SS&C Black Diamond WEALTH PLATFORM

Pre-Approved Reporting Templates + User-Permission Controls + Advanced Technology =

A Confidently Compliant Independent Broker-Dealer

Many Independent Broker-Dealers' (IBD) revenue streams have been diminished by the use of low-cost products such as ETFs, along with price pressures in a zero-commission world. Combined with a competitive environment for recruiting and retaining advisors, IBDs need to invest in technology to attract and keep the best advisors, while also delivering operational efficiencies and scale.

Our scalable, cloud-native platform provides IBDs with compliance confidence through pre-approved reporting templates and user-permission controls.

The Black Diamond® Wealth Platform offers a fully-integrated cloud-native solution complete with customizable performance reporting, portfolio rebalancing, an immersive client portal, easy-to-use compliance tools & reporting and seamless connections to a vast ecosystem of smart integrations. Proactive, personalized attention from a dedicated service team ensures you can deliver a best-in-class level of service to your clients.

We provide an elite combination of high tech with high touch to ensure maximum use of the platform.

With Black Diamond's industry unique and specialized service model, your assigned Implementation Consultant will be your primary point of contact throughout the onboarding process. These financial services experienced professionals will work closely with you in order to know the unique needs of your independent broker-dealer. They will leverage other specialized support resources in areas such as Reporting Consulting, Data Conversion, and Rebalancer to ensure your firm is compliant and ready to service your clients. As you prepare to launch the platform, your Implementation Consultant will introduce you to your dedicated Service Representative. As your single point of contact going forward, your Service Representative will function as an extension of your team so they can effectively work as your technology partner. This allows you to focus more time on your clients.

A comprehensive solution, designed with Independent Broker-Dealers in mind. You will easily add and retain new clients, while also attracting new advisors with our advanced technology.

In addition to the more than 400 person service team, Black Diamond offers an award winning, cloud-native platform that is constantly enhanced, confidently compliant, and available from anywhere, 24/7. Over the past few years we have significantly increased our investment in R&D to ensure that we are providing firms like yours the tools and types of solutions that matter the most.

1,900+
firms using Black Diamond

$2T+
in assets under management

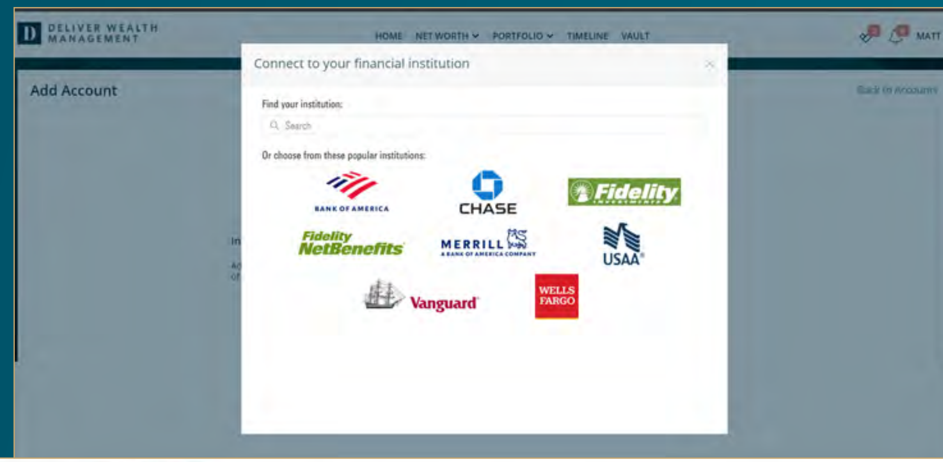
800+
data sources

8,000+
compliance related user roles

PRE-APPROVED REPORTING TEMPLATES + USER-PERMISSION CONTROLS + ADVANCED TECHNOLOGY =
A CONFIDENTLY COMPLIANT INDEPENDENT BROKER-DEALER

Data Aggregation & Accounting

Data is aggregated from hundreds of sources and reconciled to the asset level daily. Supplemental details are added such as prices, indexes, and ratings for quick analysis.



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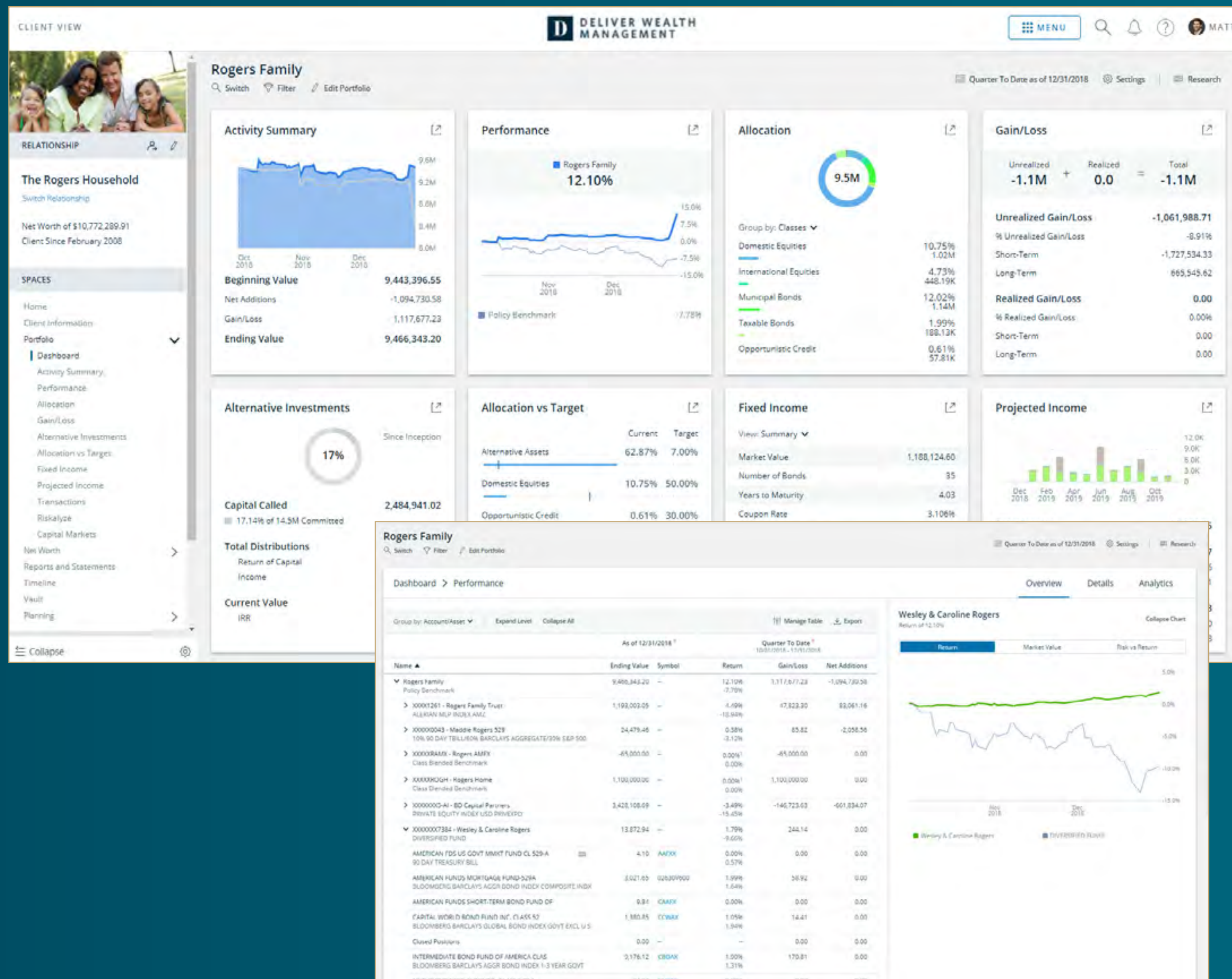
Portfolio Management & Reporting

Oversee portfolios in the context of the entirety of the client relationship through a centralized command center. Insights are viewable at-a-glance through dynamic and configurable portfolio metric cards. You can control which reports your advisors are using by building pre-approved templates to easily generate beautifully crafted reports to be shared in your client's portal.



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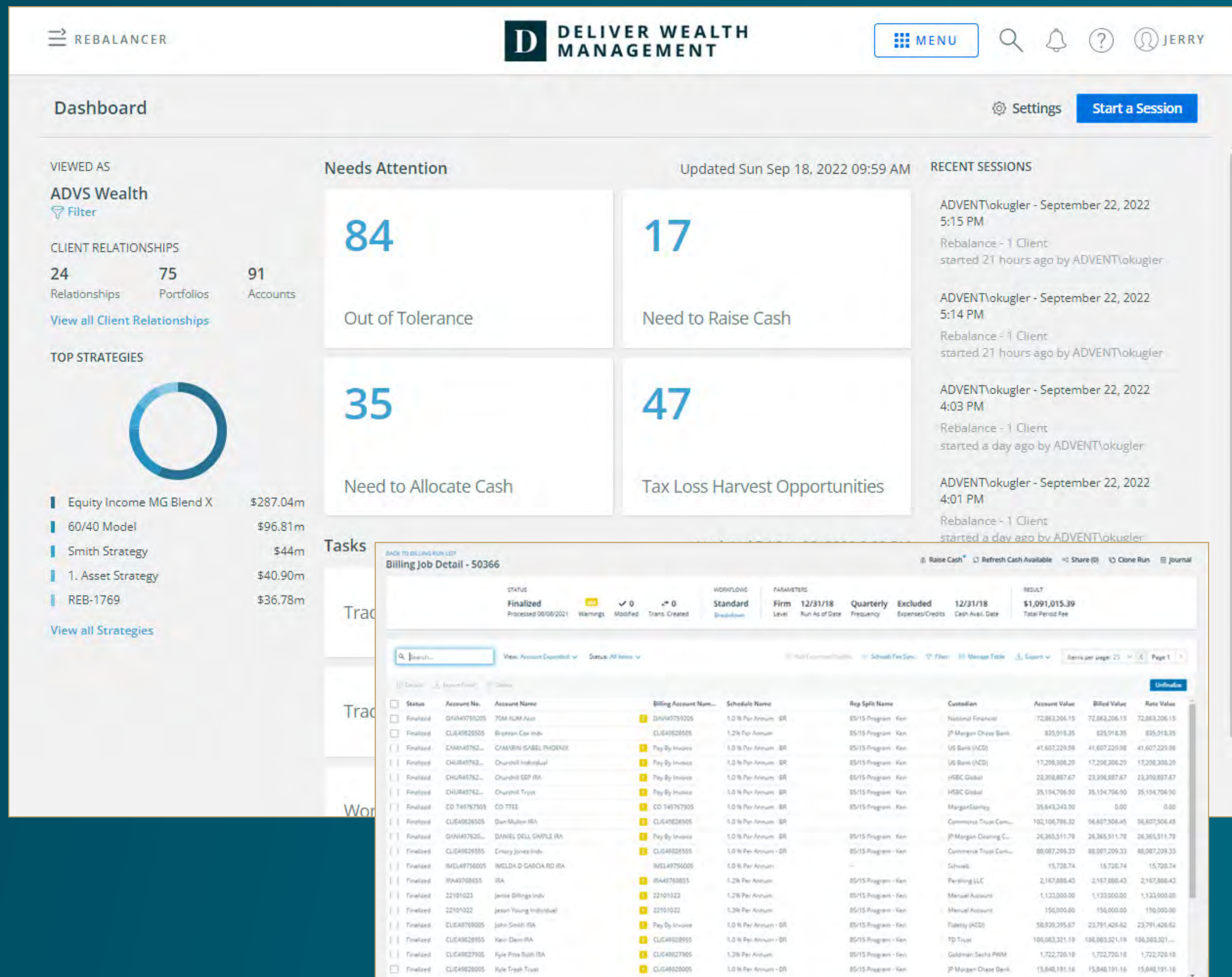
Billing & Rebalancing

Itemize your value by structuring fees in a way that makes sense to both you and your clients. The countless configuration settings and built-in workflows allow a streamlined process, eliminating the need to run billing more than once per period.

Monitor, rebalance, and execute trades at scale. The robust modeling framework, proactive monitoring, straight-through trade processing, and tax-efficient capabilities keep even the most complex portfolios aligned with your client's goals.



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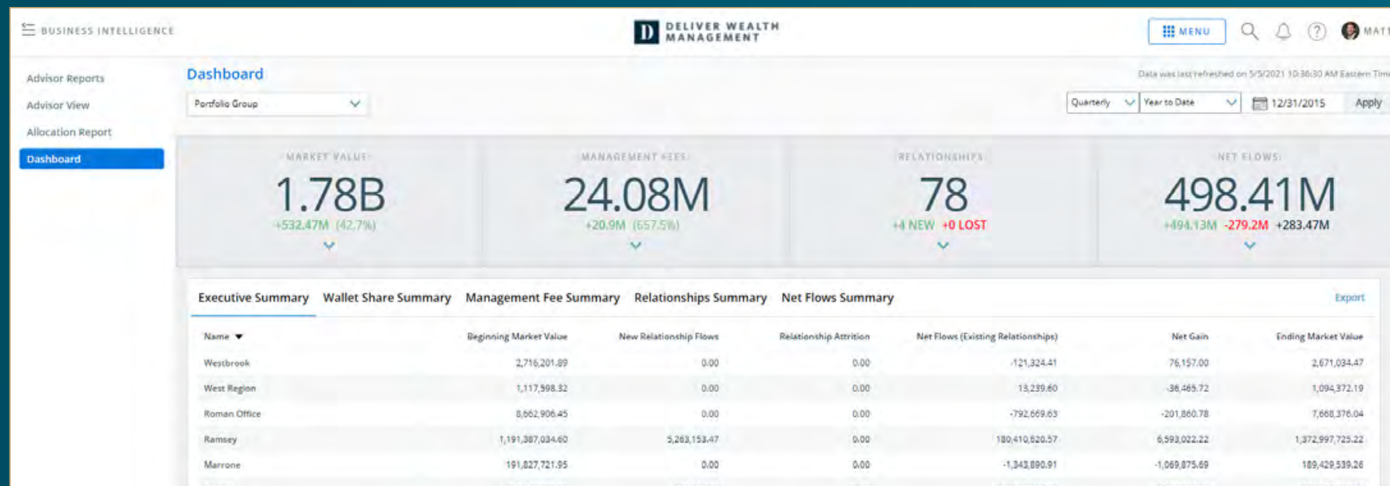
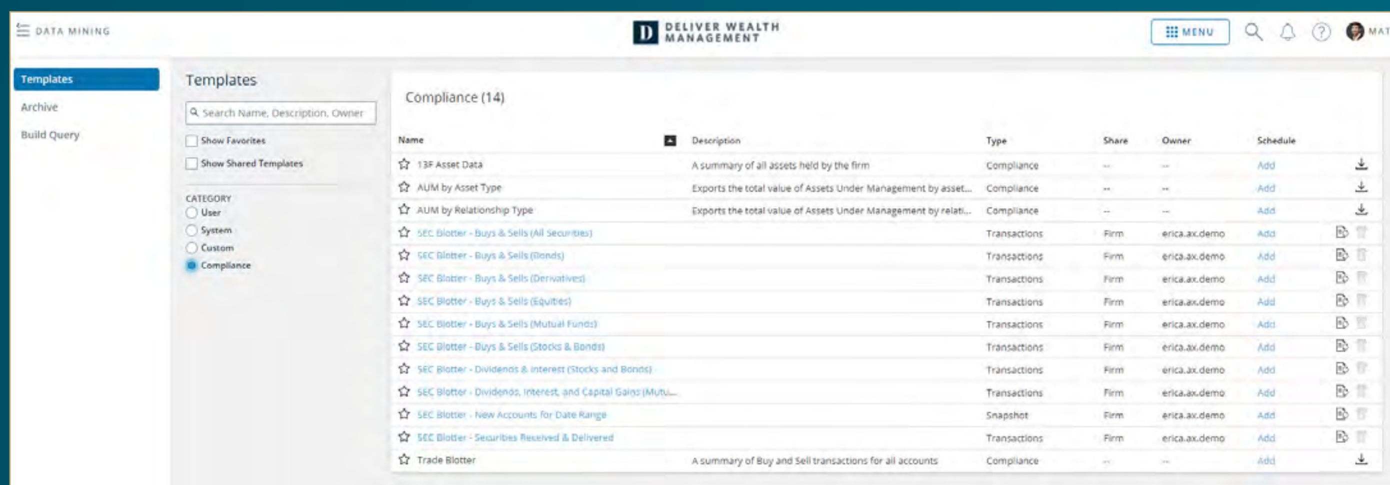
Business Intelligence & Compliance

Take the pulse of your business, identify trends and outliers, and examine the finer details of advisor performance and client relationships. Granular user-permission controls, compliance-ready formats, report automation, and more make oversight manageable while providing a 360-degree view into your practice.





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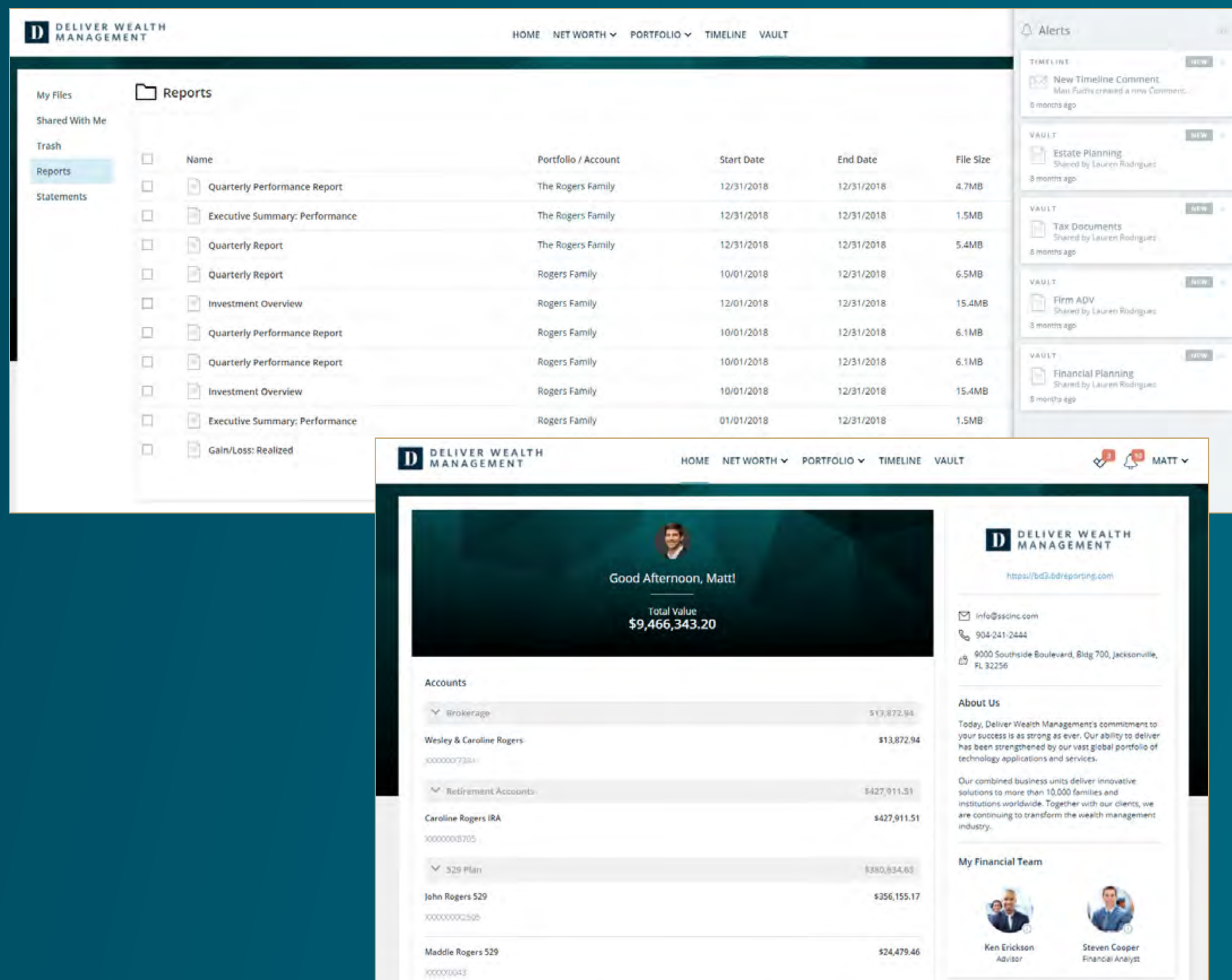
Client Experience & Communications

Through a custom-branded, interactive client portal, you can document advisor-client communications, showcase dynamic portfolio metrics, post to a secure document vault, incorporate outside account aggregation, balance sheet reporting, and more.



Enriched by the Power of SS&C

SS&C Technologies' unique business model combines end-to-end expertise across financial services operations with software and solutions to service even the most complex Independent Broker-Dealer's needs.

Our expansive ecosystem of deeply integrated solutions allows broker-dealers to help manage key compliance issues, grow and deepen the advisor-client relationship, future-proof their business by expanding services, attract new talent, and more.

Key solutions include:

— Advent Insurance Marketplace Powered by DPL Partners
— The Risk & Compliance Intelligence Platform (RCI)
— Salentica® CRMs

Expand Your IBD's Services and Enhance Fiduciary Capabilities

Black Diamond and the SS&C Advent Insurance Marketplace Powered by DPL (AIM) provide direct access to commission-free insurance and annuities.

Until recently, high commissions, complex products, and a lack of technology prevented fiduciaries from incorporating insurance into their client's financial plans. Through the Black Diamond platform, firms can eliminate those barriers by offering value-driven products, without commissions, to deliver significant client benefits at a lower cost.

At no additional cost, Black Diamond clients can:

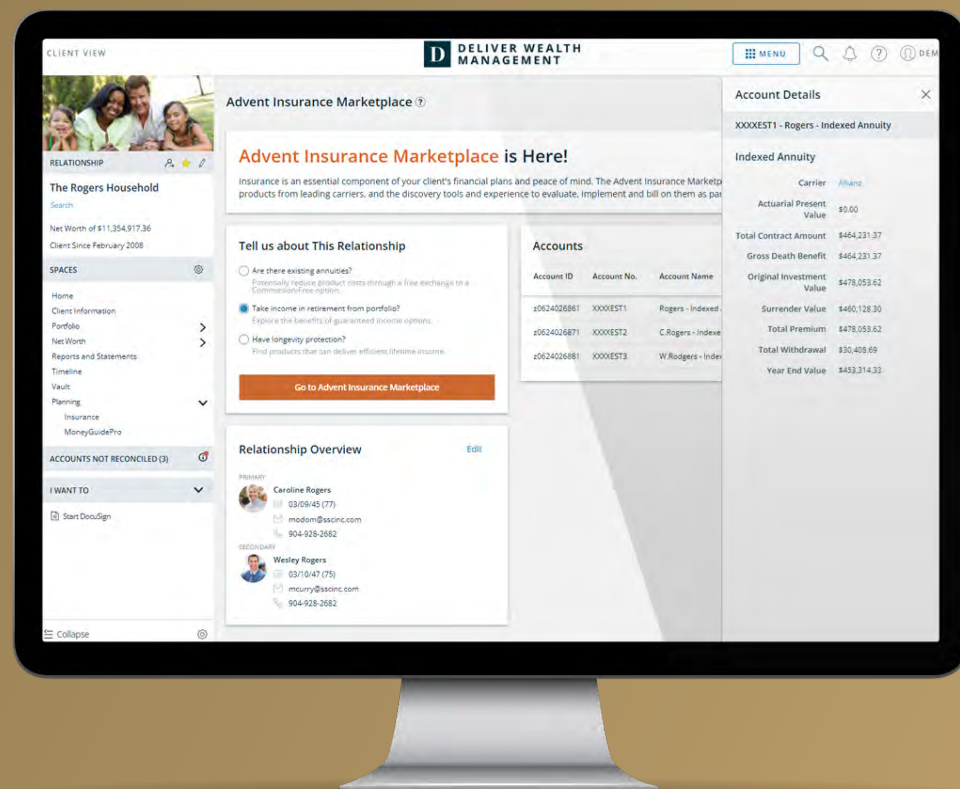
— Repurpose legacy annuities to improve client outcomes in the financial plan

— Bring held away assets under your fiduciary management

— Mitigate risk in the portfolio

— Deliver guaranteed lifetime income

— And much more



A user can see account details like surrender value, gross death benefit and total premium.

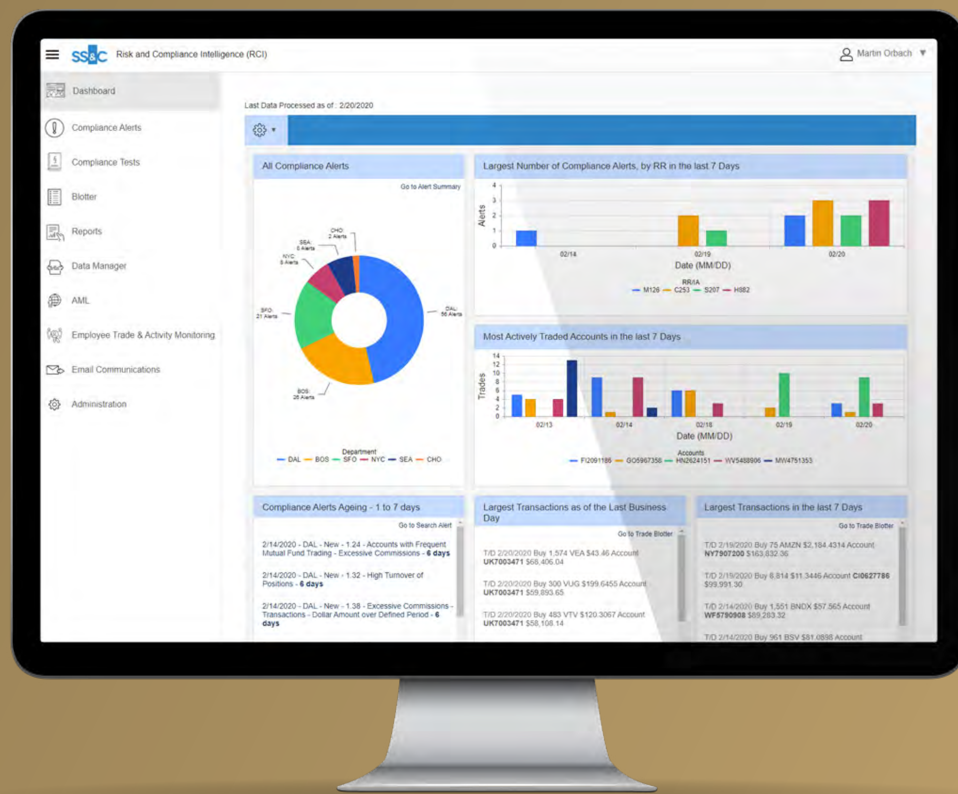
Delivering Compliance Confidence

Leverage the combined power of SS&C's Black Diamond and Risk & Compliance Intelligence Platform (RCI) to provide an accurate and automated oversight experience.

Navigating today's regulatory landscape can be complicated, but it doesn't have to be. Black Diamond ensures that each day data, such as transactions, orders, account activity, and holdings, are securely transmitted for automatic and detailed surveillance.

For an uncluttered experience and optimal ease of use, firms can select and leverage only the modules that support the functionality needed. Each module is designed to support specific regulatory and supervisory requirements and includes:

- Employee Trade & Activity Monitoring
- Broker-Dealer/Investment Advisor Supervisory
- Investment Suitability
- Anti-Money Laundering: Watch/Sanctions List & Transaction Monitoring
- Senior & Vulnerable Investor Surveillance
- Market Manipulation Surveillance



The dashboard provides real-time updates to all supervision and compliance activities within a single-view.

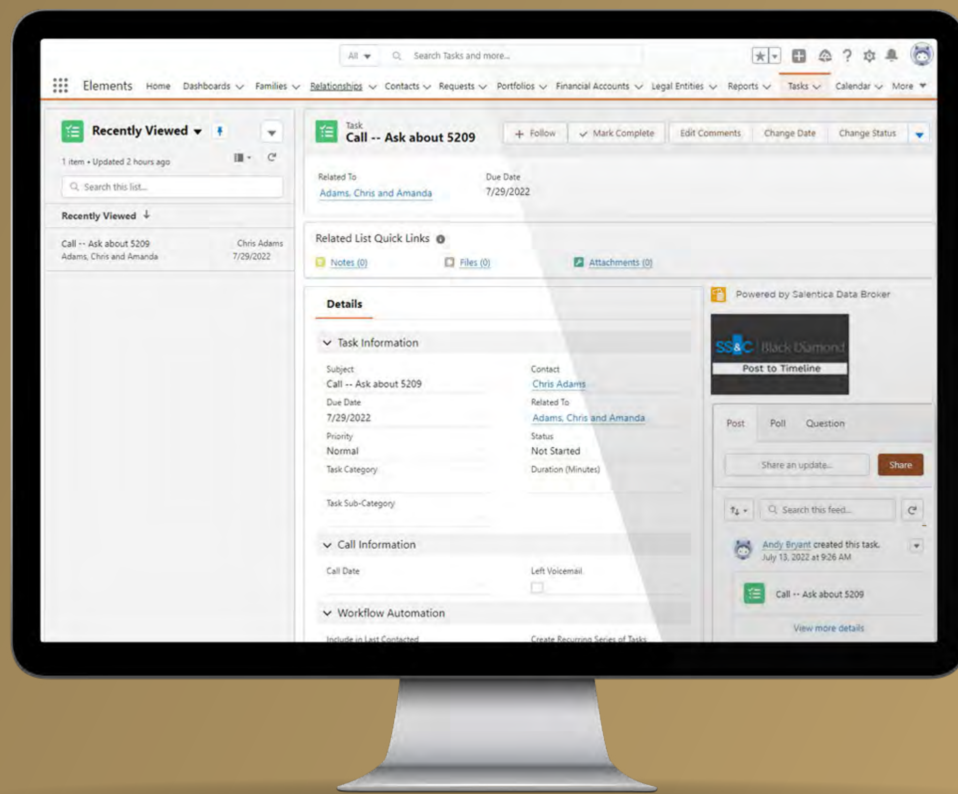
CRMs for Better Client Service

Together Black Diamond and SS&C Salentica® CRMs empower advisors to effectively and efficiently manage client relationship.

A variety of purpose-build CRMs put an incredible array of features right at your fingertips, with the ability to configure countless more. From automating efficiency tracking to suggesting proactive client outreach, these CRMs outperform generic CRMs at prices growing firms appreciate. Through Black Diamond, broker-dealers can:

- Manage every type of client relationship
- View aggregated AUM value
- Automate processes and elevate client service
- Review, filter, and report on the prior day's holdings
- And much more

The combined power of these solutions allows an IBD to leverage deeply integrated services and technologies to thrive in today's dynamic global market. With a deep understanding of a broker-dealer's needs, SS&C functions as an extension of your practice, providing the performance reporting and operational solutions needed to reach business goals.



Easily push an *Activity* from the CRM into Black Diamond's *Client Experience Relationship Timeline*.

A Complete Platform Enhanced by Our Partners.

Productivity Enhancing Integrations

The complete, robust network features over 55 solutions from across the industry in financial planning, portfolio analytics, CRM, managed accounts, and more. In addition, single-sign-on, embedded content, automated data syncs, connected workflows, and more enrich your overall experience.

Reliable, Clean Data

Each day the platform is automatically powered with up-to-date account-level position and transaction data. The extensive data comes from hundreds of sources such as direct custodian feeds, the Advent Custodial® Data network of 800+ account providers, and third-party account aggregators. Plus, custodial-specific integration points include benefits such as cost basis synchronization, straight-through trade processing, statement imports, and digital account opening.

No matter which custodian(s) you work with, you can begin your day focused on your client relationships, not managing data.

A selection of ACD interfaces include:

Deutsche Bank

HSBC

State Street

UBS

Goldman Sachs

BNY Mellon

TIAA

Merrill
A BANK OF AMERICA COMPANY

Credit Suisse

JPMorgan Chase & Co.

From the front office to the back office, the Black Diamond Wealth Platform provides firms like yours with the tools to operate efficiently and deliver a sophisticated, modern client experience.

Within Black Diamond, advisors leverage cutting-edge solutions that drive success, such as:

- Comprehensive portfolio management
- Extensive compliance oversight
- Customizable *Reporting*
- Immersive *Client Experience* portal
- Alternative data feeds
- Asset level data aggregation
- Next-generation *Rebalancer*
- Intuitive dashboards
- And much more

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At the Heart of Your Business: One platform to support your unique needs.

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For more information:

No matter your size or structure, Black Diamond has the flexibility, infrastructure, and power to support your unique wealth management business. To learn how the Black Diamond Wealth Platform can support your new business, request your personalized demo, call 1-800-727-0605, or email info@advent.com.