

# The RIA Platform

# The scale, efficiency, and flexibility for your RIA needs.

## The seamless experience your advisors and clients want.

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### Future-proof

#### A solution you'll never outgrow

As your business grows, you'll never have to worry about Vestmark's ability to grow with you. VestmarkONE's robust trading, rebalancing, and accounting engine simplifies the construction and management of highly-customized portfolios at scale. Prefer to outsource instead? Leverage the Vestmark Manager Marketplace™ or let us manage some (or all) of your middle and back office. Regardless of how many clients and accounts you need to service, you'll never outgrow your Vestmark investment.

### Highly Configurable

#### Tailor a software and services bundle that's right for you

Your business and your value proposition are unique. So why settle for rigid systems and workflows? With highly modular software components and an a la carte menu of outsourced services, it's easy to tailor a solution that meets your specific business goals. Let Vestmark serve as your firm-wide portfolio management platform, the engine for your robo offering, a fully-outsourced back office—or anything in between.

### Flexible Integrations

#### A more thoughtful approach

With Vestmark's robust trading and custody network, and ever-expanding API library, Vestmark works with you to leverage your other technology investments across CRM, financial planning, account aggregation, digital onboarding, and more. With VestmarkONE serving as your IBOR, you can be confident that data, calculations, and reports are correct downstream and across all integration points.

### Independent & Focused (like you)

#### A Platform focused on solving your challenges

VestmarkONE is a pure technology platform, built from the ground up to make your RIA more productive and successful. We aren't distracted by juggling multiple disconnected software companies under one roof and we'll never force you into rigid ecosystems and workflows. We don't sell investment products, and we never stand in between you and your clients. Our mission is to enable you to create better outcomes for your clients.



Whether you're closing in on your first \$100 million or rolling-up billion-dollar RIAs, Vestmark offers a suite of technology and outsourced services to meet your unique needs.

How do you manage tailored portfolios and deliver desired investor outcomes at scale?

# The VestmarkONE® Platform

VestmarkONE is a unique software that lets you start with one asset allocation... built out with securities, mutual funds, ETFs, SMAs, models and cash... all in flexible sleeves... even with ability to allocate a portion of account discretion to other individuals, such as muni managers... while preserving true sleeve- and tax lot-level portfolio accounting... all in a single custodial account.



# The VestmarkONE® Platform

A frictionless experience for you, your advisors, and your clients.

## 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.



### Compliance & Risk Management

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



### Model Management

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



### 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.



### Advanced Trading & Rebalancing

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



### Multi-Custody Connectivity

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



### Tax-Sensitive Trading Capabilities

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

## 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.



### Fee Billing & Revenue Management

Vestmark has partnered with Broadridge® to help you optimize your fee billing and revenue management workflow.



### Performance Measurement

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



### Client Reporting

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

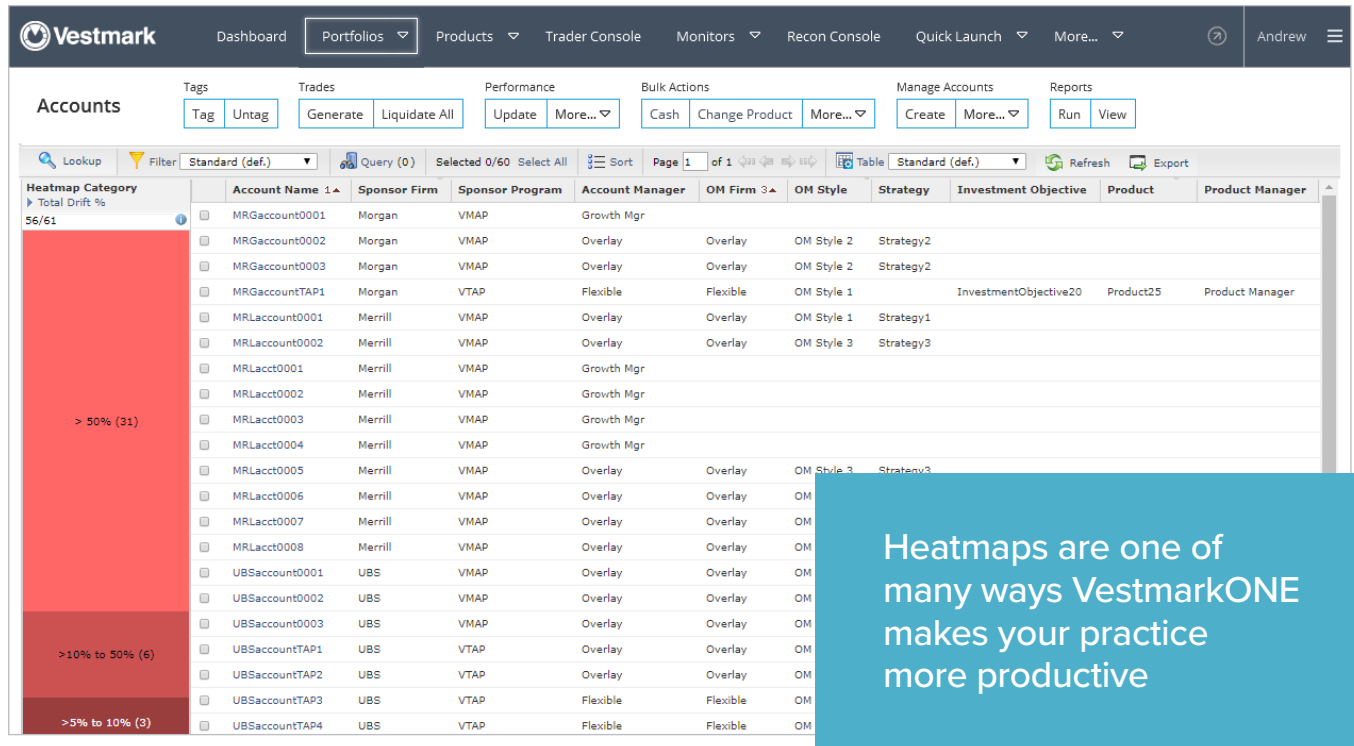


### Investor Portal

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 practice, yet simple enough for advisors to use



The screenshot displays the Vestmark ONE dashboard. At the top, there's a navigation bar with 'Vestmark' logo and various menu items like 'Dashboard', 'Portfolios', 'Products', 'Trader Console', 'Monitors', 'Recon Console', 'Quick Launch', and 'More...'. Below this is a 'Accounts' section with several tabs: 'Tags', 'Trades', 'Performance', 'Bulk Actions', 'Manage Accounts', and 'Reports'. Each tab has sub-options, such as 'Tag', 'Untag', 'Generate', 'Liquidate All', 'Update', 'More...', 'Cash', 'Change Product', 'More...', 'Create', 'More...', 'Run', and 'View'. A search bar and filter options are visible. The main area features a heatmap on the left showing 'Total Drift %' with categories: '> 50% (31)', '>10% to 50% (6)', and '>5% to 10% (3)'. To the right is a table with columns: 'Account Name', 'Sponsor Firm', 'Sponsor Program', 'Account Manager', 'OM Firm', 'OM Style', 'Strategy', 'Investment Objective', 'Product', and 'Product Manager'. A blue callout box on the right contains the text: 'Heatmaps are one of many ways VestmarkONE makes your practice 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 choose the models or accounts you want us to trade. Either way we will have you up and running quickly.



## Vestmark Manager Marketplace™

Gain immediate access to an open architecture marketplace of Fund strategies, equity models, and fixed income managers. This single-contract solution can eliminate the cost, operational due diligence, and administrative burden of maintaining relationships directly with managers. Featuring **140** managers and **650** 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.

## Don't let inertia hinder your RIA's growth.

You've seen competitors take the plunge and reap the rewards of a major technology upgrade. But is the near-term pain worth it? Is now the right time? Do you really need to implement a new wealth management platform?

Migrating to a new major technology platform is a difficult decision that's easy to put off. The only way to be confident that now is the right time is to select a partner you can trust with a long track record of success.

Supporting 4.5 million accounts and over \$1.4 trillion in assets and boasting a 19-year company history, Vestmark is well-positioned to deliver a painless conversion and thoughtful implementation that drives your RIA's long-term growth.



To learn more, call **781-224-3640**  
or email us at [inquiry@vestmark.com](mailto:inquiry@vestmark.com)  
[www.vestmark.com](http://www.vestmark.com)

### About Vestmark:

Headquartered outside of Boston, MA and 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 and trade customized client portfolios through an innovative SaaS platform. Supporting over \$1.4 trillion in assets and 4.5 million accounts, Vestmark is a trusted partner to some of the largest and most respected wealth management firms.

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