RPM and RPA Trading on Unified Wealth Platform From Fiserv

A single advisor-facing platform that supports both full-discretion and nondiscretionary managed account programs

Addressing Your Business Priorities

- Unify the user experience
- Support advisor efficiency
- Integrate the middle office
- Enable intelligent decisions
- Provide comprehensive coverage
- Scale trading efficiencies

Rep-Driven Solutions

Enable advisors to manage their rep as portfolio manager (RPM) and rep as advisor (RPA) books of business with greater efficiency and accuracy.

Proven

Scalable

Flexible

Secure

Technology Solutions for Wealth Management

Drive growth and efficiency to stay in step with the way people live and work today.

fiserv.

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Key Benefits

Unifies the User Experience
Displays the same screens for trading, portfolio management tools and models. Advisors follow different workflows based on account types

Supports Advisor Efficiency
Provides advisors with trading and rebalancing tools in streamlined workflows

Integrates the Middle Office
Accesses all firm-approved investment strategies for the selection of the most suitable products for clients

Enables Intelligent Decisions
Provides configurable dashboards with book of business reporting, monitoring and model management with single-click access to account details, trading functions and targeted workflows

Provides Comprehensive Coverage
Supports options, annuities and alternatives at the sleeve level

Scales Trading Efficiencies
Facilitates block trading for RPM programs

Features of the Platform

- **Account Maintenance:** View account details, including all restrictions that impact the accounts at the following levels: global (firm-wide), semiglobal (program-wide) and account. Advisors are able to edit and maintain account-level restrictions
- **Alerts:** Priority account alerts display on the advisor's dashboard, enabling targeted workflows and minimal clicks
- **Compliance:** View a list of accounts that violate compliance restrictions, along with specific violations within each account. Receive drift violation data from the system via messaging or batch file for upload into your compliance monitoring system
- **Customization:** Customize the user interface for each advisor or group of advisors based on user permissions (show/hide specific options, tools, alerts, account fields or screens) and set dashboard-alert parameters. Tailor the user experience and branding with firm logos and colors, while displaying client data in a graphic-enriched format
- **Exceptions:** The advisor's dashboard displays trading restrictions affecting specific trades along with reasons trades were adjusted or excluded
- **Home Office:** Create and assign models to specific groups of users or to all users
- **Models:** Advisors assign models to each account. Advisor access can be configured with or without the ability to rebalance to a model that was not assigned to an account. Fiserv supports dynamic, share-based models for advisors and home office. Corporate action processing also occurs in models
- **Multisleeve:** Advisors create multisleeve master models (model of models) where both home office models and advisor models can be given allocations and assigned to accounts. Advisors may rebalance an entire account to the full master model allocation or to just one of the individual sleeves
- **Options:** Options trading tools enable the advisor to write calls and buy puts for individual accounts and across the board. The Fiserv security master and trading connectivity support options symbols as well as the necessary account permissions for trading options based on the account data from the custodial system
- **Trading and Rebalancing:** Trade multiple or individual positions through a comprehensive set of order-generation tools. Facilitate block trading for RPM program growth of any magnitude
- **UMA Platform:** Advisors maintain their own RPM sleeve models similar to the way an SMA manager would maintain their own models. These RPM sleeve models would be given an allocation within a master model in the same way an SMA sleeve could be traded by the home office

Connect With Us

For more information about Unified Wealth Platform, call 800-872-7882, email getsolutions@fiserv.com or visit us at www.fiserv.com.

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