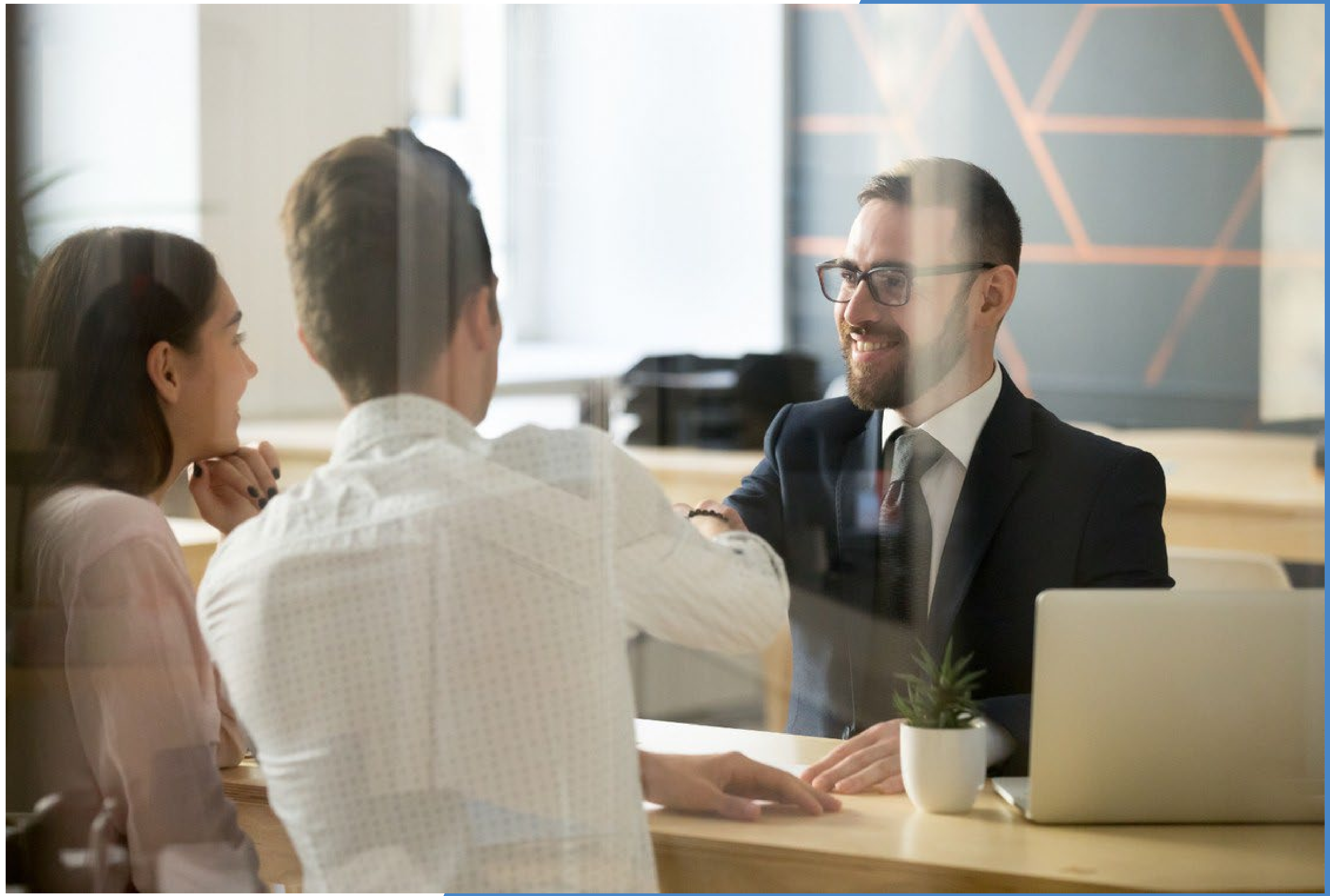
AllBackoffice
Consulting

Advisor Solutions



Live your best life by doing your best work!

The Challenge

Independent RIA firms are largely made up of sole practitioners, partnerships, and boutique enterprises. Each of these firms is faced with the same challenge: To provide a premium wealth management experience, without the financial, technology and staffing resources that exist at a larger full-service financial institution.

Broadly, advisors solve this challenge by managing their practices with creativity and a strong work ethic, all while dealing with multiple vendors to build their own in-house infrastructure. Alternately, advisors opt to affiliate with a larger firm, a B/D, or leverage a TAMP or technology platform. But there is another alternative.

Ideal Advisors for our Service

01 Established RIA owners, IARs or registered representatives of B/Ds seeking to break away.

02 RIA sole proprietor or boutique partnership of advisors, committed to independence.

- Five or fewer total advisors in the company.
- AUM is not a factor.

03 Advisors seeking a balance between growth and productivity, who are dealing with many distractions or work that does not equate to the highest value use of time.

04 Advisors solving for more specialized resources without increasing labor; looking to reduce people management responsibilities in-house.

05 Advisors needing more integrated technology leverage, for more efficiency, fewer errors, and a better end-client experience.

The Benefits

Concierge service: Executive administration, operations, and IT staff ready to support typical RIA needs.

Growth support through marketing administration, social media, and website support.

AllBackoffice has partnered with and vetted reliable third-party technology and professional solutions providers to help compress costs.

You can focus on what you do best, while realizing greater peace of mind and focus as the AllBackoffice team handles operational and administrative tasks.

Ensuring you follow industry best practices.

Fully documented procedures and policies for your firm.

System, operations, and personnel redundancy in the event of any emergency.

Expanded bandwidth and scale in the event of fast growth or loss of existing personnel.

Access to industry experts for multiple elements of your business and operations. We provide this in-house or via our vendor partners.

You receive all the benefits of an institutional platform without the conflict of interest of working within a financial services platform.

Services and Solutions

Core Bundled Solutions

01 New RIA launch project management.

02 Advisor Transitions: Advisor/Book onboarding.

03 Advisor Succession and Redundancy: Design, document, and source resources.

04 Advisor Technology Evolution: Due diligence, design, and conversion services.

05 Compliance Administration: Managed calendar, ADV preparation, compliance documents.

06 Marketing Administration: Consulting, website maintenance, creative direction, content creation, and social media.

07 IT Administration: MSP for local laptops, security administration, managed software.

08 Portfolio Accounting, Billing and Account Aggregation.
- Portfolio Center, Tamarac, AssetBook, BridgeFT and BlueLeaf

09 Enterprise Aggregation, Conversion, System Integration, and Custom Development: Services for Fintechs and enterprise financial service providers.

A La Carte Services

Front, Middle, Back – Executive Administration

- Account opening and processing
- Electronic document preparation
- Advisory fee billing
- Generation & delivery of client performance reports
- Custodial relationship management that gives you the best pricing
- Data and account aggregation, integration, and conversions
- Client onboarding
- Client services, training, and other client requests

Open Architecture Technology Integration and Operations

Open Architecture

We support best-of-breed technology, conversions, implementation, integration.

Client Portal

Client Portals/ Document management/Workflow.

Digital Onboarding

Client guidance and phone support.

Account Aggregation

Administration, manual reconciliation, client assistance.

Financial Planning

Data gathering, data entry, plan draft prep.

Portfolio Management Software

Management, billing and report preparation, quality review, document uploads, print/stuff and mail reports.

CRM/Secure Email/Archiving

Administration, workflow management, documentation.

Compliance Administration

01	Manage and administer advisor compliance calendar to ensure no items are missed.
02	Maintenance of client contracts: Document tracking.
03	Form ADV updates.
04	Cybersecurity preparedness.
05	Compliance testing and systems checks.
06	Books and records requirements.
07	Trade blotter and administration.
08	Leverage document storage portal for all possible scenarios, how to assist virtually with non- tech-savvy clients.

IT: Managed Services Administration

Manage local machines, laptops, additional hardware

Remote desktop, and cloud integration

Website management and integration of third-party applications

Remote support

Cybersecurity reviews Vetting and documentation

Software selection and due diligence

Marketing: Coaching, Solutions, Social Media Administration

Marketing consulting

Branding and logo design

Website Design Template and custom

Direct and network marketing administration: Lead generation

Content distribution, drip email marketing, social media management

Sample Projects Completed by Concierge Team

01 Outsourced recruiting and hiring – in-sourced staffing.

02 Market research.

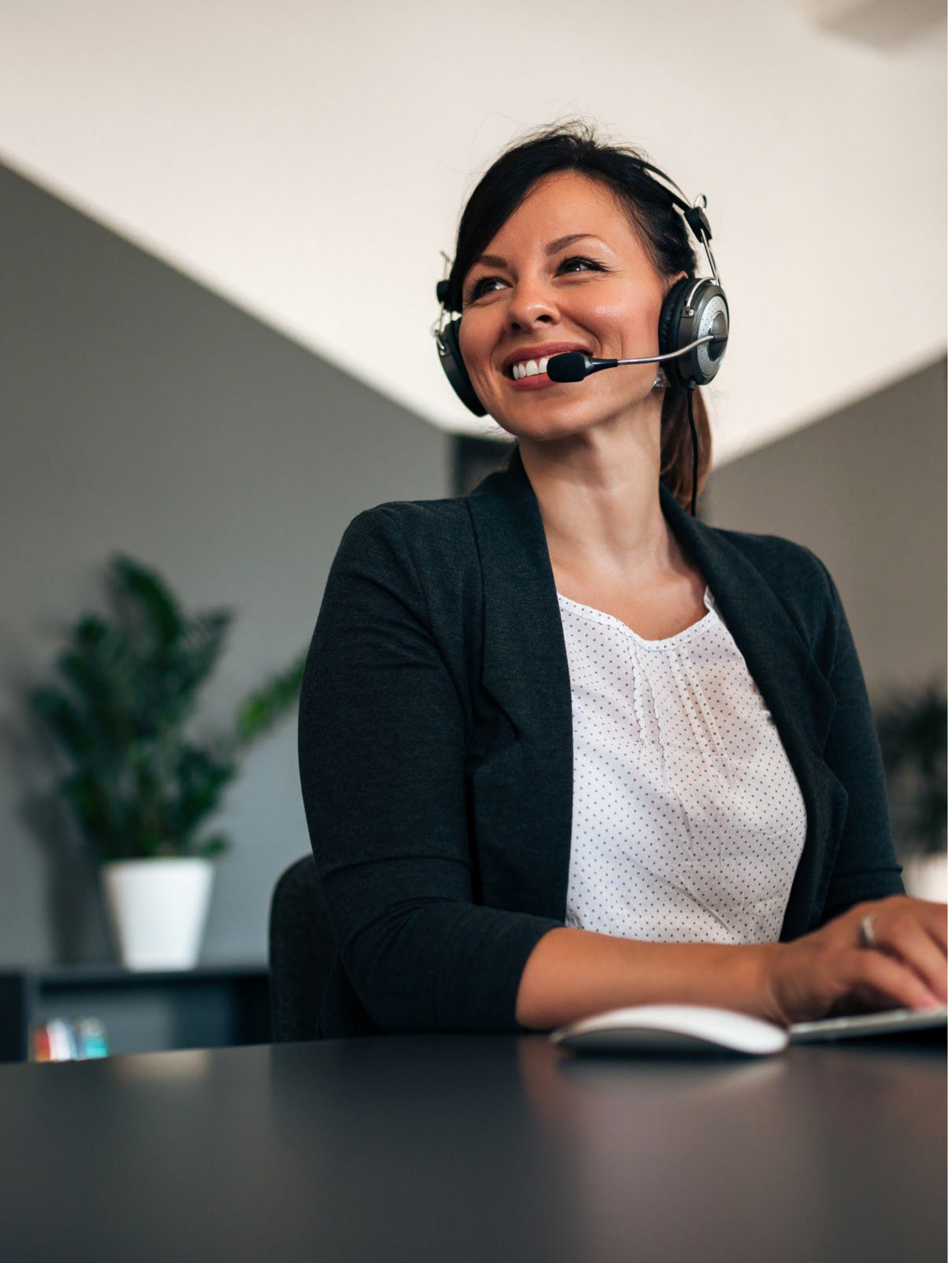
03 Assisting larger RIA’s with onboarding new advisors.

04 Product due diligence for applications such as CRM, Financial Planning, Portfolio Accounting.

05 Document management systems conversions

06 Portfolio Accounting Conversions.

07 Data mining and data preparation for firm valuation during merger due diligence.



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