



univeris®

# POWERING TOTAL FINANCIAL MANAGEMENT





## KEY DATES AND TECHNOLOGY FIRSTS

- 2008** Supervision+
- 2007** Insurance Administration System, PortfolioINSIGHTS®
- 2003** Advisor Dashboard
- 1999** Online compliance management
- 1998** GIC distribution integration, Internet-based practice management tools for advisors
- 1996** Launch of the EWMS platform
- 1991** Univeris incorporated

## ENABLING BUSINESS GROWTH

Univeris has a single focus: to bring efficient and effective enterprise wealth management solutions to Canada's leading financial services providers.

Wealth management firms turn to Univeris for innovative technology and market-leading solutions — solutions that are based on a deep understanding of a firm's unique business model and strategic vision, and Univeris' expert insight into the wealth distribution industry as a whole.

**THE RESULT:** *A strategic business solution (known as the EWMS wealth platform) that helps retail wealth management distribution firms grow their share of market and wallet.*

### WHO USES UNIVERIS SOLUTIONS TODAY

Wealth management companies in all segments rely on Univeris expertise to grow their businesses, including:

- ❖ Mutual fund dealerships
- ❖ Investment dealerships
- ❖ Insurance distributors and managing general agencies (MGAs)
- ❖ Credit unions
- ❖ Banks

Every **Univeris** solution is built on the vision of **Total Financial Management**. This vision puts investors and advisors at the **centre** of every decision and functional development — and allows wealth management firms to rapidly **deliver** and **deploy** their own unique holistic strategies for **competitive** advantage.

## ENABLING TOTAL FINANCIAL MANAGEMENT (TFM)

TFM is the Univeris corporate vision founded on providing an advisor and investor-centric approach to wealth management. This vision helps drive advisor and investor engagement, which in turn helps a firm increase both share of wallet and market.

Univeris products and services enable Total Financial Management by being:

- ❖ **CUSTOMER-CENTRIC.** Univeris products and services are developed around the needs of wealth distribution firms, their advisors and the investors they serve.
- ❖ **INNOVATIVE.** The EWMS platform — an industry-leading technology platform — helps firms break through traditional product line silos by consolidating a firm's products (such as mutual funds, GICs, individual life and health insurance) on a single wealth distribution system.
- ❖ **EFFICIENT.** Recognizing that front office performance is closely tied to enterprise back office operations, the EWMS platform is built using industry best practices and over a decade of experience to drive significant operational efficiencies.
- ❖ **EFFECTIVE.** A single, accurate view of investor data allows firms and their advisors access to information anytime, anywhere. This enhances service and helps increase share of wallet.



## Technology for Total Financial Management: **THE EWMS PLATFORM**

Technology integration makes good business sense. The EWMS wealth distribution technology platform reduces multiple systems and data sources into a single real-time solution.

With the EWMS platform, an entire enterprise is empowered to enable Total Financial Management:

❖ **FULL SUPPORT FOR RETAIL DISTRIBUTION OF MULTIPLE PRODUCTS.**

The EWMS single platform technology supports the distribution of mutual funds, segregated funds, cash, GICs, TFSA's, individual life and health insurance, and securities.

❖ **A FRONT OFFICE SYSTEM FOR ADVISORS.** The EWMS platform includes all aspects of an advisor's financial practice — client management, investment management and order management — on a single advisor-friendly system.

❖ **SECURE, ACCURATE, AUDITABLE BOOK OF RECORD.** EWMS stores and maintains all client data and holdings information so that it operates as a secure and auditable book of record for the entire enterprise.

❖ **COMPLETE DATA ACCURACY.** With the EWMS platform, data is managed centrally in order to ensure full data accuracy and integrity. Embedded security systems and protocols guard access, data and client information.

❖ **DRIVE MORE WEALTH STRATEGIES.** EWMS add-on modules — including Portfolio Model Rebalancing and PortfolioINSIGHTS® — allow for advanced customization so that firms can drive even more differentiated wealth strategies into the market.

*The **EWMS** platform is designed to **integrate** fully into a firm's existing environment, or replace separate and independent systems entirely. With a **single wealth platform**, key decision makers, back office operations and advisor teams **benefit instantly** from a streamlined, feature-rich environment.*

## Focus on compliance and the front office: **PROACTIVE PERFORMANCE WITH EWMS PLATFORM**

Wealth management firms recognize a proactive approach to compliance management helps protect the entire firm. At the same time, front office systems must provide proactive intelligence to enable higher levels of service. The EWMS platform provides both.

### **BEST-IN-CLASS COMPLIANCE MANAGEMENT**

- ❖ **ENTERPRISE-WIDE GRC.** The EWMS platform includes the most advanced, comprehensive and integrated compliance management system on the market — giving dealers, advisors and investors the industry's highest level of protection. By customizing and configuring the system to an individual firm, Univeris offers an enterprise-wide approach to Corporate Governance Risk and Compliance (GRC).
- ❖ **REGULATORY EXPERTISE.** Univeris partners with industry regulators to gain proactive insights into proposed changes and then continually builds and updates the EWMS core technology to exceed new standards.
- ❖ **ACCURACY THROUGH AUTOMATION.** The EWMS Compliance Suitability function provides a consistent trade suitability review process and helps ensure investment activity is consistent with an investor's KYC profile.

### **FRONT OFFICE SOLUTIONS FOR ADVISORS**

- ❖ **SINGLE VIEW OF THE INVESTOR.** Advisors and their teams get a single comprehensive view of each individual investor, available 24/7 in real time.
- ❖ **ENABLES HIGHER LEVELS OF SERVICE.** The EWMS platform includes powerful front office tools with built-in client profiling, client account aggregation, off-book asset tracking and other valuable practice management functionality that helps advisors provide better service and improve profitability.
- ❖ **CREATES A COMPETITIVE ADVANTAGE.** The EWMS platform fully supports an advisor's need for investor information, investment analysis and real-time information in order to meet the challenges of today's competitive marketplace.





## BUILDING LONG-TERM STRATEGIC PARTNERSHIPS

By building long-term partnerships with clients and industry stakeholders, Univeris solutions are backed by customized strategy and industry expertise — and deliver measurable value.

- ❖ **EVERGREEN TECHNOLOGY MANAGEMENT.** The Univeris Evergreen Technology Management model enables the EWMS platform to evolve over time through regularly scheduled updates and releases. This proactive, long-term approach ensures Univeris clients have the most up-to-date technology platform powering their business.
- ❖ **STRATEGIC SUPPORT TEAMS.** All Univeris technology and solutions are backed by an array of strategic expertise ranging from Professional Support (including project management, system conversion and implementation) to Customer Support, which has an on-call team of EWMS experts.
- ❖ **INSIGHTFUL PLANS OF ACTION.** Wealth management firms require more than technology to gain a competitive advantage. Univeris evolves unique insights from Canada's leading wealth management companies, industry regulators, research firms and financial advisors into strategic plans of action for clients. This way, firms are better able to meet growth projections and provide higher levels of service to both advisors and investors.



## The power to transform your business

The Univeris Total Financial Management philosophy and the EWMS platform transform the way wealth management firms do business and how they connect with advisors and investors.

Talk to the Univeris team of experts today and find out how your firm can gain a more efficient and effective wealth management solution.





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