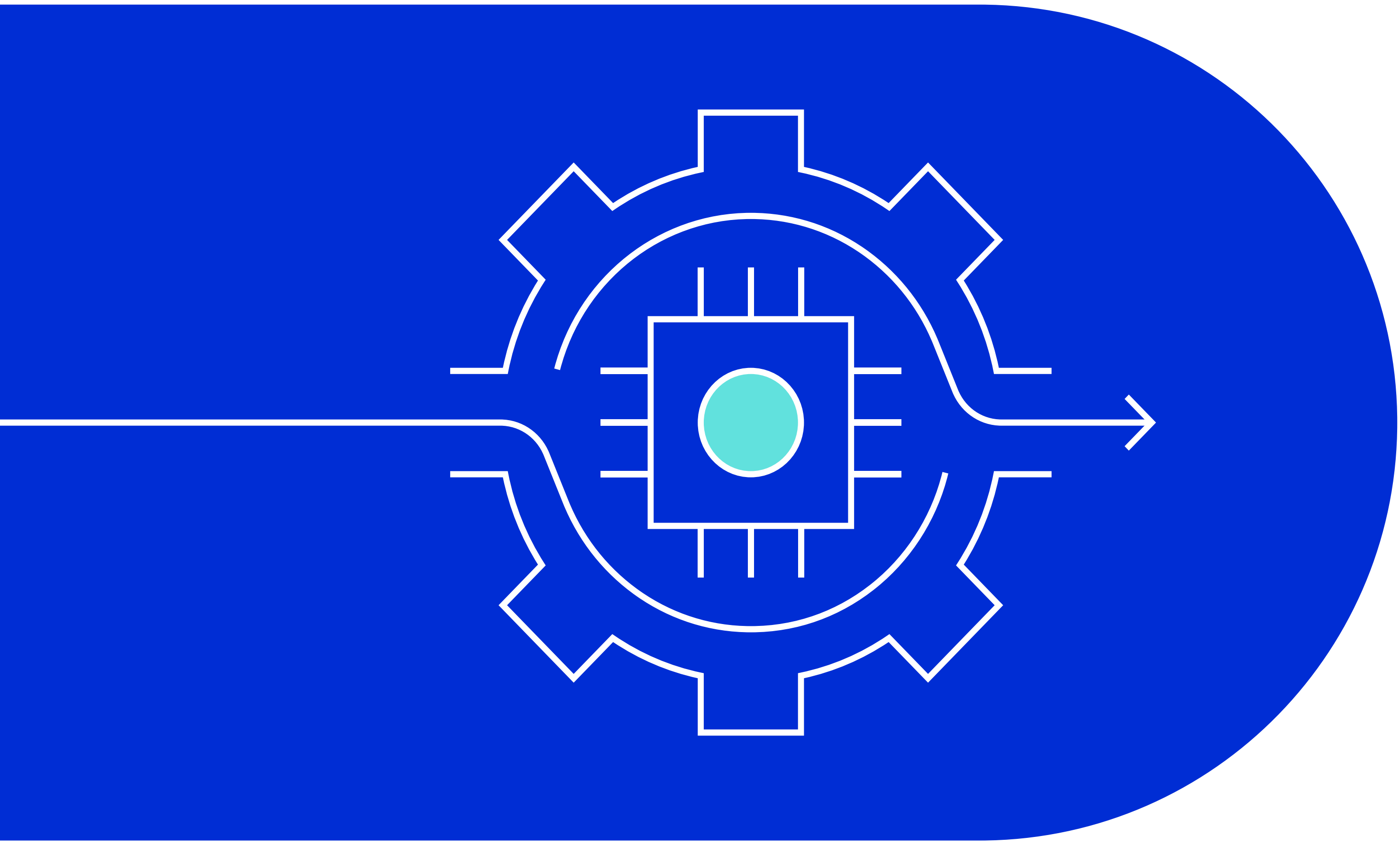
intelliflo redblack



Pre-trade compliance

Improve trust, transparency and service quality.

Strengthen your client relationships by ensuring their investments are always aligned with their specific needs.

intelliflo redblack's pre-trade compliance capabilities reduce potential violations, improve operational efficiencies and empower you to consistently increase trust and transparency with your clients.

Maintain pre-trade compliance with:

Access controls:
Facilitate governance related to portfolio management, rebalancing and order management with access controls that define multi-level user functionality and permissions across the platform, from users and roles, to policies and rights.

Investment policy monitoring:
Flexible monitoring capabilities place up-to-date portfolio compliance information at your fingertips for an unlimited number of policies, including policy overlays for portfolios to validate current allocations and model weights.

Restrictions:
Apply firm-wide, account- and household-specific restrictions by classification, security type or security to efficiently manage exceptions to your model strategies prior to any rebalancing or trading activity.

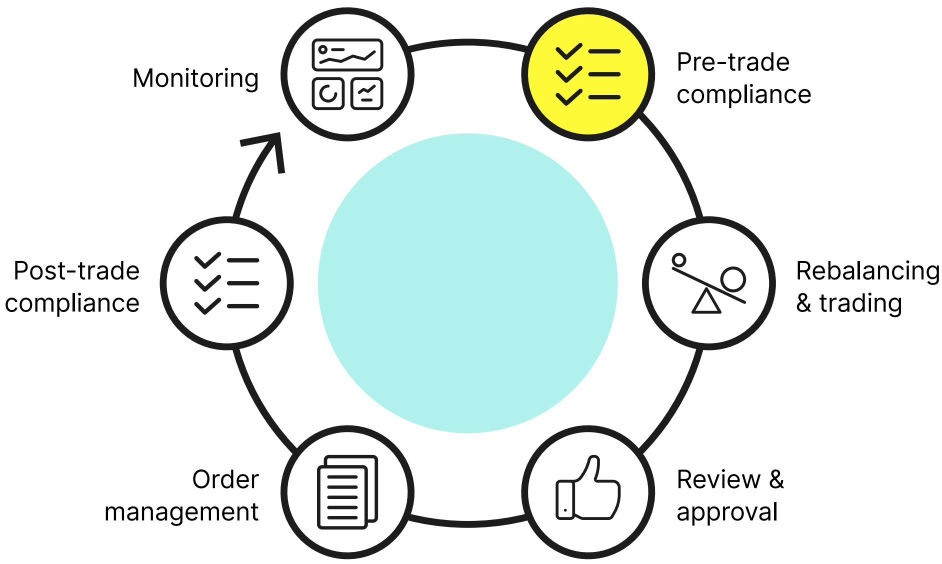
Equivalents:
Apply firm-wide, account- and household-specific equivalents by classification, security or cash position, and easily manage similar securities, legacy positions and cash equivalents within your model strategies prior to rebalancing or trading activity.

Cash actions:
Use cash simulations to generate orders with the addition or exclusion of portfolio cash to simplify cash management at the account, household and firm level.

Target overrides:
Limit the proliferation of models resulting from target exceptions that exist across households by overriding and redirecting model targets for classifications, securities or cash allocations using relative or absolute adjustments.

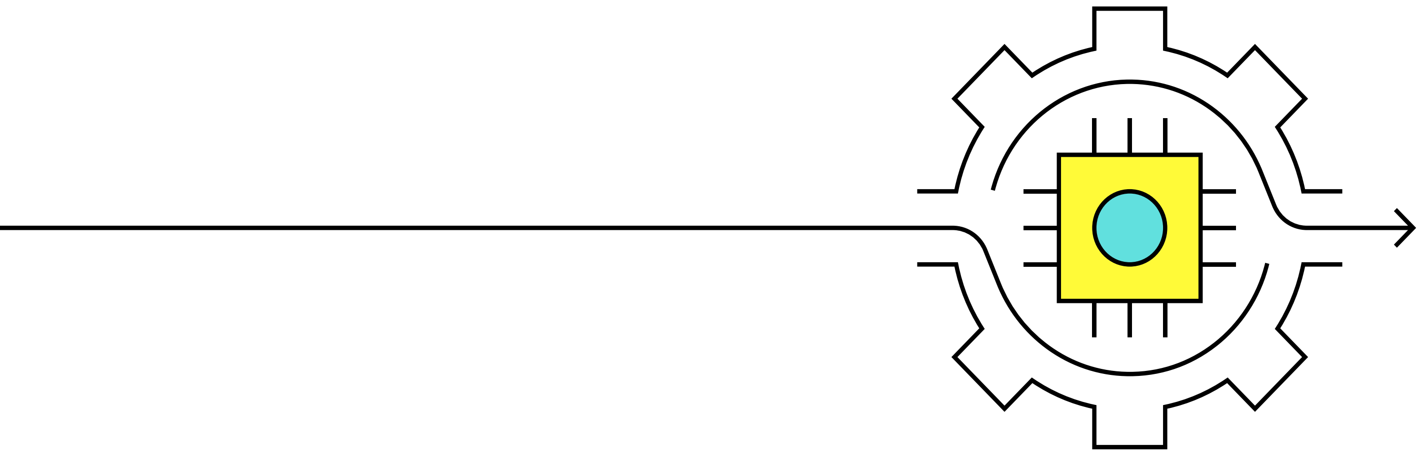
Global and portfolio specific rebalance settings:
Easily define and influence the behavior of trading to suit the strategies of your firm in terms of rebalance tolerances, minimum trade sizes, wash sales, tax events, short-term redemptions, and other order generation parameters.

Review mode:
Increase operational efficiencies, reduce errors, and enforce workflows with the Review Mode look-through feature, which produces a final audit of the orders generated in any portfolio prior to executing orders from your trade blotter.



Why choose intelliflo redblack for pre-trade compliance?

- Apply a variety of restrictions to comply with specific client requirements
- Customizable, professionally designed client-facing reports
- Easily define and enable mutual funds purchase restrictions
- Substitute assets if a buy cannot be made in a preferred account type
- Automatically rebalance around positions that exceed a fee amount threshold
- Monitor drift across accounts and households, and receive alerts for projected post-trade drift prior to trading
- Create unlimited investment policies based on categories and asset classifications
- Automatically allocate assets to preferred account types in a household based on tax sensitivity
- Manage short-term redemptions fees for mutual funds or ETFs at the custodian and fund level
- Define minimum trade sizes to adhere to preferred lot sizes or automatic rounding tolerances



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