

THE PLATFORM

SEAMLESS
INTEGRATED
FLEXIBLE

THE TECHNOLOGY
SOLUTION FOR
ADVISORS

POWERED THROUGH

**ASHTON
THOMAS**

PRIVATE WEALTH PARTNERS

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PUTTING ADVISORS IN A
COMMAND & CONTROL
POSITION OVER THE
CLIENT RELATIONSHIP

ADVISORY SOLUTIONS

THE PLATFORM

A ONE-SIZE-FITS-ALL APPROACH SUITS NO ONE IN TODAY'S MARKET.

THE PLATFORM is a scalable, fully-mobile, cloud-based wealth management solution that allows advisors to help their clients achieve their goals on just about any screen they use. It doesn't matter if you're at your desk, at home or on the road, or using a laptop, tablet or smartphone — you can instantly access all your accounts, reports, portfolio management capabilities and more. This allows advisors to be more efficient and effective, and frees up time to meet the demands of growing an advisory business.

Our spectrum of solutions allows advisors to choose the level of control over underlying investments and asset allocation that they wish. Our open and fully-integrated platform brings together institutional-quality manager research services, investment consulting services, discretionary investment solutions and financial and tax planning that enable advisors to successfully establish and maintain an open-architecture wealth management program.

The Platform supports all account and program types – unified managed accounts (UMA), unified managed households (UMH), separately managed accounts (SMA), mutual fund wrap accounts (MFW), rep-as-advisor accounts, retail accounts both discretionary and non-discretionary – all on one platform through each stage of the wealth management lifecycle.

Our advisors excel in delivering sophisticated investment programs with a simplicity that frees them to focus on the quality of the client solution and the growth of their business.



WEALTH MANAGEMENT TODAY IS A DIFFERENT BALLGAME FROM JUST A FEW YEARS AGO.

What was once a predictable, stable corner of the financial services industry has now become a hotbed of new technology innovation, increased competition and tighter regulation—all driven by a focus on helping the millions of retiring baby boomers meet their financial goals in a world without company pensions, with declining government support and with a volatile global market. This generation, and the generations that follow, will need financial advice and guidance more than ever, yet most are confused as to whom they can truly rely on.



THE FORCES WEALTH ADVISORS FACE TODAY, AND THE CHANGES REQUIRED, ARE MANY:

▲ TECHNOLOGY

Disruptive innovators like Uber, Netflix, Airbnb and Spotify have redefined consumer expectations for how they interact with products and service providers—including their financial advisor. Investors are faced with an explosion of choices, including options to trade online for free, to take a self-directed approach through digital advice platforms or to work with a traditional advisor—and they can choose from an ever-growing number of providers.

Clients now demand personalized, seamless, interactive and digitally-enabled financial experiences on their own terms. If an advisor or firm cannot deliver a best-in-class digital experience, then a competitor soon will.

▲ PERSONALIZATION

Advisors who differentiate themselves and become the most successful are those who will deliver a fully personalized and value-added experience that meets an investor's growing expectations.

▲ COMMUNICATION

To build trust and establish their credibility, clear, consistent, timely information on a client's progress toward reaching their financial goals is imperative. Advisors who leverage tools to provide a holistic view of their client's complete financial picture, helping them understand and visualize the impact of their short- and long-term financial decisions and empowering them through information and communication, are ahead of the game.

▲ COLLABORATION

Investors expect consultative relationships built on trust and based on the assumption that they're working together in tandem with their advisor to accomplish their financial hopes and dreams. Advisors who prioritize collaboration and engage clients as active participants in the wealth planning process are positioned to win and retain long-term, multi-generational relationships.

▲ TRANSPARENCY

As the pressure grows to increase transparency, automate the flow of information and more clearly disclose and often justify fees, those advisors who demonstrate the value they bring to their relationships will be most prepared to not only respond, but also to succeed.

ASHTON THOMAS EMPOWERS ADVISORS WITH A SCALABLE, POWERFUL, SECURE, CLOUD-BASED WEALTH MANAGEMENT TECHNOLOGY SOLUTION THAT WE CALL "THE PLATFORM," GIVING OUR WEALTH ADVISORS A DISTINCT ADVANTAGE.



TAX PLANNING

PROACTIVE INTEGRATED TAX ADVICE



Too often wealth advisors work separately from tax experts, putting them at a distinct disadvantage when it comes to growing and protecting their clients' wealth while trying to leave the largest tax-advantaged legacy possible to future generations.

FOR HIGH-NET-WORTH INDIVIDUALS, TAX PLANNING DONE WELL REQUIRES CAREFUL ATTENTION ACROSS A WIDE RANGE OF AREAS. THESE AREAS SHOULD BE CONSIDERED NOT ONLY WITHIN THE ECONOMIC AND LEGISLATIVE CONTEXT OF THE NEXT FEW YEARS, BUT ALSO WITH THE LONG VIEW IN MIND. IN TAKING THIS APPROACH, THE DECISIONS YOUR CLIENTS MAKE CAN BE INSTRUMENTAL IN PRESERVING YOUR WEALTH — NOT JUST FOR THEIR OWN FUTURE, BUT THAT OF THE NEXT GENERATION AS WELL.

That's why at Ashton Thomas, integrating tax planning is a critical part of the overall wealth planning ecosystem.

Our tax experts at Peachtree stay on top of complicated tax law changes, proactively analyzing how they will affect your clients' finances, and recommending action to reduce any potential negative impact to portfolios and/or estate plans. By offering the tax element to our holistic services, we expand your value and help you deliver real-time, bottom-line results to your wealth management clients.

OUR GOAL IS TO HELP CLIENTS MITIGATE TAXATION AS MUCH AS POSSIBLE FOR EVERY WEALTH MANAGEMENT CLIENT BY INTEGRATING TAX PLANNING INTO THE FINANCIAL PLANNING PROCESS ITSELF.

By offering the tax element to our holistic services, we expand your value and help you deliver real-time, bottom-line results to your wealth management clients.



FINANCIAL PLANNING

HELP CLIENTS GET TO KNOW THEIR MONEY



At its most basic, financial planning is a response to fundamental human needs. At its most exalted, true financial planning can introduce new perspectives and new dynamics, reinvigorating your client's ideal financial life.

THE ASHTON THOMAS PRIVATE WEALTH FINANCIAL PLANNING SYSTEM IS A CLOUD-BASED, FULLY-INTEGRATED SYSTEM PROVIDING AN INTERACTIVE FINANCIAL PLANNING PLATFORM FOR ADVISORS AND THEIR CLIENTS. WE CALL IT THE WEALTH BLUEPRINT. IT FEATURES AN INTUITIVE INTERFACE, POWERFUL INTEGRATIONS AND MULTIPLE FINANCIAL PLANNING OPTIONS, SUCH AS TAX PROJECTIONS AND TAX-EFFICIENT DISTRIBUTION STRATEGIES, SOCIAL SECURITY OPTIMIZATION, SEQUENCE OF RETURNS RISK, STRESS TESTING, BUDGETING, CASH FLOWS AND MUCH MORE TO HELP YOUR CLIENTS MAKE IMPORTANT DECISIONS AND THEN PUT THEM INTO MOTION.

The Wealth Blueprint is designed to be an interactive process with a client. Collaboration is a guiding force at Ashton Thomas, as we believe the best results stem from an ongoing dialogue with a client. Each client requires a specific, unique and unprecedented solution devoid of constraints. This approach results in a Wealth Blueprint that functions measurably beyond client expectations.

FINANCIAL PLANNING DASHBOARD: ADVISOR'S MISSION CONTROL FOR YOUR CLIENT'S FINANCES

Our Financial Planning Dashboard allows you easily manage your client's financial life in one secure place—so you can help your clients reach their goals faster. It gives you everything you need to gauge, monitor and optimize your client's financial plan. Link all their external financial accounts and get a 365-degree view of their overall financial picture. Log in securely from your desktop or mobile device 24/7.

WITH THE FINANCIAL
PLANNING
DASHBOARD, YOU
CAN MONITOR
YOUR CLIENT'S:

- ▲ Net Worth
- ▲ Balance Sheet
- ▲ Budget
- ▲ Debt
- ▲ Cash Flow
- ▲ Social Security Income
- ▲ Portfolio Balances
- ▲ Portfolio Allocations
- ▲ Account Balances
- ▲ Income Reports
- ▲ Insurance
- ▲ Estate Plan
- ▲ AND MUCH MORE



GET ORGANIZED AND SEE THE FULL PICTURE, SO YOU CAN FOCUS ON YOUR CLIENTS AND GROWING YOUR BUSINESS

The wealth management industry is undergoing change on multiple fronts and therefore the potential client base for advisors is expanding. At the same time, client attributes and needs are changing. As the baby boomer generation retires, their focus is shifting to managing their finances in retirement and the eventual transfer of wealth. Meanwhile, the wealth of a new generation of tech-savvy “millennials” is growing—there are now more people under 35 than over 54 making a six-digit household income,² and the collective income of “Generation Y” is expected to surpass that of baby boomers by more than \$500 billion within 10 years.³

So what does this new model look like? It begins with a commitment to getting to know and understand the client and his or her needs, beginning at the point of prospecting, before the individual even becomes a client. It is about gathering comprehensive information about the prospective client and using this information to more effectively engage them from the outset, winning their business through demonstrated relevance, understanding, and affinity. Once the business is won, it is about developing a thorough understanding of client needs and interests and using this knowledge to develop their portfolio—an approach that stands in marked contrast to the traditional approach of assigning clients to predetermined investment strategies and products based on static one-dimensional classes depending on AUM or risk profile alone. Most importantly, a client-centric engagement model involves a commitment to building and managing a strong client relationship over the long term.

FEATURES FOR THE FORWARD LOOKING ADVISOR

- ▲ Contact Management
- ▲ Activity Streams
- ▲ Calendar Events
- ▲ Cloud File Storage
- ▲ Fully Mobile
- ▲ Advanced Security
- ▲ Account Administration
- ▲ Sales & Opportunity Tracking
- ▲ Task Management
- ▲ Automated Workflows
- ▲ Opportunity Tracking
- ▲ Advanced Reports
- ▲ Portfolio Integrations
- ▲ Social Media Integration
- ▲ Account Customization
- ▲ Email Management

ADVISORS NEED A DEEP, HOLISTIC VIEW OF CLIENTS AND THEIR OVERALL VALUE TO THE FIRM

²Center for Media Research. “6.2 Million Young-With-Money Households.” URL: http://www.centerformediaresearch.com/cfmr_brief.cfm?fnl=070301.

³Van Dyke, James, & Garascia, Jean M. “Think You Know Generation Y? Think Again.” *American Banker*, August 10, 2007.

INVESTMENT SOLUTIONS

A ONE-SIZED-FITS-ALL APPROACH SUITS NO ONE IN TODAY'S MARKET.



Ashton Thomas Private Wealth Platform is a scalable and flexible suite of investment solutions to allow advisors to help their clients achieve their goals, while meeting the demands of growing an advisory business.

Our spectrum of solutions allows advisors to choose the level of control over underlying investments and asset allocation that they wish.

GROW YOUR BUSINESS WITH INSTITUTIONAL-QUALITY PORTFOLIO ALLOCATION STRATEGIES.

To attract and retain the best clients, you need high-quality programs. Compiling portfolio allocation strategies requires a great deal of due-diligence and oversight – and time and resources you may not have.

Our portfolio allocation program is designed to offer advisors an array of strategies that include Advisor Directed, Traditional SMA (Separately Managed Accounts), UMA (Unified Managed Accounts, exchange-traded funds (ETFs), mutual funds, alternative investments and combinations of these for growth and income objectives.

Ashton Thomas Private Wealth makes it easier for you by providing the platform you need to outsource non-revenue generating activities and enable you to spend more time on client relationship and business growth.

"70% OF ADVISORS SAYS THEIR BUSINESS GREW AS A RESULT OF OUTSOURCING MONEY MANAGEMENT."

– *Investment Management Outsourcing: Impact on Clients, February 2014, Northern Trust Asset Management*

"57% OF ADVISORS SAY THEY OUTSOURCE SPECIFIC ASSET CLASSES, WHILE 29% ARE OUTSOURCING ALL ACTIVITIES."

– *Investment Management Outsourcing: Impact on Clients, February 2014, Northern Trust Asset Management*

"92% OF ADVISORS SAY THEIR CLIENTS' RESPONSE TO THEIR FIRM'S DECISIONS TO OUTSOURCE MONEY MANAGEMENT WAS POSITIVE."

– *Investment Management Outsourcing: Impact on Clients, February 2014, Northern Trust Asset Management*

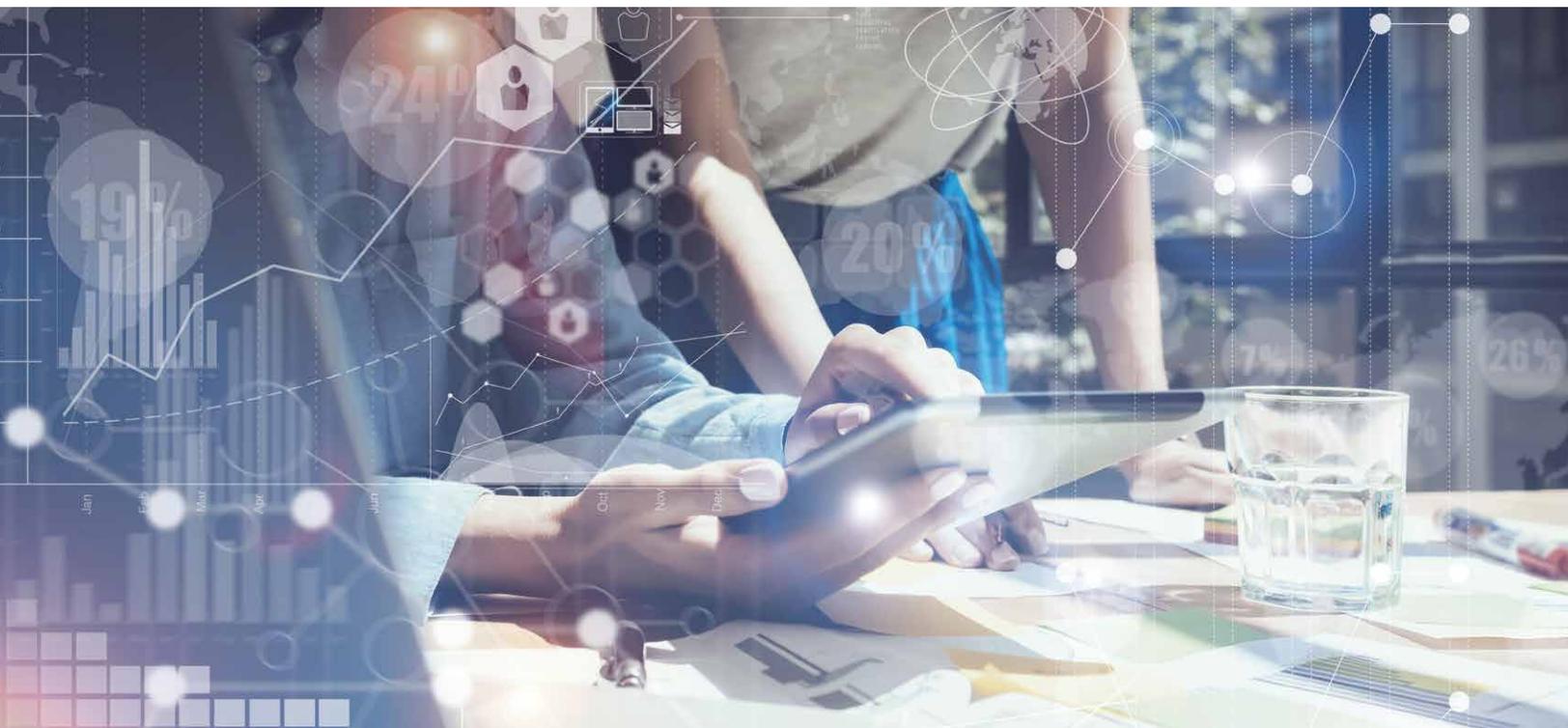
TRADING & ACCOUNT MANAGEMENT



Our institutional-strength tools allow you to trade, rebalance, and manage client accounts with efficient dashboards that incorporate alerts for key tasks. Manage every aspect of a client account, all from a single screen.

KEY FEATURES:

- ▲ Automated account monitoring
- ▲ Scalable rebalancing, including Cash and Asset Class rebalances
- ▲ Straight-through trade order management for equities, ETFs, mutual funds, and options including support for Limit, Stop, Stop Limit, Trailing Stop and GTC/D orders
- ▲ Multi-custodial connectivity
- ▲ Multifactor risk model tax optimization
- ▲ Market data and pricing feeds
- ▲ Compliance reporting and workflows
- ▲ Automated trading across entire book with real-time execution and allocation
- ▲ Additional trading tools to support model changes, swaps, fund family exchanges, trading worksheets and uploads



PROPOSAL GENERATION & ACCOUNT OPENING

Our investment proposal generation tool allows advisors to analyze and establish a client's risk tolerance based on current holdings, and construct an optimal portfolio leveraging institutional-quality research and product catalog. The Proposal Tool is seamlessly integrated with our account opening workflow, to make turning a prospect into a client efficient and easy. And because we believe that Investment Policy Statements aren't a one-and-done event, we include lifecycle management options to help you keep your information relevant and timely.

KEY FEATURES:

- ▲ Client profiling
- ▲ Portfolio construction workflow
- ▲ Asset allocation comparisons
- ▲ Institutional-grade analytics
- ▲ Online custodial new account opening



REPORTING & PERFORMANCE



Effective client collaboration relies on clear, concise reporting. Our performance and client reports help advisors better communicate trends and insights.

KEY FEATURES:

- ▲ Full UI and exportable reporting suite including Performance, Holdings, Balances, Realized and Unrealized G/L, Activity and Drift
- ▲ Multi-level reporting by household, account, investment sleeve, asset class and sector
- ▲ Institutional quality performance calculations including reconciliation
- ▲ Configurable investor portal
- ▲ Client presentation reports with customizable branding
- ▲ Composite reporting
- ▲ Account and Household Drift reports to support ongoing monitoring



RESEARCH / DUE DILIGENCE

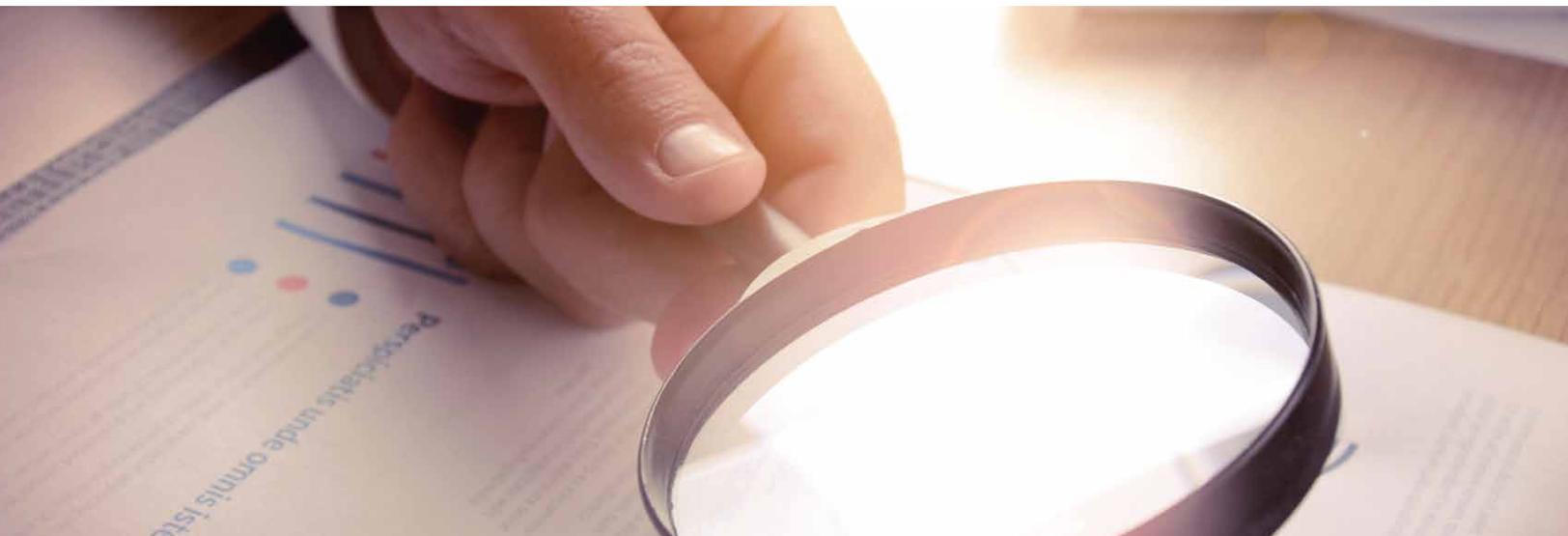


GET THE DUE DILIGENCE AND INSTITUTIONAL-QUALITY RESEARCH YOU NEED TO SUPPORT EFFECTIVE PROGRAM OFFERINGS.

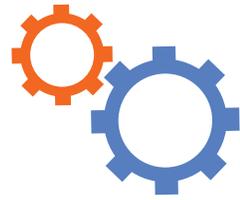
- ▲ Ashton Thomas' internal and external investment research groups perform ongoing manager research processes supporting separately managed account (SMA), unified managed account (UMA), mutual fund wrap (MFW), and exchange traded fund (ETF) strategies and investment vehicles.
- ▲ Ashton Thomas' external investment research group (EIRG) identifies the source of a manager's skill and then monitors the people, processes, performance and controls that influence the continued success of that strategy. They communicate their findings with timely, thorough and objective recommendations. EIRG analysis and detailed findings support both single money manager and multi-manager portfolio construction processes.

EIRG research and due diligence process includes both qualitative and quantitative assessments, including:

- Qualitative factors such philosophy, people, process, research and organization
 - Quantitative factors such as skill metrics, risk metrics, portfolio characteristics, process validation and performance
- ▲ Our internal external and research team can be used in conjunction with advisors existing research or as a complete replacement. Our advisors have access to this research via an online investment research portal or it can be seamlessly integrated with any module in the wealth management technology platform.



PRACTICE MANAGEMENT



PRODUCTS & SERVICES

COLLABORATING WITH OUR ADVISORS ON SOLUTIONS

Our open architecture platform allows advisors to better manage client relationships, promote strategies built in the client's best interest, and further ensure clients get exactly what they need. Without the conflict of interest that may arise when offering only proprietary solutions, advisors can move their focus from sales to a more personalized interaction with clients.



ADVISORY CONSULTING & CLIENT ACQUISITION

BENEFIT FROM EXPERT ADVICE TO ENHANCE AND GROW YOUR WEALTH MANAGEMENT BUSINESS

Ashton Thomas offers comprehensive consulting services to assist Firms/Advisors in achieving their true potential. Our consulting services provide objective and thorough recommendations leveraging our team's collective intelligence across the entire wealth management spectrum.



ADVISORY TRANSITION

SEAMLESS TRANSITION PROCESS

Leaving your existing firm is never an easy decision. We understand the complexities and the fears you might have when presented with the opportunity to move. That's why Ashton Thomas Private Wealth (ATPW) has invested heavily in ensuring we help educate you as an advisor and master the transition of advisors/firm to ATPW.

A TRANSITION TEAM LIKE NO OTHER

- ▲ Ashton Thomas' team has transitioned many successful financial advisors in a quick, efficient manner, allowing them to focus on communicating with their clients and growing their businesses. Our team is comprised of experienced individuals who are with you every single step of the way – from the first asset to the last security.



SUCCESSION PLANNING

BENEFIT FROM EXPERT ADVICE TO ENHANCE AND GROW YOUR WEALTH MANAGEMENT BUSINESS

Whether you want to cultivate the next generation of independent advisors to eventually be the successor of your business or if you'd like to sell your business, Ashton Thomas can help. For our advisors who do not have any formal plan currently in place, we work with you to design a plan as a stopgap measure for an advisor should he or she suddenly pass away. This plan helps for the unexpected and ensures your clients and family are taken care of should something happen to you.

THIRD-PARTY EVALUATION | ADVISOR-TO-ADVISOR TRANSACTION | FIRM PURCHASE BOOK

MARKETING



SOLUTIONS AND STRATEGIES TO BUILD CREDIBILITY AND ATTRACT CLIENTS

While you're focused on nurturing your current clients, generating and reviewing financial plans, staying abreast of legislation and delivering the most current financial strategies, it may seem impossible to find time to market yourself to attract new clients.

That's why we offer a complete marketing team to help you:

- ▲ build your brand
- ▲ connect more consistently with your current clients
- ▲ enhance your online presence
- ▲ manage your social media with blogging and SEO
- ▲ generate leads

Our team of writers, graphic designers, web designers, videographers and multimedia specialists work in concert to promote you, developing materials that instill client confidence and add the visibility you need in the digital age.

Access a marketing automation tool filled with print ads and many other collateral pieces, which can each be personalized with your information.

- ▲ Wealth Blueprint
- ▲ Portfolio Construction
- ▲ Private Wealth
- ▲ Tax Consulting
- ▲ Investment Proposals
- ▲ Estate Planning
- ▲ Video
- ▲ And more



AT ASHTON THOMAS, OUR WEALTH ADVISORS SHIFT PART OF THE WEALTH MANAGEMENT BUSINESS TO SPECIALISTS, LIBERATING TIME AND OTHER RESOURCES TO FOCUS ON THOSE ASPECTS THAT THEIR CLIENT TRULY VALUES: PERSONAL ATTENTION, INSIGHT INTO UNIQUE SITUATIONS, SERVICE AND TRUST.

5 MUST-HAVE ADVISOR TECHNOLOGY FEATURES THAT BUILD CLIENT TRUST

1

24/7 access to full-featured client portals.

2

Integrated data and workflows to enable client information to be current and accurate.

3

Easy-to-understand reports and presentations with dynamic views and dashboards.

4

Easily conduct meetings with timely information via collaboration tools, screen sharing, or video chat.

5

Mobile friendly so clients can access their information or interact with their advisor on any device, anywhere.





YOUR FUTURE LOOKS BRIGHT WITH ASHTON THOMAS

ashtonthomaspw.com

Investment advisory services provided by Ashton Thomas Private Wealth, LLC, an SEC registered investment adviser. Securities brokerage services provided by M.S. Howells & Co, Inc., member of FINRA and SIPC. Insurance products offered by Ashton Thomas Insurance Agency, LLC, a licensed insurance agency. M.S.Howells & Co, Inc. is not affiliated with Ashton Thomas Private Wealth, LLC.

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