



Powering consultative service at scale

Ultimus Fund Solutions
Fund administration and investment operations

Making financial services work better

Since our founding, Ultimus Fund Solutions has provided essential post-trade fund administration and outsourced investment operations services to asset managers. We've become an industry mainstay: one of the largest independent providers in the US, with the capacity and expertise to service any type of investment structure.

Service defines us. Technology empowers us. You benefit.

Our high standard of service and innovation set us apart, but what makes them a reality for every client is the capacity to deliver consistently at global scale. That takes a team with the ability to work smarter.

We use technology as a force multiplier. It's an efficiency engine and more: an enabler of better service at scale that frees our associates to make the best use of their skills, knowledge, and relationships, bringing expertise to bear where it matters most—because that's what creates the greatest impact for you.

Our vision is to make financial services work better for everyone. Every day, we work to bring it to life by proving that high-touch service at scale is more than a promise. It's a reality.

Service and solutions with you at the center

Over the years, we've earned a reputation for delivering consultative, personal service and optimized solutions that exceed expectations. Our service model is rooted in the guidance of experienced professionals, helping our clients move quickly to capture new opportunities.

By the numbers



\$775B+
assets under administration



4.0M+
shareholder accounts



450+
clients



2,500+
funds



1,200+
associates



100+
clients onboarded
in last five years

Our expertise

Any investment type. Any strategy.

Public funds

- Mutual funds
- VITs
- LGIPs
- CITs
- 529 Plans

Retail alternative funds

- Interval and tender offer funds
- BDCs
- REITs
- '34 act registered private funds

Private funds

- Private equity
- Private capital
- Hedge funds
- Venture capital
- Real assets
- Feeder funds and fund-of-funds

Exchange-traded funds (ETFs)

- ETF launches
- Existing ETF fund conversions
- Complex fund structure conversions

Comprehensive fund administration

By blending the guidance and expertise of our professionals with secure, scalable technology, we become a seamless extension of your team. The result: greater efficiency and speed, improved accountability, and reduced risk.

Public fund solutions

- Transfer agency
- Fund accounting
- Financial reporting and administration
- Legal and regulatory administration
- RIC tax services
- Statutory distribution
- Series trust and governance solutions
- Outsourced CCO services

Private fund solutions

- Investor services
- Fund accounting
- Treasury services
- Management company services

Data-driven investment operations

Our technology-enabled investment operations solutions can be aligned with your specific requirements to create highly efficient, integrated workflows.

Middle office services

- IBOR support
- Post-trade processing and operational oversight
- Performance and analytics
- Institutional investor services and reporting
- Outsourced trade services
- Order management and compliance transfer agency

Ultimus Enterprise™

- End-to-end operational platform across the investment lifecycle
- Integrated data and operational workflows
- Interoperability across OMS, custody, and other connected solutions

Powerful, scalable technology

Ultimus Connect™ is our scalable, cloud-based client technology platform, delivering unmatched insight by combining a unified view of your data with advanced analytics to uncover actionable insights for you and your investors.

- Data and Reporting Hub
- Portfolio Analytics Portal
- Workflow Manager
- Investor and Advisor Portal
- Waterfall Engine
- Private Investor Portal

Our expertise runs deep

To find out more about all we do and how we can help you, visit ultimusfundsolutions.com/expertise



The value we bring comes from people

Ultimus is a business built on the talents of our associates, brought to bear through close, collaborative relationships. Those relationships are an essential part of our approach and our culture, and a prime reason why clients choose, and stay with, Ultimus.

A passion for service defines us, and our people are at the heart of it. We know the true value that we deliver comes from our associates: highly engaged, knowledgeable professionals who believe in the power of team, owning the process, and relentlessly driving to improve.

We've shown that better results come not only from having comprehensive capabilities, but from genuine connection. It's about listening first, developing deeper understanding, being invested in finding better answers, and working side-by-side with you to solve complex challenges. That's how we create the best outcomes for you.

As we've grown to become a global provider, we've stayed true to what makes Ultimus special: our ability to stay personally engaged so that every client experiences the benefit of our consultative service and expertise. It is what made us a leader and it charts our path, a commitment that informs our strategic direction and our priorities today and into the future.

We're delivering on our promise of unmatched service every day. Combining an outstanding team with empowering technology enables us to do what many believe is not possible—deliver high-touch service at scale. That's how we're moving forward, with you.

Let's begin

Whether you're looking to switch administrators, launch a new investment vehicle, capture an opportunity to diversify your portfolio, improve efficiency, reduce risk, or find a better way to service investors, we'd like to hear from you. Experience what working with a true partner whose first priority is your success is all about.



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Ultimus Fund Solutions, LLC provides fund distribution services through its affiliated broker-dealers: Ultimus Fund Distributors, LLC, and Northern Lights Distributors, LLC. Each of which is a registered broker-dealer and member of FINRA. 20260716-5758382 COD00001048