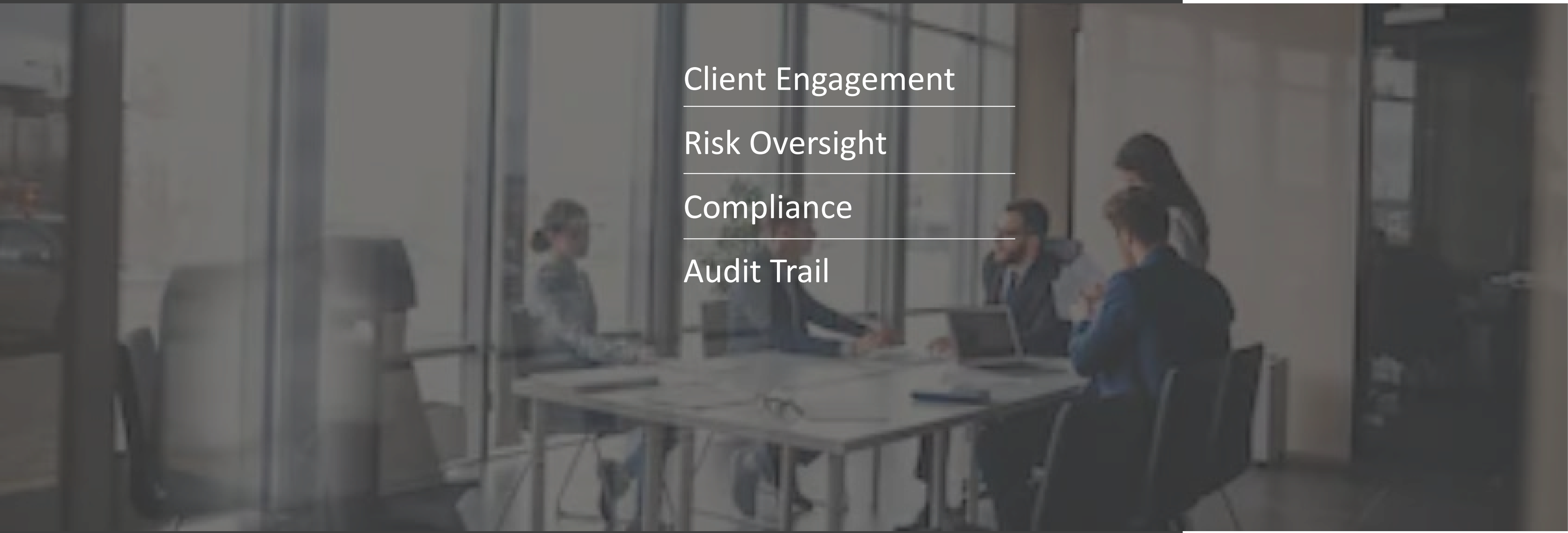
ATA RiskStation™ Enterprise Offering to Broker Dealers



- Client Engagement
- Risk Oversight
- Compliance
- Audit Trail

PRESENTED BY:
Aladin Abughazaleh
CEO

ATA RiskStation™

Why We are Unique

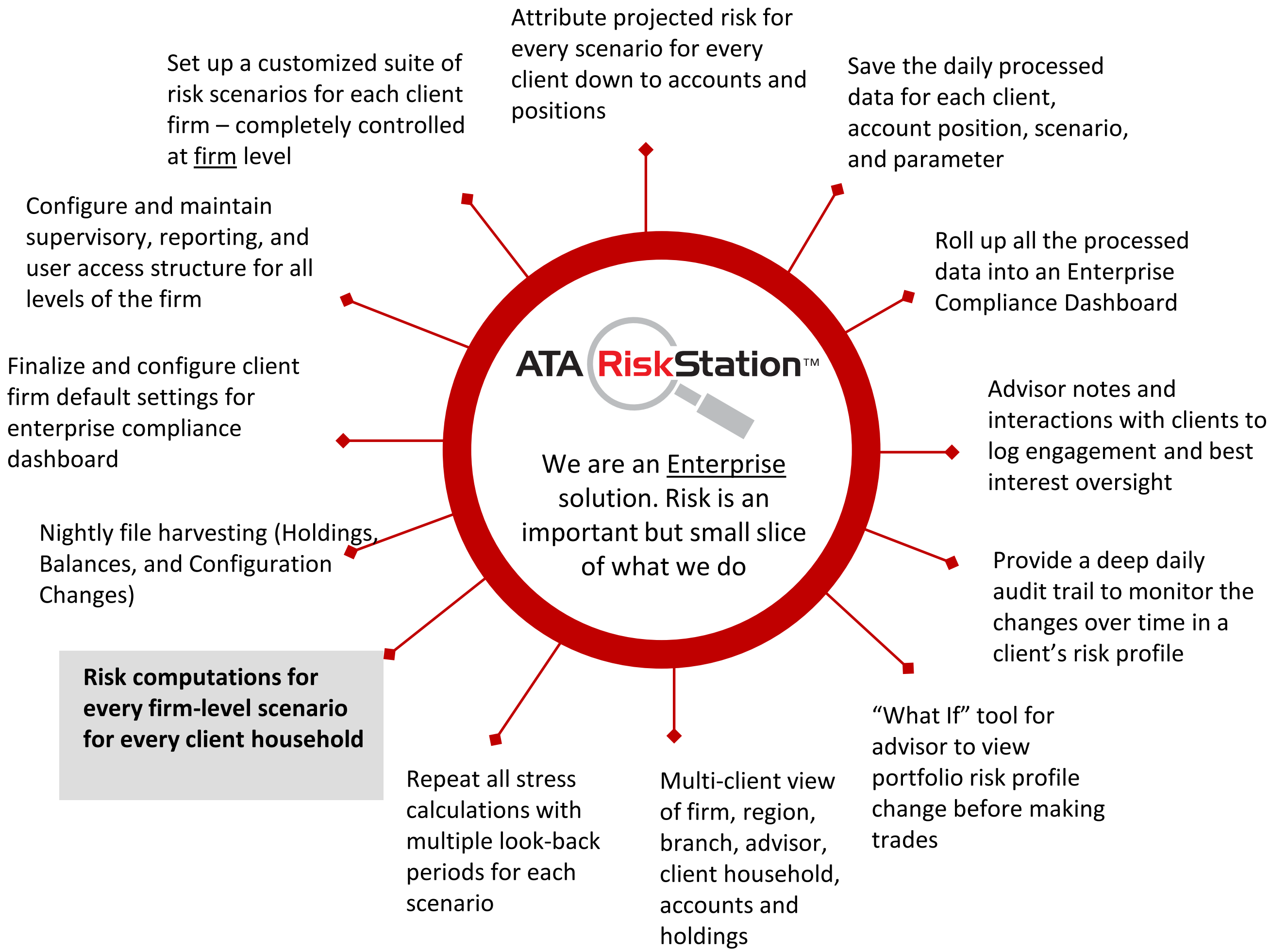
ATA RiskStation™ is a cloud-based risk analytics, client engagement and compliance platform

- We harvest fresh client holdings and balance data and process it daily because client portfolios and the market environment are not static
- We don't believe in abstracting client risk questions into single number since that requires too many concurrent leaps of faith by the firm, advisor and client. Non-technical whitepaper here.
- Our unique operating model computes and saves exhaustive post-processing granular client data at multiple levels: client, account, position, scenario (and every associated parameter)
- Our comprehensive and cumulative store of client data:
  - Supports intuitive daily risk analytics that facilitate client engagement by advisors
  - Provides the ability to drill down to risk drivers at the account and instrument levels
  - Supports a time-series view to monitor how each client's risk profile changes over time
  - Supports running the overall business and complying with new regulations through our ***Enterprise Compliance Dashboard***
  - Creates a deep and complete daily audit trail on each client's risk profile and helps the firm document both advisor engagement with clients and the firm's oversight of all activity

What We Do

ATA RiskStation™ Platform Supports:

- Client Engagement
- Advisor Retention/ Recruitment
- Risk Oversight
- Compliance / Audit Trail
- Expanding Wallet Share
- Expanding Market Share



Industry Trends and Disruptions

ATA RiskStation™

- Rising client and advisor expectations for technology and service scope
- Potentially over-extended Bull Market and increasing volatility
- Client loyalty challenge in massive inter-generational wealth transfer
- Falling barriers to top advisors spinning out to form independent practices
- Severe margin compression as advisor payout rates rise to support retention
- Rapidly evolving regulatory landscape with rising compliance and operating costs
- New SEC Reg BI Rules with a tight compliance deadline – most current firms' data models and processes are not configured to demonstrate the required oversight and audit trail

THE FUTURE DOES NOT LIE IN ZERO MANAGEMENT, ZERO TRANSACTION FEES AND HISTORICALLY COMPRESSED NET INTEREST MARGINS – BROKER DEALERS NEED TO REMAIN RELEVANT BY MONETIZING TECHNOLOGY THAT DELIVERS CLEAR VALUE AND DRIVES BETTER OUTCOMES FOR BOTH ADVISORS AND CLIENTS

ATA RISKSTATION™ CAN HELP BROKER DEALERS DIRECTLY CONFRONT THESE CHALLENGES!

Key Benefits to Broker Dealers

ATA RiskStation™

- Client engagement to help them stay on plan and calmer during periods of market stress
- Expanding wallet share with existing clients for a more complete risk picture in a highly extended bull market
- Expanding market share by winning new clients from competitors
- Support for advisor retention/recruitment by providing market-leading risk technology to help them become more effective and grow their practices
- New Enterprise Compliance Dashboard allows advisors, management and compliance to more effectively monitor that every client is within agreed risk tolerance
- Facilitate compliance with new SEC Best Interest rules

SEC Reg BI Compliance

CARE OBLIGATION

- Firm must have reasonable basis to believe recommendation in client's best interest
  - Existing positions – daily processing and monitoring
  - New trades - ***"What If"***
- Supporting documentation and audit trail for reasonable belief
- Compliance deadline – June 2020
- Most firms do not have the processes, data models and audit trail to document both daily monitoring and advisor engagement

Contact Us

ATA RISKSTATION, LLC

10000 N Central Expwy, Ste 400
Dallas, Texas 75231 USA
Tel: +1 (214) 523-9574
Fax: +1 (214) 889-5388

https://atariskstation.com/

SALES
sales@atariskstation.com

SUPPORT
support@atariskstation.com

Appendix – Supplementary Information

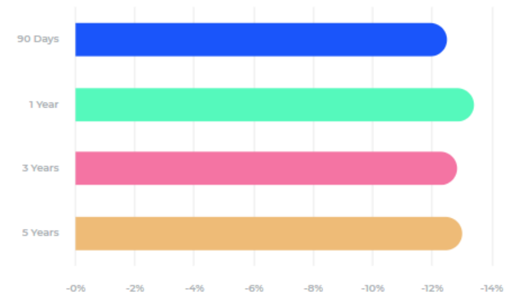
Size The Shock For the Client

Attribute the Risk for the Client

(to accounts or holdings)

Scenario Overview

SPX - DOWN 20%



View All Time Series

Detail Summary

SPX - DOWN 20%

Start Date	Test Index	Index Move	Portfolio Size
11/15/2018	SPX	(20.0%)	10,590,854

Portfolio Beta	Total P&L	Stress Percent
0.80	(1,420,582)	(13.41%)

View Detail Report

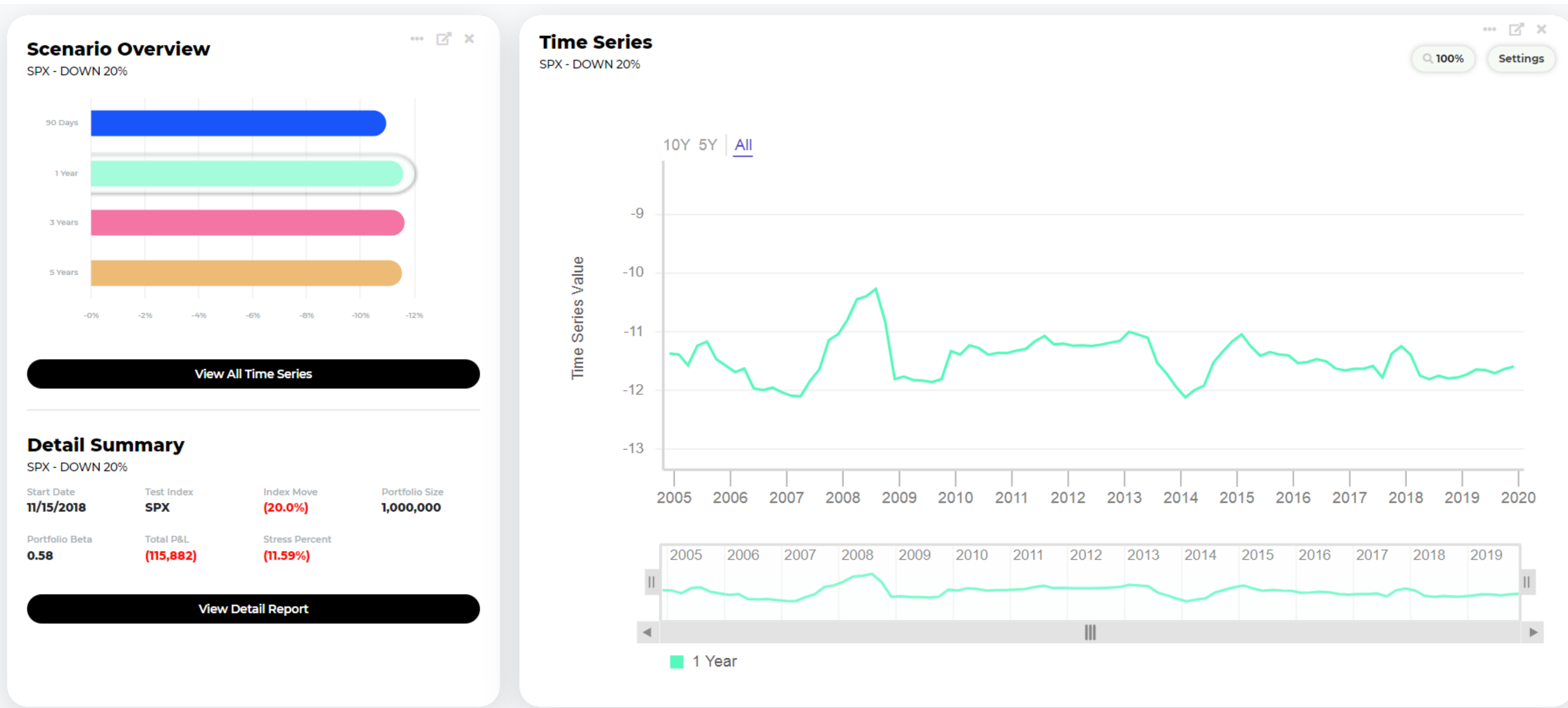
Detail Report

SPX - DOWN 20%

What-If Analysis | All Accounts

	Symbol	Quantity	Instrument	Input Price	Stress Price	Stress Impact
Precious Me...						
	GLD	2,000	SPDR® Gold Shares	138.2100	143.428	10,436
	PALL	1,800	ETFS Physical Palla...	160.2600	149.421	(19,511)
	REMX	1,580	VanEck Vectors Ra...	12.6800	10.185	(3,942)
	SLV	2,000	iShares Silver Trus...	15.8500	16.215	729
						(12,288)
MLPs						**(7,111)**
Fixed Income						**219**
Equity Holdi...						**(1,401,402)**
						(1,420,582)

Show Client Risk Profile Stability Over Time



Capture Risk Tolerance During Client Meetings

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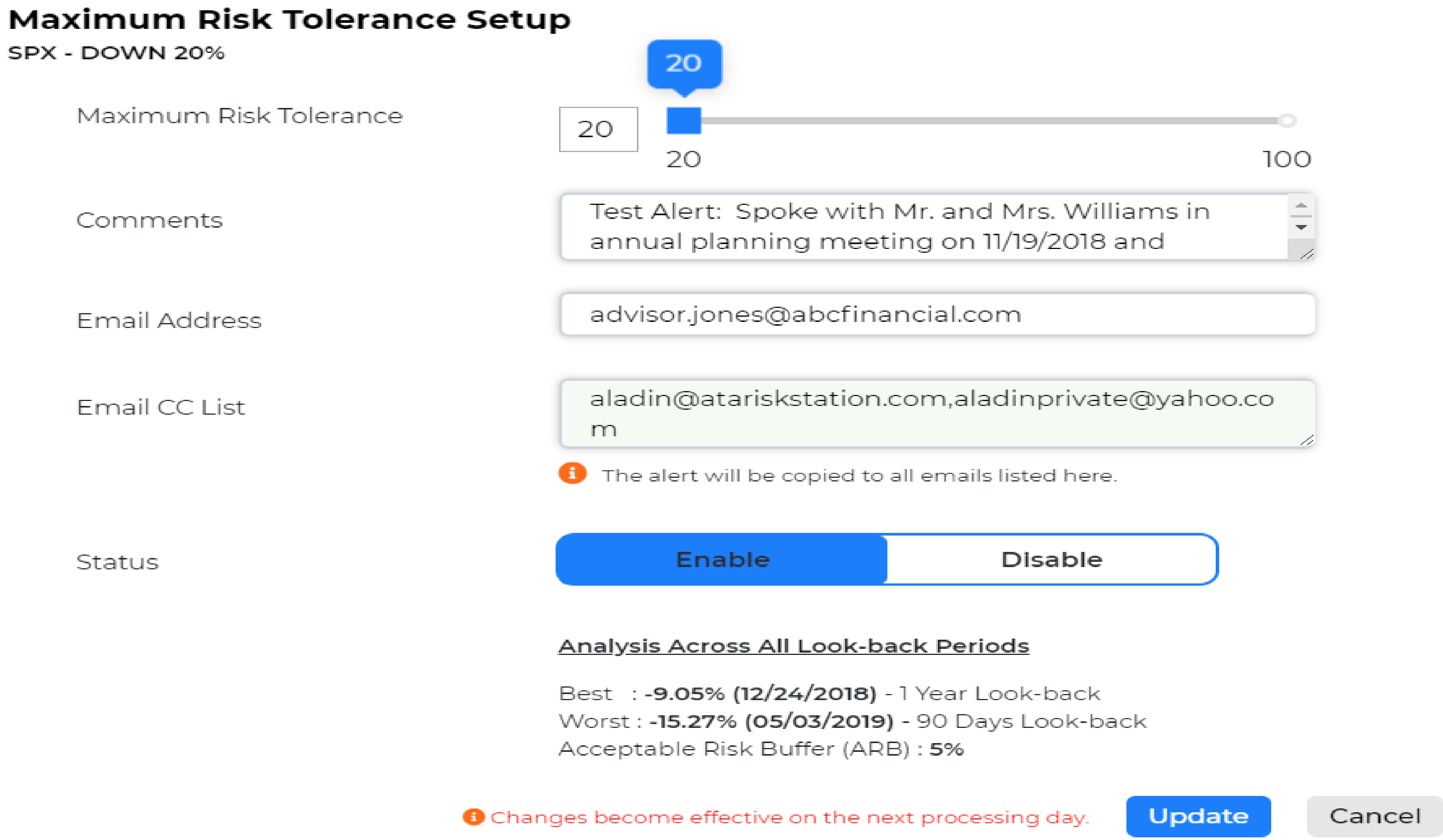

Show Client Risk “*What if*” Before Making Trade

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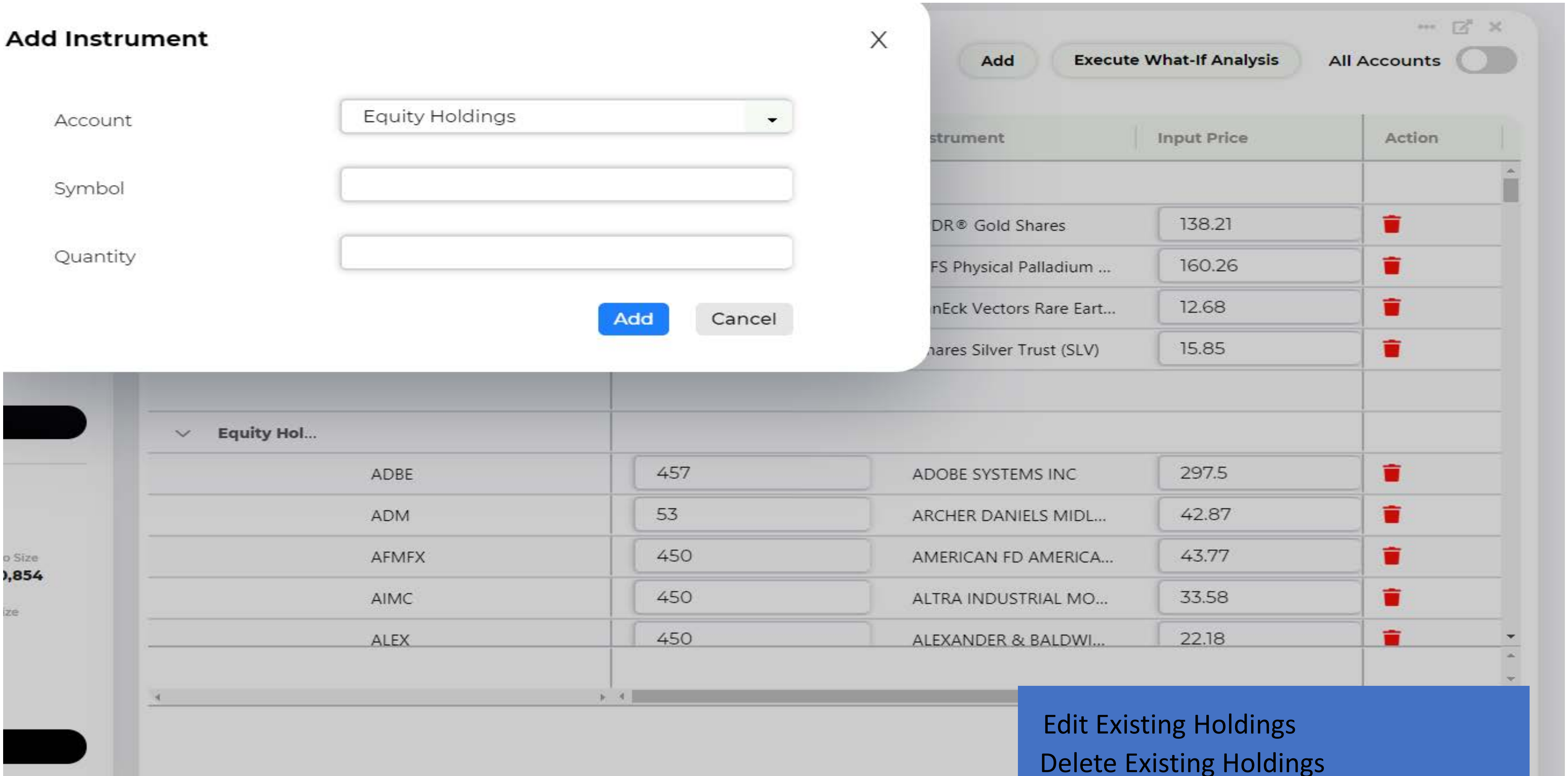

Edit Existing Holdings
Delete Existing Holdings
Add New Holdings

Roll Up All Data Into Enterprise Compliance Dashboard

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ABC Financial

Compliance Dashboard

Search

ABC Financial

As Of Date: 10/24/2018 **Total Household Count:** 105

Proximity Risk Tolerance (PRT): 90

2 Households Over Tolerance Limit
Up 2 from Previous Day

2 Households
Unacknowledged

2 Households
Time Limit Exceptions

4 Households Near Tolerance Limit
Up 4 from Previous Day

2 Households
Unacknowledged at firm default PRT of 90

95 Households Within Tolerance Limit
Up 95 from Previous Day

4 Households
With No Risk Tolerance Assigned

Compliance Detail

Default Filter | Default Sort

Actions	Reporting Level...	Household Name	Risk Ratio	Status Changed	Ack Count ...	Ack By	Ack Date	Reminder	Notes
	Advisor 5	**Bierner Household**	**108**	**10/19/2018**	**0**				
	Advisor 9	**Teman Household**	**103**	**10/24/2018**	**0**				
	Advisor 9	Brackbill Household	98	10/24/2018	0				
	Advisor 12	Brdar Household	96	12/17/2018	0				
	Advisor 11	Crimi Household	98	10/24/2018	5	Hari Pechetti	07/01/2019		test
	Advisor 9	Barillas Household	93	10/24/2018	1	Hari Pechetti	07/01/2019		

Multi-Client View for Any Advisor

Risk Threshold Report

Multi Client View At Advisor 9

Toggle For Column/Horizontal Bar

100% of Each Client's Tolerance for Any Scenario Across the Whole Book for any Advisor