

A Detailed Look at Our Unique Services

FocusPoint Solutions empowers financial advisors to dedicate their time to their core purpose—serving clients. Through our back-office support and practice development programs, we handle the time-consuming administrative tasks while providing the tools and resources needed for sustainable business growth. Whether you're an established RIA or planning to break away, our experienced team becomes your team.

Back Office: Daily Administrative and Account-Related Activities

- Provide Advisor with relationship manager dedicated to Advisor's firm.
- Establish new accounts in system.
- Handle uploads/downloads, data maintenance, and account reconciliation.
- Review accounts at agreed upon intervals to ensure they're invested according to investment model.
- Aid Advisor with proper documentation for establishing an account.
- Set up and maintain RMDs and other distributions.
- Communicate with custodian about requests received (transfer outs, restriction notices, etc.).
- Follow up on activities that require attention.
- Serve as liaison between custodian and Advisor, creating one central point of contact to handle all quality control and assigned tasks.
- Facilitate with custodian to deliver funds requested to end client via chosen method.
- Provide updates as needed so Advisor can be aware of status.
- Ensure new paperwork and assets are received and executed by custodian.
- Follow up and follow through with transfer requests to ensure assets are received/delivered.
- Coordinate with custodian to resolve any outstanding issues, trying to limit Advisor having to go back to end client as much as possible.
- Use provided technology to work with Advisor to automate certain internal workflows where applicable.
- Inform Advisor of any requests received by custodian.

Trading Activities

- Trade models of Advisor's choice.
- As assets arrive into new and existing accounts, confirm with Advisor that it is alright to trade to the appropriate investment model.
- As cash arrives into new and existing accounts, wait until cash is over the model weighting, then invest into chosen investment models.
- As investment model changes are made, ensure those trades are executed.
- Liquidate assets proportionately according to investment model to free up cash for redemptions, fees, or systematic withdrawal requests.
- Execute stock/bond/annuity trades as necessary or as requested by Advisor.
- Review/rebalance at agreed upon timeframes, using Advisor's criteria to ensure accounts are invested according to investment model.
- If assisting Advisor with creation of new investment models, help Advisor to move accounts into those models.
- Work with Advisor to create a strategy to handle tax sensitive accounts.
- When possible, trade around investments with potential short-term redemption fees.

Complete Reporting and Billing Services

- Utilizing Advisor's billing structure, provide quarterly billing calculation, billing statement generation, deduction from client accounts, and payment to Advisor's account.
- Deliver preliminary billing report to Advisor for review and accuracy prior to fees being pulled.
- Provide final billing statement to Advisor for delivery to clients if Advisor so chooses.
- Provide householded client billing statements on set scheduled basis.
- Provide basic reporting (realized gain/loss reports, estimated 1099 dividend information) for taxable accounts.
- Offer custom reporting for individual client needs (1099, unrealized gain/loss, etc.).
- Maintain cost basis tracking for incoming securities in taxable accounts.
- Work with Advisor to develop customized client deliverable reports as requested.

Investment Management and Activities (For Models of Advisor's Choice)

- Help with the creation of an initial recommendation/strategy for assets as needed.
- Provide recommendations for special asset strategies as needed.
- Generate client-ready, quarterly customizable Advisor communications on broad market topics for use with clients as Advisor sees fit.
- Regular account review.
- Regular review/re-balancing (based on Advisor's criteria to ensure accounts are invested according to their investment model).
- Provide weekly Advisor market missive communications via email.
- Provide access to communication with a full-time CFA research team and investment committee as needed.
- Generate periodic commentary on market action and/or timely topics.

Technology/Software

- Provide access to and training on a comprehensive, fully integrated, Web-based virtual office.
 - CRM (data conversion as applicable)
 - Portfolio reporting software
 - Online document storage
 - Client portal (accessible via Advisor's website)
 - Risk profiling software
 - Account aggregation software
 - E-signature/DocuSign solution
- Assist Advisor with performance file history data conversion (maybe an additional fee).
- Host Advisor's email (optional).
- Offsite server hosting/maintenance.
- Provide ongoing technology/software training and any upgrades/enhancements.
- Provide/maintain a virtual office platform which includes nightly and weekly client backup.



Compliance Support

- Assist with any applicable documents associated with audits.
- Serve as a resource to Advisor's RIA firm for general compliance-related guidance and information.
- Offer most RIA compliance-related activities through trusted offsite legal firm (additional service/fee).

Practice Development

- Customize a client transition plan and timeline for Advisor.
- Complete paperwork relevant to Advisor's transition.
- As part of Advisor onboarding process, create individual client folders and post scanned documents into proper client accounts.
- Work with custodian(s) on asset review, analysis, and approval as needed.
- Set up new accounts and transfer cost basis as applicable.

Practice Development

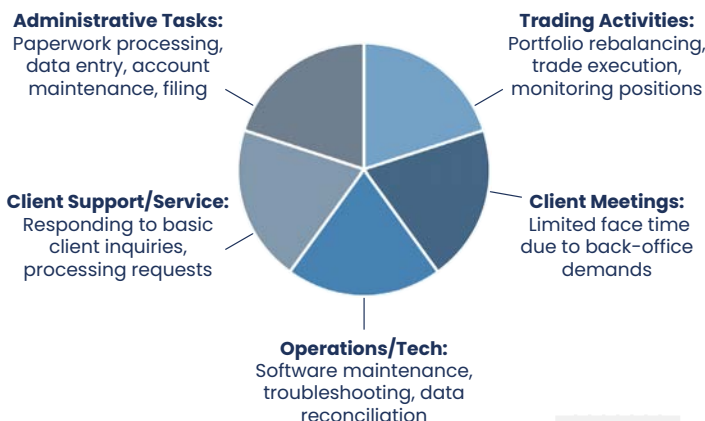
- Offer initial discovery and consultation process with highly experienced team members.
- Design a customized business analysis.
- Provide assistance with Advisor's investment process.
- Offer access to customizable client communications and/or presentation materials.
- Trade on new accounts and set them to the investment model Advisor has chosen.
- Help with data movement from Advisor's current CRM to new.
- Assist with materials for client meetings and communication materials related to Advisor's transition.
- Offer assistance (possibly involving a third party/additional cost) regarding migration of performance file history.

The Power of Strategic Outsourcing

How partnering with FocusPoint Solutions can transform your practice.

Our outsourcing solutions gives you back your most valuable asset; time. Leverage our established systems and dedicated support team to scale your practice efficiently while maintaining complete control of your practice.

The Daily Burdens



Partnering with FocusPoint

