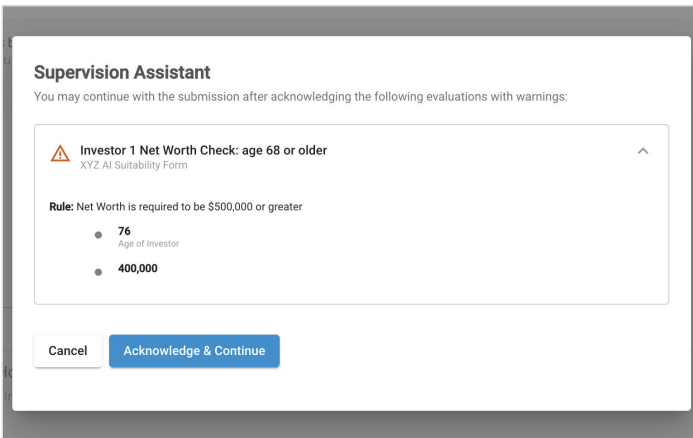


De-risk your Alts Program with Altigo’s Supervision Assistant

Supervision for alternative investments is full of headaches and manual processes—and many firms are still using checklists and spreadsheets to tediously track transaction details. Now, broker-dealer firms can simplify, centralize, and de-risk suitability review and other key compliance requirements with **Altigo’s Supervision Assistant**.

Firms that opt-in to the feature work collaboratively with Altigo to implement their unique suitability rules. The joint effort allows each firm to support and enforce suitability requirements by:

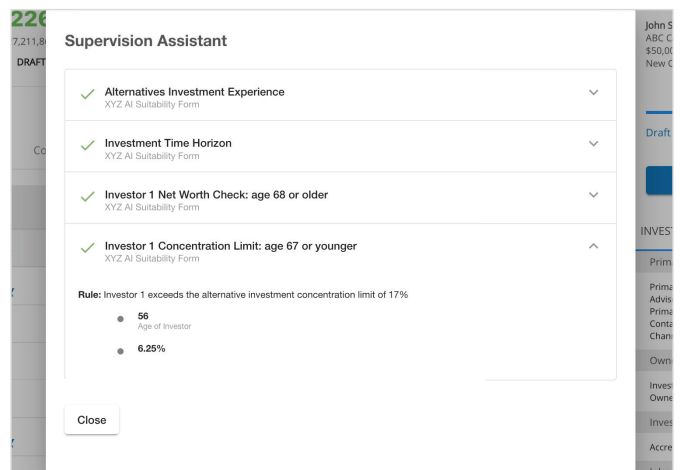
- ✕ **Establishing thorough home office supervision processes** that can be completed in one streamlined workflow.
- ✕ **Simplifying and condensing document review** using a repeatable digital process.



Rep View

Supervision Assistant is easily accessible to the home office as an action button on the platform’s transaction activity dashboard. Selecting the action button presents a quick suitability summary so users don’t have to sift through the full subscription package to gauge compliance. The action button is located on an easy-access panel containing options for viewing transaction activity, details, documents, and investor information at a glance. Within the panel, principals can also accept or reject individual subscriptions.

Firms can incorporate guardrails for reps within the workflow, so that if a submission doesn’t meet home office standards for firm, custodian, or sponsor forms, supervisors and reps are alerted of potential issues and can more easily manage their work queue based on exceptions.



Home Office View



To learn more, contact Megan Bosch at mbosch@altigo.com or 434.989.7930.