SYMMETRY®

ADVISORFEST

EXPERIENCE • GROWTH • TRANSFORMATION

Creating a More Scalable Business

ADVISOR**FEST**

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Presented by:

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Regional Director
Symmetry Partners, LLC

SOMETIMES OBVIOUS IS HARD TO SEE

SYMMETRY®

Invented 3200 BCE

+

Invented 1700s

=

Invented 1987

The Evolving Paradigm of Advice

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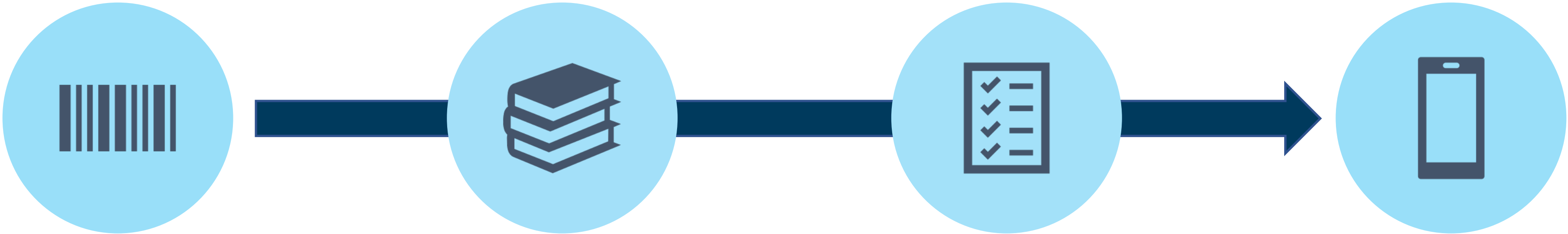
1990s | 2000s | 2010s | Today



PRODUCT | PORTFOLIOS | PLANNING | PLATFORM

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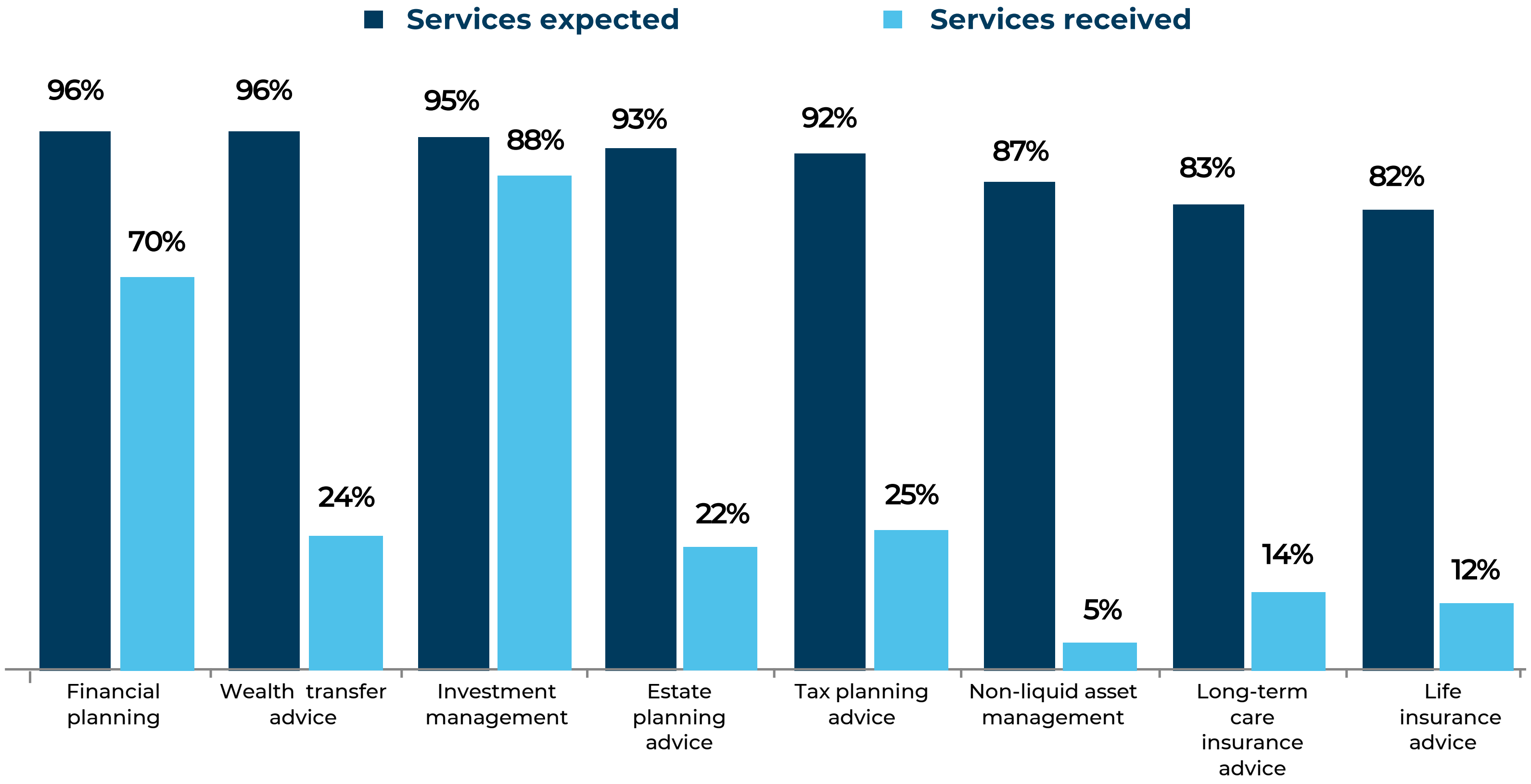
Realities of trying to serve clients and run a growing business can be overwhelming

- Planning Software
- Client Portal
- Practice Management
- Risk Analysis
- Marketing
- Data Aggregation
- Reporting
- Research Analytics
- Business Consulting
- Acct Admin
- Investment Solutions
- Advisor Portal
- Data Recon
- Tax Planning
- CRM
- Billing
- Custodian
- Paperwork
- Monitoring
- Trading
- Rebalancing
- Doc. Archive
- Model Management
- Service Problem Resolution
- Peer Community

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 For home office and advisor use only

Major Tech Challenges For Advisors

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Insufficient Time To Learn New Technology & High Costs

Source: Cerulli Advisor Metrics 2020

So Many Options to Sort Through

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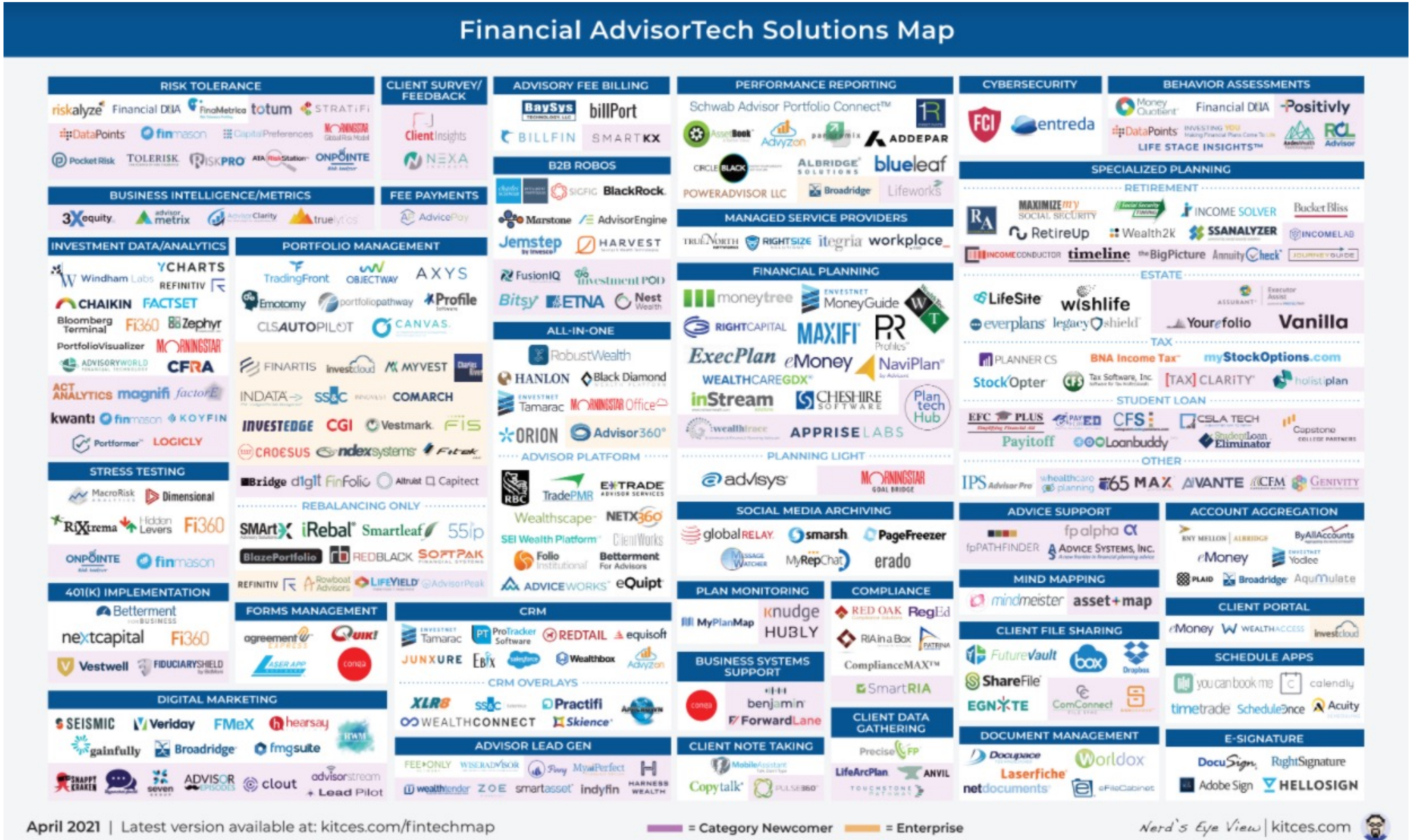

Where Successful Advisors Focus

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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?

Options for Advisors

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

Staff Up – Should you hire?

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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

Staff Up – Should you hire?

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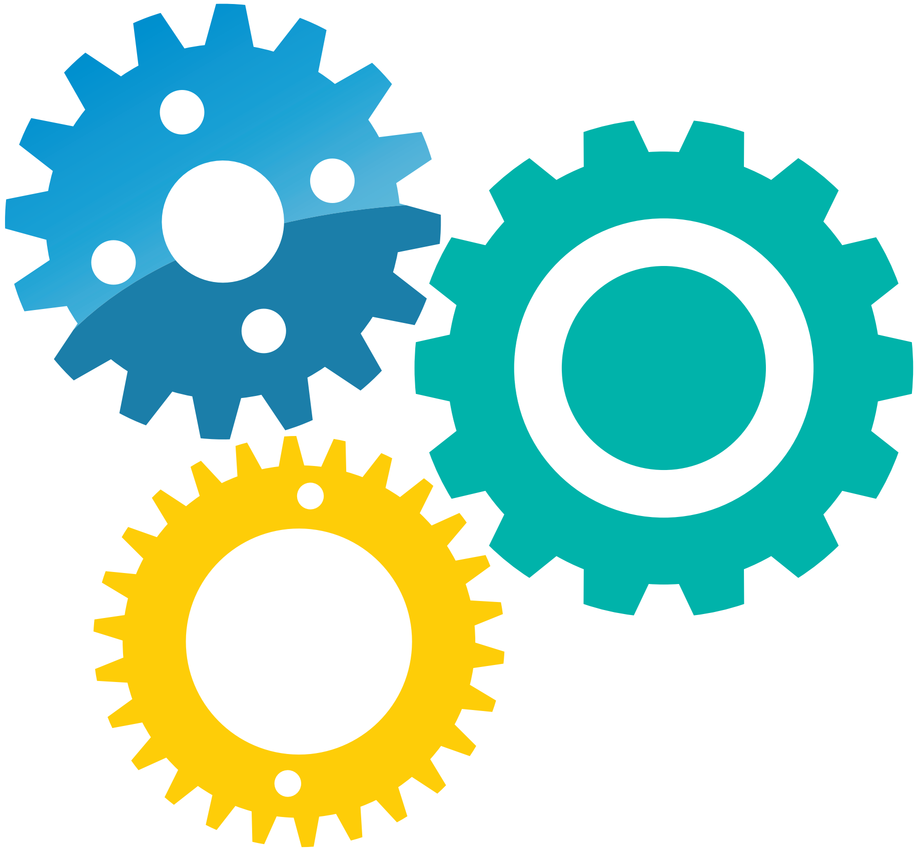
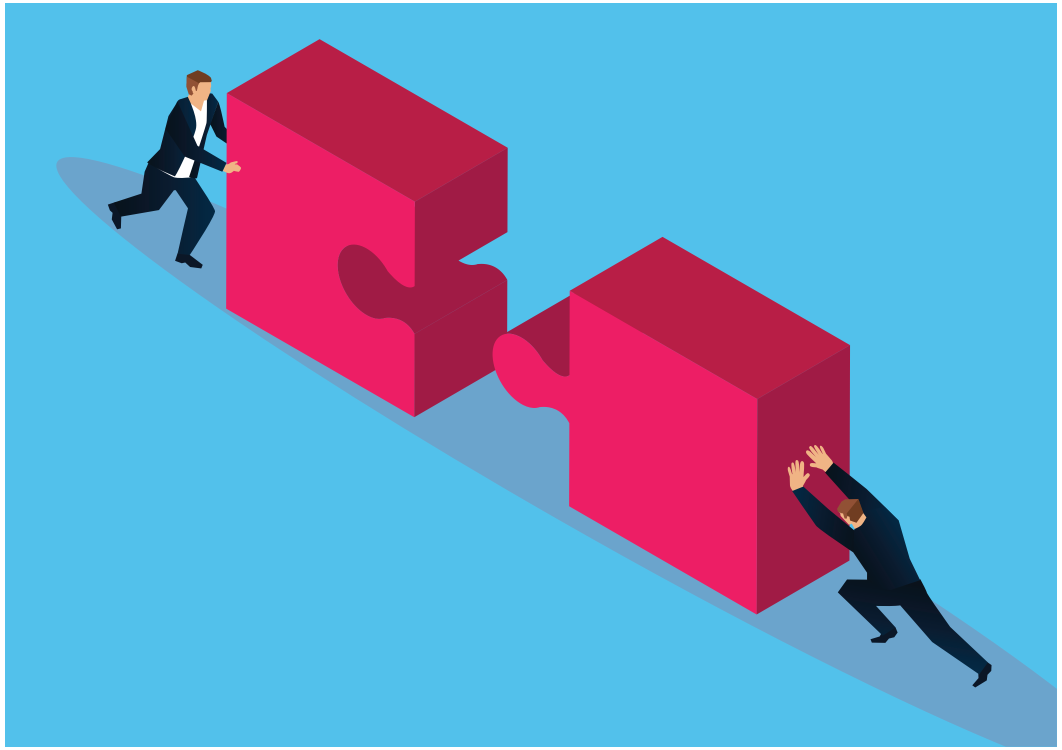
- How do you stay up to date?
- Having the best technology is one thing:
  - But implementing it is another
  - What is your ROI?
  - Integrations
- Who becomes the expert?



Merge/Tuck in

- 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

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Experience
Help Your Clients

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

Growth
Help More Clients

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

Transformation
Help Yourself & Your Team

- Peer Community
- Practice Management
- Business Consulting

Partner

Platform for Advisor Success

Why Partner?

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

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Thank You

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Important Information Symmetry Partners, LLC