See beyond the curve with HALO Professional

Advisor feature guide

HALO Professional is built for the forward-thinking advisor.

A next generation wealth management platform designed to empower financial professionals with the tools, insights, and access required to deliver exceptional investment outcomes.

With institutional grade coverage of over 40,000 listed companies across 31 global exchanges, and access to a near complete universe of managed funds in Australia, HALO Professional enables advisors to research, construct, and manage diversified portfolios with precision. All this is achieved through a single, integrated solution.

HALO Technologies is a global investment technology group committed to helping advisors stay ahead of markets, megatrends, and clients' expectations.

Purpose built to enhance the professional advice process, HALO Professional offers:

Model Portfolio Management
Seamlessly integrate listed and unlisted assets to standardise investment strategies.

Portfolio and Money Management tools
Gain full control over how client investments are structured and maintained, all from a single interface.

Access to a broad set of products and custody agents
Build tailored portfolios that suit your clients' needs.

Client onboarding tools
Simplify the entire journey, from account creation to investment initiation.

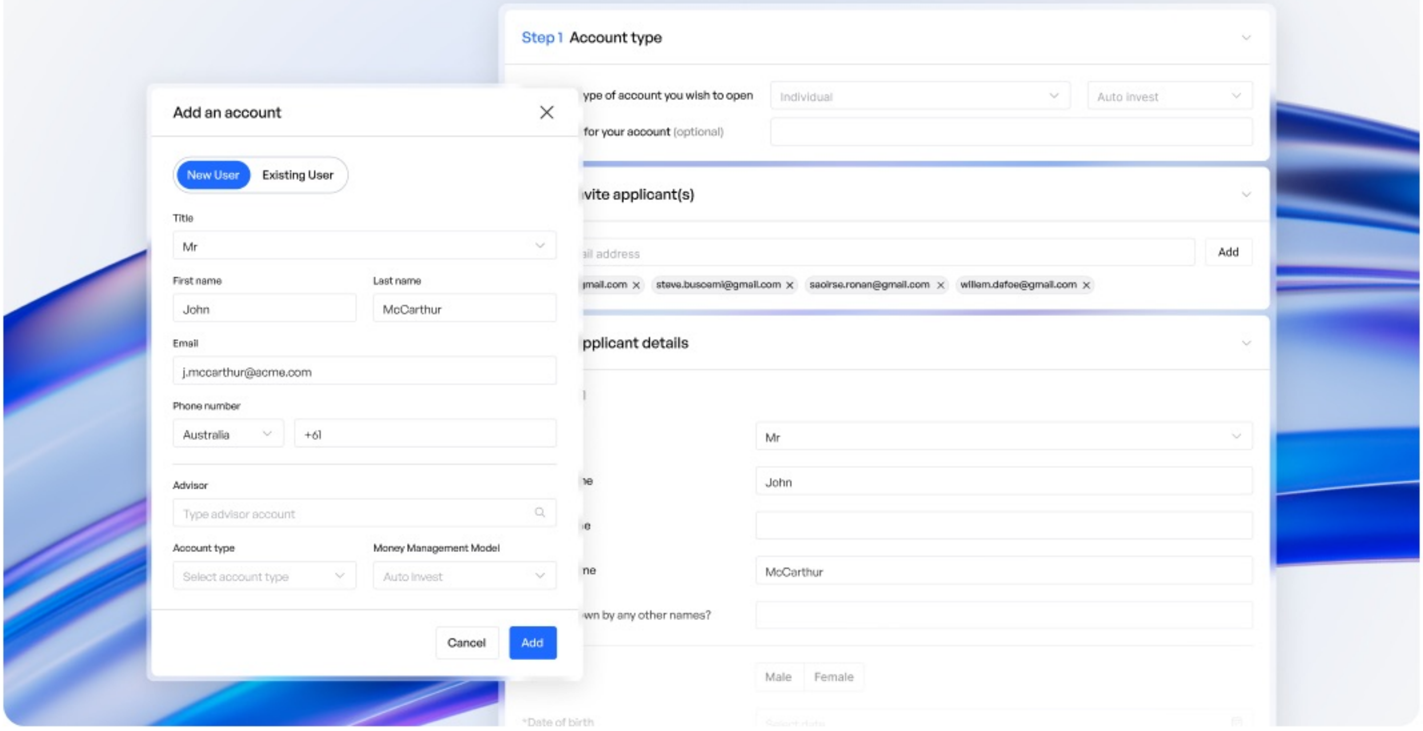
Investing Dashboards
Provide a clear view of portfolio performance, structure, and exposures to support ongoing reviews and client conversations.

Bulk Orders
Execute investment strategies across multiple client accounts through a single, intuitive process.

Document contents

Transform your Client Onboarding into a seamless experience

Easy setup from account creation to first investment. Accelerate client transitions and asset transfers with intuitive identification processes and dedicated support.



Client Onboarding is built to remove delays, simplify setup, and create a professional first impression.

From account creation to investment initiation, every step is designed to be clear, compliant, and easy to follow.

Streamlined account setup

Open client accounts quickly through guided digital workflows that reduce paperwork and errors.

Transfer support

Handle in-specie or cash-based transfers with visibility over progress and status at every stage.

Advisor-led experience

Keep the advisor at the centre of the process while providing clients with a simple, professional journey.

Bulk onboarding capability

Onboard multiple clients at once without compromising accuracy or compliance requirements.

Advisor benefits

Core benefits advisors can expect with HALO's Client onboarding .

Start faster

Reduce onboarding time with automated account creation and efficient data capture.

Lower drop-off

Deliver a seamless experience that keeps clients engaged and reduces the risk of delays or confusion.

Less admin, more control

Avoid back-and-forth emails and manual forms with structured digital workflows and built-in checks.

Stronger first impression

Set the tone from day one with a clean, guided onboarding process that reflects your brand.

Looking ahead at Client onboarding capabilities in HALO

Below are the planned or road mapped updates coming to Client onboarding within HALO.

- Further advancements in transfer technology to streamline asset migration processes.
- **Client Costs & Performance:** HALO generates a personalised costs-and-performance illustration at onboarding, presenting the proposed asset mix, low/mid/high projections, and a clear breakdown of charges (platform and advisor fees, fund OCFs, and transaction costs). It also shows a before/after-charges view and the effect of deductions, states key assumptions up front, and saves the summary to the client record for easy review.
- Additional advisor-led in-platform client setup tools
- **Client Profiling:** HALO will add life-stage & goal-based alignment at onboarding and ongoing behavioural profiling once clients are active. Together these inputs power a continuous, adaptive risk engine—supported by AI/ML and trusted third-party APIs—so profiles stay current and risk-based model portfolios remain aligned as needs evolve

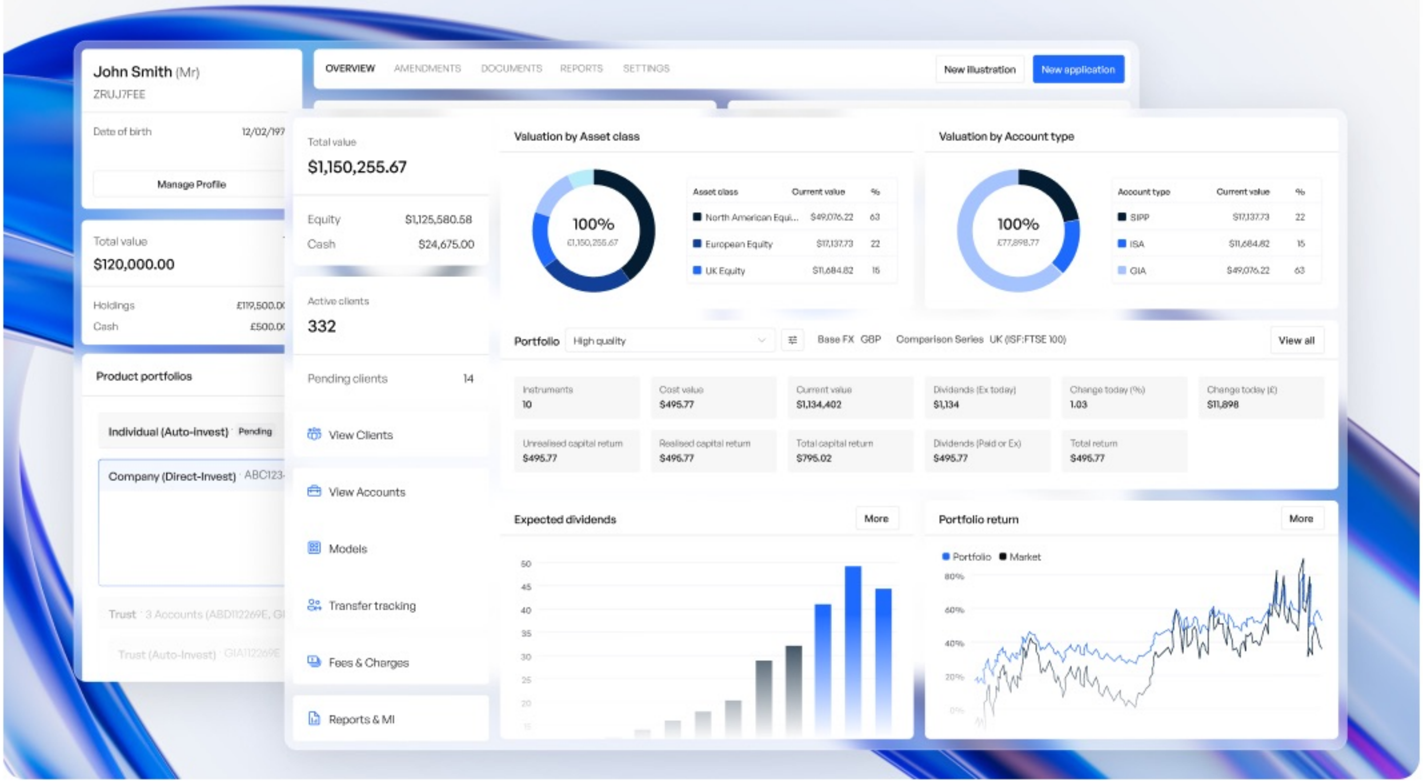
Up next

Investing Dashboard

Empower advisors and clients with a unified, 1-click gateway to essential investment information and workflows.

Intuitive Investing Dashboards for clear insights

See what matters. Act with confidence. Empower advisors and clients with a unified, 1-click gateway to essential investment information and workflows.



Investing Dashboards give both advisors and clients a clear view of portfolio performance, structure, and exposure. Everything is surfaced in one place - from total wealth and asset allocation to investment risk and account activity.

Built for clarity, the dashboards simplify reviews, support better conversations, and help advisors stay ahead of client needs. Insights are easy to access and designed to drive action.

Total wealth view

See a consolidated breakdown of a client's holdings, cash positions, and product mix across all accounts.

Asset allocation visualisation

Quickly identify how portfolios are structured by asset class, region, or strategy.

Performance snapshots

Access time-based performance summaries at the account, group, or individual investment level.

Client-facing dashboards

Share clean, branded dashboards that help clients understand what's happening and why — without the jargon.

Advisor benefits

Core benefits advisors can expect with HALO's Investing dashboards.

Lead with insights
Surface key information that helps guide client conversations and decision-making.

Stay one step ahead
Proactively address portfolio gaps or changes using clear, real-time visibility.

Simplify complexity
Replace spreadsheets and manual reviews with structured, visual reporting tools.

Strengthen trust
Show clients exactly how their investments are tracking and build confidence in your process.

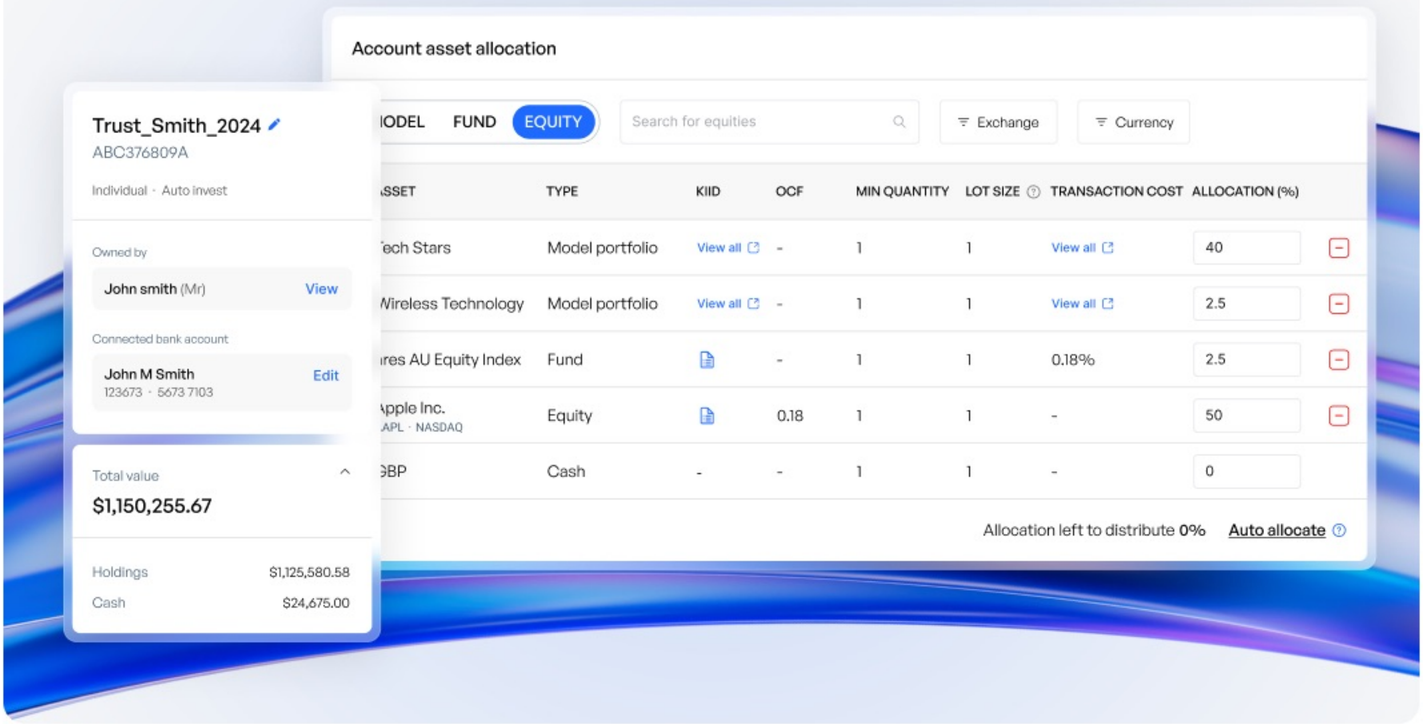
Looking ahead at Investing Dashboards capabilities in HALO

Below are the planned or road mapped updates coming to Investing Dashboards within HALO.

- Bring Fees & Charges totals into dashboard view
- Enhance dashboard for advisor-only performance and revenue insights

Blend bespoke and automated investing with Portfolio & Money Management

Empower advisors to precisely manage client assets, aligning every portfolio with individual client needs and preferences.



Portfolio & Money Management gives advisors full control over how client investments are structured and maintained. Accounts can be grouped, model strategies applied, and changes executed at scale - all from a single interface.

The tools are built to support high-volume management without sacrificing clarity. Advisors can act quickly, reduce manual handling, and maintain consistency across every client.

Account and group structuring

Set up client portfolios across single accounts or linked groups to simplify reporting and execution.

Model strategy management

Apply and maintain model portfolios across accounts with clear visibility into where each client stands.

Integrated trade execution

Place bulk orders across clients using streamlined workflows that connect directly to order management.

Broad investment support

Work across direct equities, unlisted managed funds, and ETFs, with clear pathways for adding new asset types as needed.

Advisor benefits

Core benefits advisors can expect with HALO's Portfolio & Money Management tools.

Scale without complexity
Manage more clients with less effort by standardising portfolio structures and automating common tasks.

Stay aligned with strategy
Ensure clients remain on-track with your models through structured implementation and review workflows.

Cut time, not corners
Use built-in tools to replace spreadsheets, reduce duplication, and streamline your daily workflow.

Better outcomes, less friction
Deliver a consistent experience across all clients while keeping execution fast and error-free.

Looking ahead at Portfolio & Money Management capabilities in HALO

Below are the planned or road mapped updates coming to Portfolio & Money Management within HALO.

- **Auto-Invest (models & exclusions):** Automatically deploy new cash (via Direct Debit or PayTo) to your preferred investment allocation each cycle to minimise cash drag and maintain alignment. Apply account-level exclusions from approved managed funds or equity lists.

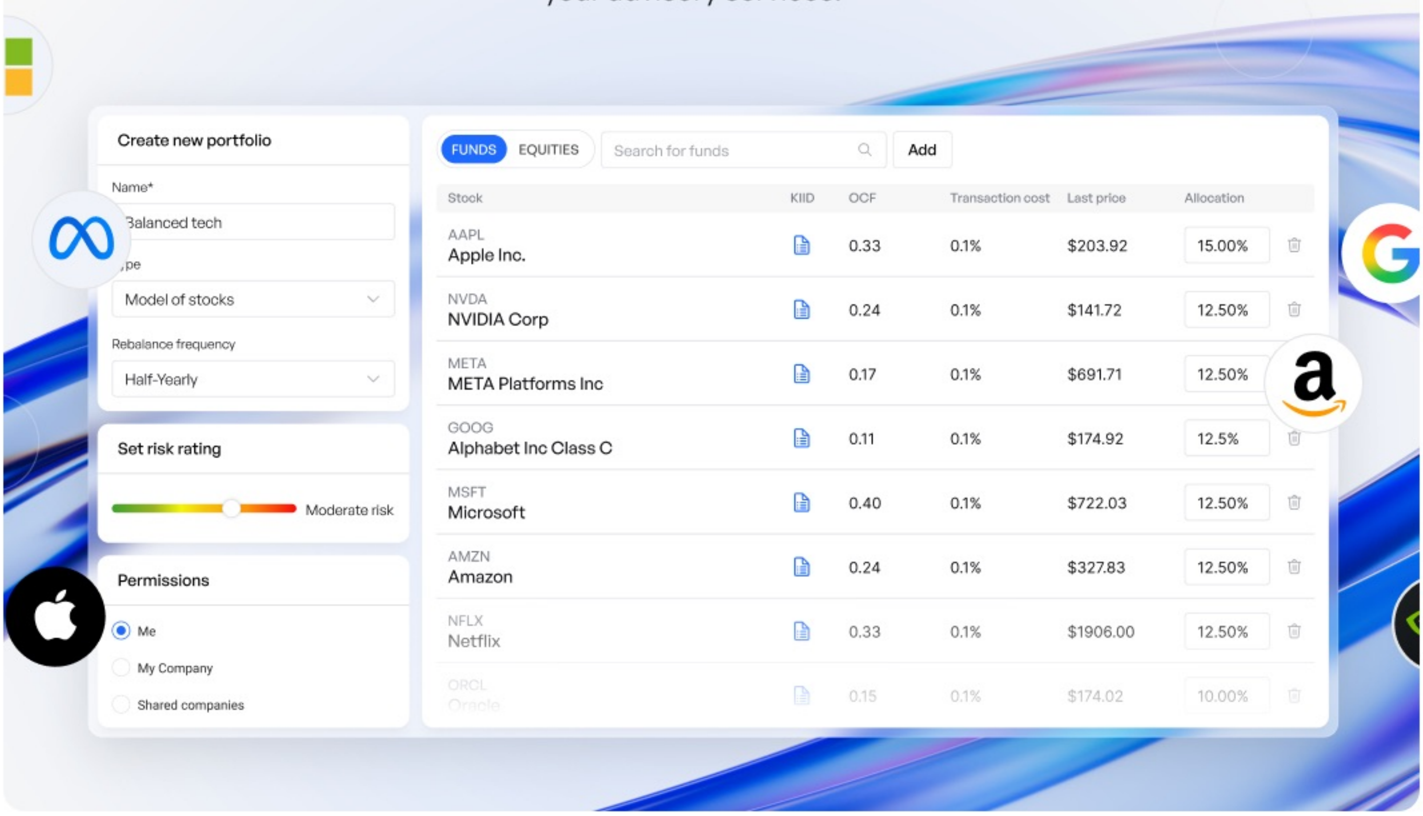
Up next

Model Portfolio Management

Leverage sophisticated model portfolios to standardise investment strategies and scale your advisory services.

Strategic Model Portfolio Management for standardised client outcomes

Leverage sophisticated model portfolios to standardise investment strategies and scale your advisory services.



HALO's Model Portfolio Management empowers Advice Groups and their clients to implement standardized investment strategies. These portfolios can be designed around specific risk-return characteristics (e.g., Capital Stable, Balanced, High Growth) or dominant themes, providing a structured approach to wealth allocation.

Model portfolios can seamlessly integrate a mixture of listed and unlisted assets. Our intuitive features facilitate all necessary changes, including revisions to asset lists and weightings, ensuring your strategies remain agile and responsive.

Initial Allocation & Rebalancing

Define and implement recommended weight allocations across multiple product types with integrated rebalancing and revision tools.

Integrated Change Management

Seamlessly integrate rebalancing, allocation revisions, and instrument switches with Order Management workflows.

Comprehensive Documentation

Attach research documents to the entire Model Portfolio or to individual instruments within it.

Flexible Assignment

Easily attach Model Portfolios to specific Advice Groups or individual Advisors for widespread application.

Advisor benefits

Core benefits advisors can expect with HALO's Model Portfolio Managment tools.

Universal Application

Utilize a must-have feature for all client types; Discretionary Funds Managers, Asset Consultants, Advice Groups, Individual Advisors and Clients.

Streamlined Asset Grouping

Automate investing for Advice Group Approved Product Lists (APLs) by grouping assets into manageable, investable portfolios.

Standardised Investment Outcomes

Target diverse client groups with consistent investment outcomes, enabling you to maintain relationships and help them build wealth efficiently.

Tailored Risk Alignment

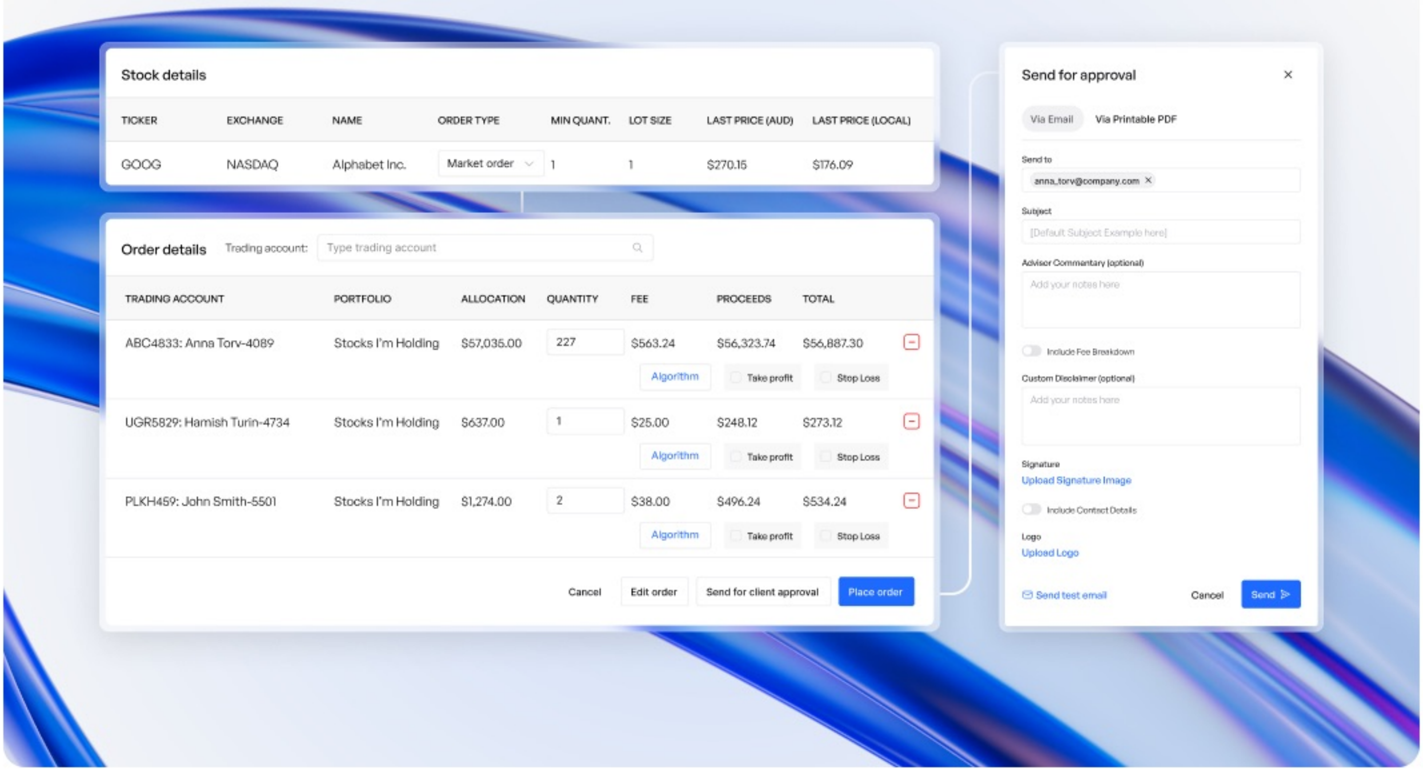
Easily construct and select investment strategies perfectly aligned with your clients' diverse risk appetites.

Looking ahead at Model Portfolio capabilities in HALO

HALO is dedicated to continuously improving your experience. There are currently no immediate roadmap updates for Model Portfolio Management; however, our commitment to platform innovation ensures ongoing review and enhancement.

Execute Bulk Orders with precision

Execute investment strategies across multiple client accounts with unparalleled speed and control.



HALO's Bulk Order functionality empowers you to efficiently implement investment decisions across numerous client accounts through a single, intuitive process.

This powerful tool currently enables you to execute trades for multiple clients simultaneously, for example, allowing you to buy AAPL for 50 clients or the Vanguard Cash Fund for 50 clients and sell Nvidia to 50 clients at the same time.

Intelligent Order Management

- Non-discretionary: receive timely notifications for order acceptance or rejection, ensuring compliance and client communication.
- Discretionary: execute bulk transactions seamlessly across all designated client accounts, saving valuable time.

Flexible Order Implementation

- Direct invest accounts: each order is executed individually at the client's trading account level, providing granular control.
- Auto-invest accounts: orders are aggregated for efficient processing and then intelligently allocated to individual client accounts upon completion.

Versatile Order Types

- Facilitate a range of order types, including Market, Limit, and Algorithmic orders, to meet diverse investment strategies

Advisor benefits

Core benefits advisors can expect with HALO's Bulk orders.

Accelerated Execution
Achieve same-day execution across numerous clients, capitalising on timely market opportunities.

Improve your competitive edge
Respond swiftly to market changes and implement investment strategies promptly, enhancing client satisfaction.

Maximise productivity
Reduce time spent on manual and repetitive tasks with integrated Order Management workflows.

Expand your capacity & increase your earning potential
Manage a larger client base effectively without increasing administrative burden, unlocking more opportunities for client acquisition and relationship management.

Looking ahead at Bulk Order capabilities in HALO

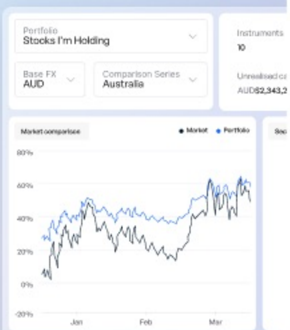
Below are the planned or road mapped updates coming to Bulk Order within HALO.

- Set default dollar or percentage amounts for order allocations for each client.
- Implement sell orders triggered by stop-loss levels.
- Access performance data across client positions.

Recent updates to HALO

Below are the latest updates available to Bulk Order capabilities in HALO

- Execute transactions across multiple geographies within Direct Investing.
- Combine buy and sell orders and manage multiple buy and sell orders in a single action.
- Execute multiple buy orders for numerous clients within a single bulk order.
- Experience a simplified user interface for increased productivity.



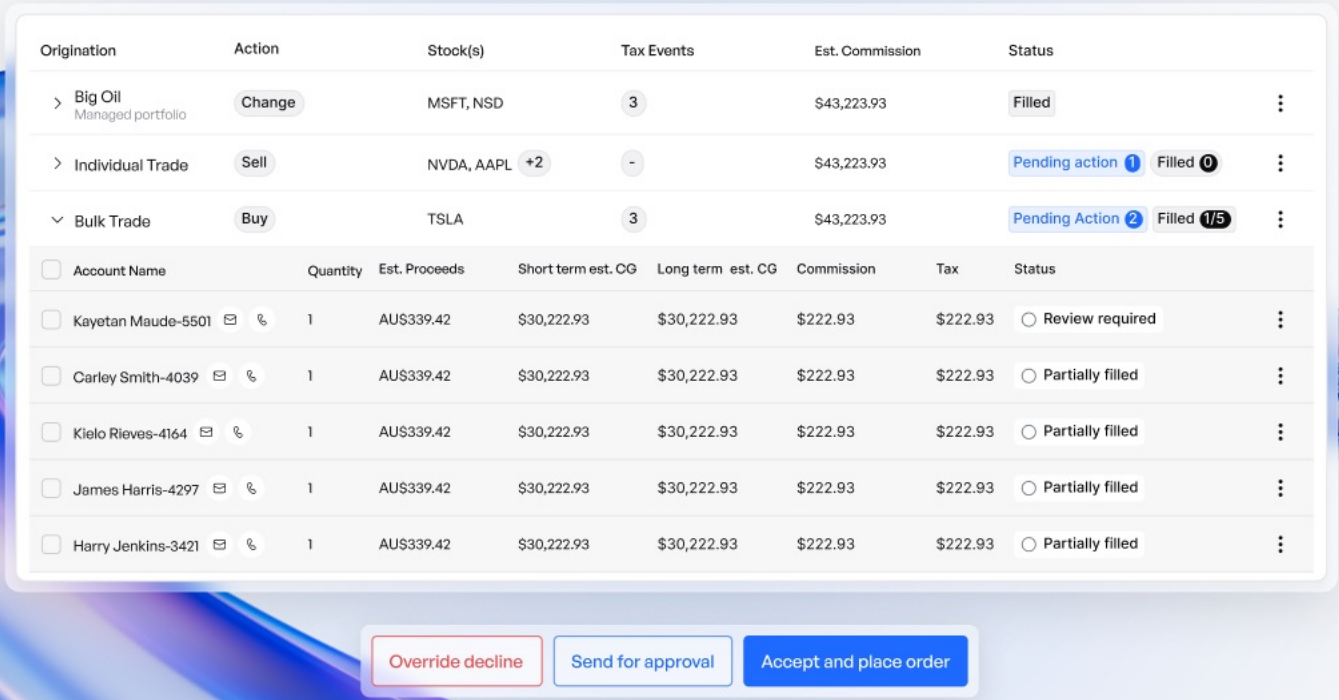
Up next

Order Management

Gain unprecedented control and clarity over every client order.

Streamlined Order Management for seamless client transactions

Gain unprecedented control and clarity over every client order.



HALO's Order Management functionality provides a comprehensive, fully automated means for advisors to communicate transactions and manage their journey from initiation to completion.

Derived from Bulk Order actions, rebalances, and in the future, Auto-Invest capabilities, it ensures transparent communication and automatic Record of Advice (ROA) generation.

This powerful tool enables advisors to communicate new research recommendations to their entire client base, with transactions automatically implemented upon client confirmation.

The main order states managed within the platform include:

- Reviewed by the Advisor: Initiated and prepared for client action.
- Sent for Approval: Dispatched for client review (not required for discretionary accounts).
- Accepted/Rejected by the Client: Real-time client responses on proposed transactions.
- Order Completed: Final confirmation of successful execution.

Key capabilities in action:

- Client Confirmation: Facilitated seamlessly via email or the HALO Mobile App. For General Advice, clients confirm the transaction; for Personal Advice, they confirm acceptance of a Record of Advice.
- Real-time Status Tracking: Order status by client/account are always available for advisor review.
- Targeted Follow-up: For rejections, the platform provides a targeted list, enabling efficient phone call follow-ups

Advisor benefits

Core benefits advisors can expect with HALO's Order Management:

Efficient transaction management
Enables efficient management of client transactions, including automated order placement and simplified communication.

Expanded capacity
Service more clients in less time and with reduced administrative effort, freeing you to focus on client relationships and growth.

Enhanced productivity
Minimise phone interaction on key tasks, allowing you to streamline workflows and improve overall operational efficiency.

Seamless client engagement
Benefit from integrated 'click-to-call' and 'click-to-email' functionality for direct client follow-up, ensuring timely communication.

Looking ahead at Order Management capabilities in HALO

HALO is dedicated to continuously improving your experience. There are currently no immediate roadmap updates for Order Management; however, our commitment to platform innovation ensures ongoing review and enhancement.

Up next

Reporting

Deliver clarity, meet compliance, and keep clients informed

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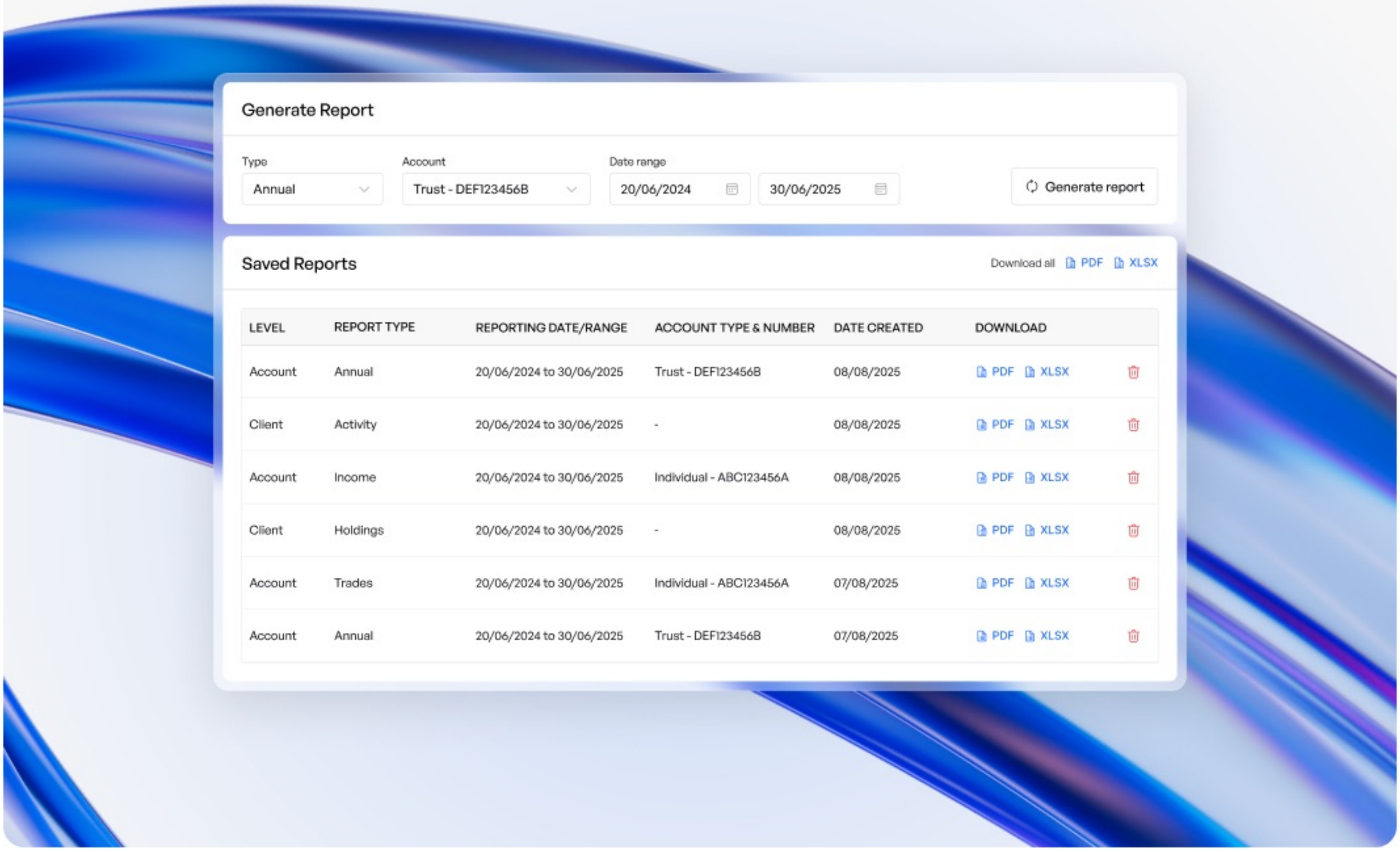
Deliver clarity, meet compliance, and keep clients informed



Reporting provides structured, branded outputs that give clients a clear picture of their investments. Whether it's performance summaries, transaction histories, or product breakdowns, every report is designed to be easy to read and ready to share.

The tools support both scheduled and on-demand reports, helping advisors meet regulatory obligations while maintaining a high standard of client communication.

Branded client reports

Generate professional reports with your firm's branding, covering portfolio performance, holdings, and activity.

Export-ready outputs

Download and share reports in PDF or spreadsheet formats, ready for client meetings or record-keeping.

Data-driven visuals

Include charts, tables, and summaries that make complex data more digestible for clients.

Flexible reporting ranges

Produce reports across custom date ranges, specific accounts, or consolidated views across groups.

Advisor benefits

Core benefits advisors can expect with HALO's Reporting.

Support compliance
Ensure clients receive regular, auditable reporting in a consistent and compliant format.

Improve transparency
Build trust by providing clear, easy-to-understand summaries of performance and activity.

Save time on prep
Eliminate the need for manual report creation with ready-to-use templates and automated data pulls.

Enhance your service
Use reports as a tool for engagement, helping drive conversations and demonstrate value.

Looking ahead at Reporting capabilities in HALO

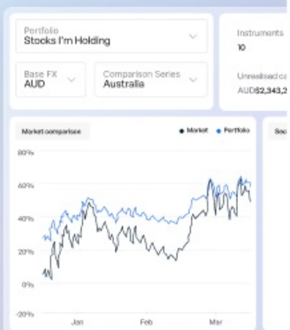
Below are the planned or road mapped updates coming to Reporting within HALO.

- Corporate action Reporting - Know when your client positions require mandatory or voluntary actions to complete.
- Transfer status updates - Keep updated on the status of your asset transfers.

See Beyond the Curve with HALO Professionals.

Exceed expectations while saving time, growing your business, and optimising your operations.

- ✓ Everything you need in a single intuitive platform
- ✓ Set your own margins, brokerage, and service fees
- ✓ Reduce your administration time



Up next

Investment products & Custody Agents

Leverage a vast universe of investment products and trusted custody solutions to build comprehensive client portfolios.

A wide variety of of Investment Products & Custody Agents

Leverage a vast universe of investment products and trusted custody solutions to build comprehensive client portfolios.

The platform supports a wide set of investment products, from listed equities and ETFs to managed funds. Advisors can build portfolios that suit their clients' needs without being restricted by limited product availability.

All assets are held securely through third-party custody providers, with clear records, audit trails, and integrated reporting. This gives advisors and clients confidence that their investments are safe, visible, and professionally administered.

Broad product access

Invest across listed securities, managed funds, and ETFs, with support for additional asset types on the roadmap.

Custody integration

Assets are held in custody accounts with full transparency and structured oversight.

Clear records and reporting

View holdings, valuations, and transaction history with data flowing directly from custodians.

Secure and compliant

Custody arrangements meet regulatory standards and include regular reconciliation and audit capabilities.

Advisor benefits

Core benefits advisors can expect with HALO's Bulk orders.

Offer more choice
Access a range of investment products that allows you to tailor portfolios to each client's goals.

Trust in custody
Give clients confidence that their assets are held securely and professionally managed.

Streamline administration
Automated data feeds and integrated records reduce the time and risk involved in managing client assets.

Stay focused on advice
Let the platform handle custody and recordkeeping so you can focus on portfolio construction and strategy

Looking ahead at Investment Products & Custody Agents capabilities in HALO

Below are the planned or road mapped updates coming to Investment Products & Custody Agents within HALO.

- Expanding the range of available products to include Bonds and other asset types.

Custodians in use

NAB
AUD Cash

Interactive Brokers LLC
Non-Australian Equity and ETFs

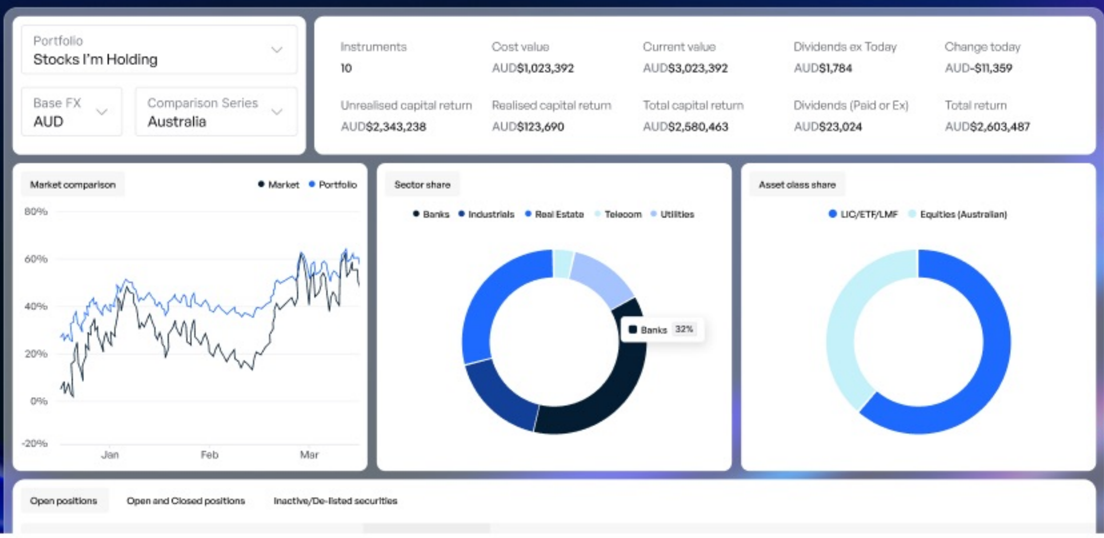
Interactive Brokers Australia Pty Ltd
AUD, EUR, GBP, HKG, USD Cash
Australian Equity and ETFs via BNP Paribas

Clearstream Australia Limited
Unlisted Managed Funds and ETFs

Ready to see beyond the curve with HALO Professional?

Save time and find better investment oportunities

- Invest in over 40,000 securities
- Institutional-grade signals and monitors
- Powerful portfolio management tools



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Speak to our team about including these product add-ons with your advisor account:

Add-on

Premium News

Get a direct feed to the stories that truly move the market with exclusive news, insights, and commentary from expert industry professionals.

Add-on

Global Trading Reports

Subscribe to receive weekly trade ideas hand-picked by our expert global analysts across the Americas, Asia, and EMEA.

Add-on

Real-time Pricing

Upgrade your experience with real-time market data for the ASX and CBOE. See every price movement as it happens and execute with precision.

Speak with our team today to see how HALO can work for you and your business.

Discover how HALO Professional can enhance your advice process, unlock new opportunities for your clients, and power your investment decisions with precision.

Australia

Phone **1300 348 007**

Email **hello@halo-technologies.com**

Web **www.halo-technologies.com**

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