

Apex Rebalancer:

Sophisticated Investing, Simplified Operations

Automate. Optimize. Grow.

Apex Rebalancer provides:

- Account setup, risk assessment, model management, and rebalancing all in one platform
- Automatically rebalances portfolios to stay aligned with their assigned models from the Model Marketplace
- Tools for complex strategies such as householding, sleeve, multi-custodian rebalancing, and more
- True custom index upload for direct indexing, not just modifications to a preloaded benchmark, with minimums as low as \$1,000 for 100/0 strategies
- Robo-level efficiency, combined with on-demand human advisor support

Key Benefits

Support Organic Growth at Scale

- Automate portfolio construction, rebalancing, and tax management so growth isn't limited by manual administrative tasks
 - Give clients a customized, goals-based experience without the manual work behind the scenes
 - Turn hours of administrative tasks such as rebalancing and model research into automated oversight
 - Free advisors to focus on building relationships
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Serve Next-Gen and Mass-Affluent Clients

- Lower the break-even point on accounts to empower you to serve clients you'd previously had to turn away
 - Unlock a larger addressable market with lower account minimums as younger clients age into advice
 - Match robo advisor efficiency, supported by human advice when desired
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Deploy With AscendOS™ or as a Standalone Module

- Available as an API-first standalone product for self-clearing entities or businesses that don't custody with Apex
- Keep rebalancing workflows consistent across multiple custodians
- Integrate with your existing workstation using APIs

Offer Personalized Advice at Scale

- Serve smaller accounts with direct indexing minimums starting at \$1,000
 - Automate tax management with capital gains budgeting and tax lot-level restrictions — no manual oversight required
 - Use sleeve rebalancing to help manage independent strategies within a single portfolio
 - Define custom risk tiers at the firm level so investor profiles map to the right models
 - Set security equivalents so restricted holdings are automatically substituted
 - Automate dollar cost averaging to invest client funds gradually over time rather than all at once
 - *Coming soon!* Manage accounts across multiple custodians from a single rebalancing workflow
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Increase Operational Efficiency

- Keep everything connected in one system, with no exporting files, re-entering data, or juggling vendors
- Automatically detect drift and execute rebalances, with no manual portfolio review required
- Identify out-of-compliance accounts and rebalance across multiple dimensions, down to the individual security
- Turn days of quarterly rebalancing work into rolling updates as accounts drift
- Get full visibility into capital gains impact before trades are placed
- *Coming Soon!* Ingest data from any custodian in a uniform structure, so you can scale to new custodians without rewriting core workflows

Key Features

Automated Rebalancing

- Identifies rebalancing needs and proposes trades when accounts fall out of threshold, including single security and fractional share rebalancing
 - *Coming Soon!* Drift-based rebalancing automatically triggers when a portfolio breaches its threshold bands, without waiting for a manual run
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Sleeve Rebalancing

- Divide a portfolio into independent sleeves, each representing its own strategy, asset class, or tax approach
 - Rebalance, report on, and manage taxes for each sleeve independently, without disrupting the rest of the portfolio
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Portfolio Construction Automations

- Rebalancing, model management, and marketplace access work together so portfolios build and adjust themselves, informed by each client's risk profile
 - Skip the model-building by accessing professionally built models from leading asset managers through the Model Marketplace
 - Model Manager lets advisors create and edit custom models, nest models into each other, and allocate by investor or tax profile
 - Upper and lower bounds set by asset class, individual security, and cash, with a single dashboard showing accounts out of threshold
 - Glidepath-based rebalancing adjusts portfolios automatically as they approach a target date
 - Risk Tier Framework maps custom tiers to specific models, for allocation more granular than "conservative" or "aggressive"
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Custom Direct Indexing

- Preloaded benchmarks track the S&P 500, mid cap, and small cap indices
- Advisors can screen for themes like ESG or exclude whole categories
- Risk model access allows under- or overweighting specific securities for tax efficiency while still tracking the benchmark
- Minimums start at \$1,000 for 100/0 strategies and \$10,000 for others
- Clients can supply their own index, not just customize a preloaded one

Tax Optimization

- Automatically identify buy and sell opportunities within direct indexed portfolios to optimize for tax outcomes with tax loss harvesting
- Set configurable short-term and long-term gains budgets at the account level with Capital Gains Management, automatically managing sell restrictions on tax lots and maintaining full visibility into capital gains impact
- Restrict individual tax lots, not just at the security level, through the advisor portal or programmatically via API
- Define custom risk tiers to map investor profiles to tax-appropriate models at the firm level
- Designate security equivalents so restricted or tax-sensitive holdings are automatically substituted without manual intervention
- Automate dollar cost averaging to spread purchases over time, reducing the tax impact of large lump-sum investments

Trading and Execution

- Real-time OMS connectivity with the rebalancer submits trades intraday, not just end-of-day
- Trade explanations and a detailed audit trail for why each transaction is, or is not, proposed, including single security and fractional shares
- Fractional share trading available throughout

Flexible Integrations

- Available as a standalone product, integrated with AscendOS, or paired with Ascend Investor's white-label UI and RTQs
- Full functionality available via API or UI, so you can automate at the level that fits your operation
- Integrate with your existing workstation

Multi-Custodian Support (Coming Soon!)

- One unified platform to manage held-away accounts
- Uniform data ingestion structure regardless of custodian

Ready to Grow Without Growing Headcount?

Serve smaller accounts, automate the manual work behind every portfolio, and free your advisors to do what robos can't.

[Request a Call](#)

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