

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

A Confidently Compliant
Independent Broker-Dealer

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.

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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.



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— 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

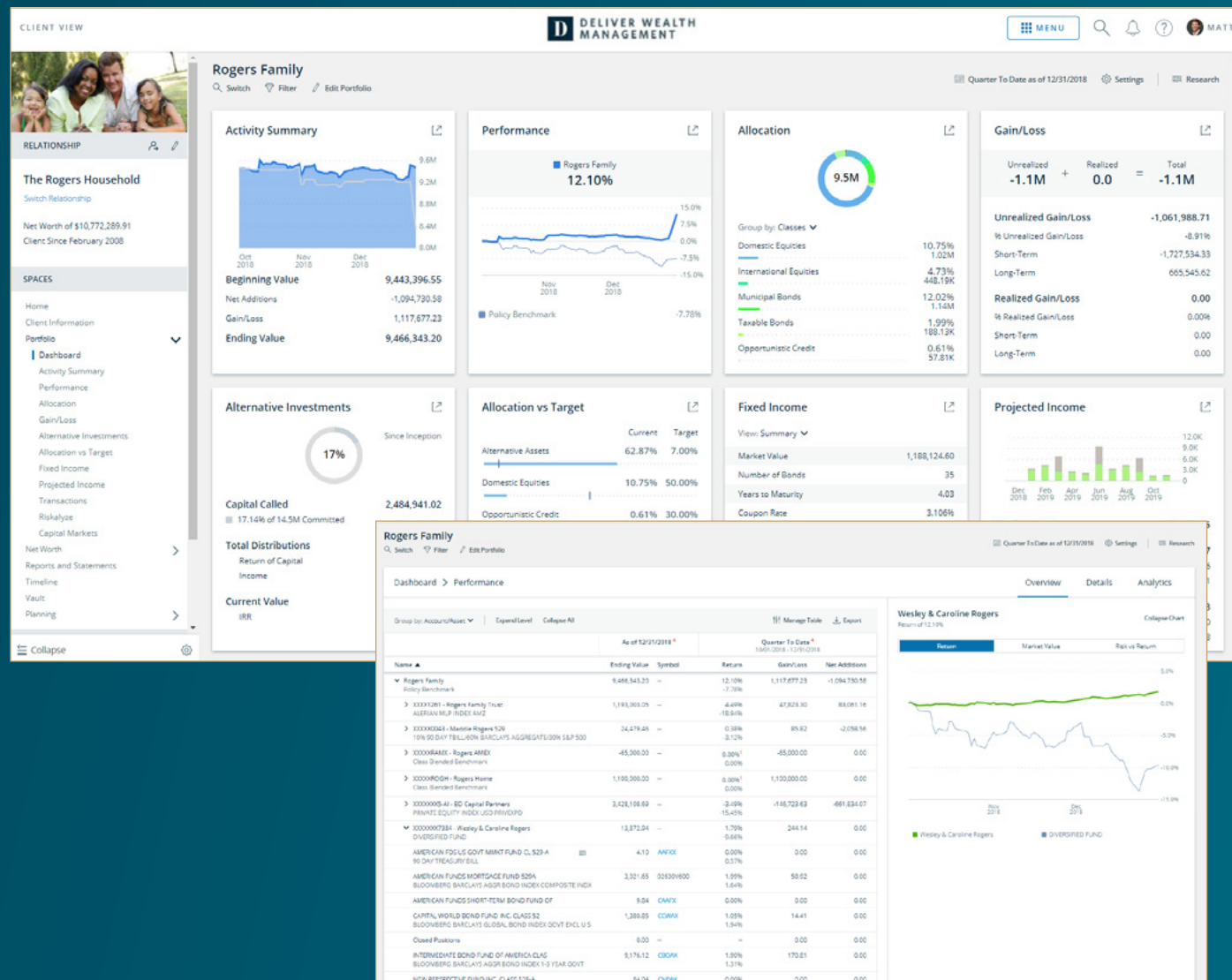
8,000+

compliance related
user roles

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Portfolio Management & Reporting

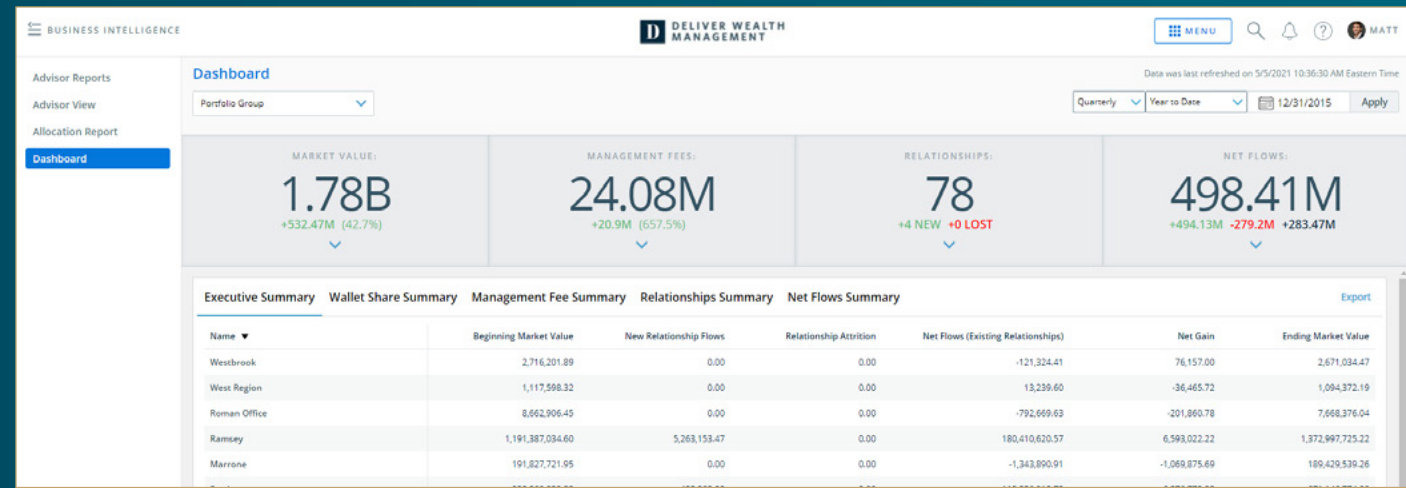
Oversee portfolios in the context of the entirety of the client relationship through a centralized command center. Insights are viewable at-a-glance through dynamic and configurable portfolio metric cards. You can control which reports your advisors are using by building pre-approved templates to easily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



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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.



The screenshot shows the 'DATA MINING' section for 'DELIVER WEALTH MANAGEMENT'. The user 'MATT' is logged in. The 'Templates' page displays a list of 14 compliance templates. The 'Compliance' category is selected. The templates include 13F Asset Data, AUM by Asset Type, AUM by Relationship Type, SEC Blotter - Buys & Sells (All Securities), SEC Blotter - Buys & Sells (Bonds), SEC Blotter - Buys & Sells (Derivatives), SEC Blotter - Buys & Sells (Equities), SEC Blotter - Buys & Sells (Mutual Funds), SEC Blotter - Buys & Sells (Stocks & Bonds), SEC Blotter - Dividends & Interest (Stocks and Bonds), SEC Blotter - Dividends, Interest, and Capital Gains (Mutu...), SEC Blotter - New Accounts for Date Range, SEC Blotter - Securities Received & Delivered, and Trade Blotter.

Name	Description	Type	Share	Owner	Schedule
13F Asset Data	A summary of all assets held by the firm	Compliance	--	--	Add
AUM by Asset Type	Exports the total value of Assets Under Management by asset...	Compliance	--	--	Add
AUM by Relationship Type	Exports the total value of Assets Under Management by relati...	Compliance	--	--	Add
SEC Blotter - Buys & Sells (All Securities)		Transactions	Firm	erica.ax.demo	Add
SEC Blotter - Buys & Sells (Bonds)		Transactions	Firm	erica.ax.demo	Add
SEC Blotter - Buys & Sells (Derivatives)		Transactions	Firm	erica.ax.demo	Add
SEC Blotter - Buys & Sells (Equities)		Transactions	Firm	erica.ax.demo	Add
SEC Blotter - Buys & Sells (Mutual Funds)		Transactions	Firm	erica.ax.demo	Add
SEC Blotter - Buys & Sells (Stocks & Bonds)		Transactions	Firm	erica.ax.demo	Add
SEC Blotter - Dividends & Interest (Stocks and Bonds)		Transactions	Firm	erica.ax.demo	Add
SEC Blotter - Dividends, Interest, and Capital Gains (Mutu...		Transactions	Firm	erica.ax.demo	Add
SEC Blotter - New Accounts for Date Range		Snapshot	Firm	erica.ax.demo	Add
SEC Blotter - Securities Received & Delivered		Transactions	Firm	erica.ax.demo	Add
Trade Blotter	A summary of Buy and Sell transactions for all accounts	Compliance	--	--	Add

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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.

The image displays two overlapping screenshots of the Deliver Wealth Management client portal. The top screenshot shows the 'Reports' section, which lists various reports for 'The Rogers Family' and 'Rogers Family' with columns for Name, Portfolio / Account, Start Date, End Date, and File Size. The bottom screenshot shows the main dashboard for a user named Matt, featuring a greeting, total value of \$9,466,343.20, and a detailed breakdown of accounts including Brokerage, Retirement Accounts, and 529 Plans.

Reports Section:

Name	Portfolio / Account	Start Date	End Date	File Size
Quarterly Performance Report	The Rogers Family	12/31/2018	12/31/2018	4.7MB
Executive Summary: Performance	The Rogers Family	12/31/2018	12/31/2018	1.5MB
Quarterly Report	The Rogers Family	12/31/2018	12/31/2018	5.4MB
Quarterly Report	Rogers Family	10/01/2018	12/31/2018	6.5MB
Investment Overview	Rogers Family	12/01/2018	12/31/2018	15.4MB
Quarterly Performance Report	Rogers Family	10/01/2018	12/31/2018	6.1MB
Quarterly Performance Report	Rogers Family	10/01/2018	12/31/2018	6.1MB
Investment Overview	Rogers Family	10/01/2018	12/31/2018	15.4MB
Executive Summary: Performance	Rogers Family	01/01/2018	12/31/2018	1.5MB
Gain/Loss: Realized				

Main Dashboard (Matt):

Good Afternoon, Matt!

Total Value: **\$9,466,343.20**

Accounts:

- Brokerage:** \$13,872.94
Wesley & Caroline Rogers: \$13,872.94 (XXXXXX7384)
- Retirement Accounts:** \$427,911.51
Caroline Rogers IRA: \$427,911.51 (XXXXXX03705)
- 529 Plan:** \$380,634.63
John Rogers 529: \$356,155.17 (XXXXXX002505)
Maddie Rogers 529: \$24,479.46 (XXXXXX0043)

Right Sidebar:

- Alerts:** New Timeline Comment (Matt Fuchs created a new Comment, 8 months ago)
- VAULT:** Estate Planning (Shared by Lauren Rodriguez, 8 months ago)
- VAULT:** Tax Documents (Shared by Lauren Rodriguez, 8 months ago)
- VAULT:** Firm ADV (Shared by Lauren Rodriguez, 8 months ago)
- VAULT:** Financial Planning (Shared by Lauren Rodriguez, 8 months ago)

Contact Information:

- info@ssomc.com
- 904-241-2444
- 9000 Southside Boulevard, Bldg 700, Jacksonville, FL 32256

About Us:

Today, Deliver Wealth Management's commitment to your success is as strong as ever. Our ability to deliver has been strengthened by our vast global portfolio of technology applications and services.

Our combined business units deliver innovative solutions to more than 10,000 families and institutions worldwide. Together with our clients, we are continuing to transform the wealth management industry.

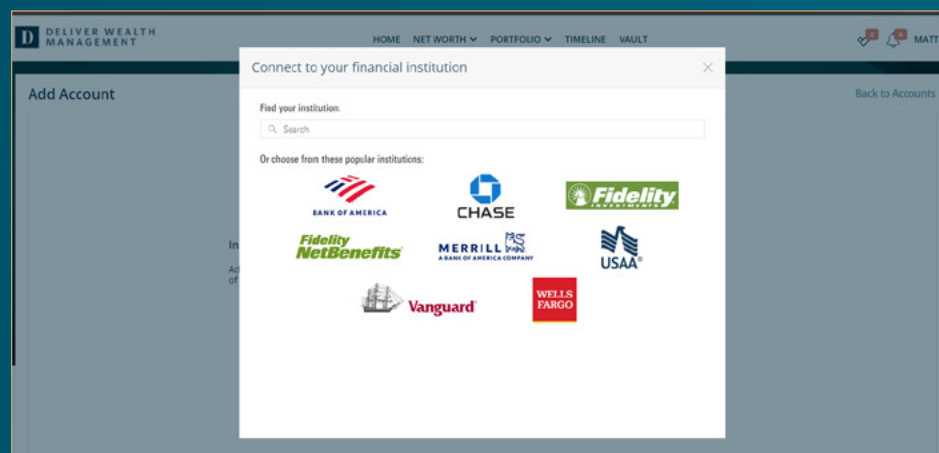
My Financial Team:

- Ken Erickson, Advisor
- Steven Cooper, Financial Analyst

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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.



Rogers Family												
Change Selection Settings Filter												
Holdings												
Returns												
Transactions												
DATE RANGE												
Quarter To Date as of 12/31/2018												
TIMEFRAME												
<input checked="" type="radio"/> Daily												
<input type="radio"/> Weekly												
<input type="radio"/> Monthly												
<input type="radio"/> Quarterly												
<input type="radio"/> Annually												
I WANT TO...												
Show Level Details												
Clone View												
Download Data												
	Date ▲	BMV	EMV	Accrual	Net Additions	Net Gain	Income	Fees	GOF Return	GOF Linked	NOF Return	NOF Linked
	10/01/2018	469,621.17	469,811.44	0.00	0.00	190.27	202.50	0.00	0.04%	0.04%	0.04%	0.04%
	10/02/2018	469,811.44	469,632.39	0.00	0.00	(179.05)	0.00	0.00	(0.04%)	0.00%	(0.04%)	0.00%
	10/03/2018	469,632.39	468,957.59	0.00	0.00	(674.80)	0.00	0.00	(0.14%)	(0.14%)	(0.14%)	(0.14%)
	10/04/2018	468,957.59	466,129.18	0.01	0.00	(2,828.42)	0.00	0.00	(0.60%)	(0.74%)	(0.60%)	(0.74%)
	10/05/2018	466,129.18	464,460.37	0.01	0.00	(1,668.81)	0.00	0.00	(0.36%)	(1.10%)	(0.36%)	(1.10%)
	10/08/2018	464,460.37	464,901.50	0.01	0.00	441.13	0.00	0.00	0.09%	(1.09%)	0.09%	(1.09%)
	10/09/2018	464,901.50	463,474.29	0.01	(1,085.00)	(342.20)	0.00	1,085.00	(0.07%)	(1.08%)	(0.31%)	(1.31%)
	10/10/2018	463,474.29	455,927.54	0.01	0.00	(7,546.75)	0.00	0.00	(1.63%)	(2.69%)	(1.63%)	(2.92%)
	10/11/2018	455,927.54	450,530.13	0.01	0.00	(5,397.41)	0.00	0.00	(1.18%)	(3.84%)	(1.18%)	(4.07%)
	10/12/2018	450,530.13	452,338.25	0.01	0.00	1,808.11	0.00	0.00	0.40%	(3.45%)	0.40%	(3.68%)
	10/15/2018	452,338.25	451,723.97	0.02	0.00	(614.28)	0.00	0.00	(0.14%)	(3.59%)	(0.14%)	(3.81%)
	10/16/2018	451,723.97	457,052.17	0.02	0.00	5,328.20	0.00	0.00	1.18%	(2.45%)	1.18%	(2.68%)
	10/17/2018	457,052.17	456,043.69	0.02	0.00	(1,008.48)	0.00	0.00	(0.22%)	(2.66%)	(0.22%)	(2.89%)
	10/18/2018	456,043.69	452,648.88	0.02	0.00	(3,394.80)	0.00	0.00	(0.74%)	(3.39%)	(0.74%)	(3.61%)
	10/19/2018	452,648.88	452,350.34	0.02	0.00	(298.55)	0.00	0.00	(0.07%)	(3.45%)	(0.07%)	(3.68%)
	10/22/2018	452,350.34	450,562.97	0.02	0.00	(1,787.36)	0.00	0.00	(0.40%)	(3.89%)	(0.40%)	(4.06%)
	10/23/2018	450,562.97	448,312.15	0.02	0.00	(2,250.82)	0.00	0.00	(0.50%)	(4.31%)	(0.50%)	(4.54%)
	10/24/2018	448,312.15	441,311.86	0.02	0.00	(7,000.30)	0.00	0.00	(1.56%)	(5.81%)	(1.56%)	(6.03%)
	10/25/2018	441,311.86	445,069.95	0.02	0.00	3,758.10	0.00	0.00	0.85%	(5.01%)	0.85%	(5.23%)
	10/26/2018	445,069.95	441,997.25	0.02	0.00	(3,072.70)	0.00	0.00	(0.69%)	(5.66%)	(0.69%)	(5.88%)
	10/29/2018	441,997.25	440,958.01	0.03	0.00	(1,039.24)	0.00	0.00	(0.24%)	(5.88%)	(0.24%)	(6.10%)
	10/30/2018	440,958.01	444,908.22	0.03	0.00	3,950.21	0.00	0.00	0.90%	(5.04%)	0.90%	(5.26%)
	10/31/2018	444,908.22	446,673.51	225.72	0.00	1,765.29	2.69	0.00	0.40%	(4.66%)	0.40%	(4.89%)
	11/01/2018	446,673.51	450,443.44	0.00	0.00	3,769.93	225.72	0.00	0.84%	(3.86%)	0.84%	(4.00%)
	11/02/2018	450,443.44	449,004.69	0.00	0.00	(1,438.76)	0.00	0.00	(0.32%)	(4.17%)	(0.32%)	(4.39%)
	11/05/2018	449,004.69	451,150.66	0.00	0.00	2,145.97	0.00	0.00	0.48%	(3.71%)	0.48%	(3.93%)

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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. 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:



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— 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.