

ARC

Simplifying Post-Trade Allocation, Reconciliation, and Clearing

Since 1977, CAPIS has been committed to helping investment advisors with their best execution initiatives. Through CAPIS ARC (Allocation, Reconciliation, and Clearing), managers can address best execution obligations, without the inefficiencies of sponsor rotation, while simplifying their operations processing.

What is CAPIS ARC?

CAPIS ARC is a post-trade allocation utility for investment managers sub-advising the Managed Account industry.

How Does CAPIS ARC Work?

Traditional execution and allocation methods for managed accounts can be inefficient. With CAPIS ARC:

- Investment advisors can execute aggregated institutional and managed account orders with CAPIS or their broker of choice.
- The executing broker then settles to a clearing account at CAPIS, automating the allocation process with each sponsor platform.
- Each sponsor receives an automated email notification with detailed delivery instructions.
- Each component of the net step-out price is fully disclosed, which includes execution price, commission, and operating fee.

Why Use CAPIS ARC?

CAPIS ARC mitigates the inefficient practice of sponsor rotation resulting in reducing market impact, information leakage, and account return dispersion.

End Sponsor Rotation:

Investment managers will no longer be subject to the time-consuming, inefficient process of sponsor rotation.

Demonstrate Best Execution:

CAPIS ARC gives managers the freedom to execute orders with CAPIS or their broker of choice.

Create Blocks:

Wrap and Institutional orders can be executed as a block, promoting parity and best execution for all accounts.

Simplify Operations:

CAPIS ARC automates the step-out process reducing the amount of time spent on operational tasks.

Enhances Outsourced Trading Process:

Allows RIA's to utilize ARC while employing the full benefits of our Outsourced Trading Desk.

Highlights

Achieve Best Execution Mandates

Trade Away Efficiently

End Sponsor Rotation

Streamline the Step-Outs