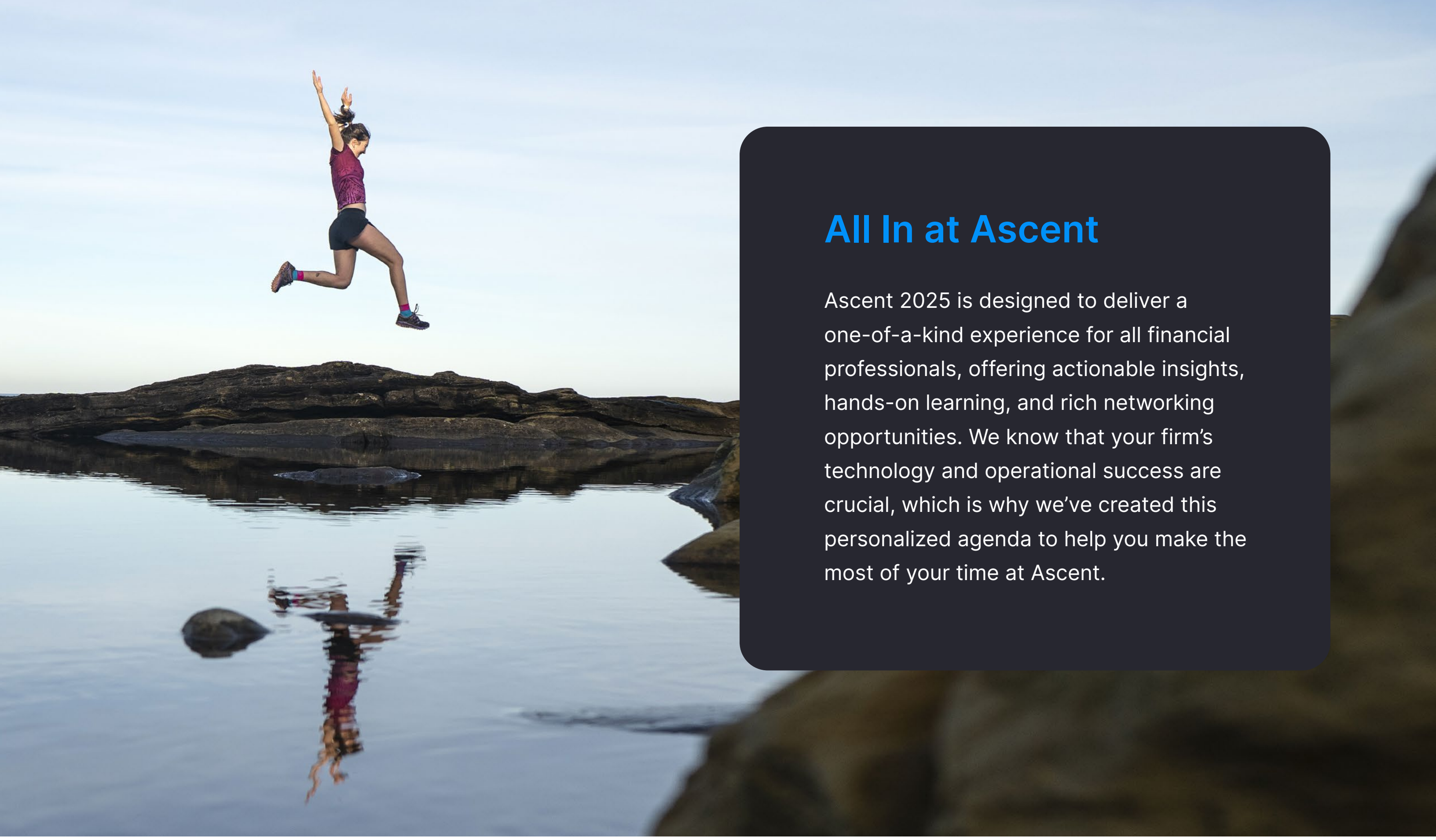
ORION ASCENT

# Go All In on Your Ascent 2025 Experience

A tailored agenda to help you maximize your conference experience, designed with your unique role and goals in mind.



## All In at Ascent

Ascent 2025 is designed to deliver a one-of-a-kind experience for all financial professionals, offering actionable insights, hands-on learning, and rich networking opportunities. We know that your firm's technology and operational success are crucial, which is why we've created this personalized agenda to help you make the most of your time at Ascent.

PERSONA OVERVIEW

# CTO, COO and Operations Leaders

If you're a key decision maker responsible for the implementation and management of technology and operations at your firm, this agenda is built for you. You'll gain insights into the latest trends — like AI, crypto, and alternative investments — and explore tools that will help you streamline workflows and elevate your firm's efficiency.

LET'S DIVE IN

PRE-CONFERENCE EXCLUSIVE

## Deep Dive Training: Orion Trading

Discover how to efficiently manage cash needs, quickly harvest losses across your book of business, take advantage of high-yielding money market funds, track internal notes across your trading team, send trade orders directly to custodians, and leverage custom dashboards and views to streamline your workflows. Plus: get a sneak peek at what's coming next!

## Tech-Connected Roundtable: Uniting Users of Orion Tech

Join fellow users for a unique networking opportunity designed to enhance how you use Orion technology. In this engaging session, you'll sit alongside firms that are harnessing the same Orion solutions as your own, providing a rare chance to exchange best practices, explore successful strategies, and discover new approaches to common challenges. Orion product team members will facilitate discussions at each table, ensuring you can voice your experiences and provide direct feedback that shapes the future of our technology. This interactive roundtable is the perfect setting to foster collaborations, gain insights, and influence product developments with your professional peers. Don't miss out on the chance to connect deeply with the community and enhance your firm's operational efficiency and service delivery.

## Custom Fit Tech: Tailoring Your Perfect Tech Stack leveraging Orion Integration Partners

Unlock the full potential of your firm's technology by customizing a tech stack that aligns perfectly with your business objectives. In this dynamic session, Jeff Kliewer will guide attendees through the strategic process of selecting and integrating the ideal technologies for their firm using Orion's extensive network of integration partners. Learn how to assess and combine diverse tech solutions to enhance operational efficiency, improve client service, and achieve competitive differentiation. Whether you're looking to refine your current setup or build a new one from the ground up, discover how to leverage Orion's flexible ecosystem to create a tech stack that truly fits your firm's unique needs. Join us to ensure your technology empowers your firm to do business exactly as you envision.

## Streaming Success: Unlocking Efficiency and Customization with Data Streaming

Dive into the dynamic world of data streaming in our live case study session, "Streaming Success." Discover how leading-edge firms are harnessing the power of real-time data to revolutionize operational efficiency and craft personalized client experiences. This session will explore various successful use cases, demonstrating the transformative potential of data streaming in the financial sector. Gain insights on how you can integrate these strategies into your firm to optimize processes and meet client needs with unprecedented precision and agility. Join us to see data streaming in action and learn how to leverage this technology to elevate your firm's service and performance.

## Technical Treasures: Solving for Disparate Data and APIs

Join us for an in-depth, technical session that delves into the real-world data challenges faced by one of our clients and explores the innovative solutions Orion has developed in response. This session will highlight the complexities previously encountered with data integration and API utilization, and introduce our groundbreaking Global Entity Services. Learn how we are simplifying processes by creating a unified investor identity and a consolidated API layer, designed to enhance data coherence and accessibility across our platform. Discover how these enhancements not only address past hurdles but also open up new possibilities for firms to efficiently leverage Orion's suite of APIs. Gain insights into how your firm can benefit from these developments, ensuring a smoother, more integrated experience with Orion's technologies.

## The AI Advantage: Transforming Compliance with Orion

In a demanding and ever-changing regulatory environment, staying ahead of the curve with innovative compliance tools is crucial. In this deep dive session, you'll learn how to leverage technology to automate and scale your compliance program, identify essential features from your compliance technology provider, and stay exam-ready by effectively utilizing your technology. Plus: cover compliance concerns presented by AI and how to use it effectively and compliantly.

## Compliance Masterclass: Insights from Industry Experts

Welcome to "Compliance Masterclass: Insights from Industry Experts," where advisors gain unparalleled access to top-tier compliance knowledge and strategies. This dynamic session brings together a panel of seasoned compliance professionals and industry leaders to provide actionable insights and guidance on navigating today's complex regulatory environment.

In this masterclass, you will:

- **Hear from Leading Experts:** Gain first-hand knowledge from a panel of compliance specialists who will share their expertise on current regulatory trends, challenges, and best practices.
- **Understand Key Compliance Issues:** Explore critical compliance topics affecting financial advisors, including risk management, regulatory changes, and effective compliance strategies.
- **Get Practical Advice:** Learn practical, actionable strategies to enhance your compliance programs, streamline operations, and mitigate potential risks.
- **Stay Ahead of Regulatory Changes:** Equip yourself with up-to-date information and insights to ensure your practice remains compliant and competitive in a rapidly evolving landscape.
- **Engage in Interactive Discussions:** Participate in a lively Q&A session where you can pose your pressing compliance questions.

This session is designed for advisors seeking to deepen their understanding of compliance, improve their regulatory practices, and stay ahead of industry changes. Don't miss this opportunity to gain valuable insights and practical tools from the forefront of the compliance field.

## The Future of Regulation: SEC's 2025 Focus and Post-Election Impact

As we kick-off 2025, the regulatory landscape for financial advisors is set to undergo significant changes. Don't miss this in-depth exploration of the Securities and Exchange Commission's (SEC) anticipated priorities and regulatory shifts following the recent elections. Join us for a comprehensive analysis of the SEC's evolving agenda and the implications for your practice.

We will delve into:

- **Upcoming SEC Priorities:** Understand the key regulatory areas that the SEC is expected to focus on in 2025, including emerging trends, enforcement priorities, and policy shifts.
- **Post-Election Regulatory Landscape:** Gain insights into how the election results could influence regulatory changes, including potential alterations in leadership, policy direction, and legislative support.
- **Strategic Implications for Advisors:** Learn how these developments may impact your business operations, compliance strategies, and client interactions.
- **Preparation and Adaptation:** Discover actionable strategies for staying ahead of regulatory changes and effectively navigating the evolving regulatory environment.

This session is essential for advisors looking to stay informed and strategically prepare for the regulatory changes on the horizon. Equip yourself with the knowledge and tools needed to thrive in a shifting landscape and ensure your practice remains compliant and competitive.

## The KPI Playbook: Metrics That Drive Firm Valuation and Sale

Join us for an insightful session tailored to advisors looking to maximize the marketability and value of their firm. In today's competitive landscape, understanding and leveraging key performance indicators (KPIs) is essential for demonstrating the strength and potential of your business.

Whether you're preparing for a future sale or simply aiming to enhance operational efficiency, this session will equip you with the essential metrics and strategic insights you need, including:

- **Identifying Critical KPIs:** Learn which metrics are crucial for evaluating the health and growth potential of your firm.
- **Impact on Valuation:** Understand how KPIs influence the valuation process and what potential buyers are looking for.
- **Optimizing Business Performance:** Strategies for using KPI data to drive operational improvements and increase profitability.
- **Preparing for a Sale:** Practical steps to prepare your firm for sale, focusing on enhancing attractiveness to potential buyers through data-driven insights.

FIRST LOOK

## Product Demos

Be among the first to see and experience Orion's newest technology, right there with the people who design and develop it to transform your business. Ask questions, explore the opportunities, and get excited for everything coming next.

Ascent 2025 is your chance to dive deep into the latest tech and operational strategies shaping the industry. Join us to unlock tools and insights that will transform the way you work.

Register Today

# About Orion

Orion is a premier provider of the tech-enabled fiduciary process that transforms the advisor-client relationship by enabling financial advisors to Prospect, Plan, Invest, and Achieve within a single, connected, technology-driven experience. Combined, our brand entities, Orion Advisor Tech, Orion Portfolio Solutions, Brinker Capital Investments, Redtail Technology, and Orion OCIO create a complete offering that empowers firms to attract new clients seamlessly, connect goals more meaningfully to investment strategies and outcomes, and ultimately track progress toward each investor's unique definition of financial success. Orion services $4.4 trillion in assets under administration and $69.4 billion of wealth management platform assets (as of June 30, 2024) and supports over six million technology accounts and thousands of independent advisory firms. Today, 17 out of the Top 20 Barron's RIA firms[1] rely on Orion's technology to power their businesses and win for investors.

## Don't Work With Us Yet?
**Let's Change That.**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1 Source: 2024 Top 100 RIA Firms, Barron's, 2024



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