

# Seamless custody, *endless possibilities*

Alternative assets — expert custody, defined by  
experience, *distinguished by service.*



[www.StrataTrust.com](http://www.StrataTrust.com)

# A trusted name

Since 2008, STRATA Trust Company has helped thousands of investors diversify their retirement portfolio across a broad range of traditional and alternative assets using tax-advantaged retirement accounts.

As demand for alternative investments continues to grow, investors are increasingly turning to alternative assets for greater control, diversification and long-term growth. Trillions of dollars in U.S. retirement savings remain an untapped capital source. Coupled with the explosive growth expected for alternative assets in the years ahead, investment advisors and providers are well positioned to seamlessly accept investors and raise capital faster by working with STRATA for investors who want the tax advantages of investing with retirement funds.

As a regulated trust company backed by the stability of Horizon Bank, STRATA delivers a clear difference in alternative asset custody. Our reputation reflects the trust and confidence we have earned through years of consistent service and expertise.



## At a glance

- Founded in 2008
- Subsidiary of Horizon Bank Texas, SSB, headquartered in Austin, TX
- IRA custodian regulated by the Texas Department of Banking–Texas Trust Charter
- Independent annual audits conducted to ensure IRA compliance and data security
- Compliant with IRS and DOL statutory requirements
- Compliance with federal BSA/AML, CIP and Patriot Act rules and requirements
- Over 350 years of collective experience
- Specializes in the custody of alternative investments and non-exchange traded investments
- Serving both individual investors and the financial services industry
- Nationwide service
- Active member of Retirement Industry Trust Association (RITA)

## Safeguards and stability

As a regulated trust company, STRATA adheres to strict standards for safety and soundness, ensuring that investors and financial professionals can rely on the integrity of our custody process. Our safeguards include:

- Texas trust charter with safety and soundness exams by the Texas Department of Banking.
- Regular audits by independent third-party auditors to ensure compliance with financial statements, reporting, data security, and alternative asset custody operations.
- STRATA maintains comprehensive corporate liability coverage through underwriters rated A++ (Superior) by A.M. Best. This insurance protects STRATA, not individual client assets, and includes coverage for:
  - Errors & Omissions
  - Directors & Officers
  - Cybersecurity
- Uninvested funds held in FDIC-insured accounts (\$250,000 per depositor).
- Broad privacy safeguards to ensure the security of client records.

# A broad range of investment options

STRATA provides the flexibility to hold traditional and alternative assets with a single custodian. Our experienced team helps investors navigate the complexities of alternative investing within tax-advantaged accounts, delivering a streamlined custody experience supported by responsive service and regulatory expertise.

Investors have the freedom to choose assets such as:



Private equity investments



Hedge funds



Venture capital and angel funds



Precious metals



Real estate syndications



Public LPs and LLCs



Corporate debt or promissory notes



Closely-held stocks



Brokerage accounts for public equities



Other alternative investments

STRATA supports the following self-directed retirement accounts for individuals and small business owners:

- Traditional IRA
- Roth IRA
- SEP IRA
- SIMPLE IRA



## Who we serve

STRATA's custody and administration services support both individual investors and the financial professionals who serve them, including:

- Financial advisors
- Broker dealers
- Investment bankers
- Investment sponsors and platforms
- Family offices
- Attorneys and tax professionals
- Real estate syndicators
- Angel funds
- Venture capital firms
- Hedge fund managers

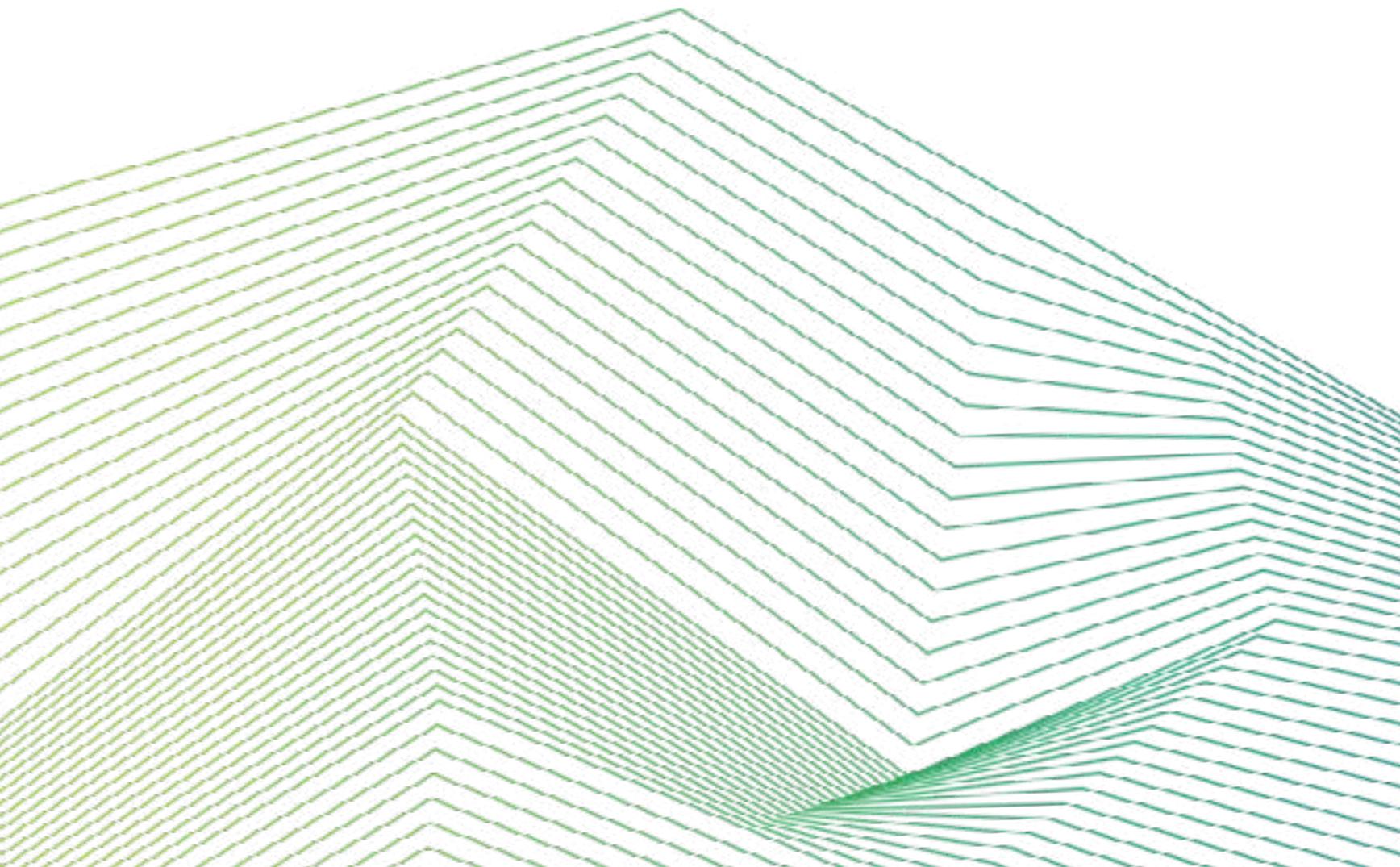
Let our dedicated retirement and custody specialists simplify the process for you and your investors. Working with a custodian like STRATA can be a powerful way to raise capital faster, allowing you to focus on growing your company.

# Our vision

To be an innovative partner for investors to achieve their wealth goals.

# Our mission

Empowering investors with a clear path for controlling their financial future by providing outstanding service, innovation, and expertise in the custody of alternative and traditional assets.



# Our bedrock values

At STRATA, our core principles not only reflect who we are as individuals, but they guide our decisions, shape our culture, and drive how we do business. Just like the layers of sedimentary rock that form the solid foundation on which we stand, our values form the bedrock of how we conduct our business.

## Teamwork

We believe in collaborating to leverage our shared knowledge and skill sets to bring greater value to our clients. Great teamwork is the driving force of our continued growth and success, and together, we are stronger and smarter than we are as individuals.

## Service first & client centric

We believe in delivering a level of service that goes above and beyond. We establish long-lasting relationships with our clients by listening, anticipating their needs and delivering exceptional service proactively. Every action we take should make the client experience better, and our goal is to leave no stone unturned.

## Stability

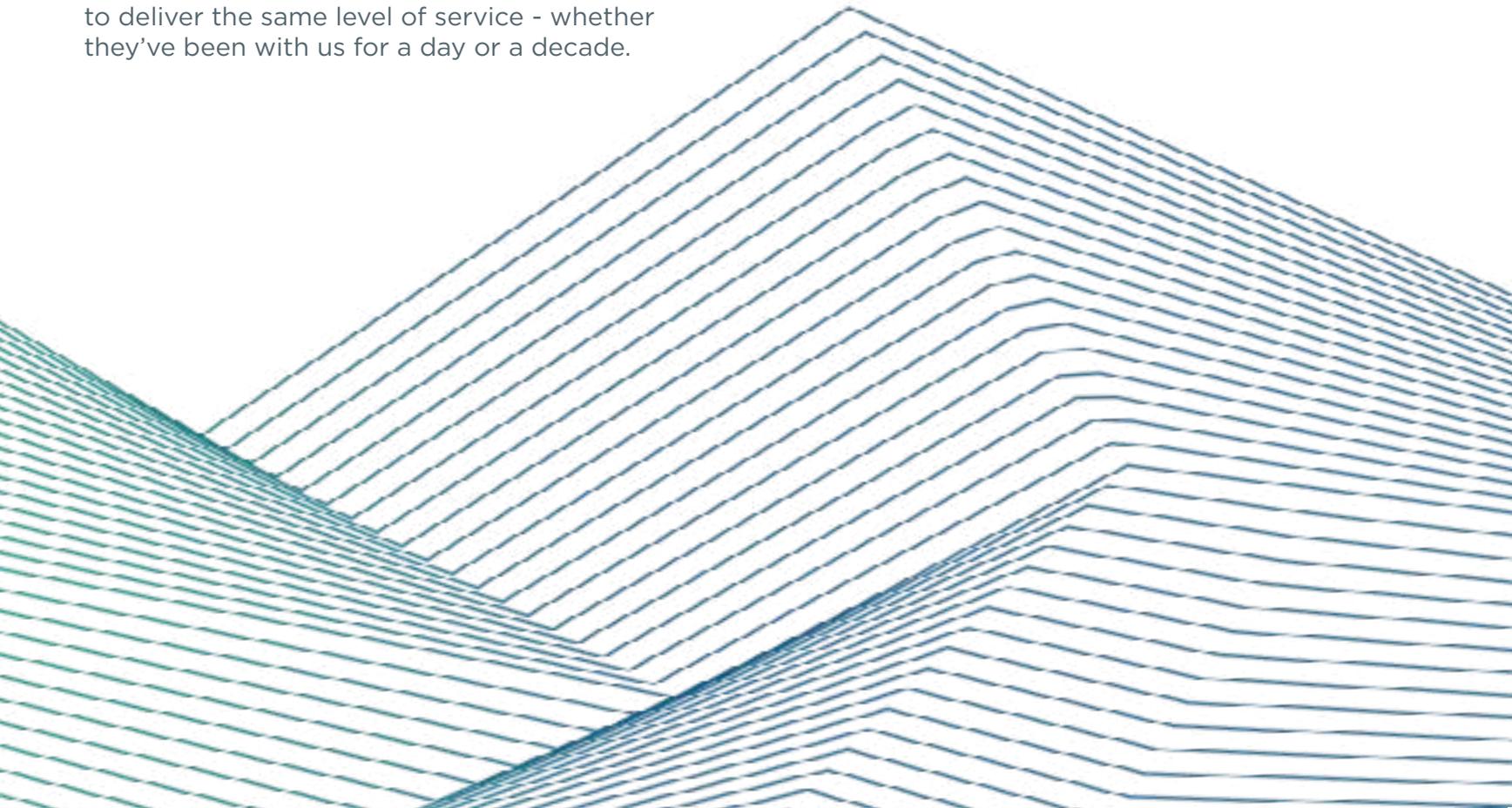
We are dedicated to continually working to strengthen our relationships, products, services, and community. Our clients can count on us to deliver the same level of service - whether they've been with us for a day or a decade.

## Innovation

We are always stretching our boundaries and striving to achieve more. We champion and encourage creativity and forward thinking. We anticipate the needs of our customers and always find better ways to serve them. We always stay a step ahead of our competition.

## Integrity

Our business is grounded in trust. We're proud of what we stand for; a great work ethic, morals, honesty, respect and transparency. At STRATA, integrity is the foundation of everything we say and do.



# Leaders in our industry

STRATA continually invests in employees and the broader financial services community. We support ongoing education and professional development through conferences, certifications, and annual training to keep our team knowledgeable about products, regulations and technology. This training covers areas like customer service, digital banking, and compliance with data privacy, information security, Bank Secrecy Act/ anti-money laundering, fraud prevention and disaster recovery.

Investing in our people is only part of our commitment to our customers and the long-term success of our company. We believe in building a culture of respect, trust and empowerment so our team can thrive, which in turn drives business success — forming the foundation for STRATA's growth, innovation and a competitive edge in our market.

“It became clear early on in our conversation with our representative today that STRATA really cared about providing solutions for our needs!”

- Tiley F. | Source: Trustpilot

## What sets STRATA apart

STRATA's strength lies in combining deep industry expertise, regulatory rigor, and a service-first culture to simplify custody for investors and financial professionals alike. Our focus on accessibility, transparency, and technology creates a clear difference in the alternative asset custody space.

| Service attributes                | STRATA   | Competitors  |
|-----------------------------------|--|--|
| Dedicated onboarding support team | Yes  | No   |
| Required minimum cash balance     | \$0  | \$300-500  |
| Investment processing speed       | 24-48 hours (95% processed within 24 hours)  | 3-5 days   |
| Service & responsiveness          | Responsive service from knowledgeable professionals, with 75% of staff in client-facing roles and average phone wait times <1 minute | Generic call center support, restricted availability, and lengthy queues typically 10+ minutes |
| Pricing transparency              | Straightforward, transparent pricing   | Unclear pricing structures   |
| Technology & tools                | Streamlined, user-friendly forms with simple navigation and secure online submission via ServiceNOW                                  | Paper-driven workflows that delay and complicate transactions                                  |

# Scalable solutions

STRATA's institutional services are built to meet the evolving needs of advisors, sponsors, and investment platforms of every size. Our flexible approach supports seamless onboarding, data integration, and responsive client service.

STRATA's ability to scale efficiently while maintaining personalized support reflects our commitment to simplifying custody from start to finish. This is achieved through technology, streamlined workflows, and dedicated teams that deliver a consistent client experience.



## Institutional service features available to all business providers:

- Responsive client support committed to timely assistance and exceptional service
- Intuitive forms that simplify complex processes and display only relevant fields through STRATA's ServiceNOW platform
- Convenient ACH and wire transfer solutions

## Enhanced services for high-volume business providers:

- Priority processing and preferred pricing for qualifying relationships
- A dedicated Relationship Manager who provides ongoing strategic and operational support
- Sales Desk support to guide investors through the open, fund, and invest process with efficiency and accuracy
- API integrations and pre-populated onboarding forms to streamline account setup
- Pre-populated onboarding forms to reduce manual entry and speed setup
- Custom data reports and secure file delivery via STRATA-hosted or client SFTP sites
- Access to advanced workflow tools, training resources, and implementation support
- Seamless integrations with MorningStar, Orion and Black Diamond

## The details matter



### Understanding your business

STRATA takes time to understand your business model, alternative investments, and workflow to ensure that account opening, funding, and investment processes are seamless and hassle-free.



### Expertise you can rely on

Our specialists apply deep knowledge of retirement rules and alternate asset custody to guide your clients' transactions efficiently while safeguarding against potential delays or errors.



### Speed and precision

We recognize the importance of speed and accuracy. Most transactions are completed within 24 hours, and our client service team remains available to resolve issues quickly.



### Innovative digital tools

STRATA offers innovative tools that simplify and streamline the alternative asset custody experience, including easy-to-read dashboards, online forms, and client communication alerts.



### Consolidated dashboards

We provide customizable views for advisors and platforms to see all client accounts in one place, simplifying oversight and reporting.

# *Together,* we climb



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