ORION
ADVISOR TECH

Operationalize Your Vision

Welcome

Thank you for your interest in Orion Advisor Technology.

Here at Orion, we love what we do. And we've made it our mission to help advisors like you love what you do, too.

You see, we think helping you operationalize your vision requires more than simply deploying smart and scalable advisor technology and client experience for your firm -- which we do better than anyone out there. It also requires supporting you fully through a culture that prioritizes customization, tirelessly pursues innovation and, above all, ensures you have the resources you need to master efficiency and scale, saving you time and rewarding your efforts with flexibility and freedom.

Within the pages of this Due Diligence Kit, we'll provide you with an overview of some of our capabilities to do just that. But of course, this is only the beginning. We look forward to working with you to deliver a unique platform that supports your specific objectives.

Let's get to work.

Sincerely,

Eric Clarke
CEO, Orion Advisor Solutions

ORION
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An Inspired Purpose

At Orion, nothing drives us more than winning.

WE BELIEVE...

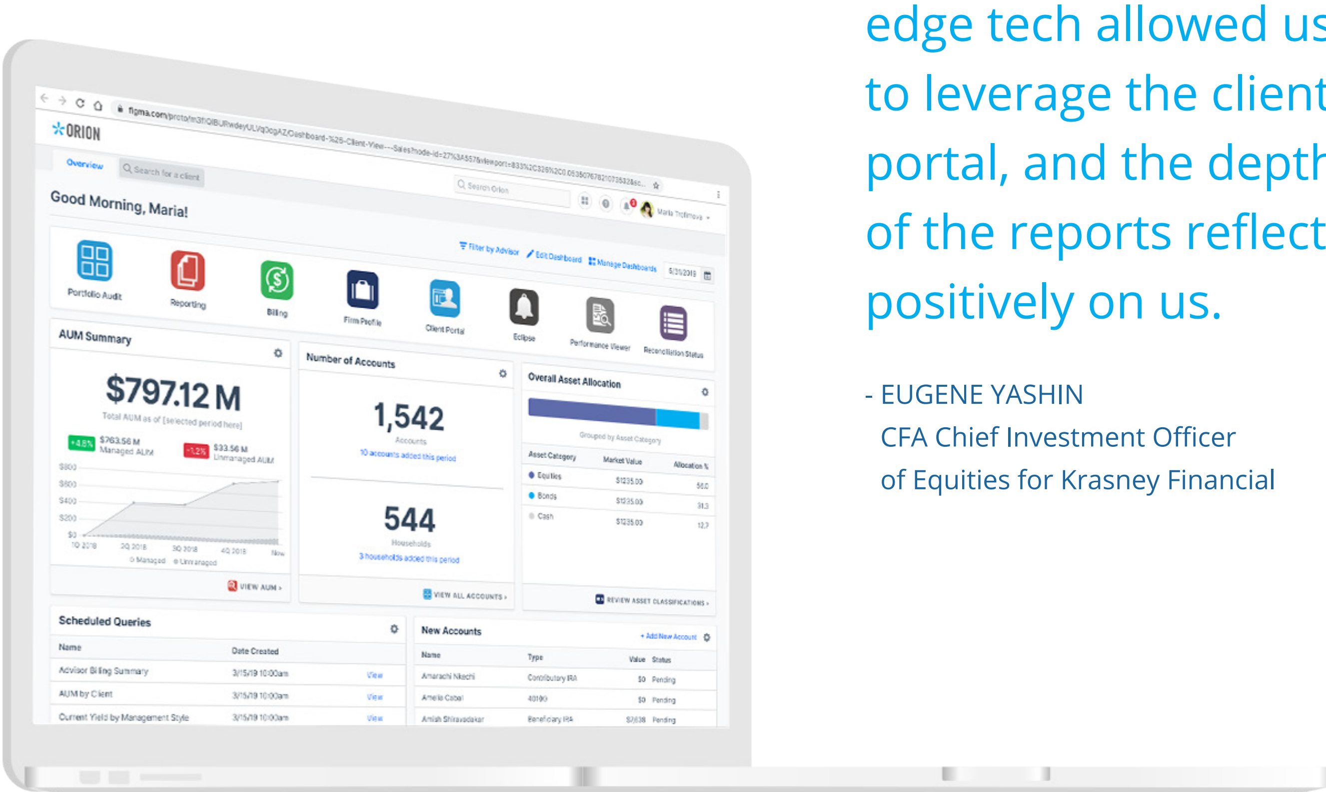
Advisors win through technology and experiences that empower them with the tools they need to turn their visions into actionable goals.

WE KNOW...

Investors win when they're supported by advisors who disrupt the status quo and meet challenges with bold innovations.

WE PROMISE...

To remain at the center for both, with a commitment to excellence that drives the industry's most forward-thinking capabilities and services, designed to enhance our core portfolio management technology platform and help our clients achieve their goals.



> Orion's cutting-edge tech allowed us to leverage the client portal, and the depth of the reports reflects positively on us.
>
> - EUGENE YASHIN
> CFA Chief Investment Officer
> of Equities for Krasney Financial

A Proven Process

We embark on every new relationship with a four-step process that will establish the foundation for our future together. We start by discovering what's important to you and your firm and, through our collaborative implementation process, develop a blueprint for implementing your goals through every interaction you have with our team and our system:

1 Discovery

We want to learn more about you, understand how your team works, and show you how the solutions we've built can foster growth and additional success for your company.

2 Diagnostic

We'll provide an introduction to our platform, including trial logins and report mockups to help you visualize Orion within your firm.

3 Delivery

We'll visit your office, present you with a detailed proposal aligned to your goals, and introduce you to your dedicated project manager who will customize your settings and workflows based on your business model and best practices.

4 Data Conversion

Accurate and secure data is the lifeblood of your business, so we provide direct access to our expert team of data specialists to manage the conversion of your firm's unique historical transaction and performance data.

Translate Strategy Into Action

We've helped financial professionals operationalize their visions and achieve their growth goals for over 20 years.

In that time, we've learned that the most successful firms on our platform have a few needs in common. We've evolved our technology and service model to best accommodate each of them.

YOU NEED

Support to implement tech that accentuates your firm's value proposition and differentiates your client experience.

WE PROVIDE

Implemented ROI

A proven, goal-driven process that enables scale and helps your firm drive measurable improvements in your operating margins.

YOU NEED

integrations and proven best practices to drive efficiency across your firm.

WE PROVIDE

Consultative Customization

The flexibility to embrace your firm's unique needs, delivered with the guidance and expertise to ensure your success.

YOU NEED

Scale to support your continued growth and success, through innovative tech that enables you to maximize your growth opportunities.

WE PROVIDE Institutional Grade Innovation

Technology that gives you the power to set your own destiny in motion, backed by innovation that fuels the growth of some of the largest firms in the nation.

Enable Unforgettable Experiences

Orion offers a range of custom and turnkey reporting capabilities that help you set a new standard for accurate, comprehensive, and beautifully designed views of investment performance for both your clients and firm.

REPORTING

Report Builder

Produce customized and dynamic reports with a drag-and-drop interface, custom data elements, and dozens of subreports—including integrations and alternative investments—sure to impress any client.

Composite Reporting

Monitor performance of firm-level investment vehicles to better evaluate portfolios and identify areas for improvement.

Alternative Investments Platform

Personalize almost every aspect of your Orion reports. From branding to data fields displayed, the Report Builder helps you create a completely unique performance reporting experience.

Required Minimum Distribution Solutions

Simplify the time-consuming nature of monitoring RMDs and help clients satisfy their required withdrawals.

Quarter-End Dashboard

Ensure your quarter-end tasks are being reviewed and completed with a comprehensive dashboard that audits responsibilities from billing to reporting.

Get Paid Faster

Our end-to-end advisory fee billing system helps you calculate, collect, and post your advisory fees in less time—so you get paid in no time.

BILLING

Flexible Fee Calculations & Schedules

Calculate and charge fees however your firm does business with our robust billing engine designed to accommodate various billing needs.

Efficient Fee Collection & Distribution

Collect your revenues quickly, and then pay your stakeholders efficiently—all without the use of error-prone spreadsheets.

Advanced Revenue Forecasting Tools

Gain a more accurate projection of expected revenue for your next billing cycle—and leverage easy-to-use tools to help you get there.

62%

of Orion advisors finish their billing in the first 5 business days of the quarter.

Engage With Clients In More Ways

Client experience spans much more than a client portal, so our full suite of client-facing solutions will help you redefine excellence in client engagement.

CLIENT EXPERIENCE

Client Presentation Dashboard

Deliver customized and interactive performance presentations—in real-time during meetings—on the data that matters most to clients.

Multi-Purpose Client Portal

Give your clients a fully branded, one-stop-shop for all of their financial needs—empowering greater transparency across their investments.

Event-Based Notifications

Communicate with clients how they want, where they want, when they want—with automated text and emails triggered by critical events.

Email, Video and Text Communications

Create and deliver custom communications that provide a personalized touch to each client, with less time and effort.

Next-Generation Client Experience

Connect investors' short-term and long-term goals with personalized investment strategies that transcend advice alpha and client success as we currently know them.

Our firm has been extremely satisfied with the service we have received from Orion. In addition, the use and flexibility of the custom Report Builder has been very beneficial to our day-to-day business. With it, we are able to create different reports as needed for each client in a very timely manner.

- WHITLEY PENN FINANCIAL, Fort Worth, Texas

Efficiently Trade & Customize Portfolios

Orion's fully integrated trading suite—including a tax-intelligent reblancer, custom SMA optimizer, and robust model marketplace—empowers firms to personalize client portfolios while scaling back-office processes.

TRADING

Streamlined, Tax-Intelligent Rebalancer

Eclipse trading allows you to improve portfolio outcomes, enhance back-office operations, and win prospects—no compromises necessary.

Custom SMA Optimizer

ASTRO is your integrated SMA optimizer, empowering you to construct portfolios customized for client-specific risk, tax, and investor preferences—and then shipped to Eclipse trading to easy execution.

Robust Model Marketplace

Communities is a next-generation model marketplace that marries convenient access to leading strategist models with the flexibility to make more intelligent, personalized investment decisions for each client.

50%

average increase Orion advisors have seen in efficiency in completing quarter end activities.

Grow Strategically

Our business intelligence tools help you easily gather and synthesize insights about your firm, so you can make more informed business solutions.

BUSINESS INTELLIGENCE

Advisory Fee Benchmark

Validate your value and ensure your fees are competitive by comparing them against industry benchmarks.

Aggregated Business-Line Insights

Immerse yourself in the details of your billing patterns, AUM numbers, and revenue targets in a single view to identify new or more opportunities.

Detailed Performance-Based Metrics

Be aware of exactly what's happening across your firm so you can measure—and maintain—progress toward your goals.

Stay on the Right Side of Compliance

Powered by your Orion data, our comprehensive compliance suite provides firm-wide oversight and enables you to face regulatory obligations head-on today and as you grow.

COMPLIANCE

Regulatory Audit Preparation

Have the confidence to know you're ready to respond to a regulatory audit or conduct you own mock audit to prepare in advance.

Proactive Protection & Oversight

Prepare and protect your firm for important and ever-changing compliance regulations with advanced data aggregation, reporting, and screening capabilities.

Employee Trade Monitoring

Satisfy your firm's Code of Ethics obligations—or identify potential violations before someone else does—by seamlessly comparing employee trade activity against firm-wide trades.

Secure Data & Your Peace of Mind

Because you're only as strong as your data, Orion's data service capabilities provide accurate, clean, and timely data to fuel your operations and give you the confidence to scale your business.

DATA SERVICES

On-Time Reconciliation

Orion reconciles your accounts daily and domestically, six days a week to ensure your data is ready when you are.

Maximum Data Security

We're SSAE-18 SOC 1 Type II audited and ISO 27001 certified—that's geek speak for the highest standards in data security.

Streamlined Account Maintenance

Our New Accounts Center centralizes all new accounts within a single location so you can set up, view, and drill into new client data in seconds.

Put Plans into Action

With financial planning powered by Advizr, you can connect your clients' financial goals with investment performance data to create actionable plans that make aspirations a reality.

FINANCIAL PLANNING

Efficiency-Driven Workflows

You can't deliver an actionable plan without the necessary inputs, so our workflows offer a simple interface that result in high completion rates.

Actionable Data & Recommendations

Leverage client data to run meaningful simulations, address hypothetical scenarios, and create actionable steps to ensure financial well-being for today—and for the future.

Advanced Client Reports

Our reports section—available to clients as well—provides different outputs to help you dig deeper into your clients' financial health and future goals.

Personalized Experiences & Outputs

In order to maximize client success, financial planning requires collaboration and transparency across financial health, documents, and recommendations.

> It's allowing us to spend more time giving back to the clients because we don't have to mess with all the little stuff. It's given us a whole new level of freedom, and it's kind of shocking how much time it frees.

- BIJAN GOLKAR, CFP
FPC Investment Advisory

Best-In-Class FinTech Integrations

You need a technology stack that enables your firm's unique value proposition.

With hundreds of deep integrations and a flexible open API framework, you can create the tech stack that works best in your business. Browse the list or filter by category to learn how just some of our partners integrate with our platform.

- AdvicePay
- AdvicePeriod
- AppCrown
- asset+map
- ATA RiskStation
- BizEquity
- BNY Mellon | Pershing
- Charles Schwab
- eMoney
- everplans
- Fi360
- Fidelity Investments
- finmason
- Genivity
- Hidden Levers
- Junxure
- kwanti
- MarketCounsel
- MoneyGuide
- Quantum
- Quovo
- Redtail
- riskalyze
- salesforce
- SS&C Salentica
- TD Ameritrade
- Tolerisk

This list includes only partners that have granted us consent to market and is not indicative of our complete integration offering.

Standing By You Every Step of the Way

No two firms run their business the same way. That's why our implementation and support models provide a customized experience to help operationalize your unique vision.

SERVICE AND SUPPORT

Our commitment to your success spans beyond implementation with ongoing support to help you maximize your investment in our tech.

IN PERSON

Chat, Phone, Email, and Co-browsing
Get support and answers with real-time access to our team, however is most convenient for you.

Orion Launch Events
Meet our team of specialists at our headquarters in Omaha to learn how to jumpstart your successful adoption of our technology.

Strategic Consultants
Take a deeper dive with a dedicated Orion expert, responsible for working collaboratively to implement best practices and custom workflows, unique to the way you run your business.

SME Teams
Receive direct access to teams Subject Matter Expert (SME), specializing in Reporting, Billing, Trading, Cost Basis, Performance, Compliance, and more.

IN APP

Orion Support
Access the most up-to-date support articles and webinars, see your open service requests, initiate conversations with the Orion team, and more.

AssistMe
View on-screen tutorials that show you how to navigate the system and accomplish tasks more quickly.

Ascent Online Training Platform
Train yourself on Orion's robust tools—at your own pace—with videos and PDF guides.

Live Weekly Webinar
Register for webinars—hosted by our expert Subject Matter Expert (SME) teams—offering best practices, tech tips, and insights into upcoming product innovations.

SWOT: A SPECIALTY SERVICES DIVISION

If you're falling short on time or could benefit from the help of extra resources, our Special Works Ops Team (SWOT) is available to help supercharge your back-office productivity and maximize the effect of your technology investment.

Ongoing Support

We offer the support you need, when you need it–for less cost and effort. Check out available services:

ACCOUNT & HOUSEHOLD SETUPS

- New Account creation
- Exclusion table review
- Householding and download source setup
- Portfolio groups setup

QUARTER END ASSISTANCE

- ACR audits and reviews
- Account cancellations
- QE Dashboard audit reviews and assistance

BILLING & REPORTING

- Quarterly mock and live bill creation, run in arrears with average daily balance
- Quarterly report batching

ALTERNATIVE INVESTMENT PLATFORM (AIP) SOWS

- Account creation and management
- Account reconciliation and troubleshooting
- Statement entry
- Transaction and activity history review
- Product and valuation setup

MASTER CLIENT LIST (MCL) & ONBOARDING ASSISTANCE

- MCL setup and import
- Data pulls from other platforms

A La Carte Support

You've customized your technology suite to best fit your firm's needs, now enjoy the benefits of additional back-office support, as the need arises with flexible, on-demand SWOT services.

MANUAL SOWS

- Statement entry
- Transaction history maintenance
- Account linking for performance
- History reconciliation

Ascent Conference

Our annual user event takes you beyond platform training by offering opportunities to attend hands-on break out sessions, learn from the industry's best and brightest advisors, and connect with our integration partners.

INCREASE UNDERSTANDING ➲ REACH YOUR GOALS

Targeted Learning

Choose to specialize in a given content area like trading, performance, or billing, or create your own custom learning track—Ascent is designed with every user's experience in mind.

Engaging Keynotes

Because we want to inspire you to think about growth and work differently, Ascent takes you beyond platform training with innovative and motivational speakers.

Memorable Locations and Experiences

Get out of the typical conference routine. Expect to go somewhere exciting, warm, and full of events that make it easy and fun to connect with other top advisors.

ORION ENTERPRISE

Orion Enterprise

A full-service advisor technology and asset management platform that meets your needs and expectations.

No matter your goals, we have the insight to understand your objectives, anticipate your needs, and customize your technology experience to help you see the results you desire. Benefit from:

Scale

Increase margins and simplify operations

Oversight

Future-proof compliance and supervision obligations, and streamline complex due-diligence and oversight

Advisory Growth

Create a superior experience for your new and existing advisors

Support

Develop an ongoing partnership and gain access to extensive—and timely—post-sale consultation and support

Revenue

Build a foundation upon which fee-based business can grow and revenues can increase organically and through acquisition

ORION
ADVISOR TECH

empower@orion.com

866.908.4146

orionadvisortech.com

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