Held-Away Asset Management: Growing Service Value and Your Business with Pontera

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- Partners with the home office to drive partner firm & end client value
- Spent 10+ years at Goldman Sachs Asset Management
- Lives on Long Island with her husband and two children, Riley and Connor

Pontera

GVA Partner

Orion Partner

A trusted platform by retirement savers.

Using Pontera, financial advisors can securely analyze, re-balance, and bill on client 401(k)s, 403(b)s, and more.

Founded in 2012, Pontera now serves Fortune 500 firms including leading RIAs, broker-dealers, asset managers, plan advisors, recordkeepers, & DC aggregators.

The opportunity to grow client outcomes and your business

There are over $12 trillion in held away assets

- The median American family's largest asset is their employer-sponsored retirement account
- Most Americans "set and forget" or use default investment vehicles
- **+75%** more account growth can be gained with professional help[1]
- **+62%** of plan participants want to hand over account management to a professional[2]

Client testimonial

"When I was handling myself, it was on a wing and a prayer... **If someone asked me about their advisor wanting to manage their 401(k), I would say absolutely do it."**

Teddy Sweeney
Surgical Sales Rep

Traditional methods of addressing 401(k)s and other held away assets leave clients dramatically underserved.

Traditional methods of 401(k) guidance

Do nothing

No holistic management

Subpar service to clients

Missed AUM growth

Rollover conflict of interest

Client homework

Give suggestions

Fiduciary liability via regular & individualized advice (DOL)

Limited fund data for proper duty of care

Rollover conflict of interest

No monitoring or controls

Client homework

Login as client

Trigger custody

Cybersecurity liability

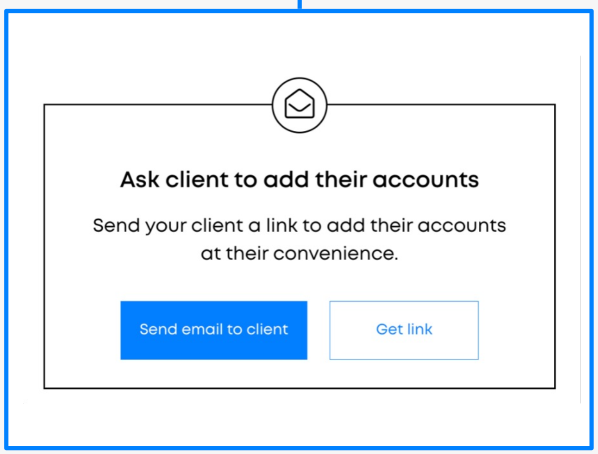
No means of supervision

Cumbersome, manual

Pontera provides a secure, compliant path to held away account management without triggering custody.

Pontera AICPA SOC ISO 27001

1



2

Connect account

Your client connects their account(s) to Pontera.

3

Manage account

Advisor views account analysis and rebalances the account in Pontera.

4

Holistic Reporting

Advisor runs performance reporting and billing in Orion via Pontera integration.

GVA advisors are growing value for their clients and firms by launching held away asset management as a core service.

Grow value and AUM

Analyze, monitor, rebalance & bill on 401(k), 403(b), etc. accounts – truly **bringing held away assets under management**.

Holistic reporting

Provide your clients with full-portfolio performance reporting in Orion & **bill LPL custodied accounts through AdvisorBOB**

Pontera

ORION

Competitive advantage

Expand your service offering to distinguish your firm from those without holistic management capabilities.

Strengthen compliance

Eliminate fiduciary & rollover conflicts of interest under SEC & DOL regulations while **enhancing supervision & security practices.**

Pontera provides a dedicated resource & kits to each advisor for 6 months, supporting a successful rollout.

Phase 1

Early adoption

Approach clients who have asked for 401(k) assistance in the past.

- Branded 1-pager
- Setup guide

Phase 2

Broad rollout

Incorporate pro 401(k) management into your core offering for all eligible clients.

- Infographics
- Consultation slides
- Newsletter inclusion
- Social media
- Website

Phase 3

Value delivery

Present a cohesive tax location and investment strategy and performance reporting.

- Integrated reports
- Seamless billing

Pontera allows you to elevate your service offering, drive end-client results and increase your AUM

Better advice
Provide a comprehensive service offering to new and existing clients

Superior outcomes
Managed 401(k) accounts outperform self-directed by >4% per year, net of fees.[3]

Streamlined operations
Clients will be able to see all their accounts in the Orion portal

Tax alpha
Outperformance driven by smart asset location to qualified accounts.

AUM growth
The median ratio of retirement plan savings to net worth is ~53%[4]

Client satisfaction
Advisors report up to an 88% end-client adoption rate.

Pontera

Next step to get started

Please scan this QR code or email
partnerships@pontera.com

Sources

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