



SOLUTION SHEET:

Investment Book of Record

INDEPENDENT BOOK OF RECORD PROVIDES THE SOURCE OF TRUTH

The d1g1t enterprise wealth management platform can serve as an Investment Book of Record (IBOR) to independently keep track of cash, positions, and corporate actions, and reconcile any data element automatically against external sources, whether that is a market data vendor, the custodian or another source.

To comply with securities and compliance regulatory requirements, the platform can be used to:

- record the investment decisions made
- prepare and maintain trade orders and trade blotters
- maintain records to evidence the reconciliation of client portfolio positions against other sources such as the custodian records, and generate exception reports daily

Risk Management and Mitigation

Designed to provide the consistent management of position data, firms use the platform to implement rigorous processes to permit the identification and segregation of client cash, securities, and other property. With d1g1t, wealth management firms and portfolio managers can ensure accurate daily reconciliation of all position and trade data to identify and resolve inconsistencies quickly and easily.

Key Benefits:

- Meet Regulatory & Compliance Mandates
- Gain Efficiencies & Productivity
- Successfully Pass Audits
- Single Source of Truth for Investment Analytics

Automated Workflows and Processes

d1g1t supports the automatic handling of dividend entitlements, fees/cash management, bond accruals, and splits. The platform can model complex corporate actions (e.g. spin-offs, exchanges, etc.), trade order management, and fills. Additionally, the platform can perform auditable performance number computations and independent computation of position quantities, market values, and book values (including tax lots).



Comprehensive Reporting and Reconciliation

Automatically generate state-of-the-art, expert exception, and reconciliation reports to easily reconcile the book of record against other sources, such as the custodian records, and identify discrepancies quickly and easily and take actions to remediate them.

In addition to the automatic handling of bond accruals and maturities, firms can generate reconciliation reports to identify data drifts the moment they happen.

Accountability and Transparency

The ability to comment on orders and transactions at the time of entry reduces friction and improves compliance with procedures. For example, advisors have access to clients' profiles, goals, IPS and more all in one place, enabling them to document directly in trade orders the reason behind the investment recommendation or decision, to maintain a consolidated audit trail of compliance with KYC, KYP and Suitability requirements. The platform's audit trail capabilities support the enforcement of processes. Plus, the ease of accessing and extracting the information requested by auditors makes the process faster and easier.

Data Integration

The platform is data agnostic with the ability to ingest data from multiple sources such as custodians, market data providers, etc.

For more information on the d1g1t wealth management platform visit: www.d1g1t.com or email us at getintouch@d1g1t.com.

About d1g1t

d1g1t is a wealth management technology company that helps Advisors, Multi-Family Offices, RIAs, and Broker-Dealers transition to a digital business model. The firm's award-winning Enterprise Wealth Management Platform is designed to transform the patchwork of legacy systems with a single, integrated platform that drives business growth, operational efficiencies, and productivity. Much more than reporting, the Institutional-grade performance and risk analytics engine

embedded into an intuitive advisor workflow empowers advisors with real-time intelligence, and the fully integrated client portal and mobile app deliver a modern personalized digital client experience. Using the platform, firms can digitize the entire wealth advisory life cycle through a seamless workflow that is highly intuitive, and easy to use to manage clients, portfolios, and the business.

Learn more at www.d1g1t.com.

