



THE ROUNDTABLE SERIES  
BEACON STRATEGIES, LLC

# THE NEW AGE OF MARKETING & RECRUITING

ST. AUGUSTINE, FL

OCTOBER 11-13, 2023

# New Age Marketing & Recruiting Roundtable 2023

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# Thank You to Our Partners

asset+map



fmg



SYCAMORE



# AGENDA

## Wednesday, October 11th

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

**New & Old Friends Reception / Dinner  
Sultan's Pavilion - located on the 2nd floor pool deck –  
(in case of inclement weather, it will be moved indoors to the Casa Monica I)**

## Thursday, October 12th

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

**Morning Nourishment (Flagler II & III)**

8:30am - 8:45am

Opening Comments and Introductions (Flagler I)

8:45am - 9:20am

Case Study: Content. Technology. Databases.

9:20am - 9:30am

Community Questions

9:30am - 9:40am

Partner Challenge: Sycamore

9:40am - 10:15am

Case Study: Transfer of Generational Assets to Other Advisors

10:15am - 10:25am

Community Questions

10:25am - 10:35am

Partner Challenge: asset+map

**10:35am - 10:50am**

**Break**

10:50am - 11:20am

Breakout Sessions: What is Ideal Marcomm, and Content Development

11:20am - 11:30am

Partner Challenge: FiComm Partners

11:30am - 11:40am

Community Questions

11:40am - 11:50am

Partner Challenge: Skience

**11:50am - 12:50pm**

**Lunch - Flagler II & III**

12:50pm - 1:25pm

Case Study: Recruiting is an Art. How Do Wealth Firms Make It a Science?

1:25pm - 1:35pm

Partner Challenge: Fidelity Investments

1:35pm - 2:10pm

Case Study: Increase in Marketplace of Fintechs and Offerings How Are Wealth Firms Keeping Up

**2:10pm-2:30pm**

**Break**

2:30pm - 2:40pm

Partner Challenge: FMG Suite

2:40pm - 3:10pm

Breakout Session: Marketing Career, and Asset Flow

3:10pm - 3:20pm

Partner Challenge: capintel

3:20pm - 3:45pm

Beacon Roundtable Wrap Up



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

**Closing Dinner Sultan's Pavilion  
- located on the 2nd floor pool deck –  
(in case of inclement weather, it will be moved indoors to the Casa Monica**



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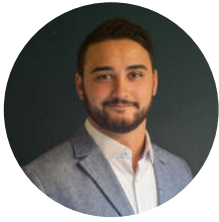
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# ATTENDEES



**Peyton Peterson**



**Angela Giombetti**



**Jay Lenaghan**



**Kurosh Golchubian**



**Beth Knox**



**Stacy Huston**



**Jon Hall**



**Holly Grellier**



**Liz Legacy**



**Jenn Adams**



**Sonja Lockhart**



**Ann Robinson**



# ATTENDEES



**Frank Smith**



**Erin Taylor**



**Sarah Swoverland**



**Zach Covert**



*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 & Fiuciary Roundtable 2023*

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# PARTNERS



**Amanda Billark**  
capintel



**Anna Smith**  
capintel



**Richard Hwang**  
fmg



**Nat Grasso**  
Fi  
Comm



**Jimmy Finnerty**  
asset+map



**Joel Yocom**  
SYCAMORE



**Matt Reed**  
SKIENCE



**Patrick Hannon**  
Fidelity  
INVESTMENTS



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## GUEST



**Peter Montoya**  
  
Ideas for Growing Businesses



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*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

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# CASE STUDIES



# CASE STUDIES

PRESENTED BY  
Beacon Strategies, LLC

## Content. Technology. Databases.

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**Presenter:** **Erin Taylor**  
Role: Managing Director, Marketing & Communications

**Firm:**  **SOWELL**  
MANAGEMENT

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### Big Question:

We recently completed a survey and the responses highlighted marketing and communications to prospective investment clients and advisors are a high and growing priority for wealth firms. Creating and implementing a marketing communication engine demands heavy lifting. Add to that, the need to reach unique and specific targeted audiences. How is your firm solving for this challenge? With the high degree of want / many requests for marcomm improvement, what are your firm's decision-making processes, priorities and action items? What does a good engine incorporating content, process, technology, and people look like to you and your firm?

### Preparer Perspective:

The pandemic saw a shift in how people across the globe consumed content. Some studies show increasing content usage by over 200%. But the type of content and how they consume it (at a much faster rate) is shifting how we do business.

Personalization has become the expectation, but the reality remains in most contexts advisors don't have the time to put forth the effort to reap the rewards. We have taken the approach that like most things, an 80/20 rule applies - focusing on the 80% of advisors who sit in the middle and making them 20% better, accomplished by removing barriers to allow non-marketers to reap the benefits of strategic marketing initiatives. How do we accomplish this in practice? Using a dovetail of actions, served up to them for ease of access by way of defined process and augmented technology (described below!)

# CASE STUDIES



## Firm Action Steps:

1. Identify **audience segmentation** and pain points/differentiators.
2. **Dovetail affect “acquisition” strategy:**
  - Start with SEO – building relevant and searchable content on website and sharing on LinkedIn (use Surfer SEO/other).
  - Build out and source relevant, authentic content that speaks to the value proposition of the advisor – long form w/ links (the “keystone”) and execute on a strategic dovetail checklist to include LinkedIn, social, web pop-ups, videos.
  - Opportunistic Lead Gen capture: gated content, website pop-ups/engagement having used the above points to better understand the interests of your target audience. Presented in the context of:
    - 5-step nurturing drip campaign (prospects)
    - 5-step welcome drip campaign (converted clients)
  - Integrate authentic, personal video & engagement along the way.
3. Content Management nurture cadence (based on segment): Leverage the learnings above to take action and cover the basics; 2 LinkedIn posts/week, 1 weekly blog shared to LinkedIn, 1 weekly email to clients, 1 qtrly newsletter, 1 qtrly white paper (gated content)
4. Automated Personalization: Partner with technology to augment outreach once basic learnings are achieved and personalize at scale while removing opportunity cost barriers. Omni-channel outreach at scale should not be manual, but rather made more efficient through the various technological offerings in the space.
5. Optimization & Analyzing Data to Derive Additional Action: A/B, Subject line, offer and placement of CTA, message, date/time (when they engaged with it - not necessarily “sent”).

## The Wins:

- Getting our advisors to execute on SEO (we’re doing it – inch by inch)
- Leverage this SEO-rich content and into Inbound Marketing from a top-down sharing perspective.
- Finding the tools and the partners to help us succeed. Surfer SEO – fun to work in and rewarding and Tifin Wealth and team.
- Able to define a manageable cadence (social, email, lead gen, blogs, etc.) through systematic testing and refining.
- Receptive Initial rollout to advisors and willingness to engage in the process.
- Developing a nurturing cadence
- Understanding they types and length of articles
- A systematic shift away from actions and towards results. changing the mindset to stop performing actions and start tracking outcomes.

## The Unexpected:

We set out to help our current advisors grow their practice.

Unexpected: As we met with prospective Sowell advisors, the story we were able to tell which was forward thinking and growth minded resonated most, beyond many of our other offerings. As a result, not only did our offering at Sowell become more attractive but in turn the advisors who we began attracting naturally fit into our culture; one of growth through innovation. A testament to the cliché, "if you build it, they will come."

## What Does the Future Look Like:

Personalization is going to cease to be the "exception" and become the "rule", the basis by which consumers expect us to engage. 20 years ago, it was all about being relevant. Today and tomorrow, it's about predicting. Tell me. Ie: Amazon, "deals for you." 30% of Amazon's revenue is driven by the recommendation engine - "deals for you" it's 100% personalized and we didn't ask for it. The world in which our clients operate is by nature built on custom experiences. Those who do not adapt will be left behind, labeled as archaic and out-of-touch.

## Follow-up Questions:

1. How do you stay ahead of the technology curve? (Remember, ChatGPT was launched into the public eye just over a year ago)
2. When working through digital mediums, how do you successfully convey authenticity and avoid verbiage that gets lost in a sea of sameness?
3. When it comes to video production, how long is too long? How short is too short? What best practices in recording have you found lead to the most successful outcomes?
4. In terms of content production, what presents the greatest ROI in terms of true Lead-gen?

# CASE STUDIES

## Transfer of Generational Assets to Other Advisors : Statistics highlight that 70% of assets are transferred to other advisors when a client passes.

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**Presenter:** **Holly Grellier**  
Role: VP Operations

**Firm:** **Addison Avenue**  
investment services  
A division of First Tech

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### Big Question:

Why? Most beneficiaries feel that the existing advisor does not know anything about them and the advisor does not have good / state of the art technology, perception or reality? So, how can those assets be better protected? Proactive activities? What programs would enable the advisor to offset the concerns of the advisor not knowing them and demonstrate technical proficiency? How and when do advisors start the conversation with their clients to introduce them to the beneficiaries?

### Preparer Perspective:

Competition for transferring assets is fierce. Whether a beneficiary's perception of an advisor is accurate or not, they likely have some bias as to who they want to work with upon transfer of assets. An Advisor could be competing with an existing Advisor, a robo/self-directed investor, or noise from other sources about working with "their parent's advisor".

An Advisor absolutely needs to be proactive in engaging clients and their successors in conversations around planning, succession and the client's wishes. If the first time an adult beneficiary is meeting the Advisor is when the client has passed, the likelihood of retaining those assets is significantly lower.

An Advisor's ability to articulate their value proposition to a prospective client (and their clients!) is key. *Why should they work with you? What differentiates you? How do you explain what you do for your clients?* And that needs to be uniquely engineered by each Advisor. It is our responsibility to put the tools, technology, resources, and data in front of Advisors to make it easy to connect with clients and give them more time to spend getting to know who they are and understanding what matters to them.

## Firm Action Steps:

- **Planning** – Planning tools can be used to connect across generations and prompt discussion around succession planning, engage clients in self-guided portals/education, and encourage clients to start talking about difficult topics.
- **Process** – A repeatable workflow as part of an Advisor’s process; built into the way they navigate through Planning and Client Engagement. From leveraging specific questions, capturing beneficiaries, to including a spouse/partner in meetings.
- **Engagement** – Focused engagement of clients and prospects on anticipated demographic shifts.
- **Leveraging Data** – Taking advantage of the beneficiary data captured in planning, onboarding and account opening

## The Wins:

Trillions of dollars in investable assets will be transferring over the next decade, redistributing wealth across segments and demographics that are continuing to shift and evolve. We have an opportunity now to adopt tools and competences that will not only help Advisors to both successfully retain assets, but also attract new clients.

- Using beneficiary data to prompt pro-active outreach and identify gaps
- Targeted client engagement activities and marketing
- Advisor value propositions

## The Unexpected:

- There is not collective agreement on research/statistics of the percentage of assets that transfer out. Even talking with Advisors, many felt that number was too high. It’s difficult to challenge until we can actually measure it.
- Data is still dispersed across multiple systems and requires some wrangling to bring together in a cohesive way.
- There are instances where children intentionally don’t want to work with their parent’s advisor

## What Does the Future Look Like:

Assets are in motion and Advisors’ ability to retain them rests on how they build trust with the investors who will be inheriting the wealth. The role of the Financial Advisor has evolved as have the expectations of clients; success is dependent upon an Advisor’s ability to embrace their role as the empath, an interviewer and a counselor.

Clients will expect digital first engagement options, quick and easy servicing and solutions – and yet - they want to have a deeper relationship with a Financial Advisor who can offer personalized planning and solutions.

Advisors will need to have reliable technology, integrated data and tools, and personalization capabilities that allow them to focus on their role as the counselor and build trust. Through guided client conversations, engagement of family members and a well-articulated value proposition, they will position themselves to retain assets through client succession.

## Recruiting is an Art

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Presenter: **Jay Lenaghan**

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### Big Question:

How can it become more of a science? What marketing tactics and tools are needed? What needs to be done within the recruiting framework? This is obviously an involved process. How are firms getting their arms around balancing process and technology driven activities with the relationship / personal element of recruiting? How and what content should be weaved into the messaging / positioning? How is understanding the needs of the customer align with the wants of the recruited advisor? How does reporting weave into the mix? What is missing from today's recruiting exercise?

### Preparer Perspective:

Recruiting can seem to be an exercise in futility without designating clear target markets and creating defined value propositions for each market group, but even this can only get you so far. It's an excellent start to ensure you are speaking to the correct prospects—the artistry lies not only within the ability to concisely present the firm's value prop, but more importantly to evaluate the key priorities and concerns of each prospect you are working with. I have found that this is what most efficiently builds rapport and trust, which can immediately make your firm seem like the best choice for any prospects. Utilizing technology and processes brings this much closer to a science, but when a team or individual advisor is considering a transition it is not taken lightly, this is where the artistry comes into play.

### Firm Action Steps:

Technology gives us a much clearer picture and process in obtaining access to our target market. Utilizing databases leads to email and calling campaigns which accomplish the goal of accessing your target market, but weaving drip marketing content and social media are also critical in gaining recognition and respect to the prospects you attempt to reach. Leveraging 3rd party recruiters is also critical but often times not enough, they must constantly be on board with your value proposition which will help them to best serve you and these relationships should be constantly fostered to keep your firm front of mind. Ensuring a smooth transition is as critical an aspect as any other, this not only benefits the advisor in transition but can also lead to referrals in the future.



## The Wins:

The most consistent factor in recruiting wins tends to be immediately developing an understanding of what the prospect truly wants, demonstrating that knowledge to them, and using this to build trust in the relationship. Processes and technology are enormous factors in gaining the opportunity to accomplish this, yet that cannot replace the ability to clearly communicate that your firm is the best fit. In a competitive marketplace the only way to consistently win business is through differentiating your firm's value prop, level of care, and overall experience for the advisor and their clients.

## The Unexpected:

Unfortunately in this business there will always be some degree of the unexpected, this is equally true even when a prospect has signed paperwork intending to join. They are making a decision that impacts all aspects of their lives and often times many external aspects can come into play. Whether it is personal, regulatory, or related to their prior firm it is critical that we manage and prepare for all potential obstacles.

## What Does the Future Look Like:

The relationship aspect will always be critical, but we have seen a myriad of new approaches through technological advancement. Through automated communications, increased access of content that will attract the attention of prospects, and even new recruiting platforms similar to FA-Match we now have substantially more options and ability to ensure we are gaining visibility where we need to. The firms that will be able to best capitalize on this will reap immense rewards, though it is imperative to not lose focus on the client and advisor experience. Recruiting will always work best when paired with retention and technological advancements should only help on that front.

## Follow up Questions:

1. What technologies have your firms implemented to expand your reach in recruiting?
2. What do you feel are the most important aspects to an advisor contemplating a transition?
3. What external resources do you leverage in an attempt to allow your recruiters to focus as much as possible on closing the prospects put in front of them?

## Increase in Marketplace of Fintechs and Offerings How Are Wealth Firms Keeping Up

**Presenter:** **Kurosh Golchubian**  
Role: Chief Technology Officer

**Firm:**  **NEWBRIDGE**  
SECURITIES CORPORATION

### Big Question:

PE firms see unlimited potential for the marketplace. A challenge is most fintechs are looking at being paid the proverbial \$25 to \$50 per seat license for practice management tools. We are seeing a number of fintechs with a marketing focus. What is decision-making process for adding / declining new advisor technologies into the firms platform and who is at the table? How does your firm weave them into your technology stack and existing processes? What do you wish possible fintech partners knew about the buying process and implementation of their tools?

### Preparer Perspective:

**Prioritize Tech Investments:** Embrace fintech but do so judiciously. Every technological adoption should undergo rigorous evaluations of strategic alignment and cost efficiency.

**Engage in Continuous Cost-Benefit Analysis:** Assess not just the initial investment, but potential long-term returns. Will the tool enhance efficiency, reduce risks, or lead to more substantial client outcomes?

**Seek Advisor Input:** To ensure that investments align with actual needs, it's vital to involve advisors in the decision-making process, identifying which tools are essential and which are supplementary.

**Factor in Compliance from the Start:** Given the tightening regulatory landscape, emphasize early investments in tools that aid in compliance, potentially saving on future costs.

### The Wins:

**Lean and Effective Tech Stacks:** By being discerning, firms can ensure their technological foundations remain streamlined yet potent, avoiding redundancies and minimizing costs.

**Empower Advisors with Value-Driven Tools:** Focusing on high-impact tools can lead to enhanced advisor satisfaction and superior client experiences.

**Stay Ahead of Regulatory Challenges:** Proactive investments in compliance-centric technologies can lead to smoother audits and reduce potential legal complications.

## The Unexpected:

**Balancing Advisor Demands:** There might be instances where advisors push back due to perceived tool restrictions, emphasizing the importance of clear communication regarding tool selections.

**Vendor Partnerships:** As firms become more selective, negotiations with vendors may become more nuanced. Building long-term partnerships could be key to favorable terms.

## What Does the Future Look Like:

The future will undoubtedly bring more tools, but also more challenges. The dual pressures of quality demands from reps and tightening regulatory frameworks mean we will need to be even more judicious in our tech investments. While consolidation in fintech might offer some relief, it's essential to stay agile, ready to pivot based on changing internal and external landscapes.

## Follow up Questions:

- 1. Margin Management:** How are firms reconciling increasing demands from advisors with the realities of financial pressures? Are there innovative solutions beyond tech consolidation? Where will we draw the line?
- 2. Advisor Expectations:** With reps demanding more, how are firms maintaining a balance between delivering quality tools and managing payout expectations?
- 3. Regulatory Evolution:** As regulatory demands grow, are firms foreseeing a shift in tech priorities to more compliance-centered tools?
- 4. Future Funding:** With the constant push and pull of financial pressures, are firms considering alternative funding methods or partnerships to sustain tech advancements?



# BREAKOUT SESSIONS

- 3. You have spent your career as a marketing and communications expert in the wealth space. You decide you want to be an entrepreneur and build the “ideal product” to help Advisors solve their marketing requirements. Areas that you know need to be included: oversight, content, and process. This product will support enterprise wealth firms. How do you design, market and price the product?**
  
- 4. In an effort to stem outbound asset flow when clients pass away your firm has decided that you need to take action. What processes and programs will help advisors to better form relationships with / know future generations (children of beneficiaries) so they stay with the advisor / firm. How do you elevate their impressions of ways the advisor is utilizing / embracing technology to support a customizable relationship balance of a knee to knee with digital access and interactions?**

# COMMUNITY QUESTIONS



# COMMUNITY QUESTIONS

1. To what degree are you leveraging paid digital marketing for overall brand and recruitment, and for field sales enablement? What paid media platforms and integrations are you utilizing?
2. When your advisors and registered reps in the field are selecting from approved CRM and digital marketing platforms, let's discuss best practices for enabling system adoption, set up, and integration to accelerate success.
3. Which enterprise level marketing platforms, and associated best practices, have you found to be most effective in creating a flywheel of content and campaign sharing across media channels.



## COMMUNITY QUESTIONS

4. How is everyone utilizing AI / Chatgpt in their marketing efforts?
  
  
  
  
  
  
  
  
  
  
5. Next question(s) relate to Succession Plan – how are you helping your Advisor sell their practice?
  1. How are you helping your Advisor’s grow their OSJ?
  2. How do you assist in finding good succession partners for your Advisor?
  
  
  
  
  
  
  
  
  
  
6. How are firms capitalizing on the new SEC marketing rule? When did they start testing the waters? What kind of concerns are top of mind?
  
  
  
  
  
  
  
  
  
  
7. What were your biggest marketing failures, and what did you learn from them?



# COMMUNITY QUESTIONS

8. How have you optimized your Project Management? What software do you use?
9. What is your marketing team's biggest challenge and how do you plan to address this?
10. With the whole hybrid workforce, business continuing to shift away from face to face, the continuing challenge of ever increasing regulatory "intervention" what must companies in our industry do to recruit and retain talent in a very competitive market?
11. As the new generations have moved more to getting their information from mobile platforms (their phones) and their personal network, how has marketing had to shift and where they spend their money and how they can capture market share?

# COMMUNITY QUESTIONS

12. Artificial Intelligence is here to stay, like it or not. How are organizations using it to recruit and generate marketing campaigns? Or, are many companies prohibiting its use? If so, what do you think scares them the most? And how will regulations impact the use of AI?
  
13. How have you found success in partnering with agencies? I am not sure if it is us that is the problem, but we struggle to get them to understand the nuances of our business.
  
14. What tactics have you found works the best when it comes to digital advertising?
  
15. What examples do you have of campaigns or tactics that have really resonated with an executive level audience?

# COMMUNITY QUESTIONS

16. What are you doing to overcome the ever-increasing obstacles preventing effective email marcom, and what alternative channels show the most promise?
  
17. What is an effective balance (and how has it changed recently) between inbound/outbound marketing for lead gen?
  
18. What features of marketing automation are emerging as most effective/promising?
  
19. Does your organization view social posts as an “interactive communication” between the advisor and their clients and as such have a post review process compliance?

# COMMUNITY QUESTIONS

20. Will your organization allow for client testimonials / review for your advisors?

21. I would like to know what software others are using for email and if they've had to stack email programs (like FMG + Hubspot)

22. Do you take advantage of content services, create your own, or a mix?

23. What is the best marketing software or service you can't live without and why?

# PARTNER PROFILES



CONTACT:

**Joel Yocom**  
Account Manager

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## Firm Vision

Sycamore Company is a modern back-office technology solution for broker-dealers and RIAs. Sycamore Company is revolutionizing and transforming broker dealer and RIA back-office software with a modern, fully integrated solution that's built on the Salesforce platform. Clients can now manage data, compensation processing/reporting, compliance review, surveillance and client/advisor management on one single platform – 100% on the cloud. By providing consultation, implementation and training to our clients we streamline the normally arduous process of selecting and implementing the proper software applications.

To learn more about Sycamore:

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

Stay connected:

**LinkedIn:** [www.linkedin.com/company/the-sycamore-company](http://www.linkedin.com/company/the-sycamore-company)

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

## Firm History

Sycamore Company was founded in 2009 by Mike Overdorf. Having spent his career in the financial services industry, specifically in technology, Mike recognized the need for an integrated back office system that provided a central location for all client and advisor related information. Sycamore's platform was built to eliminate silo'd systems, creating a central hub for data, giving all home office departments one place to manage and document all advisor and client related activities.

## Leadership

### **Mike Overhoff, President & Founder**

Mike Overdorf is president and founder of the Sycamore Company. He has over 25 years of experience working across multiple financial services verticals including banking, wealth management and insurance. Mike earned his BS degree in Finance from Siena College and his MBA from SUNY Albany. Mike provides the vision and guides the direction of Sycamore Company with input from his executive team:

- **Mary Blackburn**, Executive VP Sales & Marketing
- **Marypat Ganley**, Vice President Product Management & Customer Support

## Ideal Buyer

The Sycamore platform is ideal for any broker/dealer or mid to large size RIA. Our products are modular, so whether a firm is looking for a full back office platform or just in need of data aggregation, compliance, or compensation services, Sycamore will likely be a great fit.

## Products /Services

- **Compensation Manager** - Sycamore Company's Compensation Management Software has a rules based structure that allows for unlimited compensation scenarios and can support multiple lines of business within a single organization including Investments, Advisory and Insurance. Plus, the Advisor interface provides reps a real-time look at their commission history, including pending commissions and fees.
- **Compliance Manager** - Manage all data and interactions with advisors and prospects on a secure platform built entirely on Salesforce.com.
  - **Business Review and Surveillance** - Automated New Business Review/ Processing and Advisor submissions for approval, Compliance Questionnaires and Attestations, Manage & Report on Customer Complaints, Check & Certificate Blotters, Trade Blotter Monitoring.
  - **Tailored to You** - Customized business rules and workflows tailored to your firm's specific supervisory controls, Robust, customizable reporting to monitor, manage and measure compliance activities from initiation to completion.
  - **Consolidated and Organized** - All activities are time and date stamped and recorded in the system. One consolidated firm wide platform and database for home office and advisors to access, eliminating lost or disparate documents and e-mails. Consolidated data and processes within one platform, providing secure and comprehensive books and records
- **Advisor Manager**
  - Integrates with Finra CRD for license tracking and checks for both securities and insurance, Manage the full rep hierarchy including branch info, admin assistants, multiple rep numbers, and unlimited split rep groupings.
  - **Management Reporting / Dashboards** - Home office consolidated view of all advisors AUM, production, and compensation.
- **Sycamore Analytics** - Powered by Salesforce Tableau, Sycamore Analytics makes your Data smarter. At the push of a button, explore Enterprise Wide Data – within Sycamore/Salesforce as well as external data sets, to discover important trends and behaviors.
- **Cirrus DataPro** – Data aggregation tool that gathers, normalizes and loads data into Sycamore or any Salesforce platform.

## Key Roadmap Deliverables

CapIntel's largest roadmap deliverable is the general launch of OMNI. Created to enable a new level of client engagement, OMNI investment presentations take proposals from a static, dull PDF, and bring advice to life as a first-of-its-kind digital proposal. Advisors and investors will be able to build a deeper level of relationship and understanding with interactive, educational, and engaging investment presentations that can be viewed dynamically on any screen, anywhere.



## Success Snapshots

Brief Use Cases



### Customer A

Purchased Compensation Manager module

- Provided separate instances of Compensation Manager for their BD and 2 RIAs.
  - Increased efficiency and accuracy in processing advisor payments
  - Online advisor access to check pending payments

Customized and consolidated reports/dashboards for advisors and home office.



### Customer B

Purchased Compensation, Compliance and Advisor Manager modules

- Provided one platform for all advisor related processes
  - Increased efficiency for operations and compliance departments
  - Eliminated silos of information, allowing home office to see a complete picture of advisors
  - Enhanced surveillance and compliance functionality by creating detailed, customized and consolidated reports
  - Increased efficiency in business processing by providing online business submission and approvals
  - Online advisor access to communicate with home office personnel, submit requests and check pending commission/fee payments



### Customer C

Purchased Compensation, Compliance and Advisor Manager modules

- Provided one platform for all advisor related processes
  - Increased efficiency for operations and compliance departments
  - Eliminated silos of information, allowing home office to see a complete picture of advisors
  - Provided the core engine (hub) of an integrated platform for advisors by integrating multiple 3rd party applications
    - Single sign-on providing access through Sycamore to all 3rd party applications
  - Online advisor access to communicate with home office personnel, submit requests and check pending commission/fee payments



CONTACT:

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Regional Manager- U.S. Sales

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## Firm Vision

Asset-Map is the financial picture that's worth a thousand decisions. In 15 minutes or less we put the important information about your client's financials in one shared picture: the start of an easy-to-understand process for bigger advice conversations. With clarity comes confidence for the informed decisions that improve your clients' financial health and increase value for your business.

## Firm History

Asset-Map believes everyone deserves to understand their finances so they can make better decisions about what matters most. Founded by financial advisor Adam Holt in 2008, Asset-Map combines design thinking and personal finance to visualize a client's complete financial inventory on one page. Using Asset Map with a client is proven to strengthen the advisor/client relationship and increase engagement, uncover opportunities and ultimately improve planning for the future.

For more information about Asset-Map:

**Website:** [www.asset-map.com](http://www.asset-map.com)

Stay connected:

**LinkedIn:** [www.linkedin.com/company/asset-map](http://www.linkedin.com/company/asset-map)

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

## Leadership

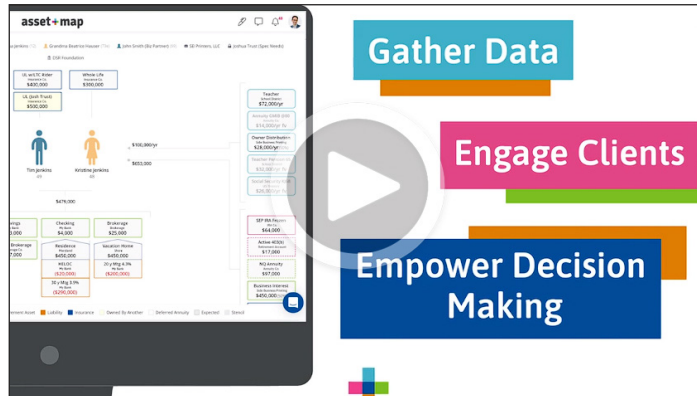
- **H. Adam Holt**, Founder and CEO
- **Thomas Bryn**, COO
- **Tony Demark**, CTO
- **Keith Meyer**, CMO
- **Mike Hemmert**, CSO

Ideal Buyer

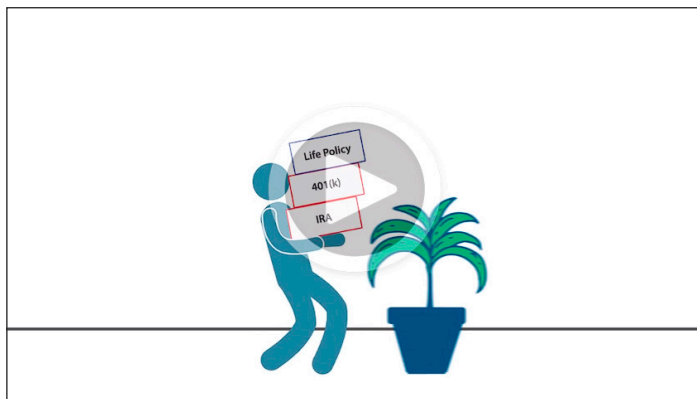
RIAs, IBDs, Banks and Credit Unions, Insurance BDs and Agents

Products /Services

Asset+Map Explainer Video (60s version)



How Asset-Map Helps Your Clients Organize



Key Roadmap Deliverables

- Discovery Questionnaires
- Signals opportunity identifier
- Draft Asset-Map Reports
- Client Portal



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**Amanda Billark**  
Head of Design  
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## Firm Vision

CapIntel's vision is to elevate finance to build wealth for all. The company believes that thoughtful technology solutions are integral to improving wealth and asset management workflows while elevating the level of care and service that retail investors receive.

## Firm History

CapIntel was founded in 2017 to modernize and advance the outdated processes in the wealth and asset management industries. The company currently serves financial institutions across North America, with intuitive, web-based applications that are improving the overall experience for wealth professionals and investors alike. Its platform helps financial professionals deliver transparent, data-driven, and personalized information to their clients so they can get a better understanding of their investments and feel at ease knowing their future is secured.

With over 12,000 advisors and 800 wholesalers across North America on their platform, CapIntel is transforming the advisor-client experience. Over the last year, the company has focused on expanding its product offerings, including CapIntel ESG, Link, and OMNI.

For more information about CapIntel:

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

Stay connected:

**Blog:** [capintel.com/blog](https://capintel.com/blog)

**Podcast-Frontier of Finance:**

[open.spotify.com/show/4eCfV0RebldHBC6ym4unRI](https://open.spotify.com/show/4eCfV0RebldHBC6ym4unRI)

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## Leadership

### **James Rockwood, Founder and CEO**

James Rockwood is the Founder and CEO of CapIntel, a financial technology company that supports financial advisors in their day-to-day workflow to deliver top-tier client service. In building CapIntel, James has been a part of two leading Canadian accelerator programs: Creative Destruction Lab (CDL) and Next Founder.

### **Max Moreau, Co-Founder and CTO Co-Founder, and Chief Technology Officer**

Max Moreau, brings more than 13 years of full-stack development experience to CapIntel, where he has built a strategy focused on customer feedback as the foundation of CapIntel's product and engineering work. He has grown CapIntel's DevOps team to more than 16 employees with an average of 9 years of experience, which has enabled the rapid expansion of CapIntel's platform to innovate and continue to lead the market in its space.

### **Rob Crnkovic, Co-Founder and CRO Co-Founder, and Chief Revenue Officer**

Rob Crnkovic, joined CapIntel with more than 10 years of sales leadership experience as Head of North America Financial Services at Slack, Head of North America Banking Sales at Plaid, and Sales Leader of U.S. Enterprise Banking at Salesforce. His sales leadership was recently recognized by SAAS North, Canada's leading SaaS conference.

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## Ideal Buyer

CapIntel's platform is appropriate for firms of all sizes across the wealth and asset management industry. In specific, we have four main customer profiles: Marketing Leaders CapIntel's firm-branded proposals combine qualitative and quantitative information, allowing marketing teams to ensure team members follow brand guidelines, include key messaging, and stay consistent in their output. Compliance Leaders CapIntel's all-in-one sales enablement platform has controls and embedded compliance guardrails in place that save time and encourage compliant actions. Sales Leaders With a streamlined digital solution, advisors can save time, impress clients, build stronger relationships, and, ultimately, sell more. Product Leaders Filled with qualitative and quantitative content, CapIntel proposals ensure product stories get told the right way and with details that investors can relate to and understand.

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## Key Roadmap Deliverables

CapIntel's largest roadmap deliverable is the general launch of OMNI. Created to enable a new level of client engagement, OMNI investment presentations take proposals from a static, dull PDF, and bring advice to life as a first-of-its-kind digital proposal. Advisors and investors will be able to build a deeper level of relationship and understanding with interactive, educational, and engaging investment presentations that can be viewed dynamically on any screen, anywhere.

# PARTNER PROFILE

## Firm Vision

CapIntel's largest roadmap deliverable is the general launch of OMNI. Created to enable a new level of client engagement, OMNI investment presentations take proposals from a static, dull PDF, and bring advice to life as a first-of-its-kind digital proposal. Advisors and investors will be able to build a deeper level of relationship and understanding with interactive, educational, and engaging investment presentations that can be viewed dynamically on any screen, anywhere.

## Additional Content

CapIntel is highly focused on bridging the gap between qualitative and quantitative content. With a focus on offering investors a true holistic wealth management experience, the company empowers advisors with a simple and trusted way to build educational and personalized investment proposals.

The company placed 13 out of 425 companies on The Globe and Mail's Top Growing Companies in Canada 2023 list, with a revenue growth rate of 2440%. And in the last year, they've announced numerous impressive partnerships, including with Conquest Planning and SEI.

In addition to the CapIntel platform, Founder and CEO James Rockwood and Co-Founder and CRO Rob Crnkovic host a podcast, Frontier of Finance, where they interview industry leaders and share news about the latest in the wealth and asset management space.





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## Firm Vision

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

## 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:

**Facebook:** [www.facebook.com/Skience](http://www.facebook.com/Skience)

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

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

## 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

## 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.

## Key Roadmap Deliverables

**Quik! Integration** - UX Upgrade Orion Integration RightBRIDGE Integration Wealthbox Integration SkienceOne CRM Platform

Unique Content

Reimagine the wealth experience

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



Delivering Superior Wealth Experiences

<https://www.swoogo.com/loggedin/registant/view?eventId=131095&id=31019839&uid=6524621e7e37c>

# PARTNER PROFILE



CONTACT:

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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. Fidelity's strength comes from the scale of our market-leading, interconnected financial services businesses that provide comprehensive solutions for individuals, families, employers, wealth management firms, and institutional investors.

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## Firm History

With assets under administration of \$10.3 trillion, including discretionary assets of \$3.9 trillion, we focus on meeting the unique needs of a diverse set of customers. Privately held for 76 years, Fidelity employs 80,000 associates who are focused on the long-term success of our customers.

For more information about Fidelity Investments:

**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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## Firm Leadership

**Abby Johnson**, Chairman and CEO

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## Ideal Buyers

- Broker/Dealers
- RIAs
- Plan Sponsors
- Retail Investors



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## Firm Vision

We're passionate about helping advisors grow their businesses through extraordinary marketing.

## Firm History

Founded in 2010, FMG powers an all-in-one marketing platform that assists financial advisors and insurance agents in attracting new leads, staying connected with clients, and growing their businesses. FMG is headquartered in San Diego, CA, with satellite offices across the United States.

For more information about FMG Suite:

**Website:** [fmgsuite.com](https://www.fmgsuite.com)

or connect with us on

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

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

**LinkedIn:** [www.linkedin.com/company/fmg-suite](https://www.linkedin.com/company/fmg-suite)

**Instagram:** [www.instagram.com/fmg\\_marketing](https://www.instagram.com/fmg_marketing)

**YouTube:** [www.youtube.com/channel/UCWqp9gkjkyxWhS4Ed3V2KAw](https://www.youtube.com/channel/UCWqp9gkjkyxWhS4Ed3V2KAw)

## Firm Leadership

- Scott White, President, CEO & Executive Board Member
- Dave Christensen, Chief Product & Technology Officer
- Susan Theder, Chief Marketing & Experience Officer
- Jared Card, Chief Operating Officer
- Chris Aitkens, Chief Sales Officer
- Samantha Russell, Chief Evangelist

## 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

FMG has developed an industry-leading all-in-one digital marketing platform designed specifically for financial advisors. This platform is dedicated to helping advisors build their businesses, expand their influence, and strengthen relationships with customers. The platform consists of four primary functions:

- **Marketing Suite:** This feature provides advisors and their staff with powerful marketing tools for email, social media, and content marketing. With customizable templates and analytics tools, you can create and track the success of your marketing campaigns.
- **Website Suite:** Our full-featured website builder allows you to create a professional-looking website that can be deployed standalone or integrated with FMG's marketing and compliance tools. With mobile optimization and SEO tools, your website will look great and improve your search engine visibility.
- **Compliance:** Our Compliance dashboard is designed to help your home office process compliance cases for content authored or edited by advisors. With tools for managing pre-approvals and visibility on content in the FMG content library, you can ensure compliance with industry regulations.
- **Publisher:** Our Publisher toolset is designed to support the creation of marketing content for advisors to use with Marketing Suite and Website Suite.

## Key Roadmap Deliverables

**Key roadmap items for the next three years:**

- **Expand enterprise capabilities:** We are committed to enhancing our enterprise support for financial professionals and their institutions, focusing on expanding our toolset, reporting capabilities, and development teams to work closely with enterprises and support their advisor marketing activities.
- **Pursue strategic acquisitions:** As part of our growth strategy, we actively seek out innovative companies that excel in specific areas. By acquiring companies with specialized capabilities, we aim to expand our offering and bring added value to our customers and partners.
- **Increase tech-enabled service capabilities:** Recognizing that technology alone is not enough, we are scaling our Do-It-For-Me (DIFM) service and strengthening our customer support and onboarding teams. This ensures that financial professionals receive the necessary assistance to effectively grow their business.

## Additional Content

[Play Video](#)



# PARTNER PROFILE



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EVP, Head of Integrated Communication  
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## Firm Vision

To humanizing wealth management and transform the impact of financial advice.

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## Firm History

Founded in 2012, FiComm Partners is a strategic growth marketing firm specializing in the independent wealth management and financial advice industry.

CEO Megan Carpenter is well known as the creator and evangelist for the “New Skool” mindset, encouraging authenticity and vulnerability as a way for financial advisors and the industry at large to create more meaningful human connections. Focused on guiding the modern RIA and wealth management platforms forward, FiComm partners with clients to drive meaningful business growth through strategic marketing, public relations, and advisor marketing coaching.

Leveraging decades of industry expertise, the mission of FiComm is simple—to humanize wealth management and transform the impact of financial advice. FiComm achieves its mission by helping RIAs, asset managers and the platforms who serve them, find their voice, tell their story, and grow better businesses. FiComm has worked with more than 250 clients—representing tens of thousands of advisors and the businesses who serve them —helping them define and speak with a voice that’s more inclusive, true to their values and vision, and authentically human.

FiComm’s modern approach has attracted a team of talented professionals from Goldman Sachs, BNY Mellon Pershing, John Hancock, United Capital, Mercer Advisors, TD Ameritrade, Carson Group and other marquee names.

A woman-owned and -operated enterprise, FiComm is leading the industry in inclusivity, with a flexible, judgment-free working environment built on an understanding of the needs of working parents.

For more information about FiComm Partners:

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

or connect with us on

**Facebook:** [www.facebook.com/FiCommPartners](http://www.facebook.com/FiCommPartners)

**LinkedIn:** [www.linkedin.com/company/ficomm-partners](http://www.linkedin.com/company/ficomm-partners)

**Instagram:** [www.instagram.com/ficommpartners](http://www.instagram.com/ficommpartners)

**YouTube:** [www.youtube.com/channel/UCd0emcTzP8TSInqcQhXxKdA](http://www.youtube.com/channel/UCd0emcTzP8TSInqcQhXxKdA)

## Firm Leadership

- Meg Carpenter, CEO & Founder
- Katie Johnson, President
- Camille Birk, Chief of Growth
- Candice Carlton, Executive Vice President of Advisor Growth Marketing
- Natalie Grasso, Executive Vice President of Integrated Communications
- Mary Kate Gulick, Executive Vice President of Marketing

## Ideal Buyer

- RIAs
- Wealth Management Platforms
- Asset Managers
- Custodians
- Broker Dealers.

## Products & Services

Strategic Growth Consultants: Building top-down growth strategies that convert with expert consulting. Expert Execution Team: Client centric and service-oriented marketing, PR, and creative teams to execute on our client’s strategic growth plans. Advisor Growth Accelerator: Advisor coaching and workshops to accelerate growth from the bottom up.

## Key Roadmap Deliverables

Growth Marketing Capabilities: Inbound Content Marketing Email Marketing Search Engine Marketing (SEO / SEM) Marketing Automation Social Media Marketing Video / Podcasts Website Updates Digital Advertising Ongoing Social and Email Support Video-First and Other Communications Trends Expert PR Execution Proactive Media Relations Contributed Content Events, Awards & Recognition Media Training and Prep Issues Management Influencer Engagement Strategic Integrated Insights Industry Influence Analytics.

## Additional Content

[Download Episodes](#)

### Episode 23 with Sam Gammell “Advisor Personal Branding”

On this episode, we had the chance to chat with Sam Gammell, Head of Marketing at Capital Group Private Client Services. She shares her experience, learnings, and successes in supporting advisors to tell their individual stories under one brand. She is truly taking a “new skool” approach to advisor marketing and we’re such fans.

### Episode 29 with Matt Brinker “Investing in Independence”

As the former Head of Acquisitions, Matt Brinker, closed 90 transactions in his 13 years with United Capital. After setting his sights on a new path, Matt is now the managing partner at Merchant Investment Management. In this episode, Matt shares his love for the independent advisor space, how he believes your capital partner influences your destination and what drives his passion. He also speaks about the key ingredients to digital marketing and how his own money story has shaped his perspectives.

### Interview with Dan Seivert “Spotting Successful M&A Match Ups”

Meg Carpenter wanted to get beyond the headlines to find out what really makes an M&A deal successful. She interviews Dan Seivert of ECHELON Partners, a leading investment bank in the wealth and investment management industry, on his very well-honed view of what makes a deal click.

# 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.



**VENDOR MANAGEMENT**  
BEACON STRATEGIES, LLC

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](https://beaconstrategiesllc.com)





# 2023 ROUNDTABLE RECAP (FIRST HALF)



## Attendees

“*Information provided was extremely helpful and offered perspectives that will help influence my strategic development and decisionmaking.*”

**Wealth Firm Attendees = 21 Avg**

- 21** Compliance
- 20** Operations
- 21** Innovators



**Partners Firms = 9 Avg**

- 6** Compliance
- 8** Operations
- 13** Innovators



**# of Advisors Represented = Over 115,000**

**# of Attendees Rollup**

- 39** C-Suite
- 23** Managers



# 2024 ROUNDTABLE 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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