solutions®	Goldman Sachs Advisor Solutions

[1] Fidelity Investments is an independent company, unaffiliated with SMArtX Advisory Solutions. Fidelity Investments is a service provider to SMArtX Advisory Solutions. There is no form of legal partnership, agency affiliation, or similar relationship between your financial advisor and Fidelity Investments, nor is such a relationship created or implied by the information herein. Fidelity Investments has not been involved with the preparation of the content supplied by SMArtX Advisory Solutions and does not guarantee, or assume any responsibility for, its content. Fidelity Investments is a registered service mark of FMR LLC. Fidelity Clearing & Custody Solutions® provides clearing, custody, or other brokerage services through National Financial Services LLC or Fidelity Brokerage Services LLC, Members NYSE, SIPC.

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Advisor as a PM:

One Centralized Tool to Manage Your Client's Account

Targets

- Build custom multi-asset target portfolios with third-party strategies, equities, ETFs, and mutual funds
- Customize percentage allocation for each target
- Apply targets across multiple client accounts simultaneously
- Automatic loading of target allocation changes into the rebalancer

Drift Management

- Set drift parameters for each allocation within a target
- Customize accuracy through precision guidelines
- Receive alerts whenever an allocation moves outside of the preset parameters

Rebalancer

- Rebalance requests are generated by drift alerts or allocation changes
- Advisors can review the contents of each rebalance request
- Click "Approve Trades" and SMArtX automatically rebalances each account

Diversified Investment Strategies

Traditional, Direct Indexing , and Alternative Strategies in One Account

Wealth advisors can now complement their traditional, long only allocations with strategies typically less correlated to the market, such as hedged equity, market-neutral, and options strategies. In addition, SMArtX offers direct index strategies, both long and long/short, as well as more well-known investable market indexes. These types of strategies have been shown to help reduce volatility and protect against acute downside movements, especially in times of significant market disruptions.

Each of these traditional, alternative, and direct index strategies is offered through the SMArtX advisor dashboard with the same unified managed account structure, providing a single interface to create investment portfolios that meet your client's investment objectives.

Implementing an investment portfolio consisting of both traditional and alternative strategies can decrease the volatility of the portfolio and enable higher compound returns over time.

GROW YOUR BUSINESS

Retain client assets by providing a managed alternative allocation instead of your clients maintaining assets away

NON-CORRELATED ALPHA GENERATION

Hedge fund strategies can actually produce alpha when hedging, instead of merely preserving capital such as going to a cash position.

PORTFOLIOS

Position level transparency and intraday liquidity provide the most flexibility in managing client assets

DIVERSIFY CLIENT PORTFOLIOS

Build portfolios using strategies across market cap, asset classes, and investment methodologies to create less correlated portfolios differentiated from high beta products

REDUCE DOWNSIDE MOVEMENTS

Including alternative strategies in a portfolio can limit drawdowns, enabling higher compounded returns.

LOWER PORTFOLIO VOLATILITY

Adding alternatives can reduce monthly return swings while maintaining performance returns

SMArtX Advisory Solutions

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.

Each actively managed firm is required to:

- Be a registered investment advisor (RIA) in good standing with the SEC or their relevant state regulator
- 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 financials for the last 36 months
- Assessment of fund statements submitted directly by their administrator
- GIPS compliance or third-party review of historical strategy performance

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