

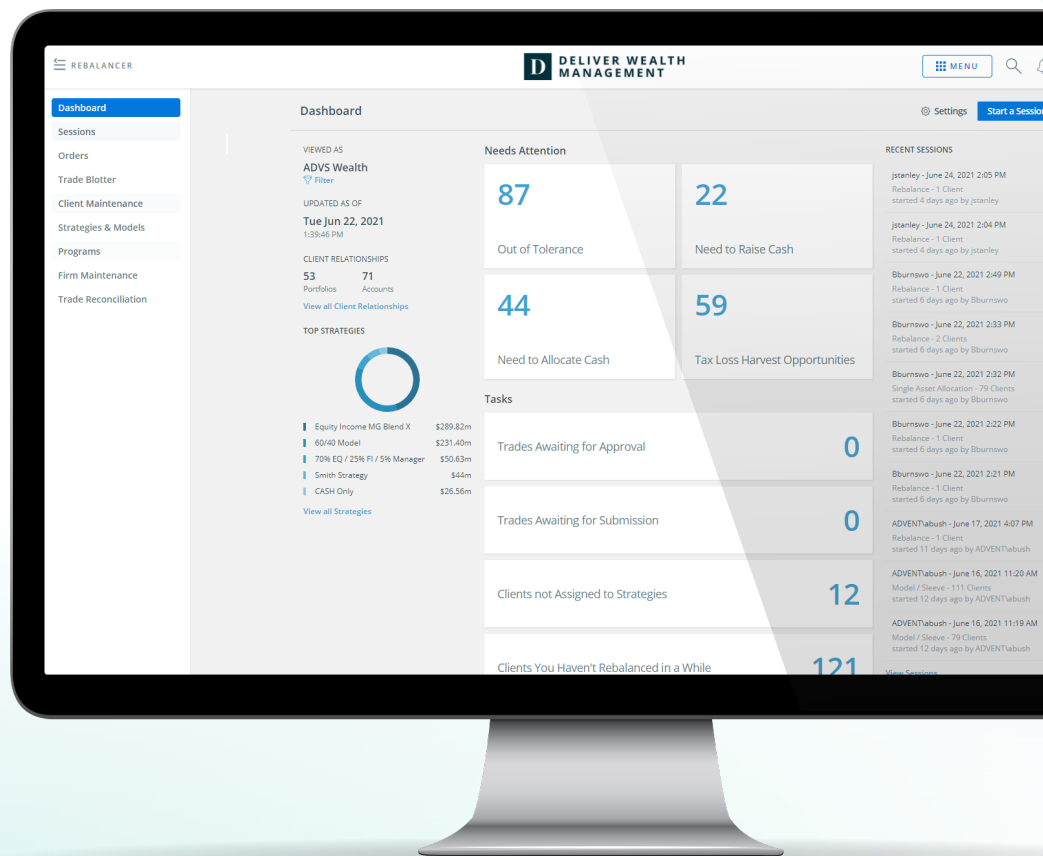
PRODUCT BRIEF

Rebalancing, Trading, and Investment Management

Monitor, rebalance, and execute trades—at scale.

As client needs and investment opportunities grow more complex, the need to have rebalancing software that is flexible enough to support even the most sophisticated structures and strategies is an absolute necessity. The SS&C Black Diamond Wealth Solutions Rebalancer goes beyond the standard with top-of-the-line functionality, such as *Proposal Generation* and the *Model Marketplace*.

These advanced investment management tools are central to the award-winning suite of complimentary resources available to advisors using Black Diamond's Rebalancer. *Proposal Generation* and *Model Marketplace* provide wealth managers with a comprehensive solution tailored to their needs, enabling them to refine their value proposition and differentiate themselves in a competitive market. These capabilities streamline processes and provide modern, time-saving features to enhance both the client experience and investment outcomes.



An intuitive and proactive dashboard alerts you to items that need your attention.

Enhanced Modeling

Build and manage models easily with tools that help you establish target allocations and optimize strategies.

N-Tier Model of Models

Efficiently manage and organize your models so you can use them as building blocks when creating client investment strategies.

Inclusion of Outside Managers

Leverage separate account managers for clients. You are able to set a target allocation for specific managers and have the system propose withdrawals or deposits from that manager when needed.

Security Equivalents

Track similar assets to ensure that the rebalancing engine doesn't unnecessarily sell out of one asset just to buy a nearly identical equivalent.

Asset Location (4) Export		
Segment Name	Account Tax Status	Funding Order
Municipal Bonds <i>Most Tax Efficient</i>	Taxable, Tax-Deferred, Non-Taxable	
International Bonds	Taxable, Tax-Deferred, Non-Taxable	
Corporate Bonds	Taxable, Tax-Deferred, Non-Taxable	
Default	Taxable, Tax-Deferred, Non-Taxable	
High Yield	Non-Taxable, Taxable, Tax-Deferred	
Govt/Inflation	Non-Taxable, Tax-Deferred, Taxable	
Real Estate <i>Least Tax Efficient</i>	Non-Taxable, Tax-Deferred, Taxable	

Rank the tax efficiency of segments that live within your respective classification schema. Rebalancer will use these rankings to prioritize buys based on account tax status.

Streamline Model Assignments

The *Model Marketplace* provides complimentary access for users to browse and subscribe to Black Diamond Investment Management and actively managed *Models* or *Strategies*. When subscribed to one, you can assign and trade against the allocation within Rebalancer.

Tax-Efficient Rebalancing

Manage your clients' tax liability and ensure you are in the best position to minimize unnecessary gains while efficiently managing losses.

Asset Location

Ensure you are taking advantage of tax-deferred or tax-exempt accounts by prioritizing purchases of less tax-efficient securities into these accounts.

Include	Account #	Account Name	Asset	Symbol	Action	Quantity	Price	Value	Sell Type	ST RGL \$	LT RGL \$	Custodian	Tax Status
<input checked="" type="checkbox"/>	14144995	Charles Family Trust	VANGUARD DIVIDEND GROWTH FJ...	VDIGX	Sell All	1481.89	33.16	49139.5	Shares	0	25,114.96	Schwab PC	Taxable
<input checked="" type="checkbox"/>	14144995	Charles Family Trust	CULLEN HIGH DIVID EQUITY FD CLI	CHDWX	Sell All	3194.65	15.32	48942.16	Shares	0	5,811.30	Schwab PC	Taxable
<input checked="" type="checkbox"/>	14144995	Charles Family Trust	VIRTUS INVESTMENT PARTNERS IN...	SAMBX	Buy	2321.9	8.17	18970	--	0	0	Schwab PC	Taxable
<input checked="" type="checkbox"/>	14144995	Charles Family Trust	FORD MTR CO DEL COM	F	Buy	1872	10.13	18963.36	--	0	0	Schwab PC	Taxable

Share a rebalancing session with another firm user for review and approval.

Tax-Loss Harvesting

Set threshold alerts so you can choose to liquidate into cash or invest proceeds into a designated equivalent security.

Tax-Specific Rules

Control potential tax consequences, such as wash sales, long-term and short-term capital gains limits, and more.

Proactive Monitoring

Be alerted to areas for review, such as new cash, tax loss harvesting opportunities, and more.

Cash Requirements

Identify new cash inflow, daily cash availability, and needs.

Portfolio Drift

Automatically identify portfolios that have deviated from the model.

Tax-Loss Harvesting

Know when smart selling opportunities arise.

Client-Centric

Remain aligned with client expectations—at scale. Rebalancer automatically analyzes portfolios collectively while taking into account individual preferences.

Straight-Through Trade Processing

Track the progress of trade orders throughout their lifecycle via the Financial Information eXchange (FIX) network.

Rebalancer - Raise Cash (9 of 12)				
<input type="checkbox"/>	Account No.	Account Name	Cash Deficiency	Status
<input type="checkbox"/>	15708120	John Trust Fixed Income	2,000	Submitted
<input type="checkbox"/>	69289834	Mark & Debra Joint	3,500	Submitted
<input type="checkbox"/>	49658379	Alex Broll Individual	2,750	Submitted
<input checked="" type="checkbox"/>	49658379	John Candy Individual	3,500	—
<input checked="" type="checkbox"/>	49658379	Steve Champion Individual	8,050	—
<input checked="" type="checkbox"/>	525633657	Adam Davis Individual	7,025	—
<input checked="" type="checkbox"/>	53365488	Erikson, Julia 401K	11,0250	—
<input checked="" type="checkbox"/>	10033652	Erikson, Bruce 401K	5,400	—
<input checked="" type="checkbox"/>	16548985	George, Alan Roth IRA	4,650	—
<input checked="" type="checkbox"/>	346548115	Erris, Kevin Roth IRA	6,750	—
<input checked="" type="checkbox"/>	196548985	Frederick, James 401K	6,450	—
<input checked="" type="checkbox"/>	31654115	Erris, Cathy Individual Trust	9,250	—

Cancel Submit

From within the *Billing* application, initiate a raise cash *Rebalancer* job when the aggregate of fees to be debited from an account exceeds the amount of cash available.

Range of Trading Options

Leverage a number of methods, such as block trading, mutual fund execution, and a range of order types.

Secure Approval Workflows and Notifications

Ensure that only properly permissioned users can execute trades. The flexible controls allow restriction management down to the firm user level to avoid undesirable trading activity.

Pending Activity Responsiveness

Receive warnings when Rebalancer detects potential duplicate trade activity. The smart functionality makes adjustments to account for trading activity that has not yet been received via the daily reconciliation process.

Sessions Overview

Search and view all the trades for a given session holistically. Within the experience, you can also choose to add a trade as well as make any edits to quantity, price, or value for existing trades.

Compliance Oversight

Evaluate trades created within *Rebalancer* against custodial transactions received through Black Diamond's daily data reconciliation.

Native Integration

Raise the bar with game-changing capabilities only possible because Rebalancer is an inherent component of Black Diamond—not a standalone application.

Cross-Application Workflows

Raise cash through the Billing application for accounts flagged with insufficient funds in Rebalancer. Additionally, you can grant clients the ability to request cash from within their *Client Experience Portal*, which triggers a notification for your review.

Generate Customizable Proposals

Proposal Generation's intuitive data collection and proposal creation processes allow advisors to focus more on client interactions and strategic planning. This enhanced process helps minimize the risk of errors that often occur during manual data entry compilation.

Client Communication

Quickly send a note on any trading activity to your clients' portals. This way clients gain full transparency and reassurance that their advisor is actively managing their portfolio.

Data Validity

Because Black Diamond performs your daily custodial reconciliation, you gain access to clean and timely data for unmatched efficiency and accuracy.

Ease of Use

Designed with the same userfriendly thoughtfulness of Black Diamond, Rebalancer's interface is familiar and straightforward. The dashboard, for example, provides detailed reporting on drift, raise cash allocations, and account-level information with the ability to add notes and use enhanced filtering options.

For more information

By combining Black Diamond's next-generation Rebalancer with Black Diamond Investment Management Services, advisors gain access to an advanced turnkey asset management program (TAMP) that helps them reclaim valuable time and enhance their client experience.

We invite you to learn more about our Proposal General and Model Marketplace capabilities. To learn more or speak with a member of our team, please get in touch with us today.

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