

Sophisticated technology to support your highest-volume days (and nights)

Robust. Battle-tested. Proven at scale.

Apex Fintech Solutions delivers scalable and dependable technology and infrastructure around the clock, enabling the reliable processing, execution, and settlement of millions of trades daily across multiple asset classes. We provide comprehensive clearing, custody, order and execution management, and settlement services for domestic and international buy-side and sell-side firms.

Our Order Management System (OMS) delivers comprehensive account-level controls, including real-time buying power checks, order tracking, position checks, and detailed execution reporting. It automatically applies regulatory fee calculations and gives users the ability to dynamically configure commission, broker fees, and account-level fees such as advisory, exchange, management, platform, inactivity, etc. The OMS also provides continuous account monitoring, unified error handling across multiple outputs, and flexible support for special order instructions. And if you need help with a specific order, our trade desk is on hand to help.

The Apex Execution Management System (EMS) offers a diverse set of execution routes, including Apex's Managed Route, Direct Market Access (DMA), Smart Order Routing, algorithmic strategies, routes to overnight trading venues, all focused on best execution*. The EMS also supports fractional shares and notional dollar trading in equities across multiple order types.

The OMS and EMS can be deployed together as an integrated solution for a seamless, end-to-end workflow, or implemented independently alongside your tools and processes.

In addition to order management and execution, we support regulatory reporting for best execution (best ex), the Consolidated Audit Trail (CAT), and the Trade Reporting and Compliance Engine (TRACE). Our best ex program features regular audits, thorough reviews, and flexible routing adjustments in an effort to achieve your targeted metrics. Our liquidity management team works with you to analyze results and recommend improvements. Furthermore, all trades executed on our platform are automatically reported to CAT and TRACE.

\$200+

Assets under custody*

22M+

Brokerage accounts*

663M+

Total trades in 2024*

* Apex proprietary data as of 8/30/25.

Key Apex advantages

- ▷ Access a range of asset classes across public, secondary, and private markets
- ▷ Integrate through REST APIs and the Financial Information eXchange (FIX) protocol
- ▷ Offer whole, fractional, and notional equity orders
- ▷ Access pre-market, regular, after-hours, and overnight trading sessions
- ▷ Use our integrated OMS and EMS to simplify operations and reduce infrastructure overhead
- ▷ Lean into Apex's liquidity network and several major U.S. market centers for cost-efficient execution and price discovery
- ▷ Align with specific client objectives by using our configurable routing options
- ▷ Count on our continuous best ex monitoring and review process
- ▷ Get real-time, 24x5 support from our fully integrated trading operations team to assist correspondents with any questions or system issues
- ▷ Execute high-touch trades with the help of our readily available, dedicated, licensed trade desk

Asset, order types, and Time-in-Force (TIF) supported

Assets

- ▷ U.S. equities
- ▷ Mutual funds
- ▷ ETFs
- ▷ Options
- ▷ Futures
- ▷ Fixed income
- ▷ Alternative assets
- ▷ ADRs

Order types and time-in-force supported

Whole share	Pre-market	Core	Post-market	Overnight
Market order		✓		
Limit order	✓	✓	✓	✓
Stop order		✓		
Stop-limit order		✓		
Immediate or Cancel (IOC)*		✓		✓
Good 'Til Canceled (GTC)		✓		
Day order		✓		
Good 'Til Date (GTD)		✓		
Market-on-open/close		✓		
Limit-on-open/close		✓		
Pegged order*		✓		
Apex 24-hour order	✓	✓	✓	✓

*Route dependent

Notional/Fractional quantity (\$1 minimum)	Pre-market	Core	Post-market	Overnight
Market order		✓		
Limit order		✓		
Stop order		✓		
Stop-limit order*		✓		
Good 'Til Canceled (GTC)*		✓		
Day order		✓		
Good 'Til Date (GTD)/Market if touched		✓		
Market-on-close		✓		
Limit-on-close		✓		

*Expected Q4 2025

Apex Order Management System (OMS)

Trading & Interfaces

- ▷ Programmatic (REST APIs)
 - Orders API (single orders): Place and manage individual equity, ETF, mutual fund, and fixed income orders with full lifecycle tracking, real-time status, embedded firm level risk checks, fractional and notional order entry support
 - Basket Orders API (portfolio): Submit large, equity and mutual fund orders across multiple accounts in one trade (basket) with order aggregation that can reduce tickets and potential costs. Also integrated with Apex Rebalancer and direct indexing workflows.
- ▷ Discretionary (OMS UI)
 - Full-featured workstation that mirrors API capabilities for order entry, monitoring, and management — no additional coding required

Controls, risk, and compliance

- ▷ Real-time buying power, positions, margin, and good faith violation indicators
- ▷ Customizable investor-level pre-trade risk rules with embedded 15c3-5 checks
- ▷ Asset and account controls: Entitlements and restrictions with security-level settings (tradable, fractionable, liquidate only)
- ▷ Built-in Consolidated Audit Trail (CAT) reporting for all OMS-routed trades
- ▷ Coming in 2026! Pre-trade locate and availability checks for shares to sell*

Automation and operations

- ▷ Automated Dividend Reinvestment Plans (DRIPs)
- ▷ Automated fractional-share liquidation for account transfers and DRIPs
- ▷ Integrated commission and fee calculation and handling

Real-time visibility

- ▷ Real-time notification system covering order creation, order status changes, trade execution updates, and position updates

Apex Execution Management System (EMS)

Tap into liquidity across wholesalers, exchanges, ATSSs, single-dealer platforms, and additional venues.

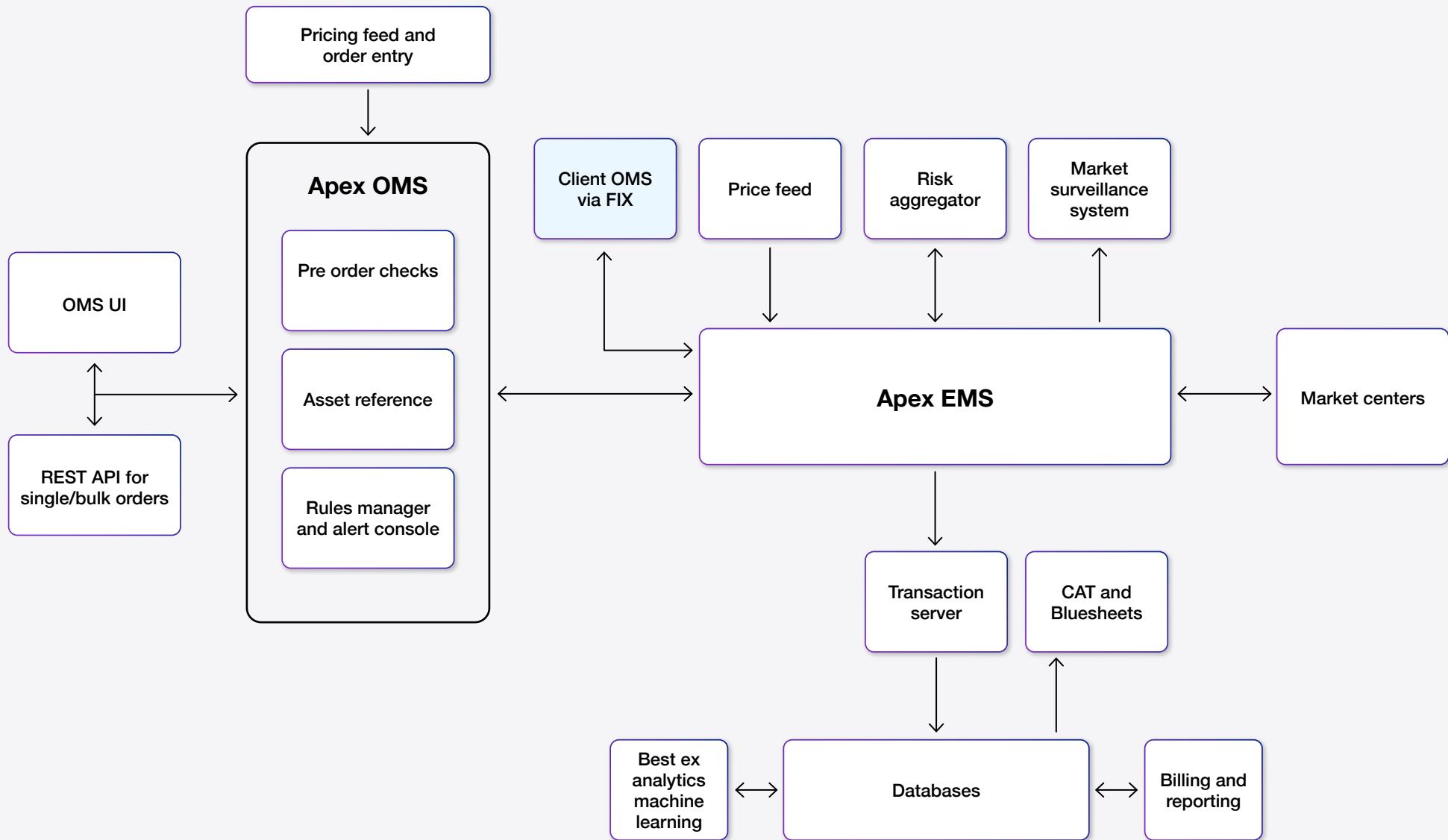
Apex offers a variety of routing options so you can optimize each order for what matters most — whether your priority is best price, execution speed, minimizing market impact, or other criteria.

Intelligent, diverse, and flexible routing options

- ▷ **Apex Managed Route (Apex MNGD):** Retail-focused smart order router using multiple market makers
 - Apex MNGD uses a retail best execution “wheel” to route orders to multiple liquidity providers
 - Allocation is based on performance metrics set by Apex’s best execution and liquidity management team, with weekly reviews to ensure counterparties continue to meet our rigorous requirements
 - Apex works with top-performing liquidity providers, regularly evaluating them on execution quality, fill rate, speed, and price improvements. Order flow is allocated to providers who consistently achieve superior results
 - Supports fractional and notional trading, including extended hours
- ▷ **Smart Order Route:** Aggregates liquidity and improves execution by accessing multiple trading centers, including exchanges, alternative platforms, and single dealer platforms
- ▷ **Direct Market Access (DMA):** Enables our clients to direct their orders to a specific destination
- ▷ **Algorithmic trading:** Offers advanced algorithmic order execution strategies to achieve specific benchmarks and minimize market impact for larger trades
- ▷ **Apex overnight routing**
 - **APXO:** Routing that will direct client orders to Apex’s overnight trading venues; APXO accesses liquidity from multiple overnight ATSSs
 - **Apex 24x5 (APEX24):** Routing that will leverage our APXO router and then automatically carry over any unfilled orders into the pre-market core and post-market sessions until the order is either executed or returned unfilled

Fully integrated trading platform helps streamline best ex

Designed to work together, the Apex OMS and EMS are also available as standalone solutions.



Apex commitment to best ex

- ▷ **Daily audits** include a quality-of-execution exception report for fills on marketable and marketable-limit orders, with the Apex Trading Team reviewing exceptions against Apex-defined parameters each day and working with counterparties to resolve any issues.
- ▷ **Weekly performance** reviews across all counter-parties to assess execution price, price improvement, speed, liquidity access, order size, market depth, total cost, and venue service quality
 - We proactively redirect order flow to the highest performing brokers or venues when warranted
- ▷ **Quarterly deep dives** with our trading leadership team refine routing and execution strategy by order type including fractional and odd lots, order size, and fill rates, evaluating counterparty performance, and benchmark Apex's results against the industry to drive continuous improvement
- ▷ **Additional best ex reviews and tools:**
 - **Rigorous counterparty onboarding** and ongoing reviews evaluating execution quality, technical resilience, regulatory standing, and operational support
 - **Continuous monitoring of order flow** toxicity and trading practices to identify and mitigate behaviors that could be harmful to clients or liquidity partners
 - **A seasoned trading and liquidity management team** shaped by years of market experience and active industry engagement
 - **24/7 access to S3's industry leading best ex analytic tool** through the Apex S3 sub portal for performance data and statistics

24x5 trade support

- ▷ Reliable and high quality 24x5 coverage and support
- ▷ Professional team with deep understanding of SLA, escalation protocols, and access to advanced monitoring tools and internal alert systems for real-time incident response
- ▷ “Eyes on glass” monitoring approach to proactively identify and resolve issues
- ▷ Fast response times, clear communications, and root cause analysis

On-demand trade desk

- ▷ White-glove, high-touch support for sophisticated trading needs
- ▷ Real-time assistance via Slack, phone, and other direct channels
- ▷ Trusted trading specialists and problem-solvers delivering expert care and quality support
- ▷ Discreet execution of sensitive, high-impact orders: Block trades, portfolio rebalances, multi-regional orders, RFQ transactions, and trades requiring specialized handling logic

Ready to unlock the power of Apex solutions at scale?

Request a one-to-one conversation with an Apex representative to get answers to your most pressing questions.

Request a Meeting

* Roadmap provides estimated release dates and descriptions for commercial features. All information is subject to change. Incremental or updated subscription, usage, or license charges may apply.

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For more information, visit the Apex Fintech Solutions website
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