UMA Trading on Unified Wealth Platform From Fiserv

A flexible UMA structure facilitates a seamless transition from single to multisleeve programs as a means of delivering all managed accounts, enabling advisors to take a comprehensive approach to their clients' portfolios.

Addressing Your Business Priorities with Flexible Overlay Management Tools

- Unify the user experience
- Support advisor efficiency
- Integrate the middle office
- Scale trading efficiencies
- Reduce total cost of ownership

A single account structure for all managed account types provides operational efficiency and simplification throughout the investor life cycle and a better experience for the investor and advisor.

Engage with an **industry pioneer** in **UMA** trading technology.

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.

UMA Trading on Unified Wealth Platform

Key Benefits

Unifies the User Experience:
Provides a unified and consistent user experience for trading, portfolio management tools and models

Integrates the Middle Office:
Accesses all firm-approved investment strategies for the selection of the most suitable products for clients and leverages centralized trading

Supports Advisor Efficiency:
Move clients to new programs without changing platforms along the way by working with a forerunner in UMA trading technology

Scales Trading Efficiencies:
Dashboard automation tools scale trading of large volumes of accounts across sleeves

Reduces Total Cost of Ownership:
Trading across multiple managed account programs enabled by the unique sleeve-level account structure increases operational efficiencies and reduces costs

Features of the Platform

- **Account Maintenance:** Access all relevant account data and decision support tools with a single click, streamlining portfolio management
- **Alerts:** Manage exceptions in the trading workflow with minimal clicks from account alerts displayed on the user's dashboard
- **Compliance:** View all restrictions that impact accounts: global (firm-wide), semiglobal (program-wide) and at the account level. Observe 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 user or group of users 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
- **Home Office:** Create models and assign them to specific group of users or to all users. Enables home-office oversight across the entire book of business (all enterprise accounts) along with additional home-office permissions or controls for model access and program rules
- **Model Hub:** Select models from over 300 money managers
- **Models:** Model management is tightly integrated with Fiserv portfolio management and trading tools, supporting the third-party management of investment models, and facilitating communication of model information from managers to sponsors and model data reporting to program participants
- **Multisleeve:** Single UMA account structure supports SMA, MFA, ETF, RPM and RPA strategies alongside individual securities on the same platform, with sleeve level portfolio accounting regardless of the number of sleeves
- **Overlay Management:** Supports models-only, hybrid and passive overlay
- **Rebalancing:** Rebalance automatically based on drift or anniversary dates. Sub managers have access to sleeve-level rebalancing tools
- **Rep-Directed Sleeves:** Supports rep in UMA, RPM/RPA and rep as overlay manager
- **Reporting:** Run reports based on true sleeve level performance, all built on an industry-leading sleeve-level portfolio accounting system
- **Tax Sensitivity:** Apply rules-based tax filters to trading tools, including automated tax lot swapping among sleeves, short-term gain deferral and gain/loss harvesting
- **Trading Tools:** Trade total accounts and individual sleeve levels simultaneously along with: model and nonmodel, multiple accounts with multiple models and single sleeve and multisleeve UMAs

Connect With Us

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

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