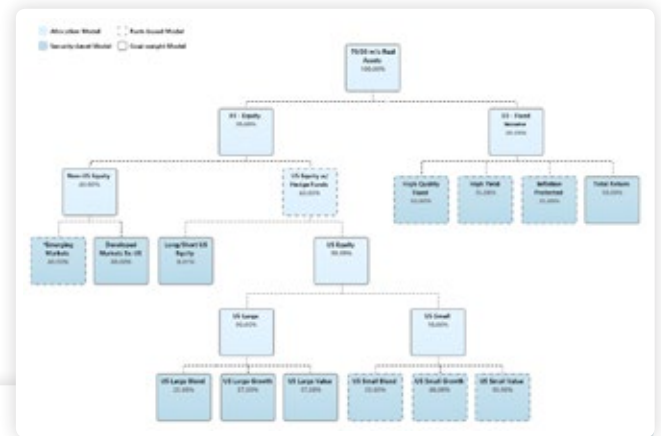


# ADVISOR REBALANCING®

## THE INDUSTRY'S LEADING PREMIUM TRADING APPLICATION

Efficient portfolio management begins with disciplined and flexible portfolio construction. Whether you're using a passive or active management strategy, Advisor Rebalancing dramatically abbreviates the trading process while adhering to your investment strategies, custom account settings, restrictions, and tax sensitivity.

Advisor Rebalancing delivers much more than portfolio rebalancing. Automate your model portfolio construction and management, monitor your accounts for trading triggers, make tactical trades, execute your trades directly with your broker, and reconcile trades from the previous day with the click of a button.



Advisor Rebalancing®  
Presented by Cantor

Dashboard Rebalance & Trade Reports Accounts Models Securities Upload Setup

Allocation Models

Filter By: All Model Sets

Select an Allocation Model: 70/30 w/o Real Assets

Model	Target / (Sub-model)	Min %	Max %	Rank	User Rank	Can Assign
70/30 w/o Real Assets	100.00 / 100.00	-	-	-	-	Yes
01 - Equity	70.00 / 70.00	0.00	100.00	0	No	Yes
Non-US Equity	40.00 / 28.00	32.00	48.00	0	No	Yes
Emerging Markets	40.00 / 11.20	0.00	100.00	0	Yes	Yes
Developed Markets Ex US	90.00 / 16.80	0.00	100.00	0	No	Yes
US Equity w/ Hedge Funds	60.00 / 42.00	48.00	72.00	0	Yes	Yes
Long/Short US Equity	0.01 / 0.00	0.00	100.00	0	No	Yes
US Equity	90.99 / 42.00	0.00	100.00	0	No	Yes
US Large	90.00 / 37.00	0.00	100.00	0	No	Yes
US Large Growth	25.00 / 9.45	0.00	100.00	0	No	Yes
US Large Value	57.50 / 21.75	0.00	100.00	0	No	Yes
US Small	17.50 / 6.61	0.00	100.00	0	No	Yes
US Small Growth	16.00 / 4.20	0.00	100.00	0	No	Yes
US Small Value	30.00 / 1.36	0.00	100.00	0	Yes	Yes
US Small Growth	60.00 / 2.52	0.00	100.00	0	Yes	Yes
US Small Value	30.00 / 0.42	0.00	100.00	0	Yes	Yes

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**My Information**

TOTAL ACCOUNTS	TOTAL REBALANCING GROUPS	TOTAL ADVISOR REBALANCING ALM
14,560	2,602	\$3,090,856,306

**Upload Errors and Warnings**

Account Information: 0  
Account Holdings: 1

**Account Reports**

Top Assigned Models

Model	Value	Accounts
Fixed Income 60% / Equity 40%	\$582,336,443	1,867
Fixed Income 40% / Equity 60%	\$461,466,748	1,334
Fixed Income 50% / Equity 50%	\$287,799,868	1,316
Fixed Income 60% / Equity 40%	\$261,909,297	2,320
Aggressive	\$246,835,380	469
Moderate Aggressive	\$133,771,543	1,366
Moderate Conservative	\$120,206,002	2,094
Conservative	\$123,477,111	434
Balanced	\$20,841,845	243

**Reconciliation Information**

**Upcoming & Expiring Cash Reserves**

Cash Reserve Category	Upcoming	Expiring
Fees	0	6
Margin Cash Reserve	6	0
Monthly	0	1
Tuition	6	0
Vacation	5	16

**Top 10 Unassigned Securities**

Symbol	Accounts	Initial Value	Post Rebalance Value
NUAN	2	\$5,210,750	\$5,210,750
LAZ	1	\$2,618,924	\$2,618,924
SHOFX	5	\$1,719,450	\$1,719,450
BLX	5	\$1,200,745	\$1,200,745
COF	2	\$1,169,937	\$1,169,937
SWPPX	30	\$1,089,924	\$1,089,924
OTCFK	2	\$1,060,255	\$1,060,255
DSPX	2	\$966,112	\$966,112
WITX	27	\$941,824	\$941,824

## SOME TOP FEATURES OF ADVISOR REBALANCING INCLUDE:



**MODEL PORTFOLIO CONSTRUCTION** - Extensive modeling capabilities enable efficient management across thousands of investors with different goals, risk tolerances, and investment objectives.



**DAILY PORTFOLIO MONITORING** - Instantly look across all accounts and households for any custom criteria such as accounts that have drifted outside their target allocation, accounts that are holding too little cash, and accounts that are holding unrealized gains and losses.



**CASH MANAGEMENT** - Extensive cash management functionality and cash reserve tolerance bands make it easy to maintain proper cash reserves for each client's unique needs while adhering to the model, account restrictions, and tax sensitivity.



**DIRECTED TRADES** - Make tactical moves, focusing on individual securities, across one or many client accounts, outside the constraints of a model.



**TAX MANAGEMENT AND TAX LOSS HARVESTING** - Automate different loss harvesting strategies at the individual security level or across the entire account. Reinvestment of cash generated from harvesting activities is also automated so that the account can stay fully invested while taking the benefits of the tax loss harvesting opportunity.



**REBALANCING** - Rebalance thousands of accounts and households in minutes. Take advantage of an "always on" rebalancing method and rebalance accounts as they meet your requirements.



**REAL-TIME PRICING** - Calculate trades with real-time pricing for U.S. equities and ETFs listed on U.S. stock exchanges, including NASDAQ, NYSE, NYSE Alternext, and over-the-counter exchanges.



**TRADE RECONCILIATION** - Automate the review process of logged trades against executed trades from your custodian with the click of a button, fulfilling your SEC-mandated obligation.



**STRAIGHT-THROUGH PROCESSING** - Execute mutual fund, ETF, and equity trades directly from Advisor Rebalancing. Streamline your trading workflows by routing and tracking trades from creation through settlement.



**INTEGRATION AND ACCESSIBILITY** - Handle your client request with greater efficiency using the integrations within the Advisor Xi suite. Contextually link into Advisor Rebalancing from Advisor CRM at the account or household level to process cash requests, rebalance accounts, manage cash settings, view account settings, and more.

**PRACTICES WITH SOME LEVEL OF TECHNOLOGY INTEGRATION HAVE, ON AVERAGE, MORE THAN DOUBLE THE AMOUNT OF CLIENT ASSETS.\***

**\*AITE GROUP. (2013). RIA PRODUCTIVITY AND PROFITABILITY: INTEGRATION PAYS.**

