Vestmark

Solutions for:

Broker Dealers

BD

Are you looking for ways to drive revenue growth and provide time savings for your advisors? Are you looking for more scalability, efficiency, and flexibility in a technology partner?

The *scale, efficiency,* and *flexibility* your firm needs.

The *seamless experience* your advisors and clients expect.

Customization at Scale

- Scalable account-level tax management and personalization
- Accommodate more clients, accounts and AUM without burdening personnel and operations
- Blend advice from the home office, advisor, and third-party managers in one custodial account

Automation Reduces Burdens

- Streamlined tax-loss harvesting, automated tax-aware trading, risk management, compliance, and more
- Proven scale to manage and rebalance hundreds of thousands of households and accounts

Real-time Control

- Real-time data for optimal speed and precision
- Maximum visibility for all intraday activity

Proven Time Savings*

- **up to 25% advisor time savings**
- 75% back-office time savings
- 33% middle-office time savings
- 10% first-year AUM growth

* *All statistics from Forrester Consulting's Total Economic Impact® (TEI) of VestmarkONE® study, commissioned by Vestmark, 2022. Results are for a composite organization.*

VESTMARKONE IN ACTION:

With Vestmark**ONE**, we eliminated 16 different legacy systems across operations, compliance, investment management and reporting—and dramatically improved productivity across our entire organization."

– VESTMARK CLIENT

VESTMARKONE IN ACTION:

This tool has given us so much more efficiency and scalability within our practice that we hope to continue to grow and spend more time with our clients and prospective clients."

– ADVISOR AT LARGE NATIONAL BROKER DEALER

ASK YOURSELF:

Can you manage personalized portfolios and deliver outcomes – AT SCALE?

Yes! With Vestmark**ONE**, a unique software that lets you start with one asset allocation… built out with securities, SMAs, models and cash… all in flexible sleeves… each with different trading discretion… while preserving true sleeve- and tax lot-level portfolio accounting… all in a single custodial account.

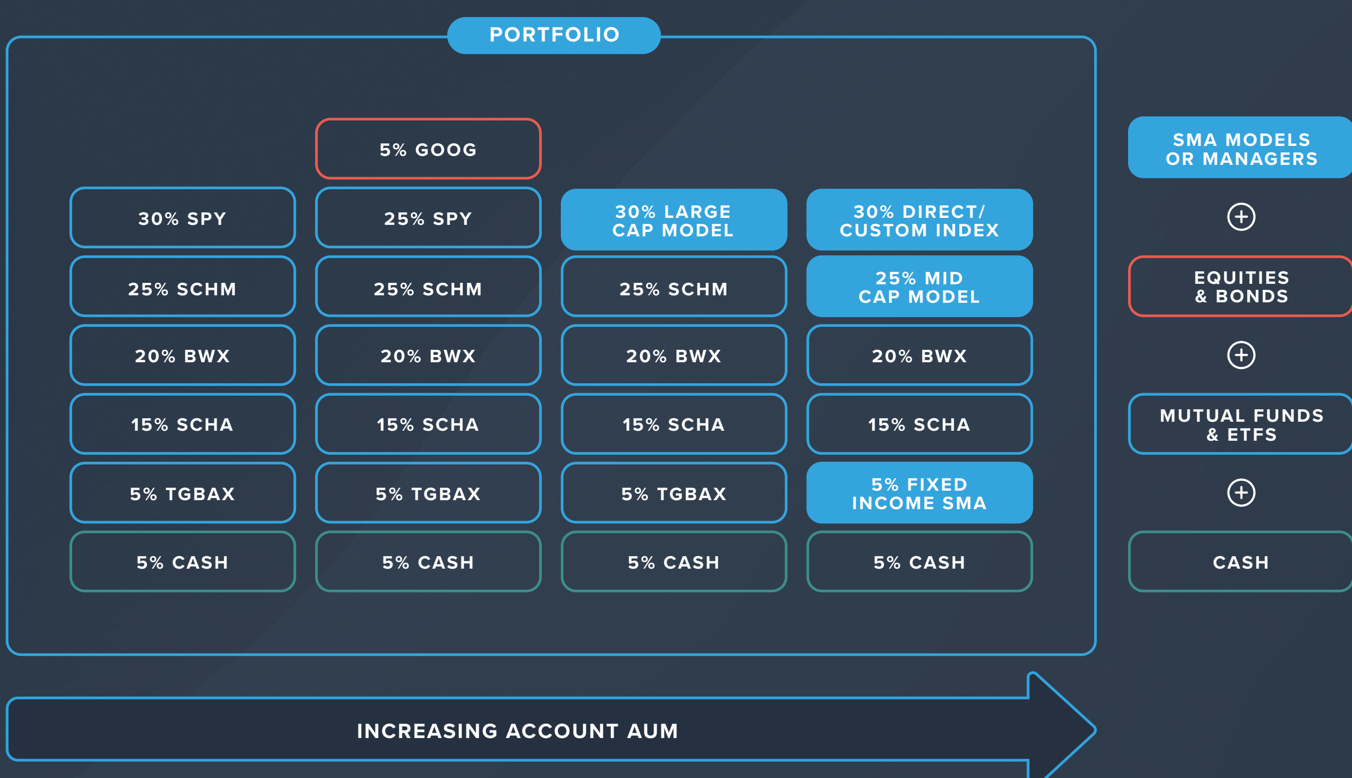
The Next Generation UMA

Why Vestmark for Unified Managed Accounts?

- Scale and efficiency through automated workflows
- Scalable and effective tax management
- Personalization at scale
- Sophisticated portfolio solutions
- Multiple discretionary parties trading in an account
- Advisor-managed sleeves
- Real-time data access and management

Tailored Advisory Portfolios®

Vestmark's Tailored Advisory Portfolios® offer the next-generation in UMA capabilities



The VestmarkONE® Platform

We make personalized multi-asset portfolios easy, so you can drive growth

Plan & Profile

Investor Risk Profiling

Configurable risk profiling toolkit helps advisors meet suitability and fiduciary requirements.

Portfolio Analytics

Client-friendly visualizations allow advisors to demonstrate portfolio diversification, risk/return metrics, etc.

Propose & Onboard

Proposal Generation

Configurable, integrated tool empowers advisors to build, analyze, and propose portfolios to clients.

Enrollment Automation

Streamlines advisor workflows with automation of forms and account opening.

Manage & Monitor

Portfolio Construction

Flexible modeling, any program type, accommodates all of an advisor's portfolio construction and management approaches.

Model Management

Sophisticated rebalancing tools enable advisors to customize and manage an entire book in a scalable way.

Advanced Trading & Rebalancing

Tactical trading, rebalancing, overlay, cash management, option strategies, and more can create efficiencies for advisors, accomplished at scale in a tax-aware manner.

Tax-Sensitive Trading Capabilities

True tax lot accounting and trading enable automation of tax aware transactions, facilitate tax harvesting, and generate real time savings.

Compliance & Risk Management

Customizable rules engine and real time integrated data allow you to achieve compliance oversight and balance advisors' efficiency and flexibility.

Automated Reconciliation

Systematically validate custodian data, identify all gaps in transactions and holdings, leverage auto-correct and post capabilities, and help to lower your operational overhead.

Multi-Custody Connectivity

Gain seamless access with our connections to 80+ custodians and brokerage platforms.

Report & Review

Sleeve-level Accounting

Our platform stands out as being able to support true sleeve-level accounting, enabling you to offer a range of multi-discretionary, multi-manager, multi-product solutions.

Performance Measurement

Supporting performance on both the account and the household levels for your clients.

Client Reporting

Customizable client-friendly reports with visualizations and modular content for ad-hoc and regular client reports.

Fee Billing & Revenue Management

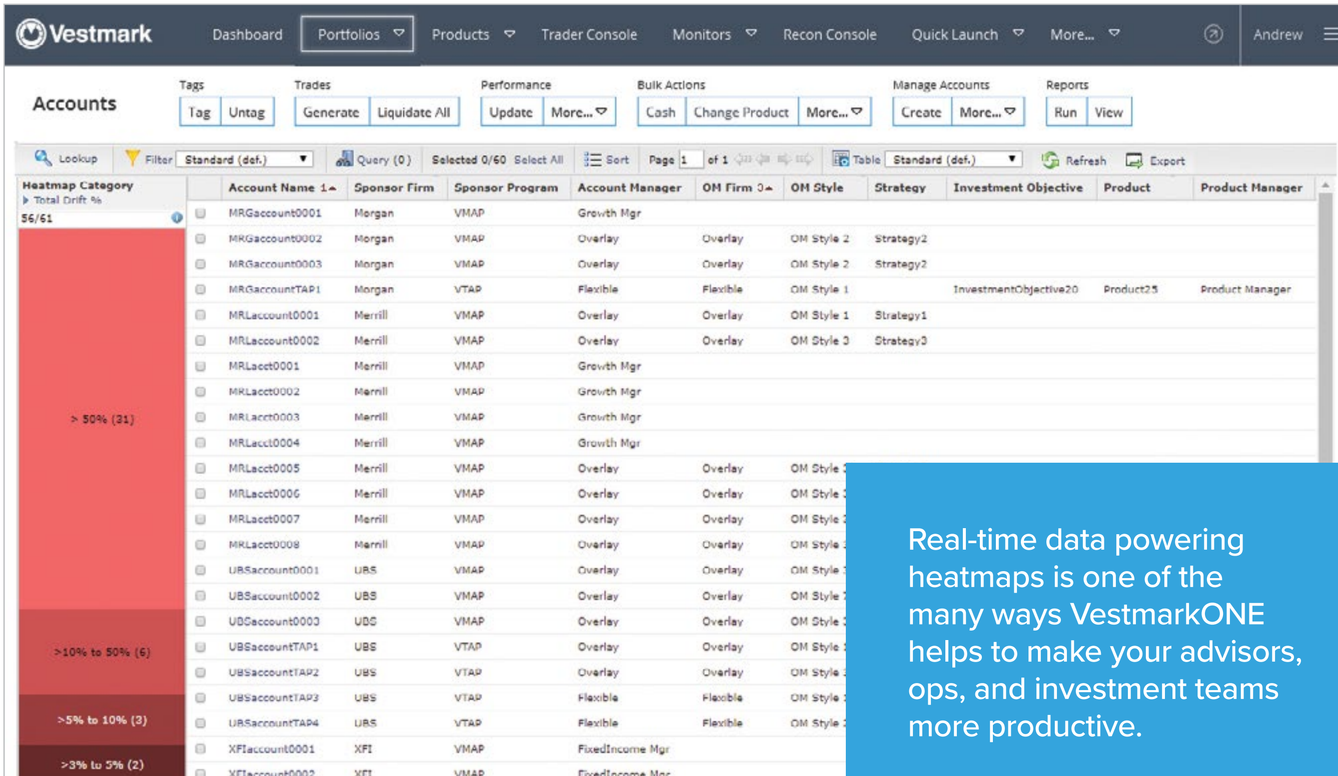
Vestmark offers integrations through partnerships with third-party tools to help optimize your fee billing and revenue management workflow.

Investor Portal

Customizable user-friendly client portal experience across all devices, fully integrated with VestmarkONE data provides your investors access to their accounts in real time.

Innovative Software

Powerful enough for the most complex home offices, yet simple for advisors to use



Real-time data powering heatmaps is one of the many ways VestmarkONE helps to make your advisors, ops, and investment teams more productive.

Outsourced Services

From model trading to a fully-outsourced back office (or anything in between)

Model Trading Service

Turnkey model implementation, management, trading, rebalancing, overlay management, and account administration. Tailor a fully-outsourced solution or let us get your home office overlay service up and running quickly.

Vestmark Manager Marketplace™

Introduce an open architecture, single-contract solution while eliminating the cost, operational due diligence, and administrative burden of maintaining your own marketplace. Featuring over 300 managers and over 800 strategies, the Vestmark Manager Marketplace offers a research portal, centralized billing, and much more.

Back Office Services

Outsourcing does not have to be an all-or-nothing business decision. Our experienced team can help you tailor a solution across a range of operational functions including reconciliation, corporate actions, performance reporting, and account administration.

Your partner for *growth*.

When you partner with Vestmark, you partner with a better future. Vestmark enables greater scale by removing the obstacles to growth: complex legacy technology, disparate work functions, slow manual labor.

Instead, Vestmark brings the technology and services you and your advisors need to automate workflows, ensure consistency, and deliver customized services and personalized options at scale.

We back our promises: more than 20 years in business, more than 5 million accounts, and over $1.5 trillion in assets on our platform. Today, we empower 6 of the financial industry's 10 largest managed account platform providers, processing more than one billion transactions each year.

It's time for your firm to enjoy more growth with fewer growing pains. Let's work together to drive your firm's long-term ambitions.

Vestmark

To learn more, call **781-224-3640**
or visit at www.vestmark.com

About Vestmark:

Founded in 2001, Vestmark is a leading provider of portfolio management/trading solutions and outsourced services for financial institutions and their advisors, enabling them to efficiently manage customized client portfolios through an innovative technology platform. Supporting over $1.5 trillion in assets and 5.5 million accounts, Vestmark is a partner to some of the largest and most respected wealth management firms.

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