

**WE COULDN'T FIX THE
ALTERNATIVE INVESTMENT PROCESS**

SO WE

REINVENTED

IT.



AIX

Alternative Investment Exchange

AIX DELIVERS THE ONLY INDUSTRY-WIDE ENTERPRISE SOLUTION FOR ALTERNATIVE INVESTMENTS

Alternative Investment Exchange (AIX) is a leading enterprise platform that simplifies investing in alternatives – transforming the business model and empowering growth by connecting data across the financial services industry.

We designed AIX's technology platform to transform the alternative investment industry by enabling true straight-through processing, reducing compliance issues and other risks, and enhancing transparency. We saw an opportunity: If all parties from wealth managers and intermediaries, to asset managers and administrators were seamlessly connected, the alternative investment industry as a whole could grow faster as a result.

AIX WAS PURPOSE-BUILT TO SOLVE THESE INDUSTRY CHALLENGES:

- Compliance risks
- Lack of transparency and access
- Paper-intensive administration
- Inefficient manual processes
- Complex suitability rules
- Poor advisor experiences

OUR EXPERTISE

At AIX, we have extensive experience with registered products and the retail and mass affluent markets. We have first-hand knowledge of what is required to support the regulatory requirements and transaction volumes – at scale. Our proven command of legal, compliance, operational, and technology disciplines has been foundational in our approach to building infrastructure and creating solutions for our customers.

ESSENTIALLY, WE BUILT THE PLATFORM WE WISH WE HAD.

ONLY AIX...

...DELIVERS **AUTHENTIC** STRAIGHT-THROUGH-PROCESSING

Other solutions define straight processing as merely electronically generated and signed subscription documents (steps 1 + 2) — which still leaves a cumbersome, time-consuming and error-prone opaque process.

Only AIX addresses the entire lifecycle (steps 1 through 5), connecting each of the parties involved and seamlessly transmitting data through their respective systems.

The AIX Platform mitigates risk with pre-filled client data and dynamic forms that validate every input in real-time.

Imagine an advisor being able to complete the full set of wealth manager, custodian, and asset manager documents in just minutes, thanks to data integrations. With a click, the order is transmitted electronically to the home office supervision team for approval, then the custodian and finally the asset managers administrator for final processing.

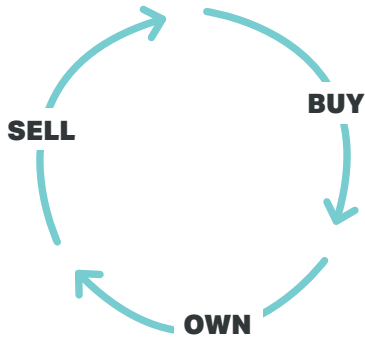
THIS POINT-AND-CLICK EXPERIENCE FOR ALTERNATIVE INVESTMENTS DIDN'T EXIST —

UNTIL AIX.

TRUE STRAIGHT-THROUGH-PROCESSING REQUIRES DATA-DRIVEN CONNECTIVITY THAT SPANS:



ONLY AIX...



...SUPPORTS THE FULL ALTERNATIVE INVESTMENT LIFECYCLE

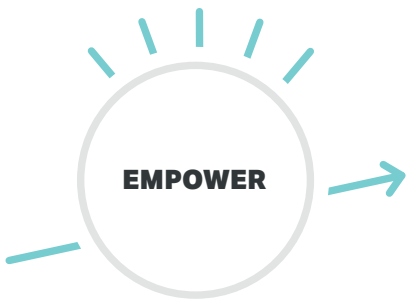
Core to AIX is our conviction that alternatives should be easy to buy, own, and sell. While other solutions attempt to solve for the account opening and subscription process, the inefficiency, risk, and overall poor experience that inhibit the growth of alternatives can only be overcome by addressing the full product lifecycle.

Achieving an end-to-end solution is only possible with a data-driven approach that spans account opening, purchases, maintenance, redemptions, and post-sale performance reporting.

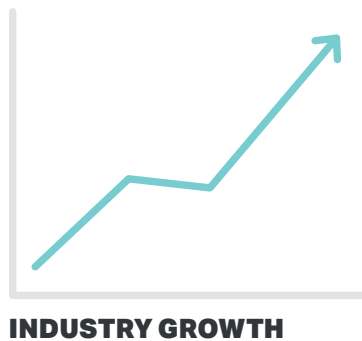
... EMPOWERS OUR CUSTOMERS RATHER THAN COMPETING WITH THEM

We focus on reducing friction in the alternative investment industry so we can enable our partners' growth — providing solutions that enhance your existing business relationships and strategies rather than creating a competing, open network marketplace. Product diligence and selection are core to wealth managers' value proposition, as are the advisor experience, compliance oversight, and the tools and technology they select for their advisors.

We understand that the only way to add real value is to seamlessly integrate into your business, not the other way around.



ONLY AIX...



... **REDUCES RISK AND ENHANCES COMPLIANCE** ACROSS THE FULL ALTERNATIVE INVESTMENT LIFECYCLE

At the outset, AIX automatically ensures advisors have completed necessary training through AI Insight before they are able to create an order, and incorporates each supervision form, policy and home office rule upfront into the advisor experience. AIX also creates an online record that is able to link each purchase to an investor's strategy, concentration limit and other rules that are tailored to satisfy each wealth manager's policies, complete with a timestamp record of the entire order lifecycle. And by providing account-level reporting and transparency that addresses client needs not satisfied through traditional tax statement and cost basis reporting, AIX not only reduces risk for the advisor and wealth manager, we ultimately empower advisors to have higher quality conversations with clients that address everyone's best interests.

... **ENABLES GROWTH FOR THE ENTIRE INDUSTRY**

Operating key performance indicators (KPI's) are important, but the real measure of success is industry-wide growth. By reducing friction and mitigating risk, more advisors will allocate greater portions of their clients' portfolios to alternative investments.

WHAT IF YOU COULD DRASTICALLY REDUCE NIGO RATES?

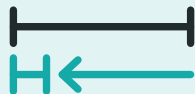
On average, the alternatives industry sees paperwork errors or NIGO ("Not In Good Order") rates as high as 50%. AIX can deliver NIGO rates under 10%, preventing 80% of NIGO issues before they are even submitted for review.



NIGO

WHAT IF YOU COULD DRAMATICALLY COMPRESS CYCLE TIME?

The industry average cycle time for its current paper-based processes is approximately 6 weeks from the time an advisor initiates an order to when clearing and settlement is complete. AIX's end-to-end data connectivity can take as little as 72 hours, reducing the time it takes to complete a transaction by 90%.



CYCLE TIME

INTEGRATION BENEFITS

At AIX we believe integrations are essential to true straight-through-processing, delivering enhanced advisor experiences, and mitigating risk across the alternative investment operation.

ADDED INTEGRATIONS

ADVISOR TRAINING

Create a seamless investing experience with a real-time validation of AI Insight training status at the time of purchase.

E-SIGNATURE

Deliver an intuitive and transparent experience for investors by leveraging DocuSign for orders that are eligible for e-signature.

DATA TRANSMISSION

Create instantaneous connectivity between parties by routing data dynamically between parties in the preferred format - SFTP, AIP, or DTCC's AIP protocol.

AIX IS PURPOSE-BUILT TO REDUCE FRICTION AND SOLVE PROBLEMS FOR ALL PARTIES ACROSS THE ALTERNATIVE INVESTMENT PROCESS.

FOR WEALTH MANAGERS

AIX offers Wealth Managers a centralized, consistent way of doing business in alternatives that elevates the advisor experience, reduces risk, and advances operations. Firms can provide advisors with a one-stop shop for accessing approved product offerings and initiating a turbo-tax like investing experience for alternatives.

This experience sits within a dedicated portal that can be white labeled to reflect the firm's brand and made accessible via Single Sign On (SSO) from any existing platform. The subscription process has never been so simple, thanks to data integration capabilities that pre-populate client account information and dynamic rules that validate inputs in real time. These benefits apply to more than just offering documents; AIX has integrated wealth manager, custodian, and asset manager forms so an advisor leaves having satisfied the full breadth of requirements.

This experience doesn't end with the advisor and a PDF document. AIX partners with home office teams to configure the proprietary workflows and supervision policies that are necessary to support the entire alternative investment operation. Once an investment has been approved by the firm, AIX automatically transmits the necessary data and corresponding documents to downstream intermediaries to effectuate true straight through processing.

KEY AUDIENCES

FOR ASSET MANAGERS

AIX offers an ease-of-business solution for alternative investment asset managers by creating an entirely digital investing experience.

By removing the friction tied to stacks of paperwork, manual data entry and reconciliation (and hours wasted on re-work), the historical objections of wealth manager partners are no longer valid. In addition to addressing inefficiency, AIX partners with wealth managers, custodians, and asset managers to de-risk the investing process by incorporating real-time validation of requirements such as AI Insight training status, concentration limits, and state suitability. Incorporating these checks and balances at the time an advisor completes the paperwork enables AIX to take clean data and transmit it electronically to downstream parties. This unique level of integration and connectivity enables drastically reduced cycle times — end to end processing can take as little as 72 hours.

FOR CUSTODIANS

AIX understands the critical role of intermediaries in the alternative investment lifecycle, and has designed a solution to support custodian forms, proprietary workflows, and data integration preferences.

When initiating a purchase in AIX, the custodian forms are incorporated from the very outset - providing the benefits of pre-population and real-time validation to prevent errors from occurring. Without these upfront checks and balances, not-in-good-order documents would otherwise be sent downstream, leading to hours of additional processing time. In addition to providing clean inputs to custodian partners, AIX's dynamic workflow routes order data and corresponding documents according to each firm's preferences. Whether it be SFTP, API, or AIP transmission protocol, AIX is prepared to meet each partner where they are today, and in the future.

KEY AUDIENCES

FOR TRANSFER AGENTS & FUND ADMINS

AIX works across the alternative investment ecosystem - connecting advisors, clients, wealth managers, and custodians - to streamline the investing experience and deliver "in good order" data to Transfer Agents and Fund Administrators for processing.

By providing clean data that can be fed directly into order entry systems, there is far less dependency and risk that would otherwise fall on manual processing teams. Simplifying the account opening and purchase process should not only create opportunities to reduce costs, but also spur growth by making it easier to do business in these products. AIX supports the data transmission preferences of each TA and Admin, whether it be SFTP, API, or AIP. In cases where there is the ability to write data directly into the processing systems, TAs and Fund Admins can offer drastically reduced cycle times to their respective customers - true straight through processing in as little as 72 hours.

TEN QUESTIONS

to ask when evaluating an alternative investments enterprise solution

- 1 DOES IT ELIMINATE AS MUCH HUMAN ERROR AS POSSIBLE?**
- 2 DOES IT MITIGATE RISK AND MAXIMIZE COMPLIANCE?**
- 3 DOES IT CREATE A TRULY INNOVATIVE DIGITAL SOLUTION, OR IS IT JUST A NEW SPIN ON A FLAWED PAPER PROCESS?**
- 4 DOES IT COMPLEMENT OUR EXISTING PROCESS?**
- 5 WILL IT MAKE OUR PROCESS MORE EFFICIENT?**
- 6 IS IT BUILT TO SOLVE SHORT-TERM NEEDS OR COULD IT EVOLVE WITH MY BUSINESS?**
- 7 DOES IT BENEFIT ALL STAKEHOLDERS THROUGHOUT THE PROCESS?**
- 8 WILL IT ENABLE GREATER BUSINESS GROWTH?**
- 9 DOES IT MAKE DOING BUSINESS EASIER AND MORE PROFITABLE?**
- 10 WILL IT MAKE ALTERNATIVES A MORE ATTRACTIVE INVESTMENT OPTION?**

→ AIX is the only firm that can answer yes to all of these questions.

GET IN TOUCH



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