



AdvisorEngine

Portfolio Solutions

Scale without stress:

The new era of investment management

Agenda

1.0 Welcome & Introduction

(5 min)

2.0 The TAMP Challenge... & Our Solution

(5 min)

3.0 A Truly Unified Platform

(5 min)

4.0 Partnership in Action

(10 min)



Today's
presenters
& topic
speakers



Justin Wilkinson

VP, Sales & Business
Development



James Pak

Lead Product Manager,
Portfolio Management



A proven system to optimize your advisory firm

Platform

Connected, approachable and scalable

Partnership

A passion for serving advisory firms



Client
Experience



Operational
Efficiency



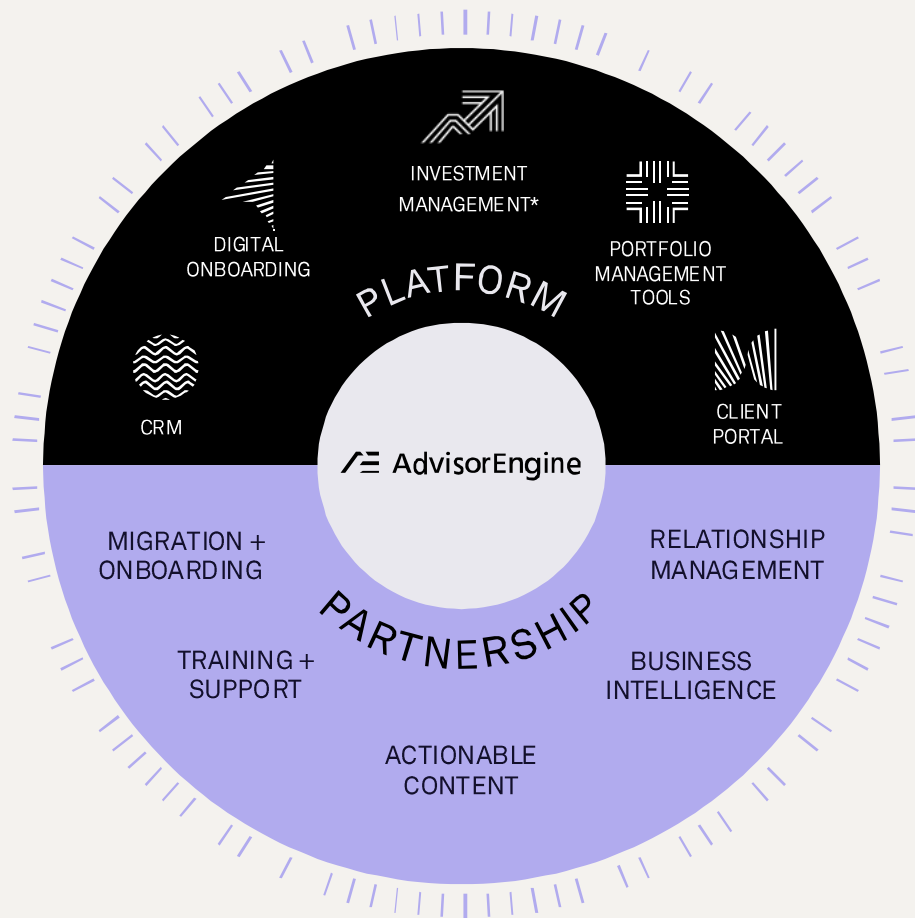
Investment
Excellence



Revenue
Growth



Culture
Structure



*Investment Management Services provided by AdvisorEngine Portfolio Solutions ("AEPS").

Growth creates complexity

But it shouldn't dilute your investment philosophy

OPERATIONAL EFFECTIVENESS

Manual oversight and rebalancing is a challenge as we grow
How do we **establish standards while giving advisors choice?**

CLIENT EXPERIENCE

Clients expect personalization, but it's difficult to deliver at scale

Variance at the advisor-level can cause inconsistent messaging

INVESTMENT EXCELLENCE

How do we **scale personalization without losing control or consistency?**
We need to systematize and standardize where possible

REVENUE GROWTH

We don't have the capacity to grow the way we want
We need a **scalable platform to handle our growth**

SERVICE

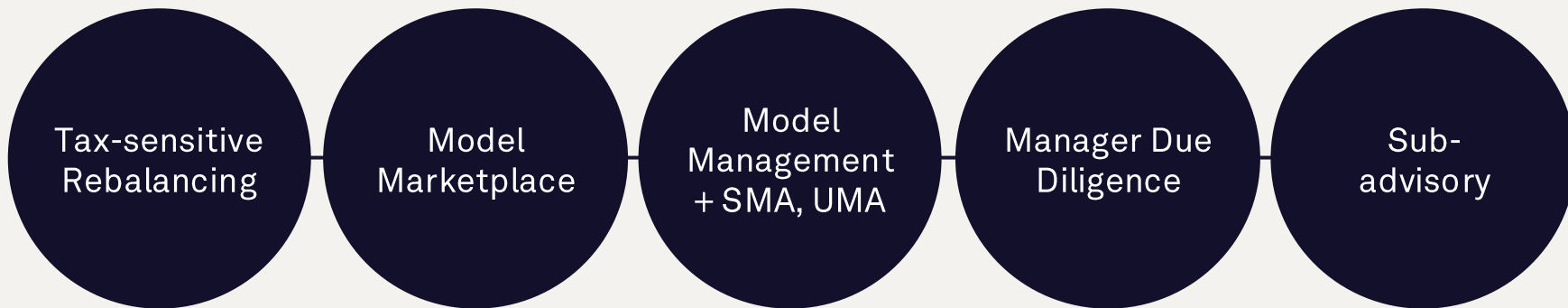
We're looking for a partner, not just a vendor.
I fear that some providers may overpromise and underdeliver



Just announced...



Modern capabilities



Broad access. Open-architecture

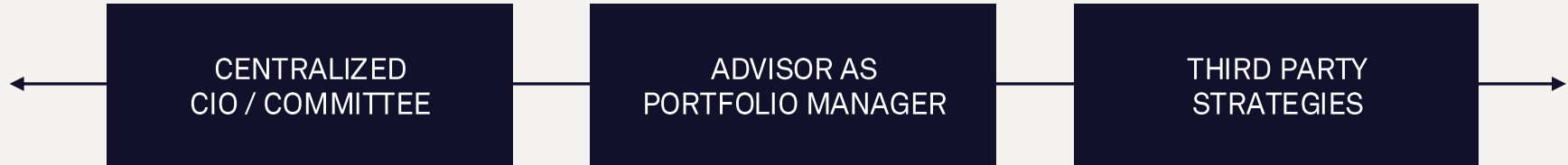
framework with 1,500+ strategies (models, SMAs) from 300+ asset managers



Flexible portfolio construction

enabling sleeving with full transparency, reporting and management capabilities

Adaptable approach



Powerful benefits

✓ Elevate your client solutions

✓ Control implementation

✓ Leverage investment research

✓ Expand your addressable market

✓ Unlock growth & profitability

✓ Free up time

Natively embedded investment services that eliminate “swivel chair” complexity



Vast Model
Marketplace



Investment Due Diligence



Flexible Management



Custom Solutions



Optimized
Trading



Tax-Smart Investing

We address the pain points

A partner that supports and scales your firm's investment approach

OPERATIONAL EFFECTIVENESS

Replace manual oversight with automated, rule-based workflows that **balance firm-wide standards with client-specific flexibility**

CLIENT EXPERIENCE

Deliver a high-touch, modern experience through a white-labeled interface that feels **customized and empowering for clients**

INVESTMENT EXCELLENCE

Systematize and scale your investment philosophy so that you can more easily **scale your firm's best investment ideas without increasing headcount**

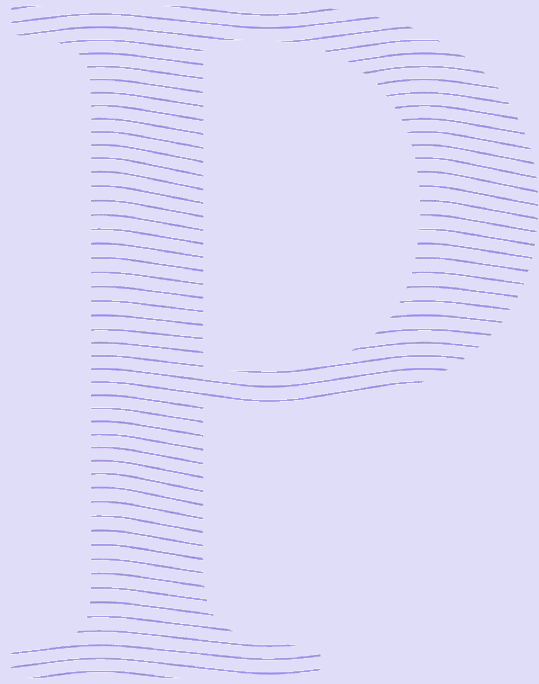
REVENUE GROWTH

Our truly unified end-to-end platform removes your firm's capacity ceiling by **shifting time from manual efforts to high-value prospecting and servicing**

SERVICE

Grow on your terms with a partner that treats your success as its own, not a vendor that disappears as soon as you are up and running





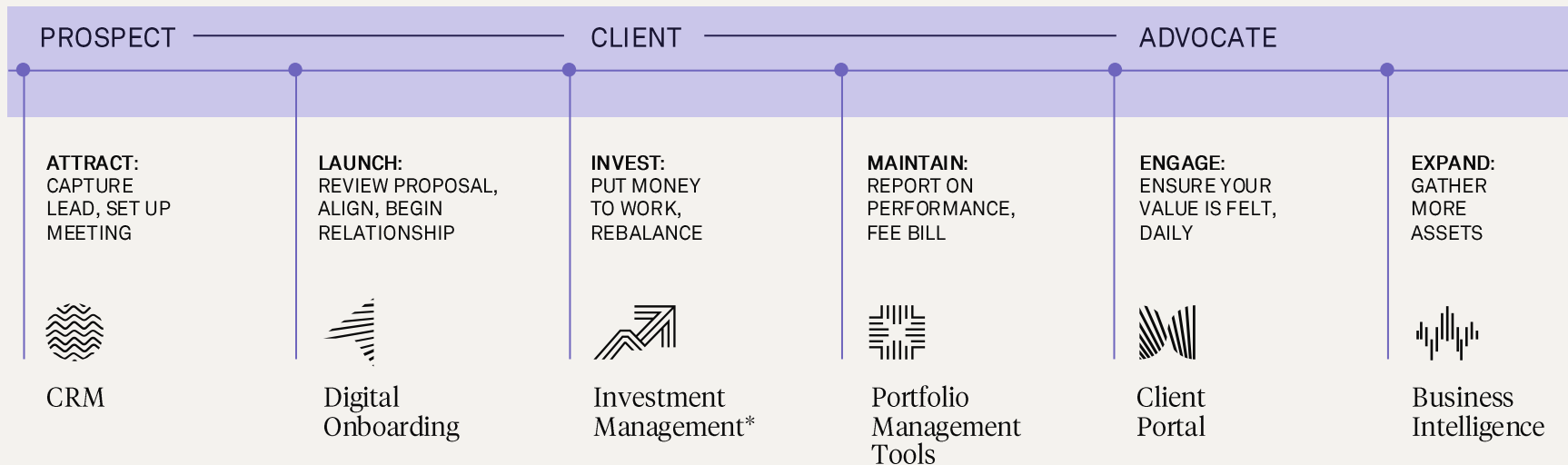
Platform

Firms use our platform to run their entire business

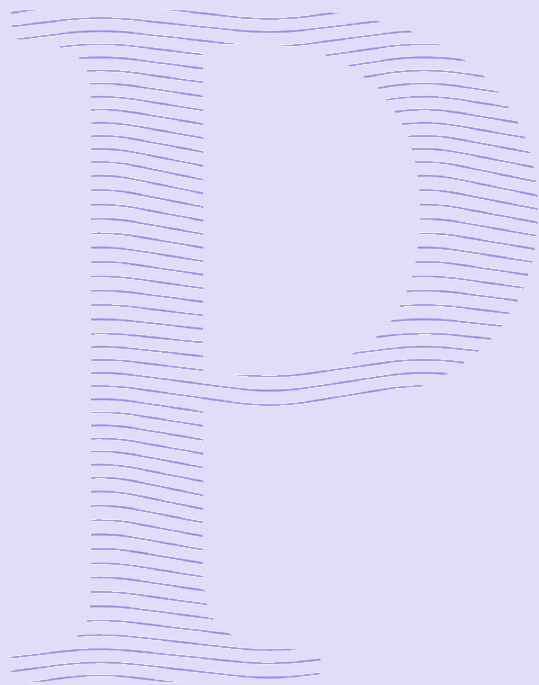
 CRM	 Workflows+ Task Management	 Household Record Management	 Growth Tools	 Document Management
 Digital Onboarding	 Questionnaires + Risk Profiling	 Goals-Based Planning	 Acct. Opening + Funding	 Advisor-led, Client-led
 Investment Management*	 Model Marketplace	 Investment Due Diligence	 Flexible Portfolio Construction + UMA, SMA	 Custom Solutions + Support
 Portfolio Management Tool	 Tax-sensitive Rebalancing	 Performance Reporting	 Fee Billing	 Cash Management
 Client Portal	 Branded Portal	 Client Communications	 Account Aggregation	 Document Vault
 Business Intelligence	 Dashboards	 Reporting	 Firmwide Insights	 Role-Based Analytics

*Investment Management Services provided by AdvisorEngine Portfolio Solutions (“AEPS”).

Cover the full wealth management lifecycle



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Partnership in Action

What does impact-driven partnership look like?

A mid-market RIA with enterprise growth goals finds scale through partnership



FIRM PROFILE & GOALS

- Independent RIA managing \$500M with a growing advisor base spread across the country
- Growing organically and through advisor recruitment. Also actively exploring M&A opportunities
- Focused on upgrading technology, standardizing workflows and usage, and delivering elevated advisor and client experiences
- Working to centralize and standardize investment operations



CHALLENGES

- Leadership turnover and resource constraints
- Compliance and risk management concerns stemming from legacy investment processes
- Fragmented workflows, disconnected data, and inconsistent technology usage and adoption
- Lacking the modern technology necessary to retain and attract advisors, scale operations, and support overall growth goals



RESULTS

- Implemented a modern technology stack, leveraging AdvisorEngine's complete wealth management platform at the core
- Connected workflows and data, improved usage and adoption across the advisor base, and built a first-class client experience
- Established a higher standard for investment excellence by implementing a new investment framework and rolling out an array of custom, institutional-grade models
- Built operational leverage, expanded home office team capacity, and gave advisors meaningful time savings to focus on client relationships and growth

*Investment Management Services provided by AdvisorEngine Portfolio Solutions ("AEPS") This example is provided for illustrative purposes only and is intended to demonstrate how AEPS's services may be utilized. It may not be representative of the experience of all clients and should not be interpreted as a guarantee of future results or outcomes. Actual results will vary based on a variety of factors, including a firm's size, objectives, resources, implementation decisions, and market conditions.

What does impact-driven partnership look like?

An advisor team leaving a brokerage firm to establish an independent RIA



FIRM PROFILE & GOALS

- A growing, HNW-centric business built and managed by a small team (2 advisors, 1 ops)
- \$1B near-term growth goal
- 70% of client portfolios are managed using models or SMAs
- New to the independent model and designing their own tech stack of the first time
- Seeking partnership across both technology and investment management



CHALLENGES

- Client retention during transition
- Team capacity and scalability
- Facing critical investment management decisions as they prepare to transition clients to new models
- Trading optimization and complex portfolio construction
- Tax and cash management (manual)



RESULTS

- Implemented a modern technology stack, leveraging AdvisorEngine's complete wealth management platform
- Helped maximize client retention through the transition
- Optimized investment management operations by tapping into services from AdvisorEngine Portfolio Solutions (AEPS) — *UMA, model marketplace, investment due diligence, outsourced trading, and custom solutions*
- Addressed capacity concerns by transitioning a significant percentage of assets from advisor-directed portfolios to third-party managed strategies and using AEPS for trading support
- Automated cash and tax management

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Please reach out for a more personalized discussion

SEND US A NOTE

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Thank you