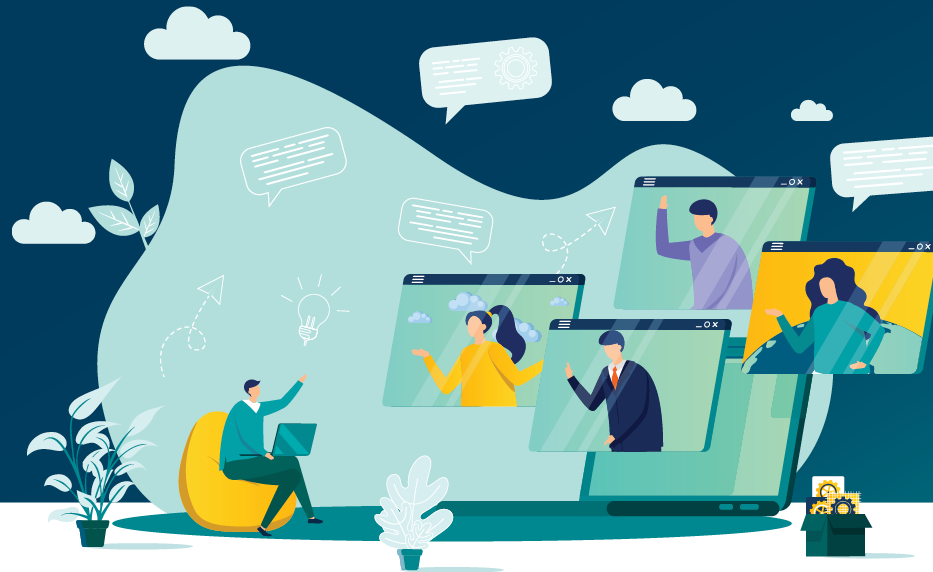


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**ADVISORFEST**  
EXPERIENCE • GROWTH • TRANSFORMATION

# Creating a More Scalable Business



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Presented by:

**Jim Tavares**  
Regional Director  
Symmetry Partners, LLC

**SOMETIMES**  
**OBVIOUS**  
**IS HARD TO SEE**

Invented 3200 BCE

Invented 1700s

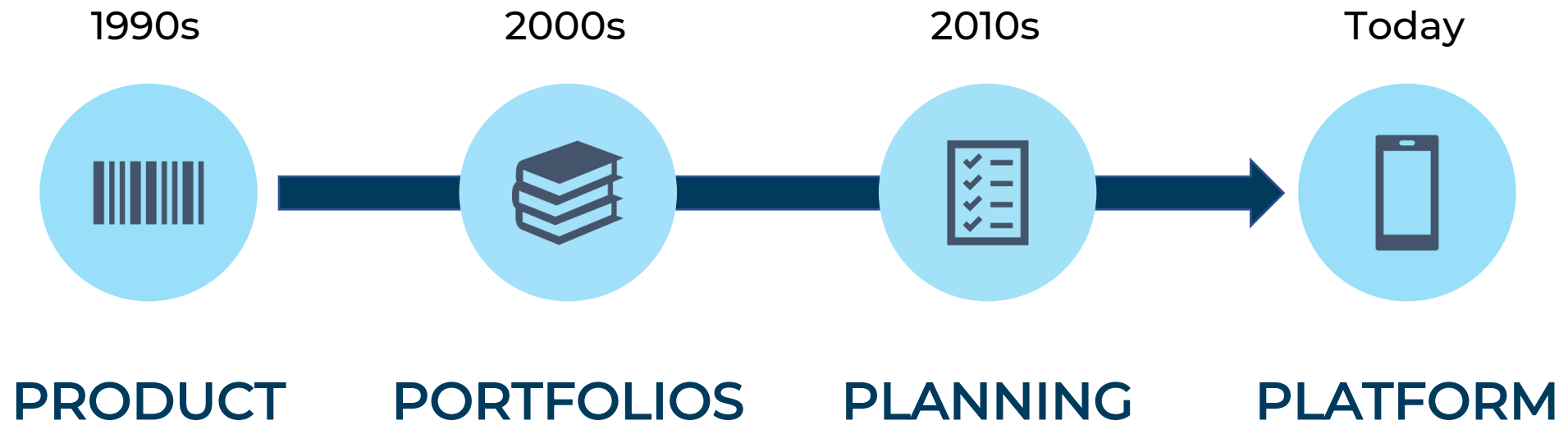
Invented 1987



# The Evolving Paradigm of Advice

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# Advisors Need Help

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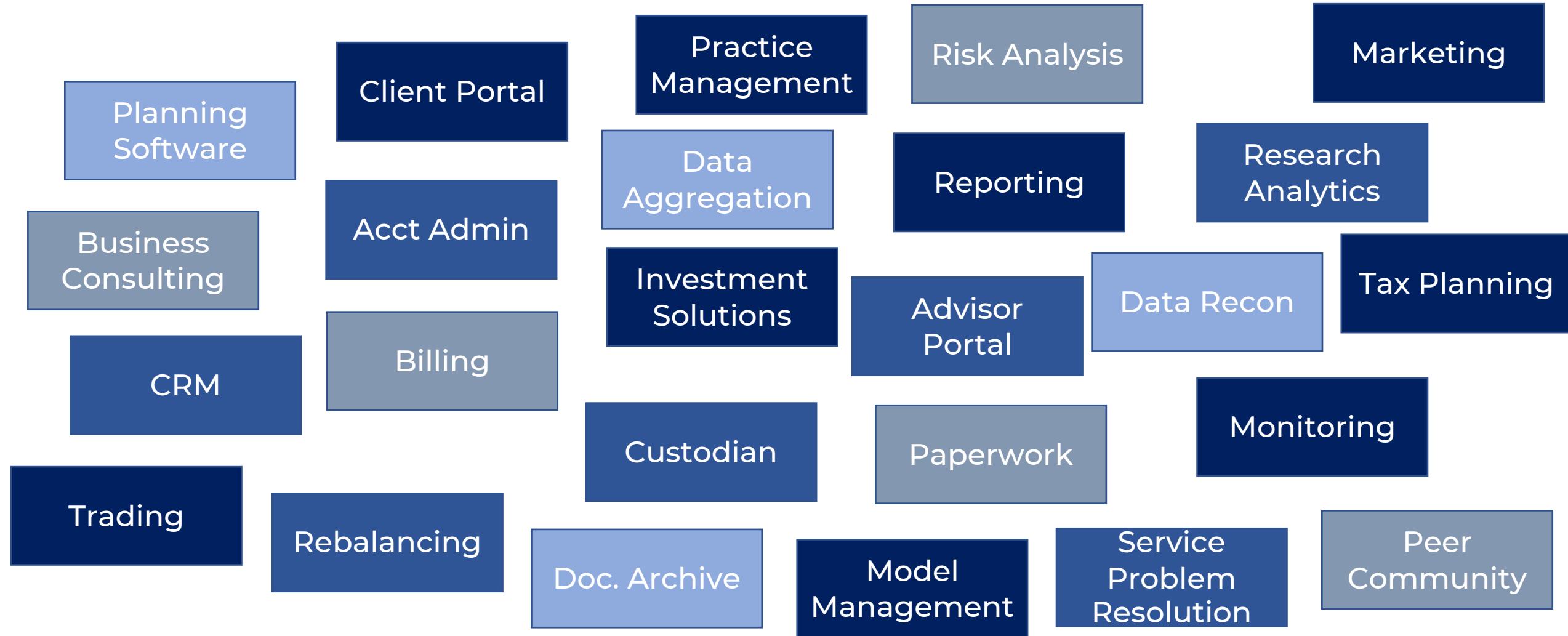
- **Demand** from investors to add more services
- **Expansion** of technology solutions difficult to navigate
- **Expense** of all the different technologies substantial for smaller firm
- **Differentiating** themselves
- **Navigating** complex regulatory environment

**How will Advisors continue to meet & exceed client expectations while investing time & resources in Technology, Operations, Regulations, Investments?**

# A Simple Business Made Complex

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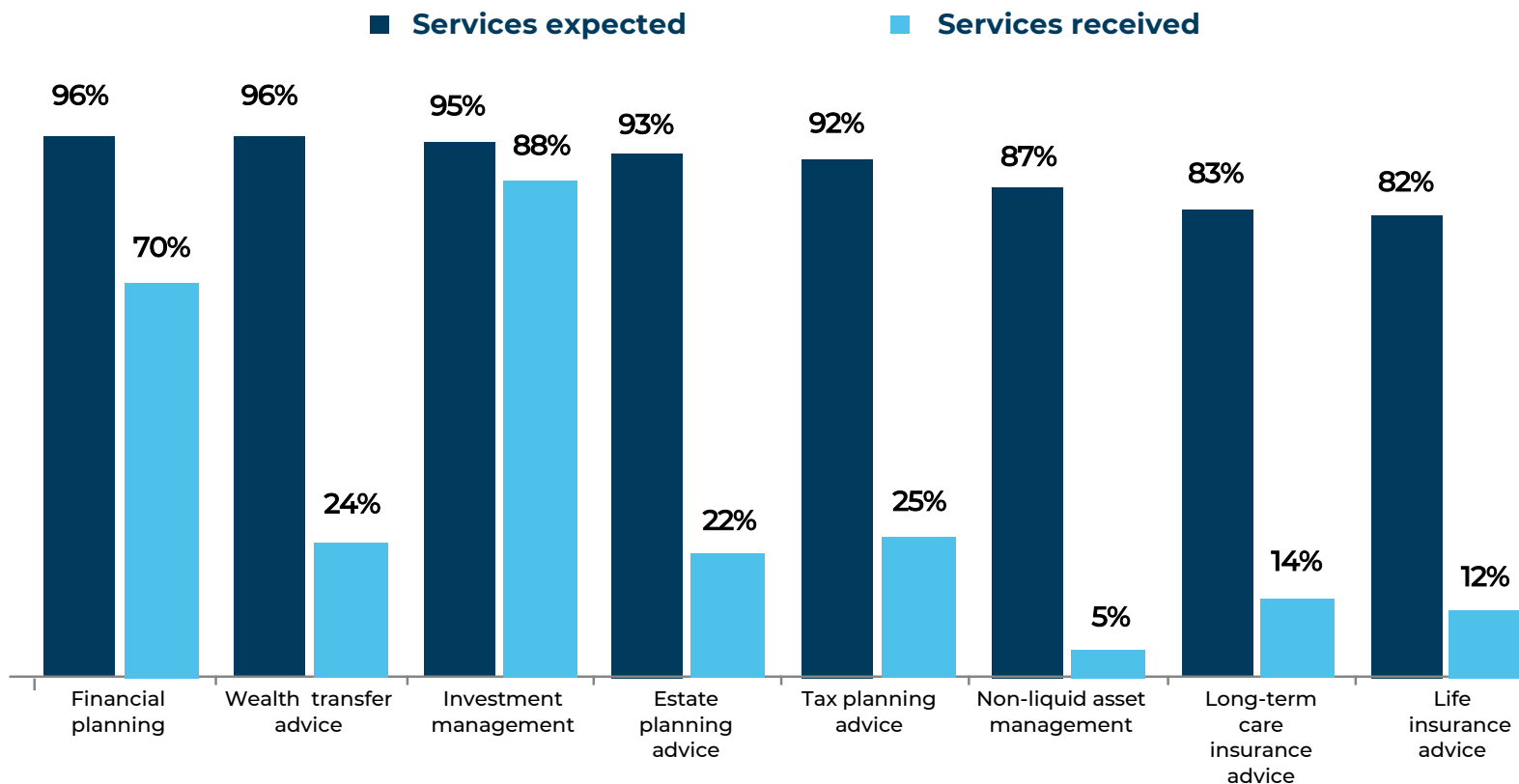
Realities of trying to serve clients and run a growing business can be overwhelming



# The Expectations Gap

## Clients Expectations vs What Advisor Delivers

### The Gap: Services Expected from Advisors vs. Services Received



There are significant gaps between the services investors receive and the wealth management services they would like to receive.

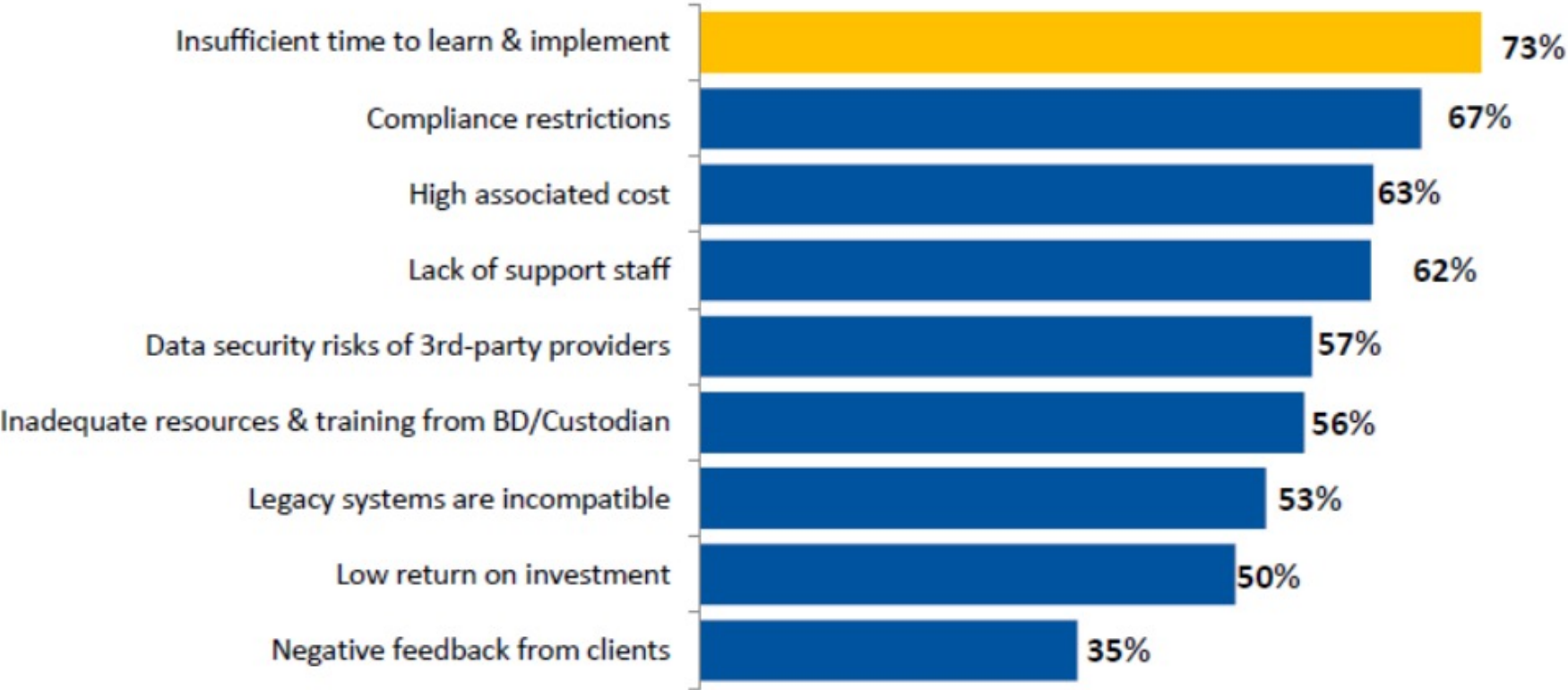
Source: Spectrem August 2018 Defining Wealth Management © 2018 Envestnet, Inc. All rights reserved. For home office and advisor use only



# Major Tech Challenges For Advisors

Insufficient Time To Learn New Technology & High Costs

Leading Advisor Technology Challenges: 2020



Source: Cerulli Advisor Metrics 2020

# So Many Options to Sort Through

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## Financial AdvisorTech Solutions Map



# Where Successful Advisors Focus

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They Don't Overcomplicate a Simple Business

- Client Experience
- Financial Planning
- Asset Allocation & Risk Tolerance Assessment
- Client Communication & Education
- Behavioral Coaching

# How Do You Solve the Challenges?

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# Options for Advisors

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- Staff Up
- Invest in Technology
- Merge / Tuck In
- Do Nothing
- Partner



# Staff Up – Should you hire?

Role Type	Min	Max
Assistant	\$44,000	\$76,000
Paraplanner	\$51,000	\$83,000
Client Service Associate	\$49,000	\$80,000
Operations Associate	\$44,000	\$80,000
Trader	\$55,000	\$105,000
Investment/Portfolio Manager, CFA	\$96,000	\$277,000
Technology Professional	\$62,000	\$138,000

Source: 2019 Charles Schwab Compensation Study

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# Staff Up – Should you hire?

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- Who do you hire?
  - What traits are you looking for?
  - What skills are needed?
  - How many?
- Do you have the time?
  - Finding Talent
  - Training
  - PTO
- Employee Retention
  - Competitive Compensation
  - Career Development

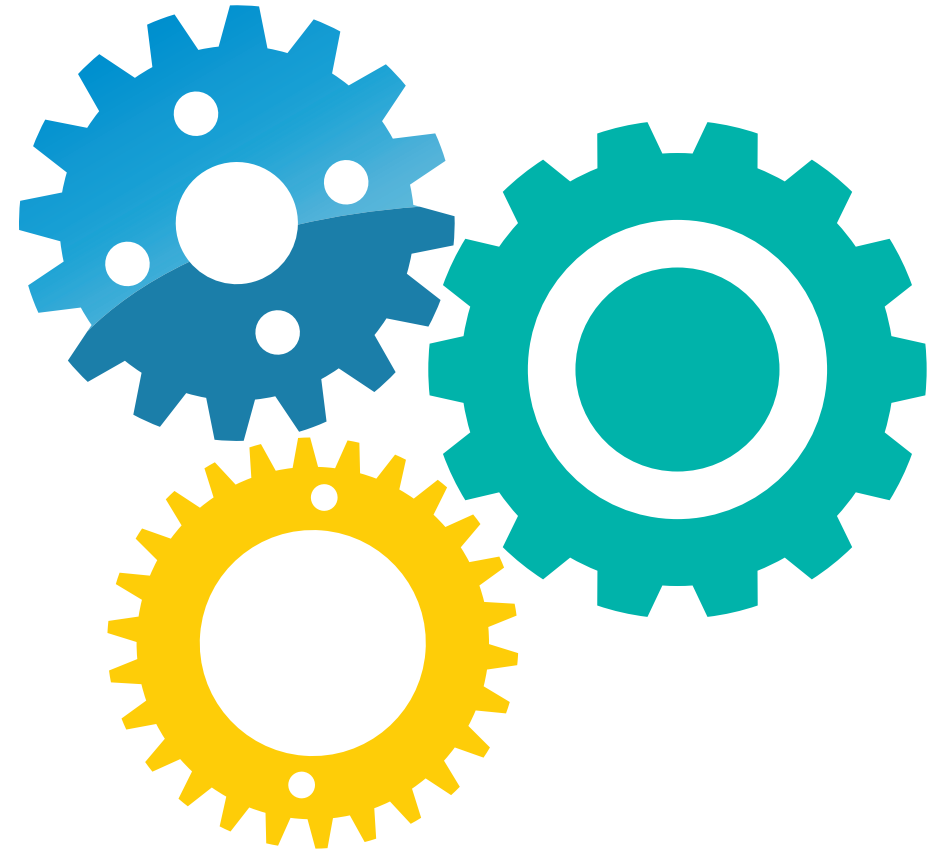




# Invest in Technology

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- How do you stay up to date?
- Having the best technology is one thing:
  - But implementing it is another
  - What is your ROI?
  - Integrations
- Who becomes the expert?





# Merge/Tuck in

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- Can create more scale and become more efficient/inefficient
- Can lose your value prop and the culture of the firm
- Can be a good succession plan
- Issues of “fit”



# Do Nothing

- Have a tougher time growing
- Become more inefficient
- Progress away from culture and values of firm
- Lose the team if over-worked and more pressure
- Ultimately - Lose clients because of less service/support



# Partner

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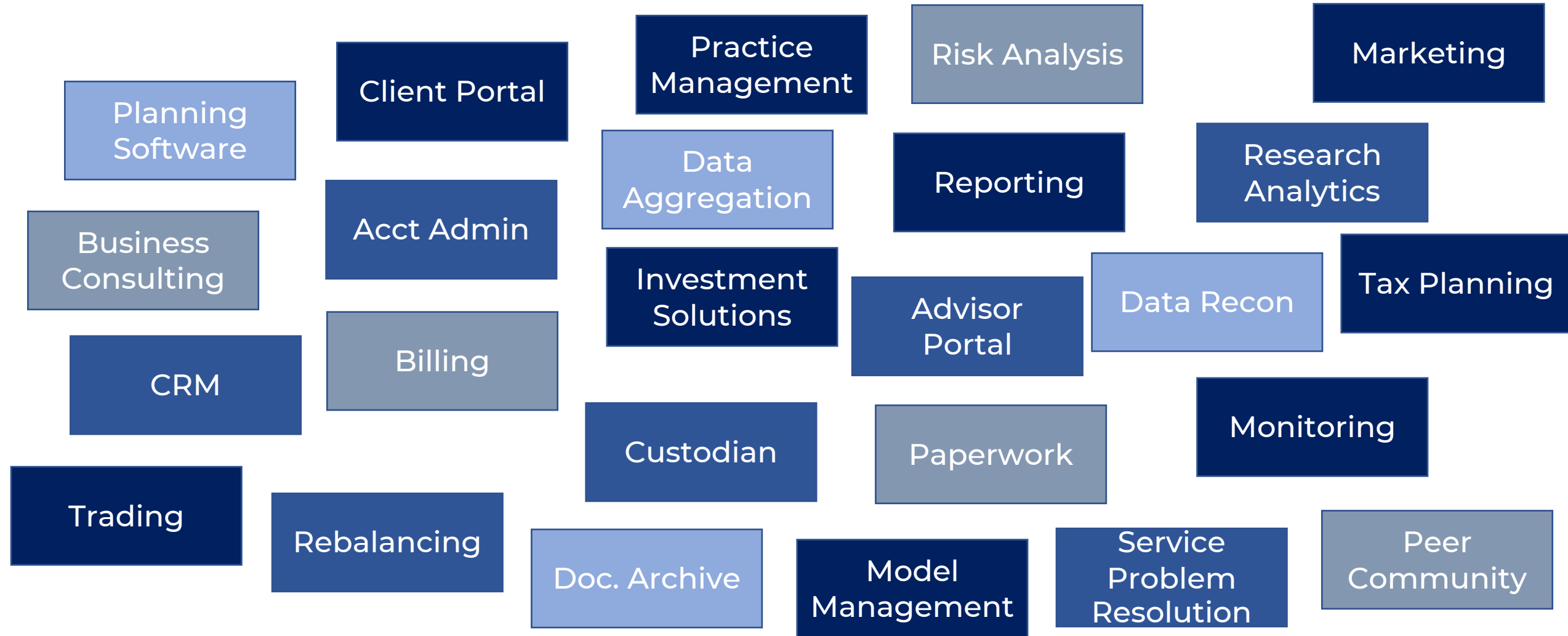
- **NO DISRUPTION**
- Increase **Firm Capacity & Bandwidth**
- Additional **Efficiency & Scale**
  - Operational Support Services (account setup & maintenance)
  - Billing
  - Reporting
  - Account Aggregation
  - Model Management & Trading
  - Dashboards
  - Tax Management and Asset Location
  - Events-Based Notifications



# A Simple Business Made Complex

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Realities of trying to serve clients and run a growing business can be overwhelming



**Experience**  
Help Your Clients



**Growth**  
Help More Clients



**Transformation**  
Help Yourself & Your Team

Advisor Portal	Client Portal
Reporting	Billing
CRM	Custodian
Monitoring	Rebalancing
Trading	Tax Planning
Doc. Archive	Acct Admin
Service Problem Resolution	Data Recon

Investment Solutions	Marketing
Planning Software	Research Analytics
Model Management	Paperwork
Risk Analysis	Data Aggregation

Peer Community
Practice Management
Business Consulting

**Partner**  
Platform for Advisor Success

# Why Partner?

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## What to look for in a Partner

- **Cost:** price competitive
- **Experience** in the technology space with multiple platforms and proprietary solutions
- **Comprehensive** No hidden fees or missing services
- **Focus:** Committed to serving Advisors
- **Flexibility:** in understanding and supporting Advisors
- **Track Record:** Long-term experience working with Advisors

# Thank You

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