Ascend Investor:

Start serving your clients more quickly

Build less. Launch faster. Scale smoothly.

Whether you're building a startup or expanding your existing business, Ascend Investor can help cut deployment time by 50%*. Leverage our flexible plug-and-play tools — such as white-label UIs, pre-built investor risk and goals assessments, automated portfolio mapping and rebalancing, and à la carte SDKs and APIs — to build the type of investment experience your firm wants to offer.

Ascend Investor provides the technology that supports Augmented Advice™, a part robo, part human advice business model, and other client use cases. With many built-in automations, algorithms, and workflow shortcuts, this comprehensive solution helps open more of your team's time to focus on activities that matter most to you.

APEX
Fintech Solutions™

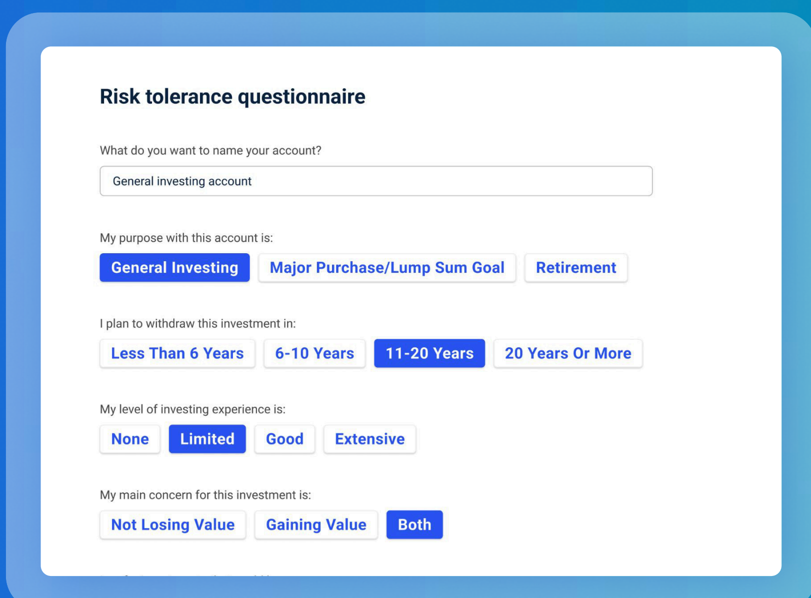
Ascend Investor can:

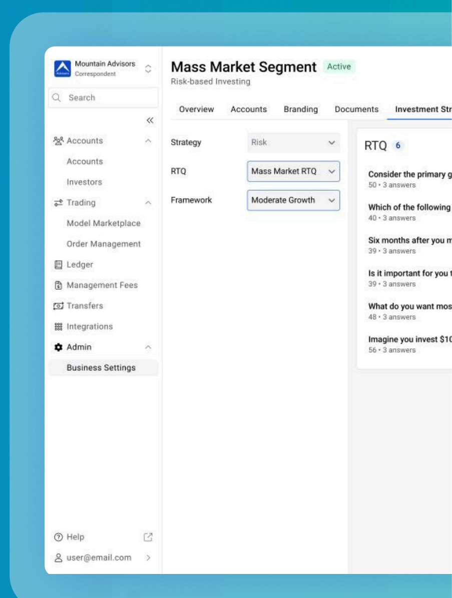
Enable a spectrum of business models and investment experiences from robo or self-directed to fully advisor-led — and everything in-between

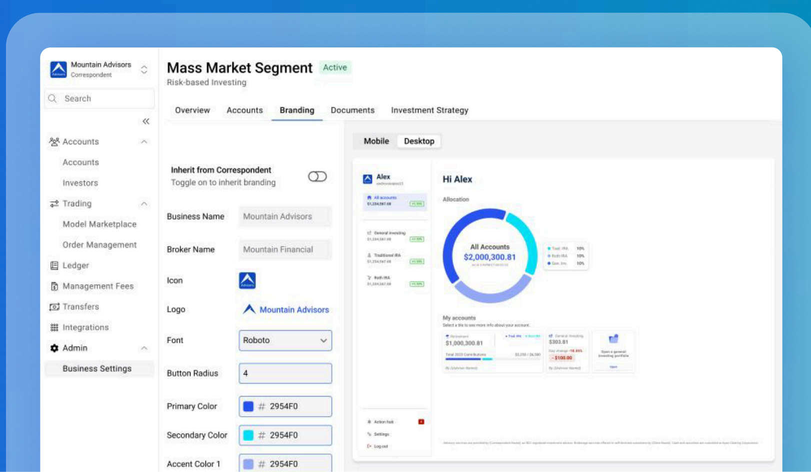
Save development time with configurable, white-label, investor-facing UIs for desktop, web, and mobile applications (or just the screens you need to add to your existing app)

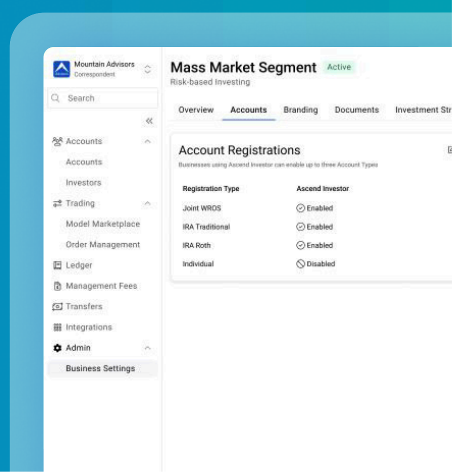
Algorithmically map investor preferences to our Model Marketplace and Rebalancer, letting you choose how much to automate

Support offering customized portfolios to investors at all stages of wealth accumulation









Key features

Built on the firm foundation of Apex AscendOS™

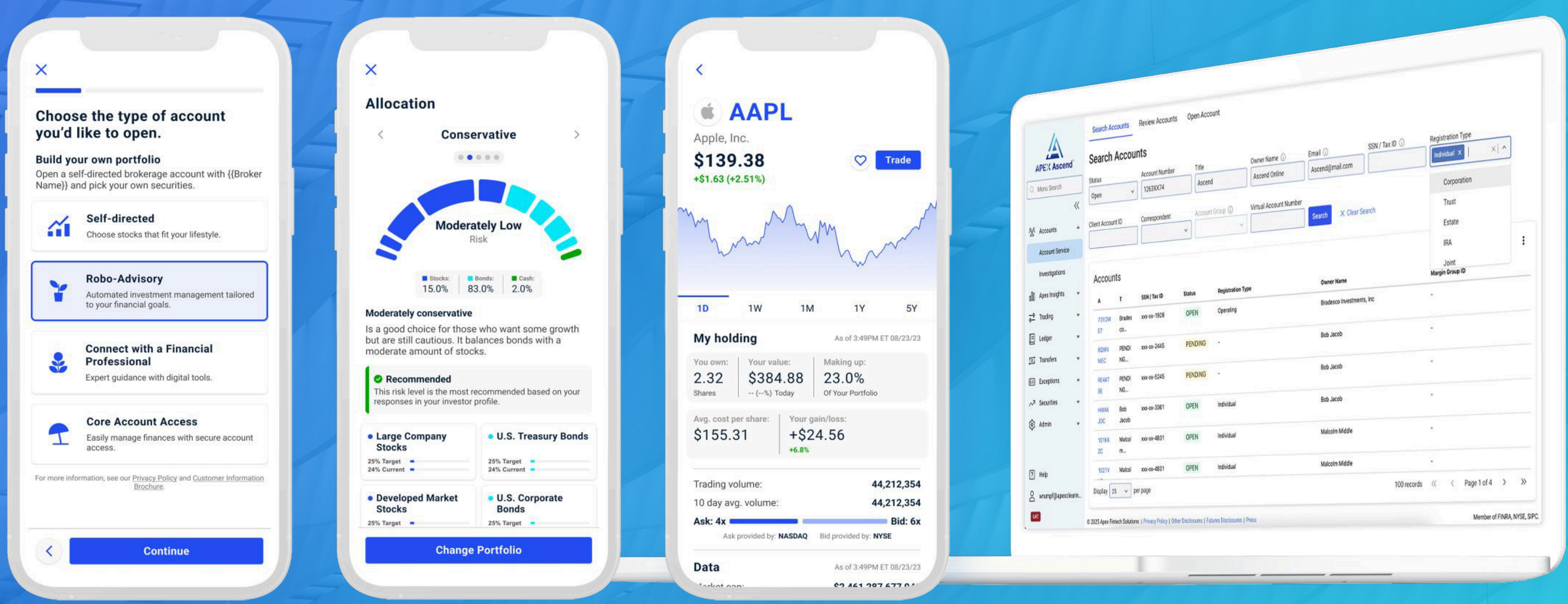
- Access to cloud data 24/7, supporting real-time account opening, trading, event messaging, and more
- Digital account opening in seconds**
- Supports 30+ account types, including individual, joint, retirement, individual margin, institutional, trust, entity, and more
- Provides access to equities, ETFs, fixed income, mutual funds, options, and alternatives — with many available as fractional or notional shares
- Includes the flexibility, reliability, scalability, and security provided by cloud infrastructure
- Built-in financial crimes detection tools to help mitigate risk

A modern developer experience

- Integration options include APIs, SDKs, or via white-label user interfaces (UIs)
- Pre-sales developer portal provides tools, documentation, and Ask Ascend†, our AI assistant designed to answer technical and operational onboarding questions

White-label, configurable UIs

- Customize all or your choice of desktop, web, and mobile app screens
- Pre-built UIs include portfolio overview, securities locate, securities watchlist, trading, activity history, and more



Key features

Spectrum of embedded investing business models

- Support self-directed trading, automated robo advising, Augmented Advice, or high-touch curated advising
- Use pre-built investor risk- and goal-based questionnaires that are algorithmically integrated with the Model Marketplace to simplify model selection by investors or advisors
- Establish different settings for each segment directly in Ascend Workstation

A la carte APIs and SDKs

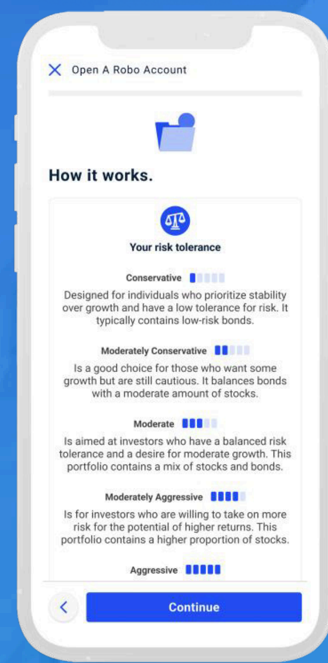
- Keep tighter control over your investing experience with custom services that allow you to integrate only the financial tools you need
- Skip unnecessary development hurdles with pre-configured APIs, such as our real-time ledger and trading systems
- Use native app SDKs, also known as Platform SDKs, which are focused on data delivery, enabling faster front-end development with curated data such as holdings, performance, and asset allocation
- Leverage UI SDKs to enable web-embeddable investor experiences and, if desired, a mobile app

Support for unregistered entities

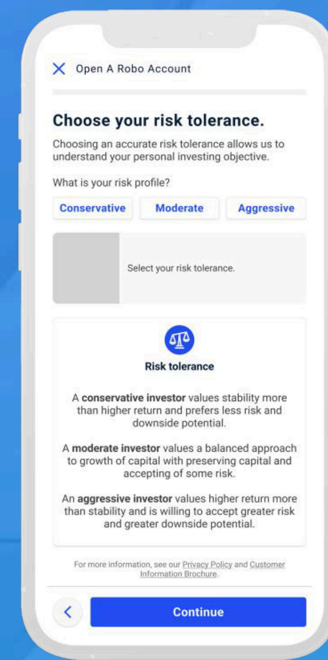
- Apex Direct allows Apex to act as your registered broker-dealer, so you can go live without applying for your own FINRA and SEC registration

Segment clients into advisor-led, full robo, self-directed, or hybrid strategies, as you wish

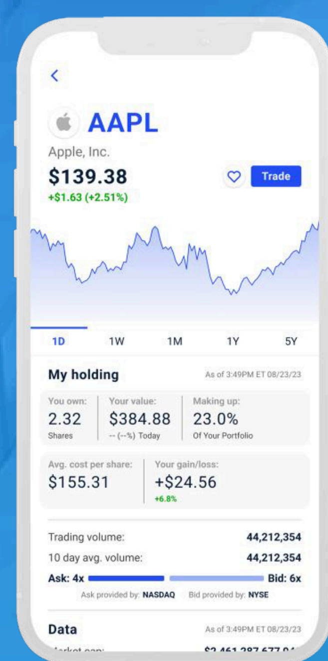
Customize value-add screens and infographics



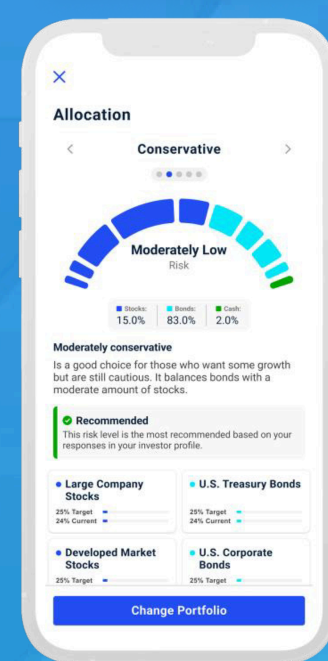
Dynamic risk tolerance questionnaire



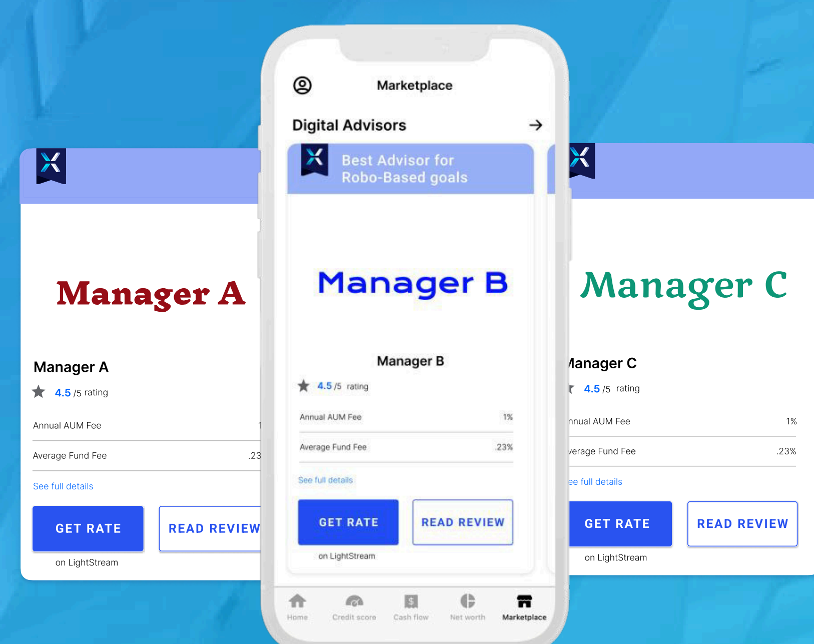
Support a spectrum of models, from full robo to self-directed



Automatic portfolio mapping and rebalancing



Model Marketplace saves time on building from scratch



Key benefits

Launch digital investing experiences up to 50% faster than building from scratch*

- Ascend Investor's pre-built investing tools and white-label solutions can cut development time in half. Instead of spending a year or two building a trading platform from scratch, you can go live in weeks or months, accelerating the opportunity for revenue.

Unlock potential revenue streams with flexible investing models

- Maybe you want to add a robo advising service to your high-touch offerings. Or add more advising tools to your existing fintech app that clients already love. Whatever your goal, Ascend Investor is agile enough to help support your growth strategy.

Access a comprehensive wealth tech stack with just one vendor

- Unlike competitors offering fragmented solutions, Ascend Investor delivers everything in one integrated platform: UIs, portfolio mapping, trading and rebalancing, clearing, custody, data analytics, financial crimes detection tools, and real-time infrastructure. This comprehensive solution eliminates the complexity and cost of managing multiple vendor relationships.

Use and offer real-time solutions

- Ascend Investor puts real-time data at your team's fingertips 24/7 (as opposed to delayed batch processing held in your custodian's database). You can also empower clients to self-service by sharing this up-to-the-moment data through pre-built UIs and a mobile app.

Make the most of your in-house technical capabilities

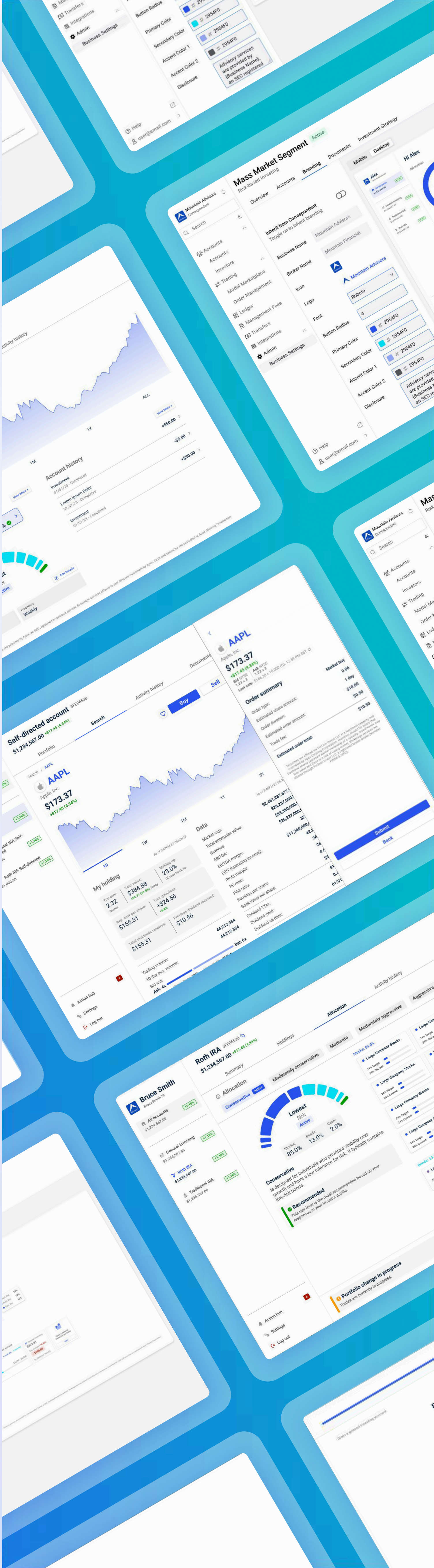
- Whether you're a fintech with a full dev team or a consumer brand with zero technical resources, Ascend Investor adapts to you. Choose from APIs and SDKs for more control with shorter integration times, or white-label solutions for immediate deployment.

Tap into an array of asset classes with fractional access

- Support equities, ETFs, mutual funds, fixed income, options, and alternatives — most with fractional and notional trading capabilities. Serve investors at every level and reduce the need for multiple custodial relationships to support a robust mix of securities.

Keep your brand identity front and center

- Our white-label solutions allow your business to add your logo, primary brand font, and color palette to the investor-facing user interfaces (UIs) and mobile app.



How fast do you want to deploy?

Request a meeting with an Apex rep to start planning your go-live date.

Request a Call

* Based on Apex client experience of a 12 to 24 month predicted timeline versus six-month actual timeline.
** Most securities accounts can be opened in seconds and funded moments later, enabling trading thereafter.
† Available in North America, South America, Africa, Asia, and Oceania (Australia and surrounding countries).

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Apex Fintech Solutions provides the tools and services that enable hundreds of clients to launch, scale, and support digital investing for tens of millions of end investors. The company provides essential infrastructure and a comprehensive ecosystem of cloud-based products to enable and streamline trading, wealth management, cost basis, tax reporting, and, through its subsidiary Apex Clearing™, custody and clearing. For more information, visit the Apex Fintech Solutions website: https://www.apexfintechsolutions.com.

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