CASE STUDY

Flexible Plan Investments: Maximizing Multi-Strategy Capabilities

Challenge

- Required a trading and account management platform that could accommodate multiple strategies with a single account.

Solution

- ***TCAdvisor II*** trading platform allowed same-day trading, facilitating multiple managed strategies within a single account.

Benefits

- Allowing the firm to develop more than 30 different models employing dynamic, sector, and tactical strategies.
- Trades involving hundreds of mutual funds to occur across thousands of accounts.
- Ability to maintain a four-person trading desk.

"The flexibility Trust Company offered made our concept of multiple strategies for client accounts real because prior to TCAdvisor, the approach was too labor intensive to be practical on anything more than a limited basis."

Jerry Wagner
President
Flexible Plan Investments

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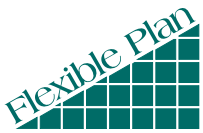
CASE STUDY

Flexible Plan Investments:
Maximizing Multi-Strategy Capabilities

Through its Strategic Solutions program, Flexible Plan Investments helps individual investors mitigate investment risk by actively managing accounts in response to market conditions. Providing access to more than 30 models built on distinct investment strategies, the firm's offerings allow for optimal diversification and flexibility within any type of investment environment. Having switched from a retail-oriented business model to an institutional focus in 1990, Flexible Plan now works with over 450 different broker-dealers and investment advisers and 26,000 taxable and non-taxable client accounts, including self-directed IRA and participant-directed 401(k) accounts. At the end of 2004, the firm and its subsidiary had over $1 billion under management.



Business Issue

In order to launch its Strategic Solutions platform, Flexible Plan required a trading and account management platform that could accommodate multiple strategies within a single account. Without that functionality, the platform's competitive advantage was limited. Furthermore, as an active manager, buy and sell dates are critical to Flexible Plan's success. When its analytical programs indicate it's time to move, the firm's trading desk can't be bogged down entering individual buy and sell orders across hundreds or thousands of individual accounts. To further reinforce Flexible Plan's value to its clients, it needed a streamlined approach to trading.

Challenge

Required a trading and account management platform that could accommodate multiple strategies with a single account.

Simplifying a Multiple Strategy Approach

After conducting due diligence into other options, Flexible Plan determined that only Trust Company of America's ***TCAdvisor II*** trading platform allowed same-day trading, facilitating multiple managed strategies within a single account. Leveraging the program's integrated managed strategies trading capabilities, the firm has since developed more than 30 different models employing dynamic, sector, and tactical strategies.

The platform has also proven ideal for Flexible Plan's active trading profile. Volumes of transactions occur on a weekly basis as the strategies are tested, validated and modified. Minimum holding periods and a proactive fund relations department have helped make this possible, yet by allowing for strategy-

level trading, ***TCAdvisor II*** makes it possible for trades involving hundreds of mutual funds to occur across thousands of accounts.

By capitalizing on ***TCAdvisor II***'s strategy-level trading technology, Flexible Plan has not only built a franchise around the ability to populate any client's account with as many strategies as desired, but it's done so while maintaining a four-person trading desk — fewer people than when Strategic Solutions was introduced in 1998 and the firm had less that $300 million under management and fewer than 6,000 client accounts.

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