synergy™
ASSET MANAGEMENT, LLC

SAM ADVISOR TECH

Run your entire practice on one platform

Built for Advisors Who Want to Scale

The Problem Every Advisor Faces

Advisors Are Drowning in Complexity

Most advisors didn't get into this business to manage paperwork, portals, and processes. Yet as the industry grows more complex, many find themselves buried in manual tasks, scattered systems, and custodian workflows that drain time and introduce unnecessary risk. When operations take over, the work that truly matters—serving clients and growing the practice—gets pushed to the sidelines.

YOUR DAILY REALITY LOOKS MORE LIKE THIS:

- ✓ Too many logins, too many portals
- ✓ Model deployment is clunky and time-consuming
- ✓ Rebalancing and trading eat hours each week
- ✓ Custodial workflows slow everything down
- ✓ Compliance and operational errors increase risk
- ✓ Technology feels stitched together instead of seamless

What if you could run your entire practice one simple, institutional-grade platform?

Imagine a practice where every operational task—trading, billing, reporting, account opening, workflows—happens behind the scenes, without you having to chase forms, log into multiple portals, or juggle fragmented systems. Instead of reacting to fires, you'd be investing your time where it counts: with clients, prospects, and high-impact strategy.

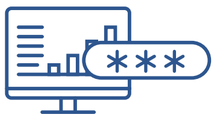
Save hours each week, reduce operational risk, and scale without adding staff or overhead. What would that freedom mean for your growth?

THE PROMISE:

A True End-to-End TAMP For Advisors

Designed by advisors, for advisors, Synergy delivers a turnkey asset management platform (TAMP) with high-touch service to simplify operations and enable scalable growth.

HERE'S WHAT YOU GET:

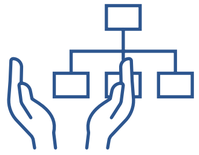


One dashboard, One login

A single, unified interface where you can trade, rebalance, open accounts, generate reports, and manage your entire book of business in minutes—not hours. No more jumping between portals or reconciling data manually.

Model deployment made easy

Whether you run your own strategies or leverage outsourced managers, deploying, adjusting, and maintaining models is simple and centralized. Build, modify, and apply models across accounts with confidence and consistency.



Dedicated trade and service desk

Our experienced team manages the operational heavy lifting—trade execution, custodial interactions, account maintenance, workflows, and service requests. You get institutional-quality support without hiring additional staff.

Automated rebalancing and drift management

Real-time monitoring ensures portfolios stay aligned with your models. Block trading, exclusions, tax-aware features, restrictions, and sleeve-level oversight are built in, providing precision and control across all custodians.

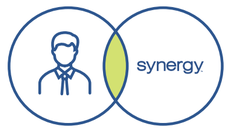
Scalable billing, reporting, and compliance

Billing, reporting, proposals, compliance workflows, and back-office tasks run on an automated engine—reducing errors, speeding up operations, and standardizing your practice as you grow.

Why Advisors Choose Us

Save time

Our platform and service desk eliminate manual tasks across trading, billing, reporting, and workflows—giving advisors hours back each week to focus on clients and growth.



High-touch partnership

A high-touch service and trading team learns your practice, supports your workflows, and handles the operational heavy lifting so you can focus on what matters most.

Drive growth

With operations streamlined and bottlenecks removed, advisors can serve more households, add more assets, and scale without hiring additional staff.

Institutional quality

You get multi-custodian trading, drift monitoring, audit trails, sleeve accounting, and compliance-ready processes—without the complexity or overhead of big-firm systems.

You don't need more technology—you need a complete solution that makes your business simple, scalable, and client-focused.

Proven at scale, built for growth.

20,000
account managed

300,000+
workflows completed

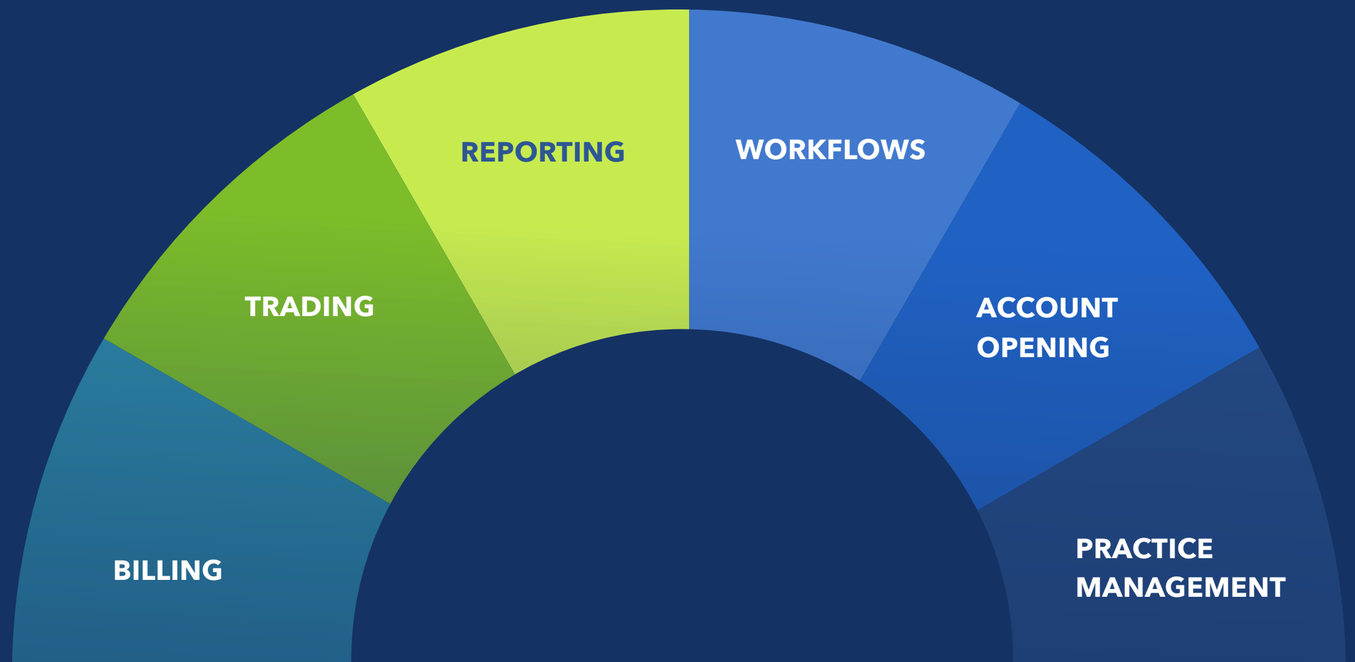
$10 Billion
notional volume traded

Multi-custodian support:
Schwab, Fidelity, etc.

Deep Dive: Our Six Core Services

Support across six critical operational areas:

1. **Billing**
2. **Trading**
3. **Reporting**
4. **Workflows**
5. **Account Opening**
6. **Practice Management**

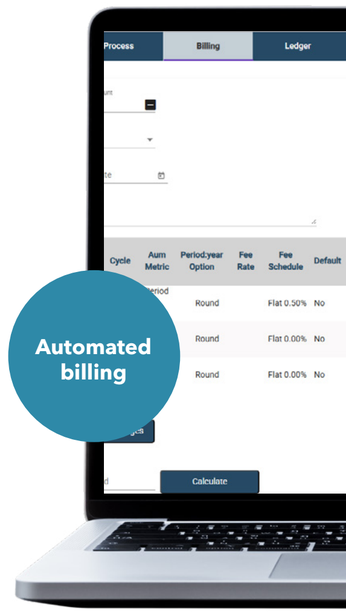


1. Billing

Centralized, automated billing eliminates manual work and reduces errors across complex fee structures, allowing advisors to focus on client relationships rather than administration.

CAPABILITIES

- ✓ Advisor sets fee and gets paid
- ✓ Flexible fee set up
- ✓ Tiered billing
- ✓ Advance or arrears
- ✓ Invoice and report generation
- ✓ Compliance record-keeping
- ✓ Automatic fee collection

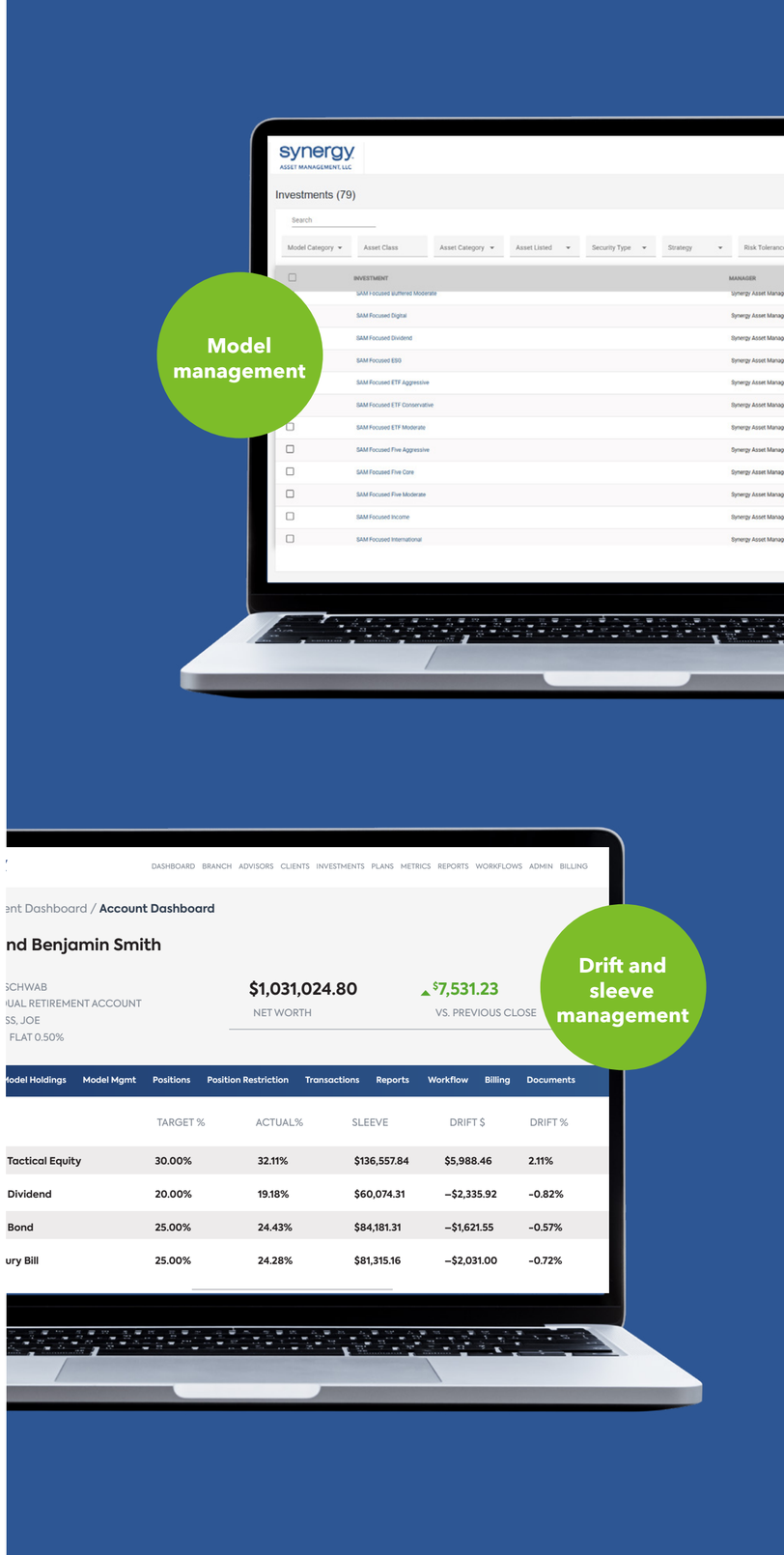


2. Trading

Outsourced trading and rebalancing simplify portfolio execution while reducing operational risk, freeing advisors from the complexity of day-to-day trade management.

CAPABILITIES

- ✓ **Multi-custodian support:** Schwab, Fidelity, and others
- ✓ **Select and apply investment models to an account in one click**
- ✓ **Mix models in a single account**
- ✓ **Institutional trade execution:** block trading, trade-away, prime broker access, liquidity providers
- ✓ **Platform supports trading:** individual bonds, stocks, ETFs, mutual funds, options, custom structured products
- ✓ **Trade multiple times a day in a single account:** no once-per-day restriction
- ✓ **Automated distributions:** monthly, quarterly, semi-annual, annual
- ✓ **Advanced sleeve management**
- ✓ **Protect legacy positions alongside invested models**
- ✓ **Security substitutions and restrictions**
- ✓ **Automated trade workflows:** never lose trade instructions to email chains
- ✓ **Automated drift monitoring**
- ✓ **Account maintenance workflows:** keep support-staff tasks organized
- ✓ **Compliance audit support**



3. Reporting

Synergy delivers clear, customizable reporting without the burden of manual data aggregation, helping advisors communicate performance and value more effectively.

CAPABILITIES

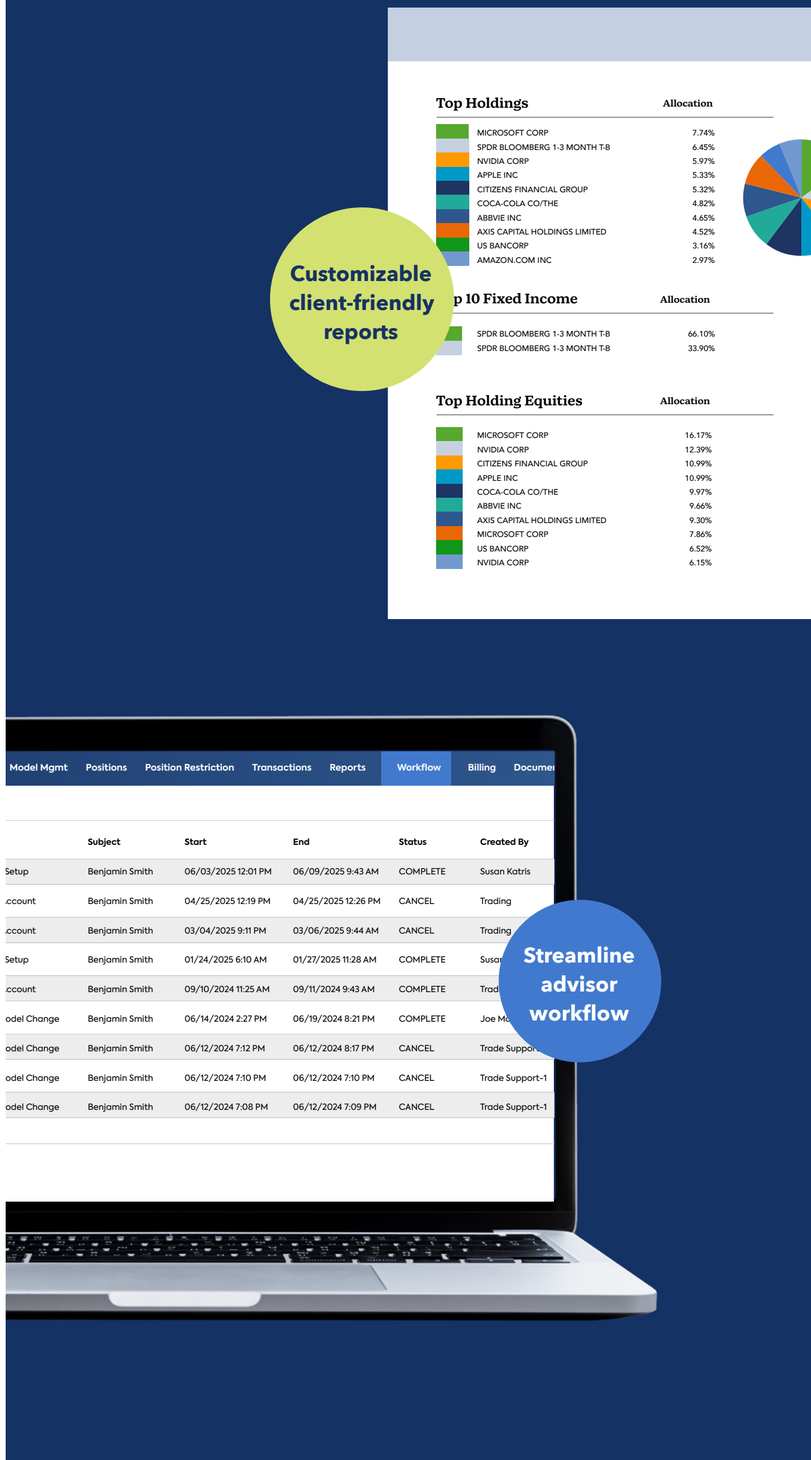
- ✓ **Dozens of report types**
- ✓ **Sleeve-level reporting**
- ✓ **Household or account-level reporting**
- ✓ **Bulk report generation:** RIA, branch, or advisor level
- ✓ **Client-facing portal:** Clients can view reports and schedule meetings
- ✓ **Custom report branding**

4. Workflows

Synergy uses automated workflows to organize and streamline day-to-day operations, reducing reliance on email and improving consistency across teams.

CAPABILITIES

- ✓ **Organize client service tasks** with automated workflows
- ✓ **No more sending tasks via email**
- ✓ **Automated workflows kick off tasks:** routed directly to the responsible teams
- ✓ **Quickly process client requests:** RMDs, address changes, beneficiary changes, cash requests, annuity withdrawals, and more



5. Account Opening

Synergy simplifies and accelerates the typically cumbersome account-opening process. By handling paperwork, e-signatures, custodian integration, and document submission, creating a faster, smoother onboarding experience for advisors and clients.

CAPABILITIES:

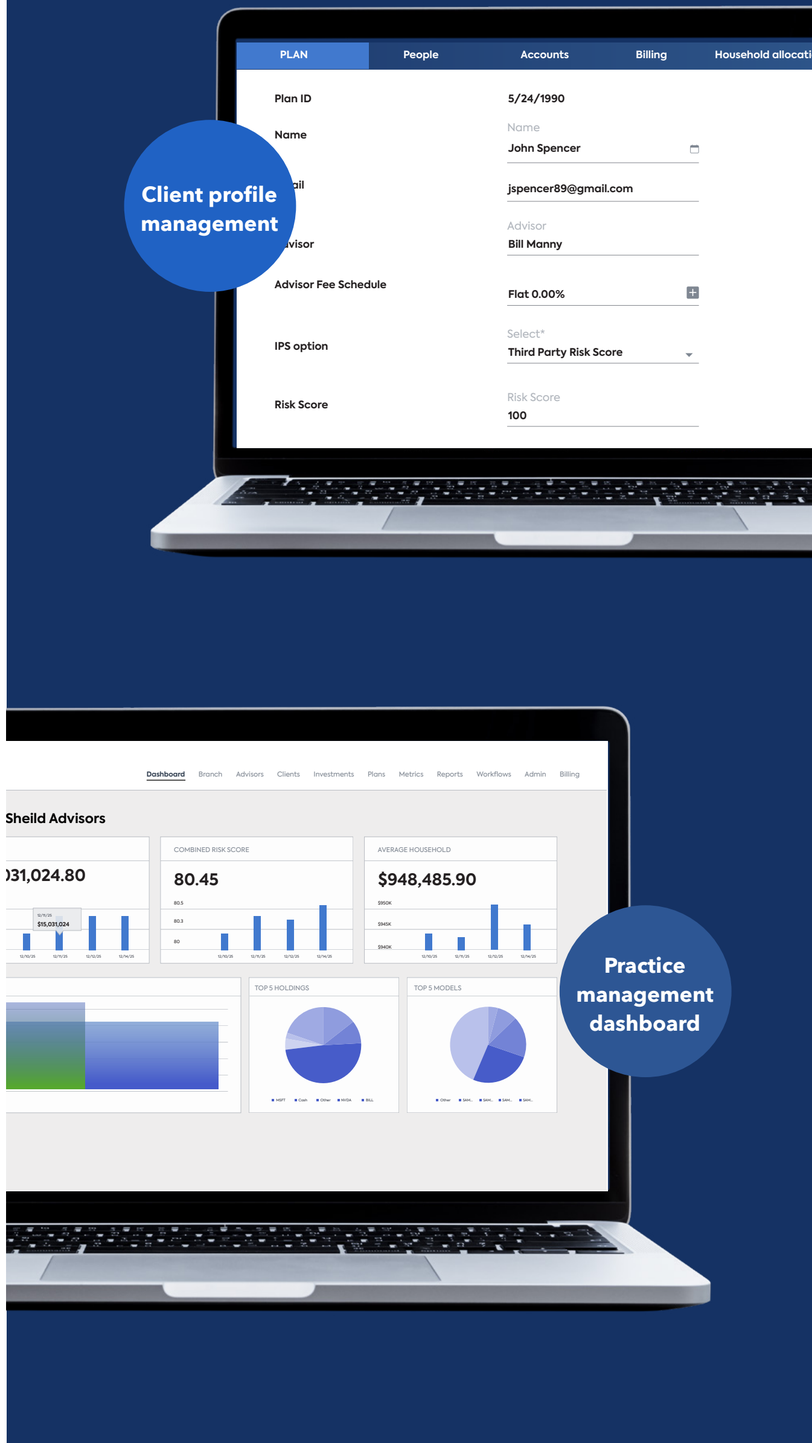
- ✓ **Single-point data entry**
- ✓ **Prefilled custodial documents:** account opening and maintenance forms ready for DocuSign
- ✓ **Automated account-opening workflows:** streamlined for support staff
- ✓ **Document delivery package:** prepares and delivers client contracts, ADV II, CRS, and any firm-specific documents – all in one package

6. Practice Management

Synergy provides practice management tools that give advisors visibility into their business, supporting smarter decisions and long-term growth.

CAPABILITIES:

- ✓ **Practice management dashboard**
- ✓ **Business intelligence support:** RIA multi-layer structures, branches, advisors, and clients
- ✓ **Robust on-demand business metric reports**
- ✓ **Compliance data support**



The Synergy Advantage

1. Institutional process, simplified

We deliver an end-to-end asset management platform with institutional-grade rigor, yet designed for ease of use by independent advisors.

2. Time back in your hands

Our trading desk, workflow automation, and model deployment systems eliminate busywork so you can focus on client relationships and growth.

3. Flexible, scalable solutions

Whether you run your own strategies or leverage outsourced models, our platform adapts to your business and grows with you.

4. High-touch partnership

Unlike "big box" providers, you get a dedicated service team that understands your practice, solves problems quickly, and supports your long-term success.

5. Integrated growth tools

From proposals to reporting, compliance to billing, everything is connected in one dashboard—helping you serve clients better and build your business faster.

Stop Managing Complexity. Start Growing.

Contact us today to see how our TAMP can transform your practice

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synergy™
ASSET MANAGEMENT, LLC

Founded in 2012, Synergy Asset Management is a registered investment advisor providing investment management solutions designed to support financial advisors and their clients. Through disciplined portfolio strategies and a focus on risk-aware allocation, Synergy helps advisors deliver consistent, customized investment outcomes across a wide range of client needs. Synergy Asset Management serves advisors nationwide and partners with firms committed to long-term client success.

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