SS&C | Black Diamond
WEALTH SOLUTIONS

BUILT FOR INDEPENDENT BROKER-DEALERS

Compliance-Ready. Advisor-Approved.

sscblackdiamond.com | info@sscblackdiamond.com

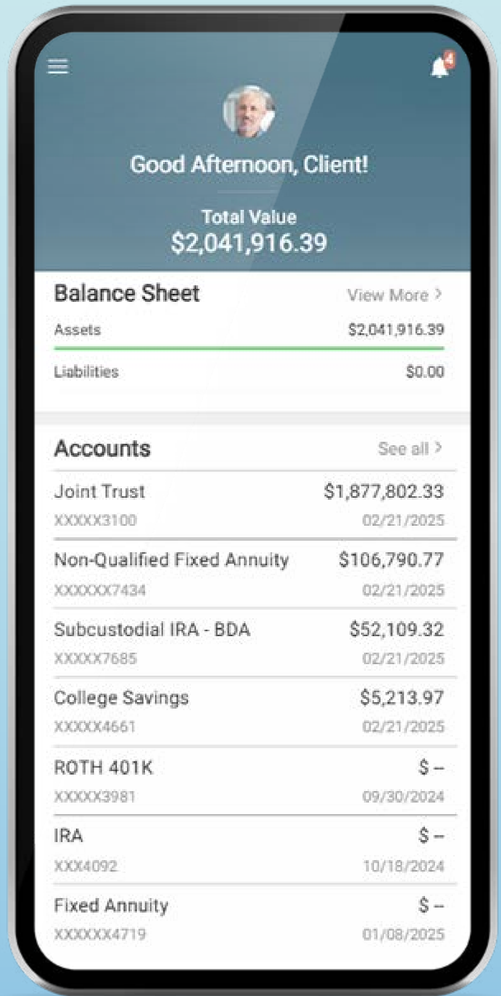
Black Diamond
WEALTH SOLUTIONS

Pre-approved templates, permission-based access, and advanced tech for confident, compliant operations.

Discover SS&C Black Diamond® Wealth Solutions

Control, Transparency, and Engagement — All in One Place

In an era of compressed margins and fierce advisor competition, successful Independent Broker-Dealers (IBD) stand out by leveraging technology that attracts top talent and scales compliance without compromise.



Built to Help IBDs Overcome Today's Challenges

Grow your client base and draw top advisors with technology designed for broker-dealers. Black Diamond combines cloud-native flexibility, continuous innovation, and built-in compliance — available anywhere, at any time.

Advisor Tools

Attract advisors with modern client engagement tools that align with your preapproved standards.

Compliance without Complexity

Ensure robust, adaptable, and automated daily surveillance of advisors, client accounts, and transactions.

Clear Oversight & Actionable Insights

Make supervision effortless with automated workflows, user controls, standardized reporting, and real-time analytics.

True Partnership

Benefit from proactive support and a dedicated service team that enhances advisor experience and scales operations.

Key Capabilities Overview

Explore specifics for some of the core features broker-dealers value most.

- **Data Aggregation & Accounting**
- **Billing & Revenue Management**
- **Trading & Rebalancing**
- **Business Intelligence**
- **Compliance**
- **Portfolio Management & Reporting**
- **Client Experience & Communications**
- **Annuity & Insurance Marketplace (AIM)**
- **Client Relationship Management (CRM)**
- **Integrations**

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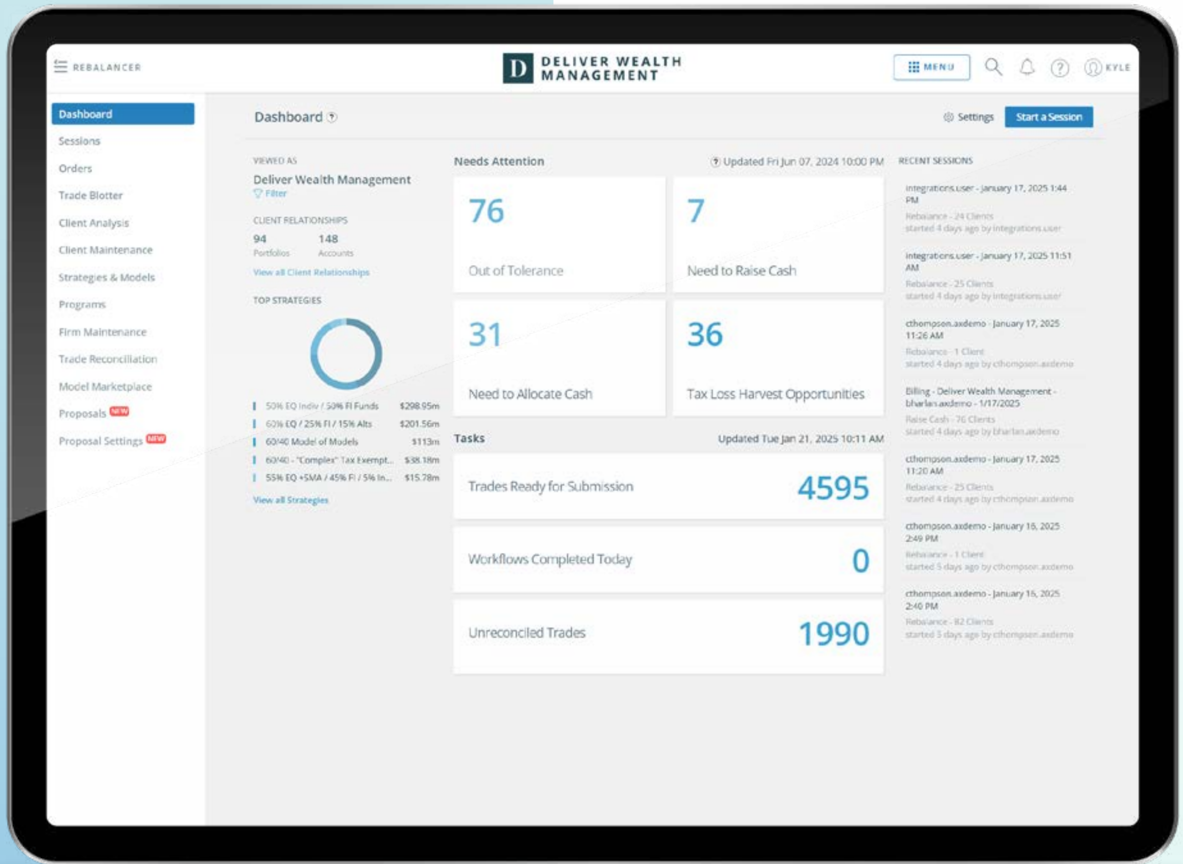
Data Aggregation & Accounting

Each day, Black Diamond automatically aggregates and reconciles account-level position and transaction data from hundreds of sources — including more than 1,000 direct data feeds. Data is reconciled at the asset level and enriched with current prices, indexes, and ratings for comprehensive analysis.

This automated data management ensures your advisors start each day with clean, accurate information, allowing them to focus on client relationships rather than data discrepancies. No matter which custodian(s) you work with, Black Diamond delivers the reliable data foundation your firm needs.

A selection of interfaces includes:

- Deutsche Bank
- HSBC
- State Street
- UBS
- Goldman Sachs Custody Solutions
- BNY
- TIAA
- Merrill A Bank of America Company
- Credit Suisse
- JPMorgan Chase & Co.
- Charles Schwab
- LPL Financial
- Raymond James
- Fidelity

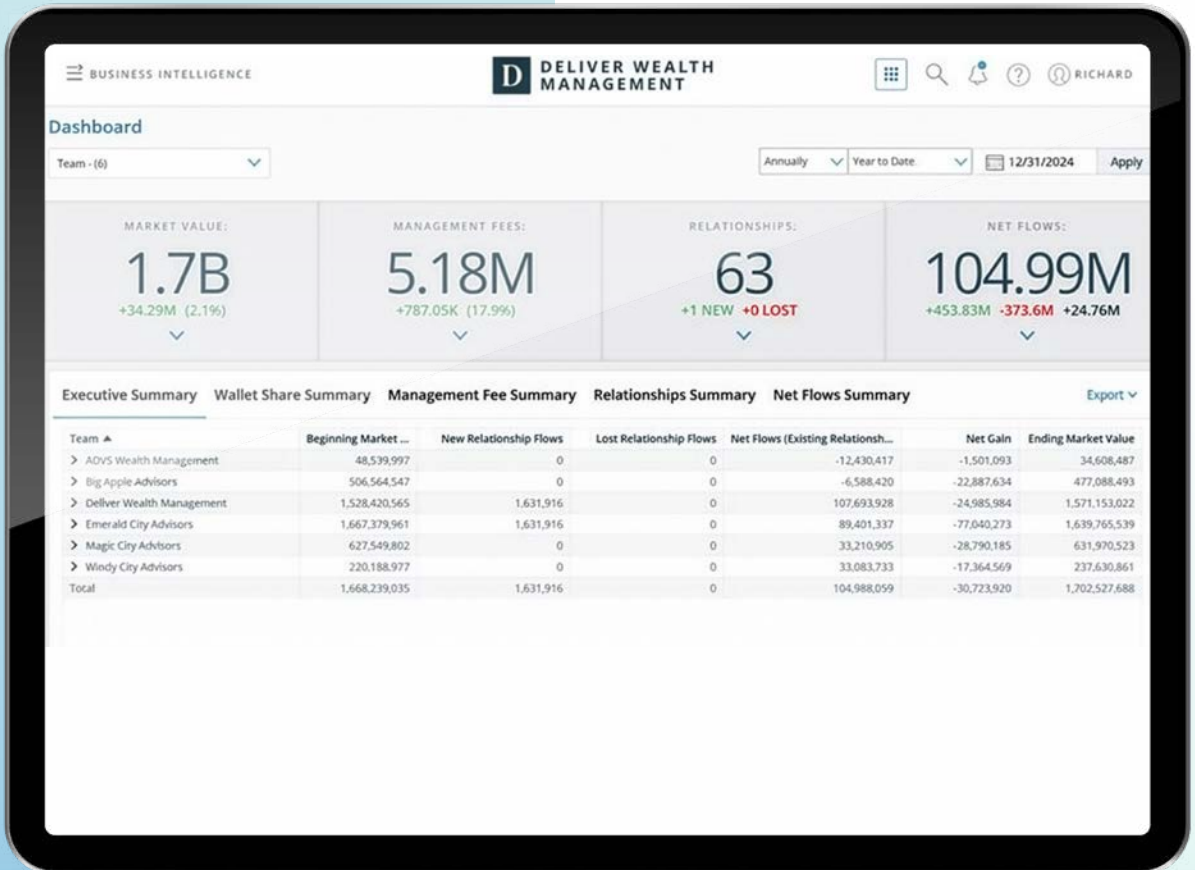


Billing & Revenue Management

Empower your advisors to structure fees transparently while maintaining firm-wide consistency. Extensive configuration settings and built-in workflows ensure standardized billing processes across your network, eliminating errors and the need for multiple billing runs.

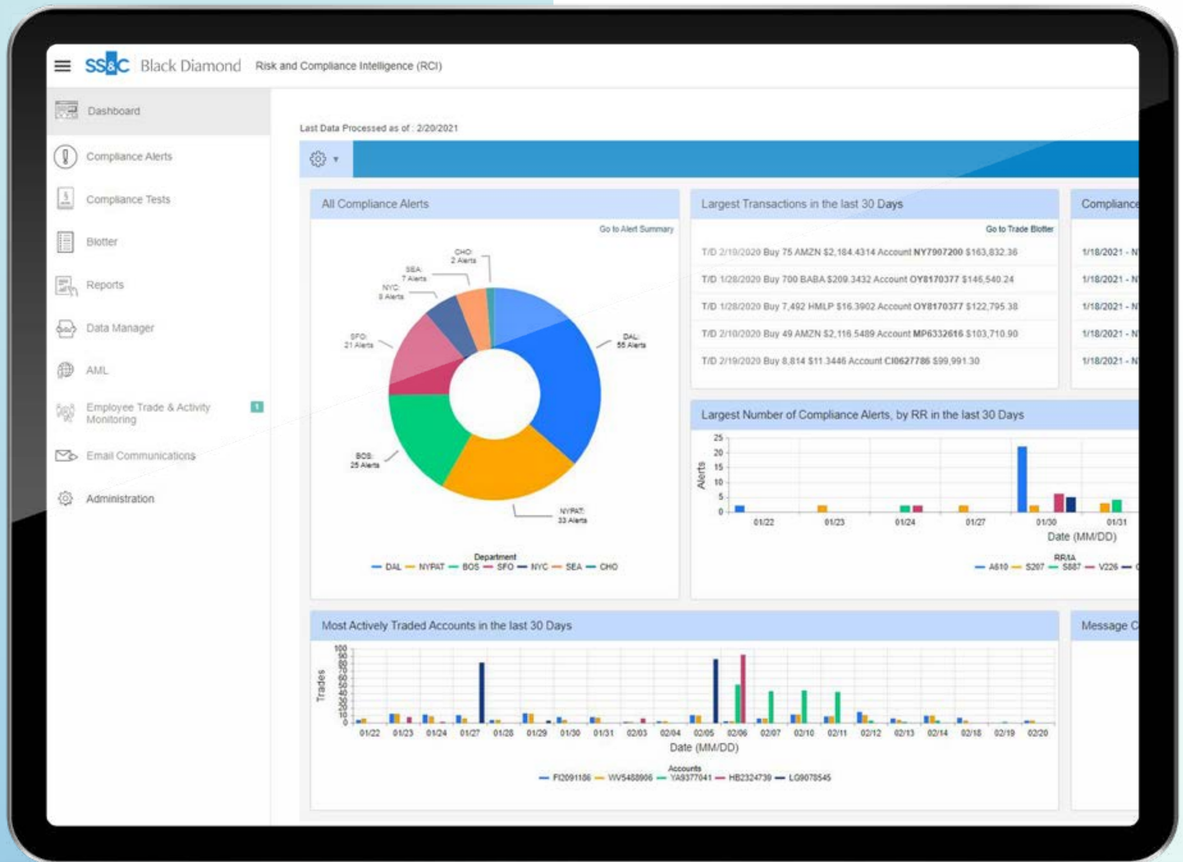
Trading & Rebalancing

Enable your advisors to monitor, rebalance, and execute trades at enterprise scale. Robust modeling, proactive alerts, straight-through trade processing, and tax-efficient capabilities keep complex portfolios aligned with client goals.



Business Intelligence & Research

Monitor your business's health, uncover trends, and gain deeper visibility into advisor performance and client relationships. With granular permission controls, compliance-ready formats, automated reporting, and more, you get a 360-degree view of your firm, making oversight more efficient and actionable. In addition, access unparalleled data and analytics from Morningstar's Direct Advisory Suite to confidently deliver personalized advice and drive investor success.



Compliance

Gain consistent, customizable, and configurable surveillance of advisors, client accounts, and transactions every day. Your compliance team enjoys immediate access to blotters and customized compliance tests as Black Diamond automatically captures all daily data—transactions, orders, account activity, and holdings—through secure transmission.

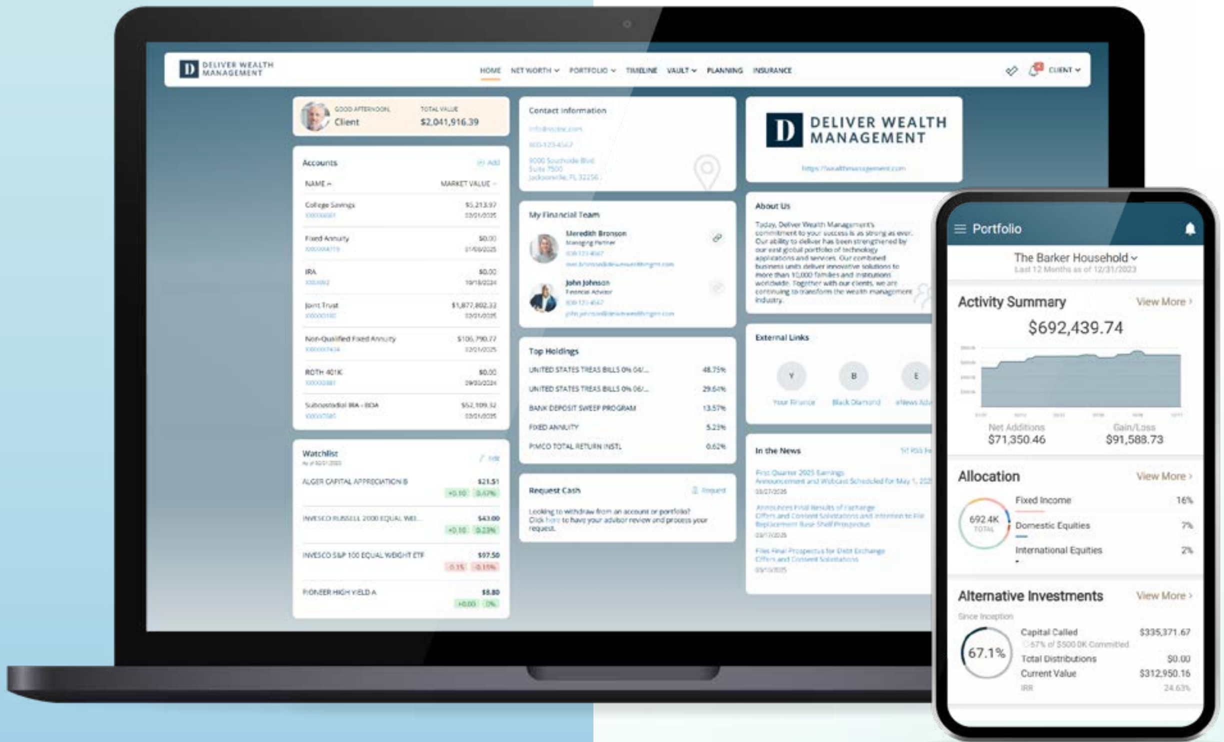
The modular design means you choose only the features your firm needs for a clean, focused experience. Each module is designed to address specific regulatory requirements, delivering comprehensive oversight without unnecessary complexity.

- Digital Message Surveillance
- Employee Trade & Activity Monitoring
- Advisor or Registered Representative Supervisory
- Senior & Vulnerable Investor Surveillance
- Investment Suitability
- Anti-Money Laundering & Transaction Monitoring
- Market Manipulation Surveillance

Portfolio Management & Reporting

Provide your advisors with a powerful command center that transforms how they manage client relationships. Dynamic, configurable metric cards provide instant insights into portfolios and opportunities, helping advisors be more proactive and strategic.

When it's time to showcase results, polished, professional reports can be generated using intuitive drag-and-drop tools or firm-branded templates – which can be seamlessly delivered through their client's portal.



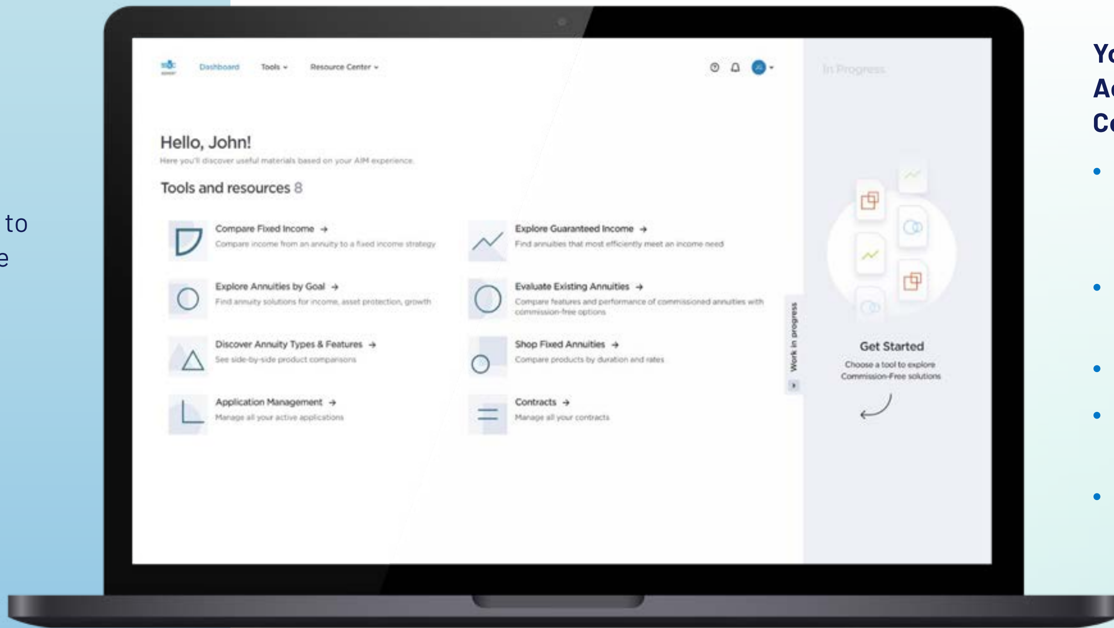
Client Experience & Communications

Provide your advisor network a competitive edge through white-labeled client portals. Advisors can track communications, showcase dynamic portfolio metrics, share documents securely, display aggregated outside accounts, generate balance sheets, and more. This delivers an elevated client experiences across your entire enterprise.

Annuities & Insurance Marketplace (AIM)

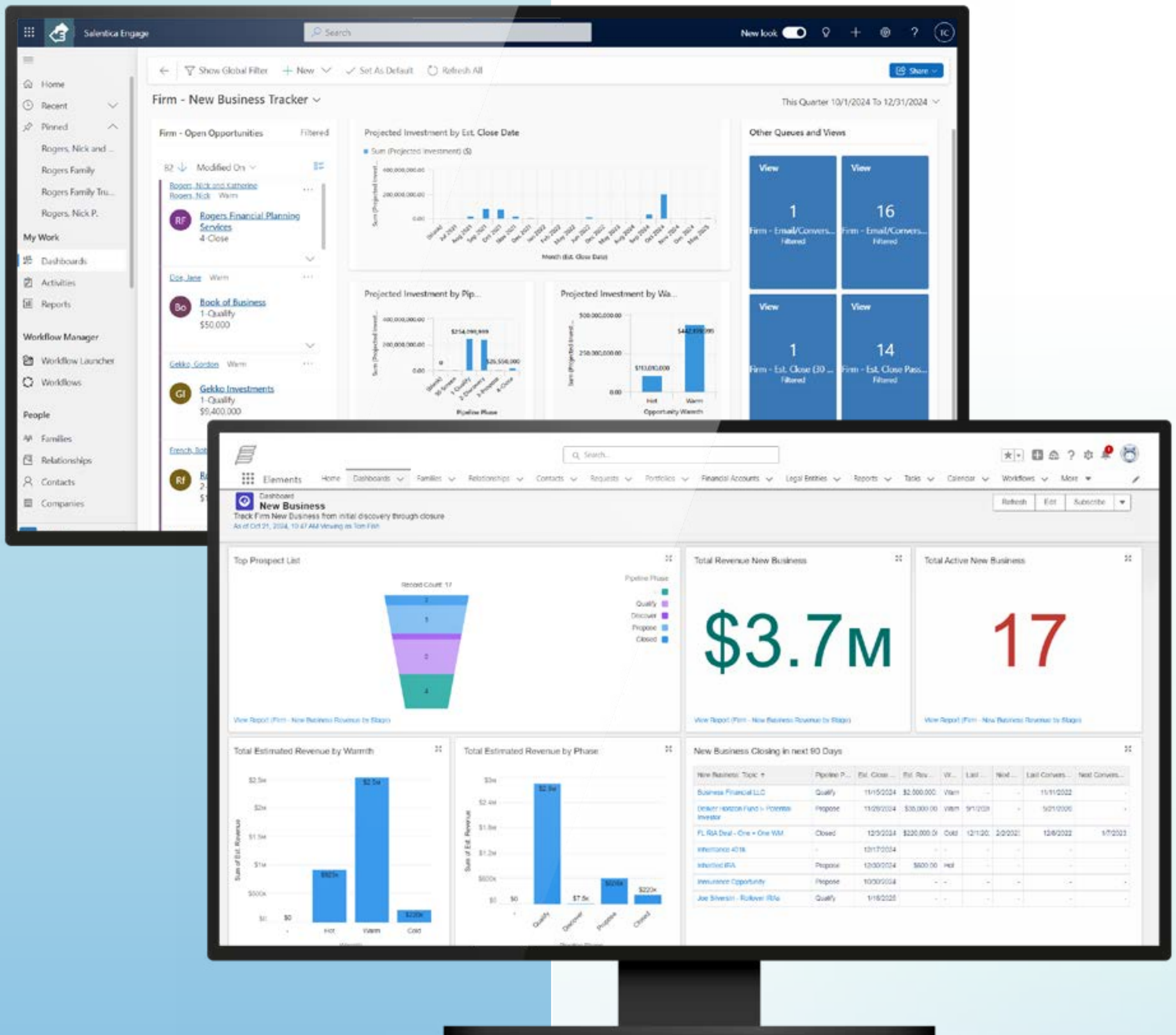
High commissions, complex products, and limited technology have traditionally prevented advisors from incorporating insurance into financial plans. Black Diamond eliminates these barriers, enabling your firm to offer commission-free, value-driven products that deliver better client outcomes at lower cost.

Offered in partnership with DPL Financial Partners, AIM provides your advisor network with direct access to fiduciary-friendly insurance and annuities.



Your Advisors Gain Immediate Access to AIM at No Additional Cost, Empowering Them to:

- 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



Client Relationship Management (CRM)

Employ a CRM solution designed specifically for the needs of wealth management. With a Black Diamond CRM, you gain powerful features out of the box with the flexibility to configure for your firm's unique needs. These capabilities help your entire advisor network track efficiency, automate outreach, and deliver superior client service.

Benefits Include:

- Seamless integration with portfolio management and reporting
- Automated workflows that save time
- Real-time client insights and AUM tracking
- Compliance tools that simplify record-keeping
- And much more

Platform Partners

SMArtX Advisory Solutions

Future Capital®

RightCapital

MORNINGSTAR®

dpl financial partners

Integrations

Today's top advisors won't compromise on their technology. They expect their entire tech stack to work together. Black Diamond delivers this connected experience while giving you the oversight and consistency your broker-dealer requires.

80+ Pre-Built Integrations Across Categories Like:

- Financial Planning
- Portfolio Analytics
- CRM Systems
- Managed Accounts
- Document Management

Integration Benefits That Matter:

- Single sign-on removes speedbumps between platforms
- Connected workflows eliminate double entry
- Embedded content keeps advisors on one platform
- Automated data synchronization ensures accuracy

Plus, our robust API opens endless possibilities. From automating unique workflows to building white-labeled tools that set your firm apart.

Integrations (continued)

Direct feeds from major custodians plus more than 1,000 direct data feeds power Black Diamond daily. Custodial-specific integrations include:

- Cost basis synchronization
- Straight-through trade processing
- Synced statement and tax document imports
- Digital account opening

This comprehensive connectivity establishes Black Diamond as a reliable data hub for your technology ecosystem, delivering consistent and accurate information to every connected platform.

A Selection of ACD Interfaces Includes:

Deutsche Bank | HSBC | State Street | UBS | Goldman Sachs Custody Solutions | BNY | TIAA | Merrill A Bank of America Company | Credit Suisse | JPMorgan Chase & Co. | Charles Schwab | LPL Financial | Raymond James | Fidelity

SS&C | Black Diamond WEALTH SOLUTIONS

We ensure maximum platform adoption through an industry-unique service model designed specifically for IBDs. After onboarding, you'll experience a smooth transition into long-term support, with continuity and expert guidance every step of the way.

Expert Guidance from Day One to Every Day After

Sign with Black Diamond

You

White-Glove Implementation

Independent Broker-Dealer Implementation Process

Your Implementation Consultant

- Single point of contact throughout onboarding
- Financial services expert who understands IBD needs
- Coordinates specialized resources across all platform areas

Implementation Specialist

Specialized Resources

Reporting Consulting
Configures compliant, customized reports

Data Conversion
Execute seamless migration with zero disruption

Platform Training
Facilitates rapid adoption through tailored education

Rebalancer Setup
Optimizes workflows for your unique business

Ongoing Partnership

Pre-Go Live Introduction to Service Team

Your Dedicated Service Team

- Deep understanding of your specific business needs
- Provides proactive platform optimization recommendations
- Connects you with specialized resources as needed

Go-Live and On-Going Unlimited Support

Specialized Resources

Reports
Creates and modifies firm specific reports

Data Reconciliation
Resolves discrepancies and ensures accuracy

Ongoing Training
Provides continuous education for new features and staff

Product Questions
Delivers expert guidance whenever you need it

WMIndustry Awards

2025: All-In-One Platform

WealthTechAmericas AWARDS

2025: Best Client/Consolidated Reporting

2024: Best Client/Consolidated Reporting

2023: Best Data Management & Analysis

FamilyWealthReport AWARDS

2025: Consolidated Reporting

2024: Portfolio Management

2023: Compliance

Aite MATRIX

2023: Best-in-Class RIA Portfolio Management and Reporting Systems

The Cornerstone of a Successful Business

These statistics help tell our story — the firms that trust us, the assets we help manage, the connections we maintain, and the team dedicated to your ongoing success.

3,000+
firms using Black Diamond

$3.6T+
in assets under management

1,000+
direct data sources

400+
service team members

8,000+
compliance related user roles

$15B+
invested in research & development by SS&C since 2012

Data as of July 2025

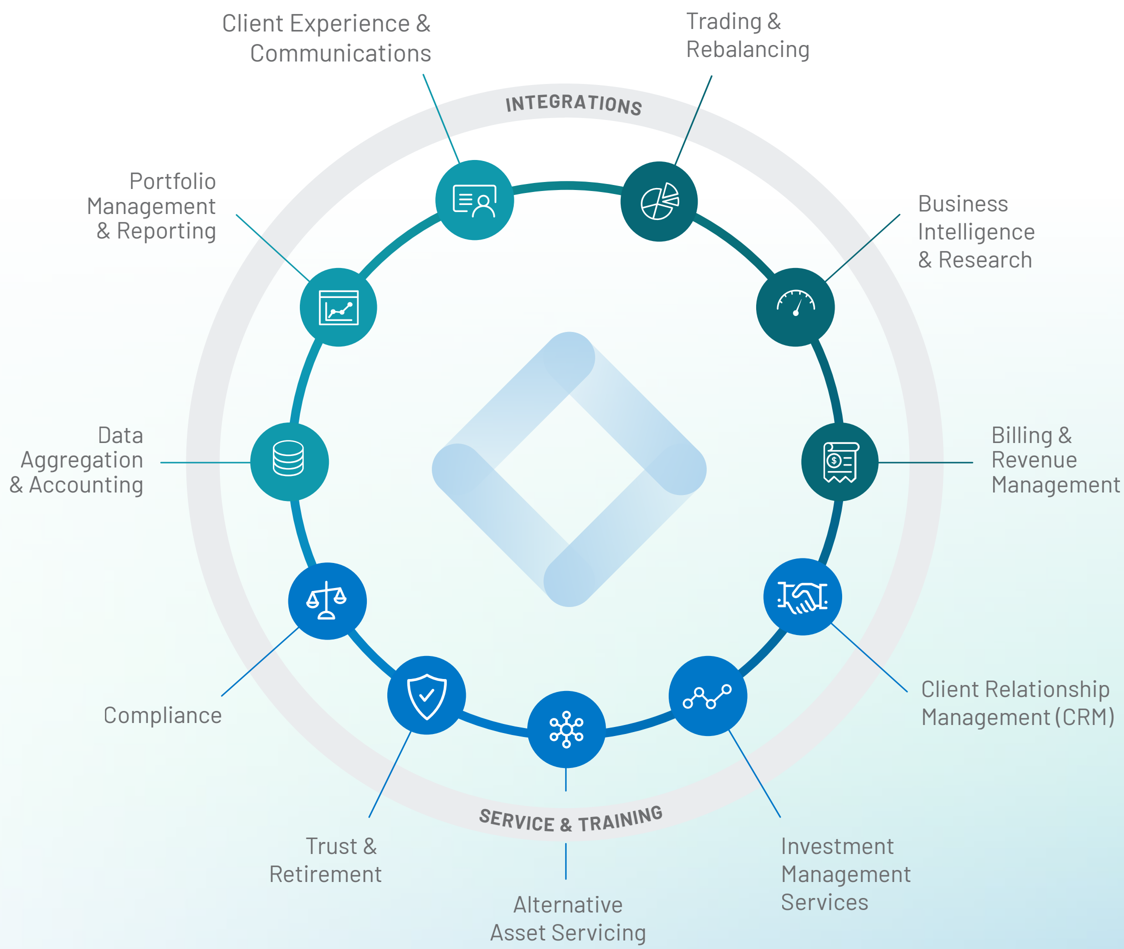
Black Diamond
WEALTH SOLUTIONS

A COMPLETE, SINGLE-SOURCE SOLUTION

Critical Functionality to Support Your Unique Needs

- Comprehensive Portfolio Management
- Asset Level Data Aggregation & Accounting
- Alternative Data Feeds
- Extensive Compliance Oversight
- Next-Generation Trading & Rebalancing
- Customizable Reporting
- Intuitive Dashboards
- Immersive Client Portal
- Turnkey Investment Management
- Interactive CRM Capabilities
- And Much More

Where Every Corner of Your Firm Connects



For More Information

To learn how SS&C Black Diamond® Wealth Solutions can support your business, request your personalized demo, call 1-800-727-0605, or email info@sscblackdiamond.com.

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