



## Custodian Data Solutions Designed Specifically for Advent APX™

Custodians retain a vast, rich supply of your client's data. Gathering, integrating and reconciling custodian data with your Advent APX™ portfolio accounting system and other mission critical systems such as CRM, Trading, Risk, Compliance and other systems can be a tricky process. The process is filled with a myriad of manual and semi-automated steps to scrub, massage, or otherwise manipulate custodial data to meet the requirements of your business and software needs. WealthTechs' Portfolio Accounting Custodian Data Solutions guarantees your custodian data gets into your systems every morning, quickly, accurately and reliably from leading global custodians, so you can get back to your primary business — managing clients.

### Price Advantage & System Agnostic

WealthTechs' Portfolio Accounting Data Solutions™ was built from the ground up using cutting edge technology, cloud based servers and most importantly LEAN company management. These efforts have resulted in lower cost of operations which we pass on to our clients. On average, an Advent Axys or APX user may save 50% or more on custodian data versus Advent Custodial Data. WealthTechs' sole focus is institutional custodian data, we are not beholden to a software system as our driving business model. We do not hold your custodian data captive if you decide to switch portfolio accounting systems. Our data will move with you to whatever portfolio accounting solution you choose. Our price advantage is our foot in the door. Our quality, excellent service and agnostic approach to institutional custodian data solutions will win you over for the long haul.

### Our Experience & Service

WealthTechs Inc. is rooted in more than two decades of delivering custodian solutions to some of the nations' largest investment advisers, hedge funds, Fortune 100 sponsors and top global custodians. Our management team has 100+ years of combined experience and 500+ successful projects in the investment management technology space. WealthTechs' Custodian Data Solutions have been up and running in production at our clients since 2004. We know this space and we focus only on custodian data solutions. We offer white glove service, fast data fixes, fair pricing, and military grade security and all the while we are kind, caring people that will always go the extra mile. We appreciate our clients and custodians, consider them partners, and treat them like friends and family. We are a privately held, employee owned company with no debt and no shareholders to drive us to do things that are not in the best interest of our clients and custodian partners.

## Our History & Team

WealthTechs Inc. was founded in 2010 by Chris Casey. Chris is known for his work in the early days of Advent Software and his first company Lync.NET that invented PackMan™ & WebReps™, the first report collating and web reporting platform for Investment Advisers. In the depths of the Great Recession, Chris saw gold for Investment Advisers in the 2008 Economic Recovery Act enacted by Congress. The Act mandates Custodian Banks to provide cost basis, tax lot, 1099, wash sale, bond amortization and other calculations currently done by tedious and expensive portfolio accounting systems run by Investment Advisers. The problem faced by Investment Advisers is being able to actually use this data from Custodian Banks in their own internal applications and databases. So, Chris built a team of industry veterans and recycled some reliable old code written to mine data from Custodian Banks and get it into Advent Axys, and instantly, WealthTechs was born. From the initial concept in 2010 to our official public launch on February 1, 2016, we built out a state of the art, redundant data processing cloud, beta tested with 30 larger investment advisers. In the process of beta testing with our initial user firms; we decided that using Data Exchange, Dataport and IRC for APX integration was not a good idea. All of these programs written by Advent were disjointed, old, outdated software program that did not provide the ease of use, automation capabilities and especially data customization features that we felt were necessary for a superior product. Therefore, we developed an our CDi™ app that formats WealthTechs custodian data and seamlessly integrates it with Advent Axys™, APX™ and Schwab Portfolio Center™ and fine-tuned our first 30 connections to the largest and most influential Custodian Banks in North America. Since then WealthTechs continue to add new Investment Advisers as customers, new Custodian Bank Connections and great new people to the WealthTechs Team. Our Team has worked for some of the most important companies in and outside of the advisor industry including: SS&C, Advent Software, Satuit Technologies, SaveDaily, Intuit, AFAM Capital, USPS and Broadridge. WealthTechs is headquartered in Carlsbad, California, about 35 miles north of San Diego, California and 100 miles south of Los Angeles.



<b>Chris Casey</b> <i>CEO</i>	<b>Gaston Vera</b> <i>Customer Service Manager &amp; Developer</i>	<b>Amber McClure</b> <i>Custodian Relationship Manager</i>	<b>David Otero</b> <i>Developer</i>	<b>Joel Heyman</b> <i>Custodian Data Business Analyst &amp; Advisor</i>	<b>Ryan Dickau</b> <i>Chief Technology Officer</i>	<b>Shanmuga Priya</b> <i>Marketing Data Manager</i>	<b>Luis Cadau</b> <i>Developer</i>	<b>Austin McClure</b> <i>Sales Assistant</i>
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# Cloud Based Custodian Data Aggregation

To achieve near our 100% on time delivery of custodian data, WealthTechs has built a state of the art, military grade secure data center in the cloud. At our data center, we run our proprietary data collection technology that robotically procures all of your custodian data from each and every custodian. Once the data is safely at our data center, our proprietary data preparation technology validates and formats the data, places it into your secure SFTP mailbox organized by custodian and sends you a detailed email of all files processed. By 7:00 AM Eastern Standard Time, your custodian data is available and ready for your start of day processing. If for some reason a data procurement procedure fails at a particular custodian, our 24/7 data technicians monitor and begin troubleshooting while you are still in bed. Most problems are resolved while you are still in bed, and if not, you will have an email in your inbox with status and timing for when the issue will be resolved.

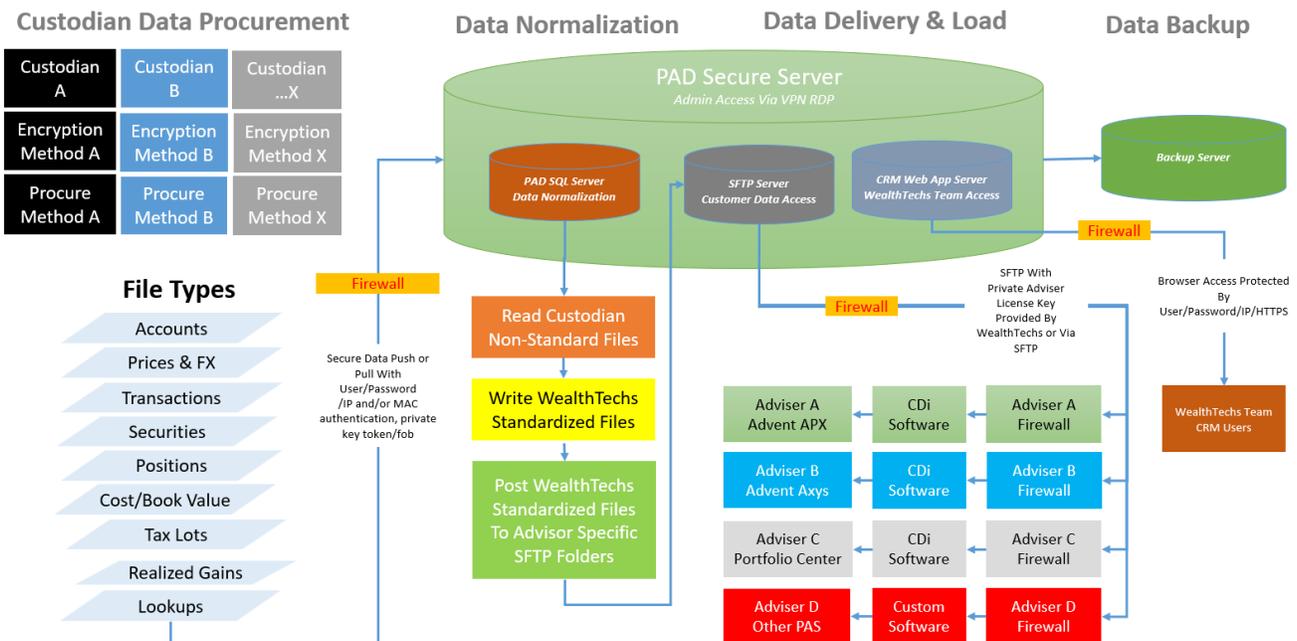
## Security

In today's business market, financial organizations are looking for a partner who can help them deploy IT infrastructure services and have the necessary controls and measures that comply with their local and corporate requirements. One of WealthTechs core missions is to help businesses meet their SOC2 SSAE 16 certification requirements (formerly the SAS70), which meets the new international service organizations standards for Type I and Type II reporting. We achieve this by housing our data center with a server host building a solid foundation around SOC1 SSAE 16 requirements including physical security, data storage/security and control procedures that enable your company to feel confident that your data is in trusted hands. As a result, our clients can feel confident that they are in a secure, reliable environment that has the proper controls for internet operations and highly available IT services. As of the writing of this document on 11/25/2017, WealthTechs is in process for SOC2 certification.



### Portfolio Accounting Custodian Data Secure Private Cloud

Hosted By [Canadian Web Hosting](#)



## Custodian Data Partners

WealthTechs prides ourselves on the quality of our proprietary technology to aggregate, normalize and integrate custodian data with our client's tech stack. We constantly innovate and communicate with our partners to assure that any industry or custodian specific changes are well thought out in advance and we have our solution in place when production happens. Most of our proprietary technology has been in production since 2004, resulting in tried, true and tested data quality and reliability. Below is a representative sample of the custodians we have partnerships with:

Aberdeen	Interactive Brokers	RBC US
Arrowstreet	JA Glynn	Schwab Institutional
BONY Mellon Institutional & PWC	Johnson Trust	Schwab Trust Company
BF Edwards	JP Morgan	SEIC
BMO Harris	JP Morgan Clearing	Smithfield Trust
Boston Company	Kingdom Trust	State Street Corporation
Brown Brothers Harriman	Lockwood Advisors	Stifel Nicolaus
Citibank	Merrill Lynch	Suntrust
Comgest	Merrill Lynch UMA	TD Ameritrade
DA Davidson	Morgan Stanley Smith Barney	TD Wealth Canada
Desjardins	Morgan Stanley Smith Barney UMA	TradeStation
DST Systems, Inc.	Nationwide Advisory Solutions	Transamerica
Etrade	NBCN	UBS
Fidelity	NFS	UBS SWP
Fiduciary Trust Company	Nixon Peabody	US Bank
Fifth Third Bank	Northern Trust	Van Berkom
FolioFN	Pembroke	Vontobel
Glenmede	Pershing IMS	Wells Fargo Bank & Trust
Goldman Sachs	Raymond James	Wells Fargo Clearing
Huntington National	RBC Canada	

## Unified Managed Accounts

Unified Managed Accounts (UMA) rise in popularity has prompted WealthTechs to take a leadership role in the UMA space. UMA data is often difficult to manage do to the lack of connectivity between the UMA manager's trading systems and the advisors portfolio accounting and other internal systems. WealthTechs is leading the way to aggregate, normalize and distribute UMA manager transaction data to advisors.

## Advent APX Features

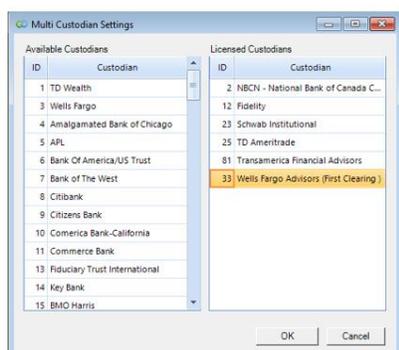
The WealthTechs team has deployed, customized, consulted on and built data solutions for 500+ Advent clients since 1996. We appreciate the Advent client base and are constantly innovating creative ways to leverage custodian data to drive up efficiency and drive costs down. To simplify the tedious task of aggregating, normalizing, validating, preparing and importing custodian data into Advent APX, WealthTechs developed the CDi Desktop Client Software™ (“CDi”) specifically for Advent users. CDi incorporates many functions for customized data management:

- **Multi-User** – CDi is a .NET app that installs in seconds on your local server and can be accessed by anyone on your secure network with proper credentials of course without having to install any local software.
- **SQL** - CDi is 100% integrated with the APX SQL database to assure fast and accurate data integration. We will continue to integrate with the APX SQL database and enhance our offerings to take advantage of cutting edge SQL database technology.
- **Aggregation** – Seamless secure integration with our Data.WealthTechs.com custodian data aggregation solution unifies all of your custodian data into easy secure SFTP feed.
- **Account Filter** – Exclude specific custodian account’s transactions and positions from processing and import into your Advent system altogether.
- **Account Translation** – Setup translations from your custodian’s account codes to your Advent portfolio codes.
- **Vehicle Translation** – Setup translations from your custodian’s vehicle symbols to your Advent security type and/or Advent security symbols for all or just for specific accounts.
- **Transaction Translation** – A flexible, easy to use rules generator that allows users to setup IF/THEN/CONTAINS/BEGINS WITH/ENDS WITH logic to automatically modify or delete custodian transactions with no manual intervention. Transaction Translation is very easy to use, no programming, Excel macro or Visual Basic skills are needed.
- **Withholding Tax Logic Options** – Choose one of three ways to accurately post withholding taxes to your Advent portfolio system based on your preference. Here are your choices assuming a Canadian account earns a \$100 USD Microsoft Dividend with a \$25 withholding tax:
  - 1) use the withholding tax field in the transaction and adjust the amount to accurately reflect the impact of the withholding tax (for example: *dv,csus,msft,75,25*)
  - 2) treat the withholding tax as a deposit to an expense (for example: *dv,csus,msft,100 & dp,exus,wht,25*.)
  - 3) treat the withholding tax as a negative dividend (for example: *dv,csus,msft,100 & dv,csus,msft,-25*)
- **Consolidated Positions** – Easy setup handles custodian accounts that are split up in APX for the purpose of carve outs or sub-accounting. Makes reconciling to the custodian positions easy without manual entry.
- **Backdated Transactions Handling** - Advent cannot handle backdated transactions without time consuming manual intervention and historical reconciliations being thrown off. CDi makes backdated processing easy by changing the trade date and settlement date to the processing

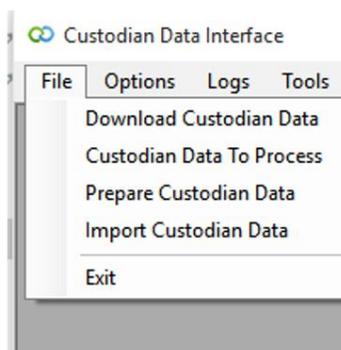
date and flagging the transaction as backdated in the transaction comment for easy identification during trade blotter posting and reporting.

- **Interlisted Securities Handling** – Advent cannot easily handle interlisted securities processing without time consuming manual intervention. CDi makes interlisted processing a breeze by removing unnecessary duplicate positions and prices for the non-held interlisted version of each security before you import position and pricing data into Advent APX.
- **Manual Securities Handling** – Advent cannot easily handle manually priced securities processing without time consuming manual intervention. CDi makes manual prices less of a burden by allowing a user to enter a series of securities and prices and these prices will be automatically added to your daily price import to Advent APX.
- **One Time Setup** - Setup all of the above data customization features just once and forevermore CDi does the rest for you automatically, every time.
- **Data Integrity** - Your data quality is a reflection of your quality as a firm. Your custodian works hard to make sure that data remains accurate as it is delivered to you. Ensuring accuracy as it is enters your Advent APX or Axys system however, is another matter altogether when manual processes are introduced. CDi takes the “manual” out of these processes with our three-step process:
  - 1) **Validate:** This step validates each Account and Security in your custodian files against what’s set up in your Advent Portfolio & Security Master file and the CDi’s Translation tables. If a particular Account or Security is not found, the system warns you about it before proceeding any further, then tells you where the Account or Security needs to be entered or translated either in APX, Axys, CDi or both and will setup the Account or Security in Axys or APX with a single mouse click.
  - 2) **Prepare:** This step is where all data transformations to your custodial data are performed which include the translations, filters and other settings mentioned above, upper- or lower-casing based on settings, as well as a Lot Location change if you’ve established one.
  - 3) **Import:** This final step is where your transformed data is automatically imported into the Axys or APX trade and position blotters, prices, and security information. A full audit trail log of what was imported with exceptions is produced and easily accessible from the CDi main menu.

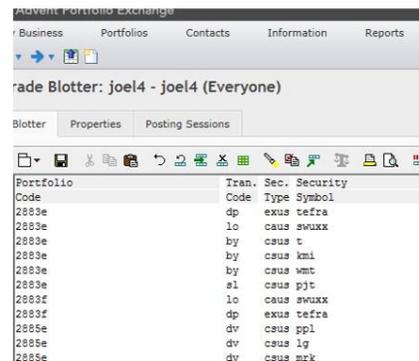
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- **Reconciliation** - Post import, verify the accuracy of your holdings with cost basis by running the CDi Reconciliation Report. This report, accessed from within Axys or APX, allows you to compare calculated positions in your Advent portfolio accounting system versus downloaded positions from your custodian, displaying any discrepancies between the two. The report can be viewed on screen or exported to a very tidy spreadsheet.
- **REX Integration** – CDi seamlessly integrates with REX by creating and posting REX transactions.
- **Upgrades and Support** - Upgrades to CDi are always free-of-charge and usually just requires a drag and drop of one file. Or, if you prefer, our knowledgeable staff can remotely install the upgrades for you while you watch. WealthTechs provides full technical support for CDi and many of your Advent-related problems, at no additional cost to you.
- **Automation** – Scripting and automating has never been easier. With CDi scripting, any process in CDi can be automated with a simple, easy to learn scripting language complete with email sends of logs and errors. Once a script is completed, it can be setup using Windows Task Scheduler to run automatically at a specified time.

## Risk Free Trial

To prove our solutions are right for you, we will gladly setup any one of our custodian data connections for you to run for 30 days absolutely free. We will provide you with installation, training and support throughout your trial as if you were a paying customer. Also, we will provide you with a tool we built to compare ACD generated trade blotters with WealthTechs CDi generated trade blotters. The comparison tool will highlight any differences in the blotters so you can see for yourself exactly how good we are.

Advent APX™ Custodial Data Trade Blotter

Portfolio Code	Tran. Code	Trade Date	Comment	Post.
223meaka	by	aeus	CNG04NPON	11/2/2015 1,483.6654 26,971.09 caus CASH
223meaka	sl	aeus	CNG04AEON	11/2/2015 1,345.9651 26,971.09 caus CASH
312kaest	dv	csus	793848102	10/30/2015 1 172.93 10/30/2015 awus client
310lezoj	dv	csus	793848102	10/30/2015 1 178.3 10/30/2015 awus client
312sojmi	dv	csus	85780P101	10/30/2015 18.143 258.54 10/30/2015 caus dwwash
312sojmi	by	csus	85780P101	10/30/2015 18.143 258.54 caus dwwash
310musht1	dv	csus	433240108	10/30/2015 1 331.13 10/30/2015 awus client

WealthTechs CDi™ Trade Blotter

Portfolio Code	Tran. Code	Trade Date	Comment	Post.
223meaka	by	aeus	CNG04NPON	11/2/2015 1,483.6654 26,971.09 caus CASH
223meaka	sl	aeus	CNG04AEON	11/2/2015 1,345.9651 26,971.09 caus CASH
312kaest	dv	csus	793848102	10/30/2015 1 172.93 10/30/2015 awus client
310lezoj	dv	csus	793848102	10/30/2015 1 178.3 10/30/2015 awus client
312sojmi	dv	csus	85780P101	10/30/2015 18.143 258.54 10/30/2015 caus dwwash
312sojmi	by	csus	85780P101	10/30/2015 18.143 258.54 caus dwwash
310musht1	dv	csus	433240108	10/30/2015 1 331.13 10/30/2015 awus client

## Contacting Sales

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## Disclaimer

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