



THE ROUNDTABLE SERIES  
BEACON STRATEGIES, LLC

# THE ROUNDTABLE

THE ISLE OF BERMUDA

NOVEMBER 1-3, 2023

# The Roundtable 2023

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# Thank You to Our Partners





# AGENDA

## Wednesday, November 1st

**6:00pm-8:30pm**

**New & Old Friends Registration  
- Trudeau Ballroom**

## Thursday, November 2nd

**7:30am-8:15am**

**Morning Nourishment - Trudeau Foyer**

8:30am - 8:45am

Opening Comments and Introductions

8:45am - 9:20am

Case Study: The Complex Relationship Between Knee to Knee and Technology Needs

9:20am - 9:30am

Partner Challenge: Advisor360

9:30am - 9:40am

Community Questions

9:40am - 9:50am

Partner Challenge: Calendly

9:50am - 10:25am

Case Study: The Case for Customer Specialization

10:25am - 10:35am

Community Questions

10:35am - 10:45am

Partner Challenge: Envestnet

**10:45am - 11:00am**

**Break**

11:00am - 11:10am

Partner Challenge: Fidelity Investments

11:10am - 11:40am

Breakout Sessions: Aligning Advisor and Customer Needs with Technology AND Focus on Practice Management

11:40am - 11:50am

Partner Challenge: IPIPELINE

11:50am - 12:00pm

Community Questions

12:00pm - 12:10pm

Partner Challenge: Orion

**12:10pm - 12:50pm**

**Lunch**

12:50pm - 1:00pm

Partner Challenge: RBC Clearing & Custody

1:00pm - 1:35pm

Case Study: The Changing Dynamic of Wealth Firm Communication Demands

1:35pm - 1:45pm

Partner Profile: Skience

1:45pm - 1:55pm

Community Questions

1:55pm - 2:30pm

Case Study: Best of Breed Versus All in One

2:30pm - 2:40pm

Partner Challenge: Smarsh



# AGENDA

## **2:40pm-3:00pm**

3:00pm - 3:10pm

3:10pm - 3:40pm

3:40pm - 3:50pm

3:50pm - 4:00pm

4:00pm - 4:20pm

## **6:00pm - 10:00pm**

### **Break**

Partner Challenge: SS&C | Black Diamond

Breakout Sessions: Is the Medium Really the Message? AND Searching for the Perfect Ecosystem

Partner Challenge: Surge Ventures

Community Questions

Beacon Wrap Up

### **Closing Dinner Blu Bar & Grill**

**Buses leave at 5:40pm | [www.blu.bm](http://www.blu.bm)**





# ATTENDEES



**Mark McDonald**



**Dan Kocher**



**Dymas Coelho**



**Jeff Vivacqua**



**Brent Owens**



**Jeff Casey**



**Liz Legacy**



**Rich Whalen**



**Ann Robinson**



**Michelle Barry**



**Scott Solod**



**Bayard Closser**



# ATTENDEES



**Stephen Langlois**



**John Burmeister**



**Todd Cooper**



**Kurosh Golchubian**



**John Boccio**



**Rob Gaudio**



**Sara Vogelsanger**



**Geoff Moore**



*It's a good group of diversified professionals. Very open and honest dialogue sharing ideas, frustrations, etc., all while focused on making their offering stronger, supporting advisors and serving end clients.*


*Sponsors aligned well with conversation*

*Short, but IMPACTFUL."*


*~ Attendee - Investment Product, Retirement & Fiduciary Roundtable 2023*

# PARTNERS




**Chris Ollendike**  
 **Advisor360°**



**Jeff Schwantz**  
 **Advisor360°**



**Aundrea Heisey**  
 **Calendly**



**Ben Wright**  
 **Calendly**



**Allan Avena**  
 **ENVESTNET**



**Kent Swauger**  
 **Fidelity**  
INVESTMENTS



**Shaun Christensen**  
 **PIPELINE**  
INSURANCE ACCELERATED



**Rob Forish**  
 **PIPELINE**  
INSURANCE ACCELERATED



**Tricia Drexel**  
 **ORION**



**Ryan Stevenson**  
 **ORION**



**Jon Feinstein**  
 **SKIENCE**



**Matt Reed**  
 **SKIENCE**



# PARTNERS




**Kyle Brown**  




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**Doug McPhail**  




**Tracy Thompson**  




**Chris Shaw**  




**Sid Yenamandra**  




**Craig Gordon**  


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## GUEST



**Charles "Chaz" Reiling**



*Providing useful knowledge to the community is a core value of our mission. Our roundtables use case studies so groups of wealth management and solution provider executives can explore emerging solutions to critical issues, collaborating to identify obstacles and opportunities.”*

~ Beacon Strategies, LLC

# CASE STUDIES

# The Complex Relationship Between Knee to Knee and Technology Needs

**Presenter:** Mark McDonald  
Role: VP Technology Product Management

**Firm:**   
Ameriprise  
Financial

## Big Question:

Today, we live in a world where technology leads most conversations when we talk to wealth firms. Yet, where does the knee-to-knee part of the investor relationship end and the technology takeover. How will technology work to solve customer's most pressing needs? Will the promise of technology lead to better advice delivered to more customers? Will emerging technologies like AI play a meaningful role over the next several years.

## Preparer Perspective:

Several emerging technologies and trends are at the heart of deepening relationships with existing clients and will enable firms to differentiate themselves in the marketplace:

1. **Big data** to drive more personalized insights and actions for advisors and clients.
2. **Automation** that improves practice efficiency and enables teams to spend more time serving existing clients and cultivating new ones.
3. **Artificial Intelligence** to optimize labor intensive tasks like investment recommendations and summarizing client interactions.

## Firm Action Steps:

### Big data

- **Advice insights** – putting into advisors' hands a set of next best actions based on a divergent trove of data, including data external to the company.
  - Build integrated workflows to make it really easy to create an opportunity, add to a campaign, create a task, etc.
  - Create compelling digital experiences that put these insights front and center in an advisor's workflow so that they understand where immediate opportunities lie and can easily connect with those clients (e.g. online scheduling)



# CASE STUDIES



## - Advisor digital utilization

- Leverage data lake capabilities to show practice uptake of digital capabilities. As coaches engage with advisors, intent is to talk to them about opportunities to use our toolset in different ways. This can then be tied back to success stories that exist in other practices to help spur the competitive drive that most advisors have.

## Automation

### - eMeeting

- Readily create rich, detailed, personalized Power Point presentations to be used in meetings.
- Custom branding and images to reflect client preferences.
- Sits across critical systems to save practices time prepping for meetings.

### - Online Scheduling

- Practices are saving 5 hours/week by leveraging digital scheduling.
- Closely integrate within the CRM system

## AI

Articulating multiple potential use cases to execute POCs across several providers.

- Client summaries
- Agenda creation
- Investment and portfolio recommendations

## The Unexpected:

- Despite extensive research to make tools intuitive and easy to use adoption can still be a challenge.

Ways to mitigate:

- Tie tool utilization to firm strategic priorities and growth initiatives
  - Digitize training and self help functions embedded within tools
  - Gamify
- (Not unexpected) – Regulators are understandably taking their time to wrap their heads around the implications of AI.
    - Start with use cases that aren't client facing.
    - Investment and portfolio use cases will need to be focused on analysts and portfolio managers in the immediate future.
    - Think of AI as an assistant



## The Case for Customer Specialization

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**Presenter:** **Stephen Langlois**  
Role: President

**Firm:** The logo for Kestra Financial features a stylized blue icon of a person's head and shoulders above the word "KESTRA" in a bold, sans-serif font, with "FINANCIAL" in a smaller font below it.

### Big Question:

The Wealth Management business is a competitive marketplace. The technology war is like keeping up with the Jones. So, where is the enterprise space trending? There are several studies that show that practices that focus on specific customer segments have higher valuations. What can enterprise firms do to assist practices to deliver specialized financial services and advice to specific customer segments? What are some examples of enterprise firms being successful in this area? Can an enterprise model this behavior or does most specialization occur organically amongst specific practices and advisors?

### Preparer Perspective:

- Understanding an advisory firm's unique capabilities and value proposition will help distinguish the firm in its chosen marketplace. This generally involves understanding the target custom profiles that the advisory firm prioritizes.

### Firm Action Steps:

- As an "enterprise" that supports over 400 advisory firms across the US, Kestra provides a broad operating platform for our firms to leverage in support of their business needs. Our practice management support to help firms identify and codify their brand / market positioning, their GTM strategies and client service/ support best practices. We do this by facilitating peer-to-peer experience sharing sessions across a variety of topics (from "working with doctors and other health professionals" to "how best to serve women in transition" and "planning technics for families with disabled children").
- We also work diligently to make sure our product, service and support capabilities support the myriad needs of advisors regardless of the customer segment they may focus on, e.g. having a robust range of HNW products and services; financial planning center of excellence and support; investment management support; trust capabilities; etc. We also provide various levels of support for firms that focus on what I would refer to as specialized customer segments such as employer-sponsored retirement plans, institutional investors (small foundations and endowments) in addition to traditional "retail" Main Street Investors

## The Wins:

- Being explicit about what we do well (retail wealth management) and what we do less well, aligning our resources with the expected returns of various advisory firm profiles (bias toward retail wealth management rather than workplace retirement business, for example).
- Leveraging the power of the Advisor community and resources of our product sponsors to force-multiply the support we provide and fill in the holes of what we don't.
- Focus, focus, focus.

## The Unexpected:

- Need to be careful not to offer services from the home office that can't scale – we aren't the advisors; they are, and they need to actually deliver the advice.
- Be willing to refer business w/in the community to those w/subject matter expertise or refer out (e.g. healthcare / eldercare specialists)

## What Does the Future Look Like:

- Affluent investors are getting more affluent – need for HNW-type investment solutions (e.g. alts, privates, etc.) will grow over time
- Are we – as an industry – doing enough to provide advice to more diverse communities? Are there enough diverse advisors to support these market segments?
- Specialized needs

# CASE STUDIES

## The Changing Dynamic of Wealth Firm Communication Demands

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**Presenter:** **Geoff Moore**  
Role: Chief Information Officer



### Big Question:

Earlier this year we ran a survey on where enterprise wealth firms see them spending “upgrade” dollars of their budgets. With over 50 firms responding, marketing and communications came out as #2 on the Top 9 List. Why did marcomm come out at #2? Are the expectations of the advisor and client changing? Does that mean that the ongoing content support model is changing? Are enterprise firms, specifically independent firms, getting more comfortable with marketing their overall brand as additive to an advisor’s brand? How have firms pivoted their communications to supplement typical activities like compliance to focus more on growth initiatives?

### Preparer Perspective:

Two macro themes.

1. Face to face matters – Potomac Funds Case Study / Valmark Golden Rule Bus
2. Advisors can’t market: Outsourcing to platforms isn’t the answer

Opportunities?

Couplr – Overall brand with advisors?

Testimonials – SEC 2021 Marketing Rule Change. Few advisors doing it. Wealthtender

Advisor.com – New paid strategy as competitor to Smart Asset

Niche Down – Advisors need to start thinking about owning a niche to differentiate. Uncomparable with Kristen Luke.

White Glove - Seminars

### Firm Action Steps:

Creating in person opportunities – Best converting channel is events \*Nitrogen study

SAIFIR from Fidelity Labs could help accelerate compliance review for firms. \$\$\$

## The Wins:

LinkedIn with CEO – Premium Financed IUL is never in the client's best interest – Magnets: Attract and Repel  
Webinar Series

## The Unexpected:

TIK TOK is a cesspool of misinformation from Insurance only agents. FINRA/SEC advisors could have an opportunity.

## What Does the Future Look Like:

More niched advisors differentiating their practice based on their client's vs. the specific types of products they offer or fees they charge. The tactic isn't as important as showing up where the niche is located.

## Follow up Questions:

1. Are you helping your firms with marketing?
2. Are referrals > marketing and should we just ignore marketing?
3. Home office marketing support.  
- <https://www.linkedin.com/company/creative-marketing-international-corporation>
4. How can we help our advisors?

## Best of Breed Versus All in One

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**Presenter:** **Rich Whalen**  
Role: Vice President, Technology Strategy & Execution

**Firm:**  **Equity Services  
Incorporated®**

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### Big Question:

Technology is resource dependent and a significant expense to all wealth firms. Technology is also a “must have.” It matters in both the retention and recruitment of advisors and investment clients. Over the years, we have seen firms build, rent, and leverage a combination of both. As business leaders, what is the thinking behind how you look at technology? Do you want to solve vertical problems, or do you look at a partner that can help you with multiple solutions built into a central orb that you can build around? Strategically, is it worth it for firms’ provide an elevated and differentiated technology experience? Does the future portend an integrated ecosystem sponsored by technology firms, custodians or enterprise firms themselves? If your firm has developed their own integrated environment, how hard was it to build and, more importantly, how hard is it to maintain and keep current?

### Preparer Perspective:

- There is no right or wrong answer and your and your business model and capital position will impact your options
- While there are benefits and risks in both models the build model is riskier but comes with bigger potential
- Hidden Costs are everywhere make them visible and account for them
- Focused on creating a shared vision; they aren’t vendors or developers they are partners
- For ESI the buy model gives us greater flexibility and create an experience that challenges wirehouses

### Firm Action Steps

- Have a road map for each vendor or component and share it across your echo system
- Keep the focus on creating the gift of time for all stakeholders
- Avoid half measures at all cost
- Vendor Management



## The Wins:

- Buy model: force multiplier effect
- Buy Model: APIs leveled the playing field
- Customization is king no matter the model
- Build model: Leads to easier data management
- Build model: More reactive to our increasingly complex regulatory environment

## The Unexpected:

- When it comes to the buy model beware of the Joker:
- Cybersecurity: with great power comes great responsibility
- Beware of custodians planting trees
- I can do this all day; or can I
- Newton to Siri to Jarvis: Which one are you?

## What Does the Future Look Like:

- Hybrids, not just for the automotive industry
- Private equity may create pseudo all in ones
- As the difference between the advisor experiences shrinks the client experience becomes paramount
- Human-centered design will be critical as AI and other virtual solutions grow

## Follow up Questions:

- No matter your model how do you support transitioning advisors?
- Every firm/advisor has needs wants and wishes in their platform how do you manage them?
- AI will continue to transform the industry what happens when different AI interact?

## Aligning Advisor and Customer Needs with Technology

**How does your firm align the requirements and needs of both advisors and customers when making technology decisions?**

- What aspects of technology are the areas of focus for your firms?
  - CRM?
  - Financial Planning?
  - Managed Investments?
  - Alternative Investments?
  - Anything else?
- What are some interesting developments you have seen from various technology providers?

# BREAKOUT SESSIONS

## Focus on Practice Management

- What are some examples of focused practices that you have seen succeed?
- What are clients asking for when they express interest in a focused/specialized financial practice or advisor?
- Does product alignment or a specialized product offering help assist advisors in focusing their practice?
- Have you seen advisors who specialize in their customer base have an ability to market their practice more effectively?

## Is the Medium Really the Message?

- What communication campaigns have worked for your firm?
- Have you seen effective campaigns from other stakeholders that left you impressed?
  - Other enterprise firms?
  - Investment managers?
  - Technology firms?
- Does your firm utilize platforms like YouTube or, even TikTok to communicate your message?
- Is there a generational divide on the delivery means and target of your messages, for both customers and advisors?

## Searching for the Perfect Ecosystem

- What type of integrated environment do you offer?
- What specific components do they include?
  - Custodian functions
  - Investment management
  - CRM
  - Financial Planning
  - Compliance
  - Anything else?
- Who gets the most out of your integrated ecosystem?
  - Home office
  - Advisors
  - Customers
- What do you believe that the next generation of your technology environment will look like?
- What would you like to include/change?



# COMMUNITY QUESTIONS



# COMMUNITY QUESTIONS

1. What role will AI play in our industry? Should we be threatened or excited? How will it change advisor/client communication, if at all?
2. Our firm has several systems and integrations projects going on that are designed to enhance efficiency, improve client experience and reduce headcount in positions that should/could be automated. Can some of you provide ideas on KPI's and scorecard metrics that will provide relevant data to measure progress on these initiatives to help gauge results?
3. We utilize a business operating system called EOS (entrepreneurial Operating System) which some of you probably are familiar with. I am wondering if any of you utilize a personal assessment tool that you feel does a great job in assisting in the hiring and evaluation process for getting the right people in the right seats?



# COMMUNITY QUESTIONS

4. Has anyone had recent success implementing or changing their performance reporting software and integrating non-investment data into a consolidated reporting framework/platform?
  
  
  
  
  
  
  
  
  
  
5. Would anyone proudly say they have made significant improvements with respect to seamless onboarding of multiple products in one integrated platform with a consistent advisors and client experience
  
  
  
  
  
  
  
  
  
  
6. How do you see emerging technologies, such as artificial intelligence and blockchain, reshaping the landscape of regulatory compliance in the financial sector?

# COMMUNITY QUESTIONS

7. What types of technology integrations or processes do you feel would have a positive impact on the way firms conduct business?
  
  
  
  
  
  
  
  
  
  
8. In terms of client interactions, how do you currently ensure a seamless experience across various touchpoints?
  
  
  
  
  
  
  
  
  
  
9. How will financial services firms evolve considering the progression of technology, the expectations of a new generation of (slacker) employees, and the current regulatory mindset?
  
  
  
  
  
  
  
  
  
  
10. What are you doing today to prepare for the world you envision in accordance with your response to the previous question?

# COMMUNITY QUESTIONS

11. AUM is up, costs are up, margins are down. What steps are you taking, new services or lines are you adding, and what efficiencies are you creating now to improve the bottom line?
12. What are non-bank people doing for end-investor portal solutions?
13. How are firms using chat bots and AI in service? What are the benefits -- hard and soft -- people are seeing / realizing?
14. What are you streaming these days and would recommend to a friend









# COMMUNITY QUESTIONS

27. Given the SEC and other Regulators (State, etc) heavy agendas, are you looking to bring in more technology to support these changes? If so, what's the next big investment?

28. As we move in to 2024, what is still keeping people up at night? We have seen lots of regulatory activity over the last couple of years, does everyone feel they have it settled?

29. Does your firm have a next generation of financial advisors training program?

30. From where and how do you attract young or new talent to your firm?



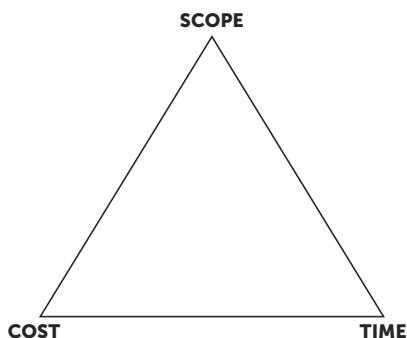
# COMMUNITY QUESTIONS

35. With it's recent rise in popularity, how have you managed to leverage AI to improve existing process and/or implement new ones? When doing so, how do you determine what offerings are truly useful versus what is "riding the wave" and capitalizing on buzzwords?
  
36. Are there concerns when it comes to utilizing AI with sensitive/non-public data and how do you work around this?
  
37. How is your firm governing off-channel communications? With respects to capturing and supervising communications.
  
38. How is your firm governing mobile communications and how has it changed over the past few years?
  
39. What are some concerns you have in terms of communication governance with new regulations coming from SEC and FINRA?

# COMMUNITY QUESTIONS

40. How many vendors are on your firm's vendor list?

41. When vendors are coming to market with loaded features and low cost, what are they doing this at the expense of? What is the impact and how does this affect our industry?



42. How does your firm work with or encourage advisors who are disenfranchised because their business has been negatively impacted by a large vendor merge or acquisition?

# COMMUNITY QUESTIONS

43. Heading into 2024, what's your firms' #1 strategic initiative and plans to achieve it?
44. What scares you most about your advisory business? What are you doing to help mitigate this fear?
45. Return to work approach and culture – Where do firms in the room stand with their return to work policy? Does that policy continue to evolve? Any interesting things you're doing to "incent" associates to want to be in the office? How do you feel your policy is impacting (if at all) the culture you are trying to build within your firms?
46. Next Gen Advisors – Given advisor demographics and the impending retirement wave of advisors over the next decade, what actions is your firm taking (either directly or in support of your advisor teams) to bring new talent into our industry?

# PARTNER PROFILES

# PARTNER PROFILE



CONTACT:

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SVP, Head of Sales

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## Firm Vision

We build enterprise software as the single system of record for all components of the platform—whether these are investor- or advisor-facing components or to support broker-dealer back office processing. We’ve dedicated many years in the relentless pursuit of uniting the entire data management life cycle to deliver a deeply integrated, comprehensive platform. Building and delivering an amazing enterprise wealth management platform experience, powered by our secure Unified Data Fabric®, is our business—and our only business. We make the complicated connections—investment, insurance, and banking account data, and third-party applications and workflows—so you don’t have to..

To learn more about Advisor360:

**Website:** [www.advisor360.com](http://www.advisor360.com)

**Blog:** [In the Loop](#)



Stay connected:

**LinkedIn:** [www.linkedin.com/company/advisor360](http://www.linkedin.com/company/advisor360)

**Twitter:** [@advisor360](#)

## Firm History

Since our formation in 2019, more than \$1 billion has been invested into the Advisor360° platform. Founded by financial advisors for financial advisors, Advisor360° has a unique understanding of the technologies broker-dealers need to operate their businesses while maximizing their advisors’ productivity. Advisor360° offers a “shared R&D model,” allowing broker-dealers to capitalize on our economies of scale to reduce costs and focus resources in places where they can best create competitive advantages.

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## Leadership

**Richard Napolitano**, Chief Executive Officer

**Darren Tedesco**, President

---

## Ideal Buyer

Enterprise Wealth Management Firms.

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# PARTNER PROFILE



CONTACT:

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Head of Financial Services Strategy  
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**Ben Wright**  
Solutions Engineer | Solutions Architect  
Direct: 917.657.5585  
ben.wright@calendly.com



## Firm Vision

Calendly helps individuals, teams, and organizations to modernize the meeting lifecycle and eliminate the opportunity cost of the back and forth of scheduling. Calendly's cloud-based platform offers a new layer of the modern digital technology stack by connecting with critical tools to automate scheduling workflows, creates a more delightful client experience, and provides insightful, measurable data to drive better business outcomes.

## Firm History

Tope Awotona founded Calendly in 2013 through sheer grit, perseverance. With everything on the line, he turned his vision of simple scheduling for everyone into a vibrant, growing platform, that helps more than 20 million users across 230+ countries to simplify meetings, collaborate more effectively and efficiently, and drive business forward.

For more information about Calendly:

**Website:** [calendly.com](https://calendly.com)

Stay connected:

**LinkedIn:** [www.linkedin.com/company/calendly](https://www.linkedin.com/company/calendly)

**Facebook:** [www.facebook.com/calendly](https://www.facebook.com/calendly)

**Twitter:** [@calendly](https://twitter.com/calendly)

**Instagram:** [www.instagram.com/calendly](https://www.instagram.com/calendly)

**YouTube:** [www.youtube.com/c/Calendly](https://www.youtube.com/c/Calendly)

## Leadership

**Tope Awotona**, Founder & Chief Executive Officer  
**Kate Ahlering**, Chief Revenue Officer  
**Tina Dobie**, Chief Customer Officer  
**Roy Duvall**, Chief Technology Officer  
**Jessica Gilmartin**, Chief Marketing Officer  
**Stephen Hsu**, Chief Product Officer  
**John McCauley**, Chief Financial Officer  
**Frank Russo**, Chief Information Security Officer

## Ideal Buyer

Calendly partners with growth-oriented organizations across wealth & asset management, insurance, and banking & lending, who are committed to elevating client and advisor experiences and driving operating efficiencies with an emphasis on security and compliance.

## Key Roadmap Deliverables

Calendly is focused on providing new features, solutions, and controls to help IT, sales, marketing, client experience, and recruiting teams be more productive with scheduling automation. Recent updates to the the platform include: - Enhancements to Calendly Routing, a solution helping sales and marketing teams qualify, route, and schedule meetings with prospective clients instantly from their company's website. Additions include a new marketing form integration with Salesforce Pardot, a new integration to Marketo to help marketers improve their performance by syncing meeting data, and improved Salesforce lookup filtering to match known leads with the right sales representative.

Calendly's new Domain Control feature gives IT leaders and admins more oversight of scheduling in a secure, centralized manner, prompting employees to request to join their IT-managed Calendly account. Calendly also supports SAML SSO and advanced user provisioning with SCIM; is SOC 2 Type 2 and ISO/IEC 27001 certified; and is PCI, CCPA, and GDPR compliant.

Calendly integrates with 100+ essential tech stack tools enterprise teams need, like Salesforce, Zoom, Greenhouse, Gong, and HubSpot, to help teams work efficiently across their tech stack. Calendly's Developer Portal offers easy-to-use APIs to create custom integrations and flexibility with connecting to other internal tools.

Calendly Analytics provides reporting insights to help IT and admins identify trends, like popular meeting days and top performers, to make informed business decisions.

Calendly will also soon announce enhanced capabilities around communications archiving to ensure compliance with industry books and records requirements as well as an integration with Microsoft Dynamics.

## Unique Content Links



### Automated Client Scheduling for Financial Services

<https://assets.swoogo.com/uploads/3073899-653164d5d13a7.pdf>



### Calendly for Financial Services

<https://assets.swoogo.com/uploads/3073900-653164d63359a.pdf>

# PARTNER PROFILE



## ENVESTNET

CONTACT:

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### Firm Vision

For 20 years and counting, we've innovated in pursuit of one goal: to equip advisors with the tools and resources needed to deliver the most impactful financial advice to their clients. We're Fully Vested™ in helping clients achieve their dreams—at every stage of life.

### Firm History

Since our founding 20 years ago, Envestnet has and will continue to be a champion for financial professionals. We are guided by our mission to deliver the technology, solutions and intelligence advisors need to drive better financial outcomes — and ultimately, make financial wellness a reality for everyone.



More on our history:  
[www.envestnet.com/20/](http://www.envestnet.com/20/)

Website: [www.envestnet.com](http://www.envestnet.com)

Stay connected:

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LinkedIn: [www.linkedin.com/company/envestnet](http://www.linkedin.com/company/envestnet)

Twitter: [@ENVIntel](https://twitter.com/ENVIntel)

## Leadership

Leading our mission to make financial wellness a reality for everyone.

- Bill Crager**, Co-Founder and CEO
- Rich Aneser**, Chief Strategy Officer
- Robert Coppola**, Chief Technology Officer
- Pete D'Arrigo**, Chief Financial Officer
- Dana D'Auria, CFA**, Co-Chief Investment Officer and Group President
- Farouk Ferchichi**, Group President, Evestnet Data and Analytics
- Josh Mayer**, Chief Operating Officer
- Dawn Newsome**, Chief Business Operations Officer
- Shelly O'Brien**, Chief Legal Officer, General Counsel, Corporate Secretary
- Rose Palazzo**, Group President, Investnet Financial Planning
- Sharon Rosenthal**, Chief Human Resources Officer
- Tom Sipp**, Executive Vice President, Business Lines

## Ideal Buyer

- RIA's
- Exchange Partners
- Asset Managers
- Financial Professionals
- Financial Institutions

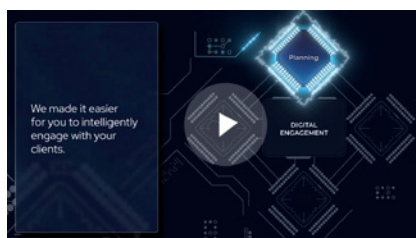
## Product & Services

- Wealth Management Technology
- Financial Planning
- Wealth Solutions
- Data and Analytics

## Unique Content Links

### Investnet Ecosystem

<https://vimeo.com/870817909/75b8ca8858>



**Investnet**  
<https://assets.swoogo.com/uploads/3066399-652fedc98ebb7.pdf>



**Quantitative Portfolios - Beyond Beta™**  
<https://assets.swoogo.com/uploads/3066402-652fedcb543f7.pdf>



**Private Wealth Consulting**  
<https://assets.swoogo.com/uploads/3066400-652fedca20350.pdf>



**Investnet MoneyGuide**  
<https://assets.swoogo.com/uploads/3066403-652fedcc0368e.pdf>



**Investnet PMC - Overlay Services**  
<https://assets.swoogo.com/>

# PARTNER PROFILE

CONTACT:



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Senior Vice President  
Regional Managing Director

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## Firm Vision

Fidelity's mission is to strengthen the financial well-being of our customers and deliver better outcomes for the clients and businesses we serve. With assets under administration of \$11.7 trillion, including discretionary assets of \$4.5 trillion as of June 30, 2023, we focus on meeting the unique needs of a diverse set of customers.

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## Firm History

Founded and privately held since 1946, Fidelity employs 68,000 associates who are focused on the long-term success of our customers. "Take intelligent risks rather than follow the crowd." This was the inspiration with which Edward C. Johnson 2d founded the company, and it continues to guide us forward as a pioneer in the world of investing. As the financial industry evolves and customer needs become more complex, Fidelity has and continues to innovate, and transform itself to be ready for the financial landscape of tomorrow, while ensuring we are meeting the needs of our customers today.

For more information about Fidelity:

**Website:** [www.fidelity.com/](http://www.fidelity.com/)

Stay connected:

**Facebook:** [www.facebook.com/fidelityinvestments](https://www.facebook.com/fidelityinvestments)

**Twitter:** [@Fidelity](https://twitter.com/Fidelity)

**LinkedIn:** [www.linkedin.com/company/fidelity-investments](https://www.linkedin.com/company/fidelity-investments)

**Instagram:** [www.instagram.com/fidelity](https://www.instagram.com/fidelity)

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## Leadership

**Abigail P. Johnson**, Chairperson and CEO

**Ron DePaolo**, Head of Brokerage and Technology

**Rohit Mahna**, Head of Client Growth

## Ideal Buyer

We support more than 3,700 wealth management firms and institutions. With a long history of providing clearing services, we help broker-dealers navigate the changing industry landscape to grow their businesses and meet their clients' financial needs. In addition to our insights, expertise and exceptional client experience, we provide investment and technology products and solutions, clearing and custody services, and institutional trading products, services and execution to banks, insurance firms, institutions, and broker-dealers of all sizes.

## Product & Services

Wealth Clearing and Custody

## Key Roadmap Deliverables

Since Fidelity's founding, our focus has been on strengthening our diverse customer base. This means that our operating decisions are based on customer needs rather than short-term market trends. In 2022, Fidelity filled more than 17,000 associate roles across all job functions, including customer experience, technology, product management, and investment research. In addition, we invested \$4.2 billion to maintain, enhance, and upgrade the company's technology systems. These investments in hiring and technology helped us deliver the elevated level of customer service that our growing customer base expects.

Our roadmap is centered on helping broker-dealers power their business with streamlined digital experiences, personalized data and integrations, and a modern infrastructure focused on security:

- **Digitize:** Enhancing advisor and investor experiences with improved digital tools, trading and eDelivery capabilities. We recently enhanced our brokerage platform, Wealthscape, and launched a new, intuitive app for investors with added self-service functionality.
- **Personalize:** Expanding our use of data and AI to bring insights through Wealthscape Analytics while deepening Fintech relationships and technology integration to deliver options to support broker-dealers' unique technology needs.
- **Modernize:** Ensuring reliability and security while leveraging cloud technology to scale for the future. We continuously invest in protecting against cyber incidents and improved performance that remains stable as disasters become more commonplace.

## Unique Content Links

### Video of Technology thinking:

[https://clearingcustody.fidelity.com/app/item/RD\\_13569\\_43784/technology-wealthscape-investment-retirement-products.html](https://clearingcustody.fidelity.com/app/item/RD_13569_43784/technology-wealthscape-investment-retirement-products.html)



### Digital Empowerment:

[https://clearingcustody.fidelity.com/app/item/RD\\_9902767/digital-empowerment.html](https://clearingcustody.fidelity.com/app/item/RD_9902767/digital-empowerment.html)



### The Decade of Generational Wealth:

[https://clearingcustody.fidelity.com/app/item/RD\\_9894808/the-decade-of-generational-wealth.html](https://clearingcustody.fidelity.com/app/item/RD_9894808/the-decade-of-generational-wealth.html)





**AI in Wealth Management:**

[https://clearingcustody.fidelity.com/app/item/RD\\_9910762/ai-in-wealth-management.html](https://clearingcustody.fidelity.com/app/item/RD_9910762/ai-in-wealth-management.html)



**Wealth Advisor Institute:**

[https://clearingcustody.fidelity.com/app/item/RD\\_9895013.html](https://clearingcustody.fidelity.com/app/item/RD_9895013.html)



**Advisory Solutions (FMAX, PQC, AMR, SAN):**

[https://clearingcustody.fidelity.com/app/item/RD\\_13569\\_45420.html](https://clearingcustody.fidelity.com/app/item/RD_13569_45420.html)



# PARTNER PROFILE



CONTACT:

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Director of Sales

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**Shaun Christensen**

Director

schristensen@ipeline.com



## Firm Vision

Securing people's financial futures.

## Firm History

It all started with one insurance agent in Philadelphia back in 1995. Bill Atlee was growing increasingly overwhelmed with the incredibly time-consuming activities of being an insurance agent. Why was there so much paper, printing, and postage, creating the constantly changing, ever-mounting piles of paper forms taking over the office? Bill knew there had to be a better and faster way – and he had an idea of how to do just that. His vision became LifePipe: A single, comprehensive up-to-date source of reference for insurance forms. It's a product that more than 1,400 distributors still use today to significantly simplify and accelerate their work.

Our evolution to become digital and data-driven Ten years after creating LifePipe, we realized that as the industry was slowly evolving, the process remained fragmented and full of systems of pieced together software. So we built upon our foundation – transforming it into a fully automated application process. Even faster, even more efficient, and much simpler. This became our iGO® product -- still one of the leading e-Apps in the industry today.

We offer one of the most expansive digital and automated platforms. We couple that with one of the industry's largest data libraries. Which helps you accelerate, automate, and simplify various applications, processes, and workflows. And we do this – from quote to commission – with seamless integration. All so you can guide your clients on a journey that will give them a financial peace of mind.s.

For more information about IPIPELINE:

**Website:** [ipeline.com](http://ipeline.com)

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**Twitter:** [@iPipeline](https://twitter.com/iPipeline)

**LinkedIn:** [www.linkedin.com/company/ipeline](http://www.linkedin.com/company/ipeline)

**YouTube:** [www.youtube.com/user/iPipelineInc](http://www.youtube.com/user/iPipelineInc)

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## Leadership

**Deane Price, CEO**

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## Product & Services

- BGAs/IMOs
- Carriers
- Broker Dealers
- RIAs
- Fund Companies
- Financial Institutions



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## Firm Vision

We believe the advisor-client journey is the foundation for a successful advisory business, and we've made it our mission to transform the way that journey unfolds.

## Firm History

For more information about Orion:

**Website:** [orion.com](http://orion.com)

Stay connected:

**Facebook:** [www.facebook.com/OrionWealthTech](https://www.facebook.com/OrionWealthTech)

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**Instagram:** [www.instagram.com/orionwealthtech](https://www.instagram.com/orionwealthtech)

## Firm Leadership

**Natalie Wolfsen**, Chief Executive Officer

**Ryan Beach**, President, Orion Wealth Management

**Brian McLaughlin**, President, Orion Advisor Tech

**Daniel Applegarth**, Chief Financial Officer

**Kylee Beach**, General Counsel

**Julie Lane**, Chief Human Resources Officer

**Betsy Jazyuka**, Chief Marketing Officer

## Ideal Buyers

Financial Advisors and Registered Investment Advisors (RIAs) Broker-Dealers and Wealth Management Firms RIA Aggregators and Integrators Banks and Credit Unions Insurance Agents and Agencies

## Products & Services

### **Our Brands:**

#### **Orion Advisor Tech**

Orion Advisor Technology is an industry leader in helping advisors and any enterprise that supports them realize their unique vision for success. Our innovative technology includes client experience tools, tax-intelligent rebalancing, efficient billing, trading, and reporting, BeFi-driven, fully-integrated financial planning, and automated compliance monitoring — all aimed at empowering advisors to improve their firm's productivity, strengthen client relationships, and disrupt traditional ways of thinking. Together, Orion and Redtail are transforming the way advisors grow their business through a cohesive, tech-driven experience designed to connect every stage of the advisor-client journey.

#### **Redtail**

Founded in 2003 and acquired by Orion in 2022, Redtail is the leading provider of web-based Client Relationship Management (CRM), compliant text messaging solutions (Redtail Speak), paperless office, and email archiving solutions in the financial services industry, and specifically for advisors. For 20 years, Redtail's long history of innovation has been built on advisor input, solidifying our spot as the industry's favorite CRM.

#### **Orion Risk Intelligence**

Orion Risk Intelligence combines next-level business intelligence, risk analytics, and economic research to help advisors guide each client toward investment strategies that work for them — regardless of what's happening in the world. The platform includes a library of 100+ forward-looking stress-testing scenarios, 3D Risk Profile, robust modeling & portfolio construction, and a personalized proposal builder generation.

#### **Orion Compliance**

Orion Compliance is an end-to-end compliance management solution, built upon an always audit-ready reporting infrastructure. The cloud-based software platform provides core compliance functions in addition to personal trading and insider trading solutions for firms with seamless mobile accessibility.

#### **Brinker Capital Investments**

Brinker Capital Investments, an Orion company, is an investment management firm empowering financial advisors to help their clients achieve better outcomes. From wealth accumulation to risk-based and income-oriented strategies, we offer a range of dynamic, multi-asset class solutions to help financial advisors meet the changing needs of investors.

#### **Orion OCIO**

Orion OCIO provides financial advisors and institutions with bespoke, high-touch services and personalized wealth solutions backed by a proven investment approach. These white-label services include outsourced trading, technology and back-office support, investments and research, in addition to asset gathering and point of sale assistance.

#### **Orion Behavioral Finance**

Orion BeFi is designed to help advisors differentiate their firm and drive organic growth by efficiently attracting prospects and forging deeper relationships with existing clients. Orion BeFi is a one-stop-shop, unparalleled suite of proprietary courses, free continuing education, resources, and technology all centered on understanding and infusing purpose into advisor-client relationships.

Additional  
Content  
Links



Learn more about our products  
<https://orion.com/our-brands>



## Clearing & Custody

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**Craig Gordon**  
Business Development Manager

Direct: 949.720.8941  
craig.gordon@rbc.com



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### Firm Vision

Our vision is to be a leading provider of clearing and custody services to successful financial services firms like yours. Our strong personal relationships with the firms we serve is the foundation for everything we do. No matter the size or structure of your firm, we deliver the customized clearing, custody and execution services you need. But we go way beyond processing transactions, record keeping and holding your clients' financial assets to offer innovative technology, best-in-class resources and attentive support to help you run, grow and protect your business.

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### Firm History

The RBC legacy in the United States stretches back to 1909. Born in the Midwest, our firm has deep roots in the regional securities business. We've steadily grown as a result of our culture of service and commitment to integrity. Over this time we've become known for our award-winning technology, expansive product offering and exceptional service. Our unique pedigree is matched by the conservative risk management and fiscal responsibility of our parent company: RBC. In history – and in today's marketplace – we are unlike any other clearing and custody provider.

For more information about RBC Clearing & Custody:

**Website:** [www.rbcclearingandcustody.com/en-us](http://www.rbcclearingandcustody.com/en-us)

Stay connected:

**LinkedIn:** [www.linkedin.com/company/rbc-clearing-and-custody](http://www.linkedin.com/company/rbc-clearing-and-custody)



## Firm Leadership

**Brett Thorne**, President  
**Noel Stave**, Chief Technology Officer  
**Dustin Aamodt**, Chief Operating Officer  
**Tammy Benson**, Director of Marketing and Communications  
**Aaron Funk**, Director of Wealth Strategy  
**Pete Hancuh**, Director of Institutional Services  
**Mark McKinney**, Director of Regulatory Risk  
**Greg Plifka**, Chief Revenue Officer

## Ideal Buyer

We specialize in providing responsive clearing, execution, and custodial services to successful financial services businesses like yours. Through our legacy of more than 40 years of service, we understand the issues that are important to you—and can provide the technology, wealth management platform, institutional clearing capabilities and other solutions you may seek..

## Products & Services

- Full service clearing and/or execution services and/or custodial services for broker-dealers and registered investment advisors serving retail wealth management and institutional clients.
- Comprehensive wealth management platform, featuring a broad mix of investment products and a wide range of managed accounts, plus credit solutions and professional trustee services.
- Innovative technology solutions only available from RBC, as well as applications from leading FinTech providers.
- Access to wealth management expertise, practice development and marketing resources and experienced trading specialists

## Key Roadmap Deliverables

- Helping you make a difference in your business – and your clients financial lives.
- Simplifying, unifying – and elevating – your technology experience by centralizing all applications and information necessary to serve clients into an integrated platform.
- Providing digital capabilities your clients want, including electronic account opening, mobile account information and self-service solutions to help enhance your client relationships.

# PARTNER PROFILE



CONTACT:

**Matt Reed**  
Head of Sales

Direct: 703.559.1232  
matt.reed@skience.com



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## Firm Vision

Lead digital transformation in the financial services industry by providing best-in-class innovation and service.

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## Firm History

Driven by a passionate belief in the power of technology to solve business problems, CEO Sanjeev Kumar and CAO Kripa Shetty founded the firm in 2001. For more than twenty years, Skience has focused exclusively on helping wealth management firms become future ready. Through our award-winning SaaS platform and consultative approach, we deliver deep functional expertise, best practices, and data-driven insights

For more information about SKIENCE:

**Website:** [skience.com](http://skience.com)

Stay connected:

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**LinkedIn:** [www.linkedin.com/company/skience](http://www.linkedin.com/company/skience)

**Twitter:** [@Skience](https://twitter.com/Skience)

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## Firm Leadership

**Sanjeev Kumar**, Co-founder + CEO

**Kripa Shetty**, Co-Founder + CAO

**Jeff Stephens**, CFO

**Damon Gladman**, EVP - Product Management & Delivery

**Greg Starr**, EVP - Consulting Services

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## Ideal Buyer

- CEO
- COO
- CTO
- Head of Wealth Management
- Head of Operations



## Products & Services

Skience delivers cloud-enabled strategies and solutions that transform financial services businesses, helping firms save time and money while reducing errors at every stage of their business operations. Skience's award-winning platform and consulting services provide an efficient way to unify firm's technology, increase back-office and advisor productivity, and set the stage for an exceptional experience for financial advisors and their clients. Our platform features a streamlined, end-to-end client onboarding and account-opening experience, advisor transition solutions, compliance management functionality, client portal, and data management capabilities, along with deep integrations with leading custodial and clearing firms.

**Skience CRM Platform** - We have created an all-in-one solution for firms from onboarding clients via advisors in transition (Advisor Transitions), to subsequently opening new accounts (New Account Opening), to capturing and storing their documents in a 17a-4 compliant manner (Skience Safe) to the surveillance of the trades and transactions that are happening in the accounts (Surveillance Solution), all while giving the advisor the ability to see a holistic view of all the assets that they are monitoring (DataCAR). This platform collaboration or subsequent account opening allows an advisor to collaborate with a prospect or client (Client Portal). Advisors can execute all workflows within their CRM, ensuring a smooth, continuous work experience.

**Advisor Transitions** - Wealth management firms must provide a transition experience where technology simplifies the needs of an advisor and provides a confident client experience for investors at the same time. The digital advisor transition experience is designed to optimize a wealth manager's workday through an end-to-end guided workflow solution that enables a rich flow of data between the CRM, managed account platform, and clearing and custody provider. Advisor Transitions is developed for a post-U5 environment and outlines acceptable data to be transferred — mitigating legal risk. Advisors can digitally onboard clients with an intuitive dashboard providing insights of what information is needed to complete the transition. Account statements can be uploaded directly into the system, reducing time spent rekeying and eliminating errors. Accommodating either forms-based or straight-through processing workflows, depending on the needs of the firm, Skience offers a completely digital experience for account creation, resulting in the faster acquisition of assets by the receiving firm. Skience's digital solution mitigates risk to firms that could be caused by human error, ensures scalability, and delivers a first-class, remote-friendly advisor-client experience.

**Client Onboarding** – Wealth management firms need to leverage technology to drive scale within their practice, serve clients more effectively, and remain competitive. The award-winning Skience multi-account opening solution is designed to improve advisor productivity, reduce data entry efforts, increase accuracy, and facilitate a better investor experience. The Skience digital onboarding solution connects flawlessly with all of the major clearing and custody platforms. Wealth management firms can pivot from one provider to another based on your business needs, providing a single digital onboarding experience across multiple products and custodians. Leveraging the embedded forms and eSignature capabilities powered by Quik! and DocuSign, Skience helps to reduce errors and eliminate the need for dual data entry.

## Products & Services continued

**Surveillance** - Principals of firms need greater visibility into clients' accounts to easily perform supervisory and compliance reviews and collaborate more effectively with advisors and support staff. Skience Surveillance provides wealth management firms with significant operational efficiencies while managing regulatory and business risks. The platform provides principals with full visibility into all account activity for the advisors they supervise. The highly configurable platform allows firms to define approval and exception workflows that align with company policies or adapt them as regulations evolve or their business grows.

**Skience Safe** - Hefty regulatory penalties have prompted a need for wealth management firms to engage technology partners that can help them improve risk and compliance monitoring, while reducing costs. Properly storing documents does not require compliance teams to drown in a sea of paperwork. Skience Safe allows any document to be digitally stored securely in a 17-a4 compliant manner. The solution features logical navigation across client accounts, multiple options to view documents, fully customizable folder structures, and private folders with time-based sharing functionality, enabling employees, advisors, and clients to create the best digital workspace experience.

**Data Consolidation and Replication** – Data and analytics are key drivers of digital transformation efforts in wealth management firms. Firms increasingly need to leverage their data to generate insights and help manage their business. Modern firms need a solution that delivers a 360-degree view of a client, ensures regulatory compliance, and integrates with other fintech and downstream systems. Skience's enhanced data solution creates a single source of truth for wealth management firms to propel digital transformation efforts and drive growth.

**Consulting** - The CRM system is the focal point of many wealth management firm's technology ecosystems. Skience has deep expertise in Salesforce applications and helps wealth management firms expand their technology capabilities with Salesforce's universe of cloud-based sales, marketing, and business applications. Wealth management firms can rely on our industry knowledge to unite separate, best-in-class financial services software tools within the Salesforce CRM. Through our consultative approach, we help firms identify a roadmap to achieve digital success that will help elevate their CRM maturity by analyzing current processes, technology, tools, and user needs, then defining a blueprint that enables the organization to thrive.

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## Key Roadmap Deliverables

### Quik! Integration -

- UX Upgrade Orion Integration
- RightBRIDGE Integration
- Wealthbox Integration
- SkienceOne CRM Platform

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## Unique Content Links



Reimagine the wealth experience

<https://assets.swoogo.com/uploads/3025312-6523416b000e5.pdf>

# PARTNER PROFILE



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**Kyle Brown**  
Manager, Customer Success  
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kyle.brown@smarsh.com



## Firm Vision

Smarsh has grown significantly over the past 20 years. Our solutions have evolved to ensure that we can tackle the constantly shifting compliance challenges facing our more than 6,500 clients; from small businesses to multi-national banks. We have over 1,400 employees worldwide. Collectively, we have unrivalled expertise in implementing SaaS solutions and a deep understanding of the regulatory and compliance issues impacting modern businesses.

Communications technology will continue to evolve. Businesses that can embrace these technologies, manage growing data volume and harness the value in their archived communications will thrive. To achieve this, companies need solutions that leverage the scale and flexibility of the cloud. Smarsh is a trusted partner to each of our customers throughout the process of digital transformation. Our unique industry-leading cloud-native solutions will enable businesses to continue pushing for innovation, with the confidence that they are meeting communications compliance requirements.

## Firm History

Smarsh was founded in 2001 by Stephen Marsh. A veteran of the financial services industry, Stephen recognized that traditional regulatory retention and oversight requirements applied to new and emerging communications technology. Firms needed a better way to archive, store and monitor a growing amount of electronic communications data. He founded Smarsh to be a trusted partner that could help businesses embrace this innovation with the right archiving and compliance technology.

For more information about Smarsh:

**Website:** [www.smarsh.com](http://www.smarsh.com)

Stay connected:

**Facebook:** [www.facebook.com/SmarshInc](https://www.facebook.com/SmarshInc)

**LinkedIn:** [www.linkedin.com/company/smarsh](https://www.linkedin.com/company/smarsh)

**Twitter:** [@SmarshInc](https://twitter.com/SmarshInc)

## Firm Leadership

- **Stephen Marsh**, Founder & Chairman
- **Kim Crawford Goodman**, Chief Executive Officer
- **Mike Cagel**, Chief Financial Officer
- **Sheldon Cummings**, General Manager, Corporate Business Unit
- **Neva DePalma**, General Counsels
- **Rohit Khanna**, Chief Customer Officer
- **Leander LeSure**, Chief People and Diversity Officer
- **Vinay Mehta**, Chief Technology Officer
- **Goutam Nadella**, Chief Product Officer
- **Tom Padgett**, General Manager, Enterprise Business Unit

## Ideal Buyer

Organizations in regulated industries including finance, insurance and government agencies

## Products & Services

Solutions in the Enterprise Platform span the entire lifecycle of your data, from capture and retention through eventual disposal, and are deployable individually or as a group to provide additional value.

### Enterprise Platform

The Smarsh Enterprise Platform is a unified, cloud-native solution designed to future-proof enterprise communications data strategies. Gain new insights using best-in-class technologies, including elastic compute, natural language processing, machine learning and artificial intelligence.

### Capture

Smarsh capture solutions support 100+ channels that are retained in the channel's native format and context. Your email, social, mobile, IM & collaboration, and voice channels are captured with solutions deployed to meet your unique needs on-premise or in the cloud. Smarsh natively captures and manages the widest variety of communications and includes APIs for the ingestion and enrichment of content.

### Enterprise Archive

Enterprise Archive is the compliant storage solution that covers the most stringent communications retention and immutability regulations, including FINRA, IIROC, FCA, MiFID II, and GDPR.

### Enterprise Warehouse

At the core of the Enterprise Platform is the Enterprise Warehouse. With petabyte scale and elastic compute, the warehouse provides a centralized location to retain, analyze and enrich your communications data.

### Enterprise Conduct

Take your supervision and surveillance initiatives to the next level with Enterprise Conduct. Utilizing battle-tested technology, Conduct empowers your team to work more efficiently by reducing the noise in your workflows by up to 95%. Reveal intent within your organization's communications at scale, uncover the truth faster, and augment the expertise in your risk mitigation teams with Enterprise Conduct.

## Unique Content Links



More about Enterprise Platform  
<https://www.smarsh.com/platform/enterprise>



Enterprise Conduct - AI-powered communication supervision and surveillance solution  
<https://assets.swoogo.com/uploads/3067927-65301e0d75ceb.pdf>



Enterprise Archive - An extensible, context-aware cloud archive for global organizations  
<https://assets.swoogo.com/uploads/3067929-65301e0e1c479.pdf>



Discovery - Reduce the time, cost and effort of e-discovery for investigations and litigation  
<https://assets.swoogo.com/uploads/3067928-65301e0dc8fa1.pdf>

# PARTNER PROFILE



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tthompson@sscinc.com



**Doug McPhail**  
Senior Director, Solutions Consulting  
for Advisory/Wealth Management

Direct: 972.795.0758  
dmcphail@sscinc.com



## Firm Vision

SS&C's Black Diamond® Wealth Platform is an offering of SS&C Advent, a business unit of SS&C Technologies. An award-winning native solution, Black Diamond is designed to meet the complex business needs of wealth management professionals and their clients. Complete with performance reporting, portfolio rebalancing, and an immersive client portal, the platform also connects to a vast ecosystem of smart integrations. Proactive, personalized attention from a dedicated service team ensures advisors receive access to an elite combination of technology and service.

## Firm History

Since launching in 2005, the Black Diamond Wealth Platform has been at the forefront of cloud-based financial technology. Today, financial management firms leverage the platform to streamline operations, deliver business insights, and connect with prospects and clients to build long-lasting relationships.

For more information about SS&C | Black Diamond:

**Website:** [blackdiamond.advent.com](https://blackdiamond.advent.com)

Stay connected:

**Facebook:** [www.facebook.com/sscadvent](https://www.facebook.com/sscadvent)

**LinkedIn:** [www.linkedin.com/company/ssc-advent](https://www.linkedin.com/company/ssc-advent)

**Twitter:** [@SSCAdvent](https://twitter.com/SSCAdvent)

## Firm Leadership

The senior leadership team at SS&C Advent, a division of SS&C Technologies, represents world-renowned experience and expertise in award-winning software and services for the global investment management and financial technology industry.

**Steve Leivent**, SVP & Co-General Manager, SS&C Advent

**Karen Geiger**, SVP & Co-General Manager, SS&C Advent

## Ideal Buyers

No matter a firm's size or structure, the Black Diamond platform has the flexibility and power to support the unique needs of wealth management firms, including:

- RIAs
- Broker-dealers
- Family Offices
- Banks
- Trust Companies
- Community Foundations
- Hybrid RIAs

## Products & Services

Within Black Diamond, advisors leverage cutting-edge solutions that drive success, such as:

- Comprehensive portfolio management
- Robust Reporting
- Immersive Client Experience portal
- Alternative data feeds
- Compliance oversight
- Intuitive dashboards
- Next-generation Rebalancer
- And much more

## Key Roadmap Deliverables

In 2023, our roadmap focuses on continuing to make Black Diamond the "Financial Life Hub" for our advisors' clients. In short, we want to be the place an end investor goes to interact with their advisory team and review everything about their financial lives.

Key investment areas this year include

- Continue to streamline the investment management process
- Financial planning
- Risk and compliance oversight

## Additional Content



**SS&C | Black Diamond - The Right People. The Right Technology.**  
<https://assets.swoogo.com/uploads/3013181-651d9adce8b00.pdf>



**SS&C Rendezvous and the SS&C Black Diamond® Wealth Platform**  
<https://assets.swoogo.com/uploads/3013182-651d9add983f3.pdf>



**SS&C | Black Diamond - Client View Application**  
<https://assets.swoogo.com/uploads/3013184-651d9ade393e9.pdf>



**Case Study - Triad Hybrid Solutions**  
<https://assets.swoogo.com/uploads/3013186-651d9adfae5fb.pdf>



**Product Brief - Rebalancing and Trading**  
<https://assets.swoogo.com/uploads/3013185-651d9adf3dd9e.pdf>



# PARTNER PROFILE



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## Firm Vision

Surge is a venture studio and innovation fund specializing in the financial services industry. We focus on data-driven businesses and regulatory technology. Surge operates as a dynamic 'build, acquire, invest' platform, actively co-creating and investing in companies poised to transform industries, commencing with wealth management, harnessing the capabilities of data and AI.

Our strength lies in successfully navigating the ever-evolving regulatory compliance landscape. Building upon the impressive track record of our management team who have delivered innovative solutions to the wealth management sector, we provide growth capital to promising companies. Furthermore, we reinforce our investments by drawing insights from a team of seasoned operators and industry experts, including CIOs, CCOs, and CSOs from financial services firms of varying sizes, while also applying our tried-and-true methodologies. With a portfolio of technology resources and a dedicated shared services team backing our investments, Surge is dedicated to accelerating innovation while prudently managing investment risks.

## Firm History

Surge Ventures, founded by Sid Yenamandra, a seasoned tech industry executive with extensive experience in compliance software, is a customer-centric FinServ-focused Venture Studio. Sid's background includes establishing Entreda, a leading cybersecurity compliance software company that was acquired by Smarsh and private equity firm K1 Capital in 2020. Our Approach: Surge Ventures was founded on the commitment to address three key customer needs:

- **Empowering Financial Services:** At Surge Ventures, we empower the financial services industry to stay at the forefront of innovation. We enable our clients to leverage new software innovations like AI/ML and navigate evolving compliance regulations with confidence. This translates to quicker adoption of winning technologies and better alignment with the industry's evolving needs.
- **Simplifying the Startup Journey:** We understand the challenges that entrepreneurs face when launching a startup. Our goal is to simplify this journey for the entrepreneur. Surge Ventures provides essential services, ranging from product decisions and team building to setting up operational systems like accounting, finance, and IT infrastructure. This support allows entrepreneurs to focus on developing their products and enhancing the customer experience.
- **Creating a Seamless Customer-Centric Portfolio:** Many venture firms struggle to deliver a portfolio of products that truly benefit their clients. At Surge Ventures, we've tackled this challenge head-on. We build a customer-centric portfolio where shared technology foundations and API integrations are at the core. This approach ensures that our portfolio companies work in synergy, offering our clients an integrated and efficient experience.

For more information about Surge Ventures:

**Website:** [www.surgeventures.com](http://www.surgeventures.com)

Stay connected:

**LinkedIn:** [www.linkedin.com/company/surgeventures/](https://www.linkedin.com/company/surgeventures/)

**Twitter:** [@surgeventures](https://twitter.com/surgeventures)

## Firm Leadership

- **Sid Yenamandra**, Founder & CEO
- **Rishi Malik**, VP Product
- **Bianca Kirby**, VP Operations & Growth
- **Stella Vincent**, ECompliance Solutions Director
- **Kristine Phan**, Venture Associate
- **Manish Singhee**, Controller
- **Chris Shaw**, VP Wealth & Insurance Solutions

## Ideal Buyers

We have a suite of services that serve small RIAs up to Multi-Broker Dealer Organizations.

## Key Roadmap Deliverables

Surge Ventures has embarked on a series of groundbreaking initiatives. The first of these is Avery by RegVerse, a revolutionary Regulatory Intelligence platform that seamlessly combines AI capabilities with human expertise to ensure that organizations remain well-informed about SEC, FINRA, and state board regulations. Additionally, Surge has successfully acquired Kovair, a highly regarded leader celebrated for its excellence in enterprise workflow, data integration, DevOps, and data migration solutions. Kovair's Omnibus platform has been honored with the prestigious Gartner Cool Award, and its QuickSync solutions are trusted by renowned brands such as AT&T, FedEx, Stryker, and the World Bank.

Moreover, Surge has extended its investments to the startup Kite Cyber, addressing the challenges posed by the ever-expanding App economy, particularly relevant to highly regulated financial services. Kite Cyber has developed solutions to assess an organization's risk exposure resulting from the multitude of apps it employs, thus mitigating potential data vulnerabilities.

### **Leveraging our investments, Surge is evaluating opportunities to:**

**Option 1:** Continue the development of our Consolidated Best of Breed (C.B.o.B) compliance automation integrated platform. We are identifying the right tools to build, acquire, and invest in, which offer efficiency, accuracy, and value across the Wealth Management Industry.

**Option 2:** Continue our strategy of building, acquiring, and investing in Wealth Technology solutions to create an integrated Consolidated Best of Breed (C.B.o.B.) platform. Our approach is a departure from the traditional binary choice between "Consolidated OR Best of Breed."

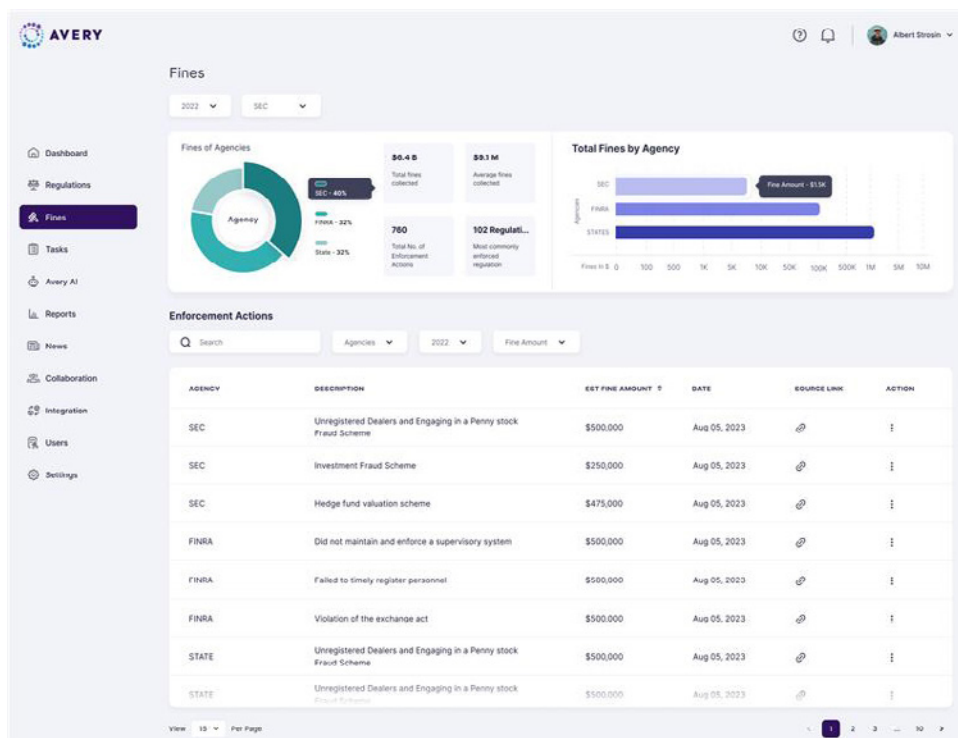
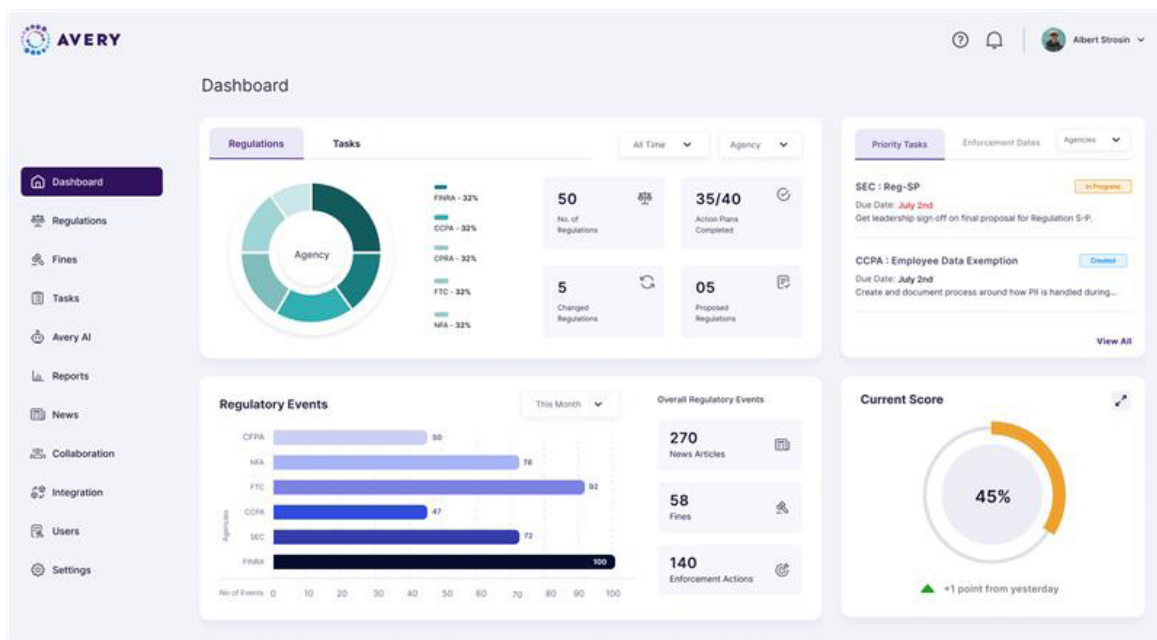
Our differentiator lies in integrating all solutions, whether we build, acquire, or invest in different pieces of technology, with the single purpose of solving the overall wealth management puzzle. We are also strengthening our gap analysis capabilities within our suite of services, including Regulatory Change Management, Audit, Attestation, and Advertising Review systems. This enables us to provide holistic predictive analysis for the entire organization.

Our analysis is based on which Surge products are utilized by a specific wealth firm. For example, our gap analysis includes reviewing documents such as policies and procedures, offering suggestions, and facilitating easy document updates to ensure the highest level of compliance within your organization. We are set to release our Privacy First! AI as a Service (AlaaS) offering, providing almost instant access to create specific data models for wealth management firms to meet their unique solution needs. Examples include the "Smart Technology Support Chatbot for the Field," "Chat with Compliance," and "Smart HR Chatbot." For instance, our Compliance Chatbot is a regulatory-tuned AI chatbot with data-privacy-first architecture, integrated with a firm's policies and procedures. This enables the Chatbot to be trained on the firm's specific regulatory landscape, offering the capability to answer compliance and surveillance-related questions.

Furthermore, we are preparing to release our Cloud-based Data Lakehouse as a Service (DLaaS) to our Enterprise Clients within the Wealth Management space. This offering will merge our AlaaS non-structured data capabilities with our traditional relational database, creating a unified data platform. This convergence allows us to leverage the strengths of both to provide greater synergy between current and next-generation software solutions.

## Additional Content

Witness the dynamic functionality of Avery, the regulatory co-pilot by RegVerse, seamlessly integrating into the workflow of the regulatory landscape. RegVerse, a flagship incubatee of Surge, introduces Avery as its pioneering product—a multifaceted, AI-powered regulatory co-pilot designed for registered investment advisory firms, independent broker/dealers, hedge funds, mutual funds, and insurance agencies, embodying innovation at the intersection of artificial intelligence and regulatory efficiency.



# BEACON PRODUCTS



**BEACON STRATEGIES, LLC**  
CONSULTING | ROUNDTABLES | RESEARCH

**Beacon bridges the knowledge and vision gap between wealth firms and solutions providers to help wealth marketplace customers:**

- Chart their course
- Navigate complex waters
- Better serve their clients

Tools to help wealth firms and partners drive measurable improvement:



A research tool helping enterprise wealth firms understand how they match up against their peers.



A wealth management curriculum supplying an industry overview for newer or more inexperienced employees.



A technology and process tool that helps firms meet their regulatory responsibilities specific to 3rd party providers.



**Enterprise Wealth Consulting Services | Beacon Strategies, LLC**  
**beaconstrategiesllc.com**

# THE ROUNDTABLE SERIES 2024 SCHEDULE

## The Compliance Roundtable

Audience: Wealth Firm Compliance Professionals  
Past Attendees: CCOs, Compliance Leaders  
Date: February 21st -23rd, 2024  
Location: San Diego, CA

## The Operational Excellence Roundtable

Audience: Wealth Firm Operations Professionals  
Past Attendees: COOs, Firm Operations Leaders  
Date: March 20th – 22nd , 2024  
Location: Austin, Texas

## The Innovators

Audience: Wealth Firm Practice Management  
& Advisor Technology Professionals  
Past Attendees: COOs, CIOs, CTOs, Platform Owners  
Date: April 17th – 19th, 2024  
Location: Charlotte, NC

## Investment Products, Platform, & Fiduciary

Audience: Wealth Firm Investment Management and Platform Professionals  
Past Attendees: COOs, CIOs, CCOs, and Investment Leadership  
Date: May 15th – 17th, 2024  
Location: Charleston, SC

## The Age of Marketing: Supporting Communications & Business Growth

Audience: Wealth Firm Marketing & Recruiting Professionals  
Past Attendees: COOs, CMOs, and Marketing Leadership  
Date: October 16th – 18th, 2024  
Location: Mountain Brook, AL

## The Roundtable

Audience: Wealth Firm C-Suite  
Past Attendees: C-Suite, Presidents and Senior Positioned Leadership  
Date: November 6th – 8th, 2024  
Location: Santa Barbara, CA

## The Roundtable for RIAs

Audience: RIA Wealth Firm C-Suite  
Attendees: Owners and Leadership of RIAs  
Date: December 4th – 6th, 2024  
Location: Ft. Lauderdale, FL

## NOTE:

Dates and locations may change, so please check our website for more updates and information on upcoming Roundtable onsite events.



[www.beaconstrategiesllc.com/beacon-roundtables](http://www.beaconstrategiesllc.com/beacon-roundtables)

# NOTES

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**THE ROUNDTABLE SERIES**  
**BEACON STRATEGIES, LLC**



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