DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

2011

- ADT
- Advent APX & Partner
- Advent Axys & Partner
- Advent Back Office
- ADVISORport, Inc.
- Advisor Products
- Aristata
- AccuTech Systems
- Archway ATWeb
- Archway Operations Outsourcing
- Archway Technology Partners
- Beringer Group
- BNY - Mellon Wealth Management
- Broadridge
- ByAllAccounts
- CashEdge Wealth Management
- Connect2A
- Cool Life Systems Inc.
- Data Agent iiMart
- Datafaction Inc.
- Discovery Company
- Enterprise Iron
- Envestnet
- Financial Navigator
- Financial Navigator Enterprise
- FinTech
- Fiserv
- Foliofn
- FolioDynamix
- Fortigent
- Forward Accessor
- FundCount
- Gravitas Technology
- HNW Advisor, Inc.
- Infinity
- Infinity Info Systems
- Informa Solutions
- infosys
- Innovest Systems
- Interactive Data
- Investnet
- JobStream 8
- Matrix
- Medavante
- Morgan Street
- Morgan Street Secure Vault
- Morningstar
- Newkirk
- NIIT
- Odyssey Financial Technologies
- Omgeo
- Pershing Advisor Services
- Pertrac
- PerTrac Analytical Platform
- PerTrac CMS
- PerTrac Portfolio Manager
- Private i (the Burgiss Group)
- Private Client Resources
- Relevant Equity Systems
- Rockit
- Rockit Solutions
- Salentica
- Schwab Family Office Services
- Schwab Institutional Portfolio Center
- Schwab Institutional.com
- Shareholder Services
- Smartstream
- Soft Target Inc.
- Soft Target iBalance
- SS&C Total Return
- SS&C Zoologic Learning Solutions
- State Street Bank & Trust
- Sungard
- SunGard Investran
- TD AMERITRADE Institutional
- The Hackett Group
- The NextRound Solution
- TheNextRound
- Trust Company of America
- Trust Imaging
- Wealth Touch
- Windward Advisory Group

Firms listed in bold type have furnished an expanded corporate profile in the corresponding sponsored section.

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2011

ADT CUSTOM HOME SERVICES

1501 YAMATO ROAD, BOCA RATON, FL 33431
CUSTOM HOME SERVICES: WWW.ADT.COM/CUSTOMHOME

Q Briefly describe your firm, including its history and positioning with the wealth management/ family office industry.

ADT, America's #1 home security company, brings you over 135 years of experience. With 6.8 million customers and over 26,000 employees who work from approximately 350 locations, ADT generates over $4 billion in annual revenues. ADT has the largest network of home security sales and service personnel in the country, offering 24/7 monitoring supported by eight interconnected monitoring centers. Through its Custom Home division, ADT provides the gold standard in home security for thousands of high-income business leaders, celebrities, and professional athletes with exceptional service, advanced technology, and customized solutions.

Q Describe the products and services you offer.

ADT Custom Home Services helps protect homes and families against intrusion, fire, smoke, flood, high levels of carbon monoxide and flooding. With advanced security technology and exceptional customer care, ADT provides an array of products and options, including our innovative ADT Pulse™ Interactive Solutions, to meet customer needs. From almost anywhere, ADT Pulse™ enables homeowners, whether they're home or away, to remotely arm and disarm their security system, adjust light and thermostat settings, and view activities at home through secure, real-time video.

Q What problems are your products designed to solve?

ADT helps homeowners protect and stay connected with the things that matter most – family, home, irreplaceable belongings, and pets. Regardless of lifestyle demands, ADT's services provide more confidence and peace of mind. See who's at the door before opening it. Help keep an eye on the babysitter. Stay connected with remote video or e-mail or text message alerts even when you're across the country. Store video clips of events from monitored areas. Home security and management can now reflect the way you live.

Q Describe the price models of your products and services, including starting and implementation costs.

An ADT Custom Home Services representative will visit your home at no obligation to get an accurate idea of what your home and family require for a safe and enjoyable environment. One-time installation and monthly prices will vary, depending upon the equipment and services that fit your needs.

AT A GLANCE

- Firm name: ADT Security Services
- Office location(s): Approximately 350 locations in U.S. and Canada
- Years in business: Over 135
- Years in family office space: N/A
- Number of clients: 6.8 million
- Web site: www.adt.com/customhome
- Contact person: Find a local office and request a free, in-home evaluation by calling 800.238.5519

DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

2011

ADVENT® Advent Software

600 TOWNSEND STREET SAN FRANCISCO, CA 94103
415 543 7696 • EMAIL: INFO@ADVENT.COM • WWW.ADVENT.COM

Q Briefly describe your firm, including its history and positioning with the wealth management/family office industry.

Proven Solutions from a Trusted Source. Advent Software has more than 3,000 wealth management clients worldwide giving us unique insight into your business and a proven expertise in optimizing wealth manager workflows.

The Advent solution for wealth managers is the best solution for managing portfolios and client relationships. You can rely on Advent to build stronger client relationships by providing accurate information quickly and in any format clients want it. Client and portfolio data are integrated on a single, easily accessible platform, increasing investor confidence through the accuracy and timeliness of your data.

Q Describe the products and services you offer.

The Advent solutions for Wealth Managers and Family Offices include the following integrated modules:

- Portfolio management & reporting
- Total wealth reporting
- Performance measurement and analytics
- Integrated client relationship management
- Portfolio monitoring & trading compliance
- Trading & order management
- Automated custodial data
- Research management
- Fee and revenue management
- SaaS outsourcing

Q What problems are your products designed to solve?

- **Build stronger client relationships** through customizable reporting by providing clients with accurate information quickly, the way they want to see it
- **Increase investor confidence** and better manage your operations because of the accuracy of data and Advent's track record of expertise and reliability
- Partner with a single vendor to **simplify operations** – and as you grow you can continue to rely on Advent to support your needs
- **Reduce errors, streamline workflow, and improving operational efficiency** by leveraging an integrated suite to automate and eliminate manual processes

Q What services do your platforms offer? (Check all that apply.)

✓ Alternative investments
✓ Client relationship management
✓ Client reporting
✓ Enterprise content management/document management
✓ Investment analytics
✓ Partnership accountingr
✓ Portfolio accounting
✓ Portfolio management
✓ Trade order management

Q Describe the price models of your products and services, including starting and implementation costs.

Advent offers a broad continuum of flexible delivery options for its award-winning solutions, from on-site installation, to managed hosting, to a fully outsourced environment with investment performance reporting and reconciliation services. Costs vary depending on products and deployment option.

AT A GLANCE

- Firm name: Advent Software
- Office location(s): San Francisco, New York, Boston, London, Copenhagen, Amsterdam, Oslo, Stockholm, Zurich, Athens, Dubai, Hong Kong, Beijing
- Years in business: 27
- Years in family office space: 23
- Number of clients: 4,500
- Web site: www.advent.com
- Contact person: Brian Justice

DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

2011

ADVISOR PRODUCTS

333 JERICHO TURNPIKE, SUITE 333 • JERICHO, NY 11753
516-333-0066 • WWW.ADVISORPRODUCTS.COM

Q Briefly describe your firm, including its history and positioning with the wealth management/ family office industry.

Advisor Products was founded in 1996 by veteran financial reporter Andrew Gluck, a columnist at Financial Advisor. The company offers secure client communications solutions, FINRA-reviewed content, and copywriting services.

Q Describe the products and services you offer.

Advisor Products Inc. creates websites, client newsletters, brochures, and stationery as marketing copywriting, social media support, and design services.

API's content and websites report financial news to clients in a manner consistent with the best practices in the financial services industry.

Q What problems are your products designed to solve?

Advertising agencies and marketing firms do not understand issues involved with marketing investment advice services. We do.

Other problems we solve:

- Integrating an internal document management solution with a secure client-facing system
- Explaining complex wealth management processes in simple terms to prospective clients
- Creating compliant content about investment news
- Automating a social media content stream
- Search engine optimization
- Designing and delivering marketing solutions on a budget
- Integrating CRM, portfolio reporting, and financial planning data into a secure client portal

Q What services do your platforms offer? (Check and name product next to all that apply.)

✓ Client reporting: Online Performance Reporting for Advent Axys, PortfolioCenter, AssetBook, Black Diamond, and Albridge as well as reporting to-dos from SmartOffice, Redtail, and Salesforce into a client portal.

✓ Enterprise content management/document management: AdvisorVault is integrated with Cabinet NG's document system to enable secure sharing of any client document in a secure client-facing website.

Q Describe the price models of your products and services, including starting and implementation costs.

Here's what you get from us for $2,100 a year:

- 256-bit encrypted AdvisorVault for secure document-sharing with clients
- content management system for editing your site
- social media tweet stream
- automated website archiving
- FINRA-reviewed personal finance article database
- FINRA-reviewed video library branded to you
- eight hours of support
- 10 email accounts
- stock market data streamed throughout the day
- redundant infrastructure at an SAS 70 Type II hosting facility

You have three choices of design: Template ($500), Custom ($4,000) or Designer Templates ($1,500). Work with our graphic designers or your own.

AT A GLANCE

- Firm name: Advisor Products, Inc.
- Office location(s): 333 Jericho Turnpike, Suite 333 Jericho, NY 11753
- Years in business: 15
- Years in family office space:
- Number of clients: 1,800
- Web site: www.advisorproducts.com
- Contact person: Barry Weinstein

DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

2011

Discovery Company

12 CHRISTOPHER WAY, SUITE 202 EATONTOWN, NJ 07724
732.933.1899 • WWW.DISCOVERYCO.COM

Q Briefly describe your firm, including its history and positioning with the wealth management/family office industry.

Discovery is the industry leader offering extensive data to help you identify, reach and do business with financial services industry professionals and firms. Services are dedicated to providing the most extensive profile details on 35,000 firms and over 1.9 million advisors, agents and executives to help the industry direct sales and marketing efforts towards their target audience. Discovery equips you to identify key advisors for distribution, prioritize sales calls, analyze current clients, align territories, establish selling agreements, pre-qualify conference attendees, and deliver targeted email and direct mail campaigns.

Q Describe the products and services you offer.

Our online databases allow you to access and analyze a wide variety of information quickly and efficiently to help target nearly 600,000 registered representatives, 26,500 registered investment adviser firms and their key staff, all 4,900 broker-dealers and firm executives, trust companies and contacts, and over 1.6 million insurance agents.

We also offer a comprehensive CRM data hygiene program to help ensure you are communicating with the right clients and prospects in a cost-effective manner, track and analyze our data to provide market insight, and advise and guide specialized industry consulting.

Q What problems are your products designed to solve?

Professionals join and leave the industry every hour, and tens of thousands change firms every year. Discovery helps you keep on top of these changes, offering the edge you need to stay ahead in a competitive and ever-changing marketplace. Discovery provides the most accurate and in-depth information on the financial services industry. We track new firms and contacts to the market, movement within and amongst different channels, and add and update or verify millions of data fields each year to help you optimize business development and client relationships.

Q What services do your platforms offer?

Discovery offers online database subscriptions for BD firm, executive and rep, RIA firm and rep, trust company and insurance agent data. Discovery also provides comprehensive data feeds, CRM data hygiene, strategic guidance and market insight.

Q Describe the top initiatives planned for 2011 and beyond.

Discovery has recently released the industry's most extensive profiles of broker-dealers and investment advisory firms, along with seminal research providing the most enlightening analysis of the industry. Contact Discovery to learn how you can take advantage of this market insight.

AT A GLANCE

- Firm name: Discovery Company
- Office location(s): Eatontown, NJ
- Years in business: 9
- Years in family office space: 9
- Number of clients: Over 300 of the financial services industry's largest, most successful and fastest growing organizations.
- Web site: www.discoveryco.com
- Contact person: Kyle Ebbets

DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

2011

Folio Institutional

A Division of FOLIO*fn* Investments, Inc.

8180 GREENSBORO DRIVE, 8TH FLOOR, McLEAN, VA 22102
1.888.485.3456 • WWW.FOLIOINSTITUTIONAL.COM

Q Briefly describe your firm, including its history and positioning with the wealth management/family office industry.

Folio Institutional is a division of FOLIO*fn* Investments, Inc. FOLIO*fn* Investments, Inc., founded in 1999 by Steven M.H. Wallman, a former Commissioner of the U.S. Securities and Exchange Commission ("SEC"), has been a self-clearing broker-dealer and a direct member of The Depository Trust & Clearing Corporation ("DTCC") since 2001. Today, it provides custody and brokerage services for billions of dollars of investor assets, and hundreds of registered investment advisors. Folio Institutional is an ideal match for advisors seeking an established, well-respected custodian, and a cost-effective portfolio management, trading, investment, and high-end client services platform.

Q Describe the products and services you offer.

Folio Institutional delivers a fully integrated trading and portfolio management platform that allows advisors to manage hundreds, or even thousands of client accounts in the time it would normally take to manage one. Solutions include model management and synchronization tools that automatically account for individual client preferences such as advanced tax strategies and social, sector and stock exclusions. The vertically integrated platform combines brokerage, custody, portfolio accounting, fee billing, compliance reports, online proxy voting, investment management and asset allocation tools in one platform.

Q What problems are your products designed to solve?

Workflow is streamlined through automation with a web based brokerage that includes paperless account opening and account transfers, and a powerful model driven portfolio management system. Its centerpiece is the FOLIO investment concept: individualized portfolios that can include equities, ETFs and mutual funds. Additional features include:

- Stock, Social and Sector Exclusions
- Tax Management
- Model Driven Portfolio Trading
- Daily Compliance Reports
- Online Proxy Voting
- Online Performance Reporting
- Electronic Statements, Trade Confirmations and Tax Documents

Q What services do your platforms offer? (Check all that apply.)

✓ Alternative investments: Folios
✓ Client relationship management
✓ Client reporting
✓ Enterprise content management/document management
✓ Investment analytics
☐ Partnership accounting
✓ Portfolio accounting
✓ Portfolio management
☐ Trust accounting
☐ Trust administration
✓ Trade order management

Q Describe the price models of your products and services, including starting and implementation costs.

General brokerage services are provided on an asset based, or transaction based fee schedule, with minimal start up and implementation costs. The brokerage platform includes automated fee calculation and remittance for advisory and brokerage fees. Additional fees may apply for certain services.

AT A GLANCE

- Firm name: Folio Institutional
- Office location(s): McLean, VA
- Years in business: 11
- Years in family office space: N/A
- Number of clients: N/A
- Web site: www.folioinstitutional.com
- Contact person: Greg Vigrass

DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

2011

informa investment solutions

4 GANNETT DRIVE WHITE PLAINS, NY 10604
914 509.1576 • WWW.INFORMAIS.COM

Q Briefly describe your firm, including its history and positioning with the wealth management/ family office industry.

Informa Investment Solutions (IIS) is a leading provider of innovative technology for institutional and private wealth management, and is the business partner of choice for the world's most influential financial services firms. Leveraging the knowledge and relationships built over 35 years, Informa Investment Solutions develops flexible solutions to meet the unique technology and data demands of banks, brokerage dealers, investment consultants, insurers, family offices, investment advisors and asset managers.

Q Describe the products and services you offer.

- **WealthIQ:** The leading advisory solution for profiling, portfolio construction and investment proposal creation;
- **PSN:** A sophisticated research, analysis, and reporting toolkit powered by the industry's largest manager database;
- **Sponsor Connection:** The fact sheet power-tool managing workflow from multiple data contributors through to custom designed, compliant communications.
- **Investment Scorecard & Performer:** Flexible, scalable, reliable investment performance measurement and client reporting;
- **ComplianceIQ:** Automated, efficient and scalable management of regulatory requirements, business practices and client servicing.

Q What problems are your products designed to solve?

The IIS product suite solves significant challenges including:

- **Investment Advisory:** Maintaining the critical balance between consistently high service levels, compliance, productivity and profitability for your practice;
- **Client Management:** Accurately segmenting clients, conducting appropriate, research driven asset modeling, and generating concise proposals to simplify client acquisition; at a glance
- **Client Communication:** Empowering advisors with a quick, deep read on each client's portfolio, allowing proactive rebalancing and communications.

Q What services do your platforms offer? (Check and name product next to all that apply.)

- ✓ Alternative investments: PSN, Performer, Investment Scorecard, WealthIQ, ComplianceIQ, Sponsor Connection
- ✓ Client relationship management: WealthIQ
- ✓ Client reporting: PSN, Performer, Investment Scorecard, Sponsor Connection
- ✓ Enterprise content management/ document management: PSN, Performer, Investment Scorecard, WealthIQ, Sponsor Connection
- ✓ Investment analytics: PSN, Performer, Investment Scorecard, WealthIQ, Sponsor Connection
- ✓ Partnership accounting: Performer
- ✓ Portfolio accounting: Performer
- ✓ Portfolio management: Performer
- ✓ Trust accounting: Performer, Investment Scorecard

Q Describe the price models of your products and services, including starting and implementation costs.

- **PSN:** Subscription based with no implementation costs;
- **Performer & Investment Scorecard:** Fees are based on number of accounts and users. Implementation costs vary by complexity.
- **WealthIQ:** Pricing is based on system needs and number of advisors.
- **ComplianceIQ:** Implementation costs vary by complexity.

AT A GLANCE

- Firm name: Informa Investment Solutions
- Office location(s): White Plains, NY; Durham, NC; Nashville, TN; Cedar Falls, IA
- Years in business: 35
- Years in family office space: 30
- Number of clients: 1,200
- Web site: www.informais.com
- Contact person: Elizabeth Wetherbee, sales@informais.com

DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

2011

MORNINGSTAR®

22 WEST WASHINGTON STREET, CHICAGO, IL 60602
312.696.6000 • GLOBAL.MORNINGSTAR.COM/MORNINGSTARDIRECT

Q Briefly describe your firm, including its history and positioning with the wealth management/ family office industry.

Morningstar, Inc. is a leading provider of independent investment research globally. We offer an extensive line products and services for individuals, financial advisors, and institutions. Morningstar provides data on approximately 400,000 investments offerings, including stocks, ETFs, hedge funds, and similar vehicles, along with real-time global market data. Morningstar also offers investment management services and has nearly $180 billion in assets under advisement and management as of June 30, 2011.

Q Describe the products and services you offer.

Morningstar Direct delivers investment vision. It's a global investment analysis platform that unites all of Morningstar's data and institutional research plus third-party content with rigorous analytics and productivity tools. Not only does it streamline the process of finding meaning in financial information, it also helps communicate this information in powerful, fully customizable visual forms.

Q What problems are your products designed to solve?

Morningstar Direct helps professionals who manage high-net-worth portfolios streamline the investment research, portfolio construction, and client communication processes. It fuses a full range of global investment data with independent incisive research and rigorous analytics. Morningstar Direct also helps create well-designed, customizable reports that effectively deliver analysis to your clients that reflect your brand or to your investment board.

Q What services do your platforms offer? (Check and name product next to all that apply.)

- ✓ Alternative investments
- ☐ Client relationship management
- ✓ Client reporting
- ✓ Enterprise content management/document management
- ✓ Investment Analytics
- ☐ Partnership/hedge fund accounting
- ☐ Portfolio accounting
- ✓ Portfolio management
- ☐ Trust accounting
- ☐ Trade Order Management

Q Describe the top initiatives planned for 2012 and beyond.

Morningstar launched new sophisticated asset allocation functionality to Morningstar Direct in the summer of 2011. Based on years of pioneering research from Morningstar wholly owned subsidiary, Ibbotson Associates, Inc., a worldwide leader in asset allocation these new tools allow investors to create optimal asset allocation strategies that take into account "fat-tailed" return distributions and measure downside risk.

AT A GLANCE

- Firm name: Morningstar Inc
- Office location(s): Chicago, Il
- Years in business: 25+
- Years in family office space: 20+
- Number of clients: We serve clients in 26 countries.
- Web site: global.morningstar.com/morningstardirect
- Contact person: 1-866-910-0840; information@morningstar.com

DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

2011

Private Client Resources

187 DANBURY ROAD, SUITE NO. 202, WILTON, CT 06897
203.762.9006 • WWW.PCRINSIGHT.COM

Q Briefly describe your firm, including its history and positioning with the wealth management/ family office industry.

Private Client Resources (PCR) was founded in 2000 by private wealth clients. We are a multi-faceted service company that delivers:

1. Private Wealth Aggregation
2. Reporting and Integrated Systems
3. Custom Solutions and Services

PCR is the premier provider of private wealth aggregation and data-driven solutions serving the ultra-high-net-worth (UHNW).

The quality of our aggregation process and custom reporting is unsurpassed, giving our clients the tools they need to clearly present a complete picture of their clients' wealth. Our integrated capabilities have been engineered to allow our clients to streamline multiple business processes and be more responsive to their clients' needs.

Q Describe the products and services you offer.

PCR delivers comprehensive solutions for managing the complexities of wealth. We acquire financial data – marketable securities, alternative investments, personal and real property, and both home and away assets – daily from more than 3,000 custodians through our proprietary feeds and optical character recognition technology. Our rigorous process of verification and reconciliation produces the most accurate picture of clients' total wealth. Palette Platform™, an open architecture integration of systems and capabilities, delivers distinctive reporting that provides a complete view of the client relationship and includes fully customizable client reporting with multi-currency.

Q What problems are your products designed to solve?

For more than a decade, PCR has worked with private wealth firms – Private Banks, Family Offices and RIA Firms – that are seeking to gain efficiency, increase scalability and grow profitability. At the core of our business, PCR supports the critical decision-making processes of our clients with information that drives action.

Q What services do your platforms offer? (Check and name product next to all that apply.)

✓ Alternative investments
✓ Client relationship management
✓ Client reporting
✓ Enterprise content management/document management
✓ Investment Analytics
✓ Partnership/hedge fund accounting (except tax returns)
✓ Portfolio accounting (except tax returns)

Q Describe the price models of your products and services, including starting and implementation costs.

PCR's pricing is broken out into two phases:

1. Implementation & Activation: these fees are based on the scope of work, configuration, custom design and account activation.
2. Annual Service Fees: these fees typically range from one to three basis points and are correlated to actual activity. These include, Palette Platform, our private labeled, secure online environment:
   - MIS
   - Client Reporting
   - Advisor Toolbox
   - Pivot Analyzer™
   - Document Management
   - Collaboration Center™
   - Shared or dedicated Data Service Environment
   - Shared or dedicated Customer Support Service Desk

AT A GLANCE

- Firm name: Private Client Resources
- Office location(s): Wilton, CT
- Years in business: 11
- Years in family office space: 11
- Number of clients: >45 institutions serving 1,500+ UHNW end-clients.
- Contact person: Stephen Vondrak, ChFC, Senior Director

DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

2011

Relevant

Bringing clarity to private equity.

890 WINTER STREET – SUITE 325, WALTHAM, MA 02451
781.250.4000 • FAX: 781.250.4099 • EMAIL: SALES@RELEVANT.US

Q Briefly describe your firm, including its history and positioning with the wealth management/ family office industry.

Relevant Equity Systems has been a premier provider of enterprise-wide solutions to leading single- and multi-family offices and Private Equity firms for 13 years. To date, we've delivered Relevant EquityWorks™ to over 240 customers in 20 countries.

At Relevant, we bring more to the table than simply software. Our expert team's unparalleled industry knowledge and hands-on operations experience has helped leading families streamline their operations, gain unmatched clarity into their investments, and achieve superior performance.

Q Describe the products and services you offer.

Our flagship product, Relevant EquityWorks, is a fully integrated front- and back-office solution that tracks family members and their trusts, administers family limited partnerships, and models portfolio assets. Relevant EquityWorks v6.5 is particularly effective at cataloguing your data, rolling it up into easy-to-read reports, and distributing it to recipients and their third party representatives.

Most recently, we unveiled our Relevant EquityWorks app for Apple iPad® users. The first release of the app targets mobile professionals who need a lifeline into their EquityWorks system. Using the app, you can quickly access key information including companies, contacts, interactions, next steps, holdings, and performance data.

Q What problems are your products designed to solve?

Relevant EquityWorks helps your team get more done with less effort. Managers get the clarity they need into a family's holdings to minimize exposures and maximize performance. Family members benefit from clear professional communications and reports.

Q What services do your platforms offer? (Check and name product next to all that apply.)

✓ Alternative investments: Relevant EquityWorks
✓ Client relationship management: Relevant EquityWorks
✓ Client reporting: Relevant EquityWorks
✓ Enterprise content management/ document management: Relevant EquityWorks
✓ Investment analytics: Relevant EquityWorks
✓ Partnership accounting: Relevant EquityWorks
✓ Portfolio accounting: Relevant EquityWorks
✓ Portfolio management: Relevant EquityWorks
✓ Trust accounting: Relevant EquityWorks
✓ Trust administration: Relevant EquityWorks
✓ Trade order management: Relevant EquityWorks

Q Describe the price models of your products and services, including starting and implementation costs.

Relevant's software solutions are available for purchase or via subscription. Licensing costs range from $20,000 to $50,000 per year, depending upon your configuration.

Implementation costs vary depending on the size of the project; however, upgrades, unlimited Help Desk support, and monthly online classes are included in your annual user fee.

AT A GLANCE

- Firm name: Relevant Equity Systems, Inc.
- Office location(s): Boston, Tucson
- Years in business: 25
- Years in family office space: 5
- Number of clients: 14 family offices, hundreds of Private Equity firms
- Web site: www.relevant.us
- Contact person: Ray Haarstick

DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

2011

ROCKIT® | SOLUTIONS
A ROCKEFELLER FINANCIAL COMPANY

201 TRESSER BOULEVARD, SUITE 200, STAMFORD, CT 06901
866.497.9111 • WWW.ROCKITCO.COM

Q Briefly describe your firm, including its history and positioning with the wealth management/ family office industry.

Rockit® Solutions is a wholly owned subsidiary of Rockefeller Financial, whose history dates back to 1882 when John D. Rockefeller established one of the world's first family offices. Focusing on the infrastructure required to support the management of great wealth, we developed a proprietary information management system called Rockit® Command. Rockit® became an independent business offering in 2005, and today is a leading data aggregation and reporting solution for family offices, RIAs and other financial institutions.

Q Describe the products and services you offer.

Rockit® Command is our powerful transaction-processing system that includes an integrated general ledger, translating complex, multi-dimensional portfolio data into timely and comprehensive information for our clients. On top of that technology platform, our team of accountants and analysts seeks to ensure the completeness of the information, and to provide the following services:

- Portfolio Accounting, Data Aggregation & Reconciliation
- Investment & Performance Reporting
- Trust Accounting
- Partnership Accounting & Tax Services
- Portfolio View™, a web-based reporting tool designed for wealth holders and advisors

Q What problems are your products designed to solve?

To make good decisions, wealth holders and their advisors need timely and complete information. Rockit® is custodian- and manager-independent. Our Solutions Suite is designed to provide comprehensive consolidated and ad-hoc reporting capabilities on financial data. Our services give our clients the ability to analyze increasingly complicated financial situations as they seek to make timely and well-informed decisions.

Q What services do your platforms offer? (Check and name product next to all that apply.)

✓ Alternative investments: Rockit® Solutions Reporting Suite
✓ Client relationship management: Partner with best-in-class providers
✓ Client reporting: Rockit® Solutions Suite
✓ Enterprise content management/document management: Partner with best-in-class providers
✓ Investment analytics: Rockit® Solutions Suite and Other best-in-class providers
✓ Partnership accounting: Rockit® Solutions Suite
✓ Portfolio accounting: Rockit® Solutions Suite
✓ Portfolio management: Partner with best-in-class providers
✓ Trust accounting: Yes, Rockit® Solutions Suite
✓ Trust administration: Partner with best-in-class providers
✓ Trade order management: Partner with best-in-class providers

Q Describe the price models of your products and services, including starting and implementation costs.

Rockit® offers a variety of service levels to address the critical needs of our clients. Our fee structure is flexible in that we can offer our services as a complete bundled offering or as independent components. We price Rockit to be attractive on a total-cost-of-solution basis.

AT A GLANCE

- Firm name: Rockit® Solutions
- Office location(s): Stamford, CT (headquarters), New York City, Westbury, NY
- Years in business: 11; Independent offering since 2005
- Years in family office space: 30+ year history of Rockefeller Financial
- Number of clients: We currently support more than 270 client relationships across Rockit® and Rockefeller Financial.
- Web site: www.rockitco.com
- Contact person: Mark Rogozinski, President (mrogozinski@rockitco.com)