The Ultimate, Customizable, Comprehensive Outsourcing Solution for Independent Advisors.

FocusPoint SOLUTIONS

An extension of your own team.

Our flexible service offering allows you to outsource any and all of the following: reporting, trading, billing, and even your investment process and research. In addition, you'll enjoy a dedicated relationship manager, cutting-edge technology, and ongoing marketing, strategic, and compliance support.

Back Office

DAILY ADMINISTRATIVE DUTIES

- Assign to you and your firm a dedicated relationship manager; this central point of contact functions as an extension of your own team and is supported by the entire FocusPoint team
- Ensure new paperwork and assets are properly executed by custodian
- Set up and maintain distributions
- Create individual folders and post scanned documents into proper account records
- Customize automated workflow for your business processes
- Follow up and follow through of account transfers
- Handle daily uploads, downloads, reconciliation, price updates
- Communicate requests with custodian (transfers, restriction notices, etc.)

TRADING

- Trade models of your choice
- Liquidate assets as needed for fees and other withdrawal requests
- Rebalance portfolios as needed

REPORTING

- Provide basic reporting (realized gains/losses, estimated 1099 dividend information for taxable accounts)
- Customize reporting for your needs
- Track cost basis for incoming securities

BILLING

- Calculate billing for you utilizing your billing structure and send payment to you

Advisor Transitions

- Customize client transition plan
- Complete all relevant client paperwork related to transition
- Conduct asset review and approval
- Establish advisor firm with custodian
- Assist with client communications
- Set up new accounts and transfer cost basis information as applicable
- Trade new accounts to set to portfolios you choose

Compliance

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

Technology

FULLY INTEGRATED VIRTUAL OFFICE

- CRM (data conversion as applicable)
- Portfolio management software
- Reporting software
- Online document storage
- Client portal (accessible to your clients via your website)
- Ongoing technology/software training and upgrades/enhancements
- Offsite server hosting/maintenance
- Nightly and weekly client data backup
- Email hosting (optional)
- E-signature/DocuSign solution

Investment Management and Market Research

YOUR PORTFOLIOS OR OURS

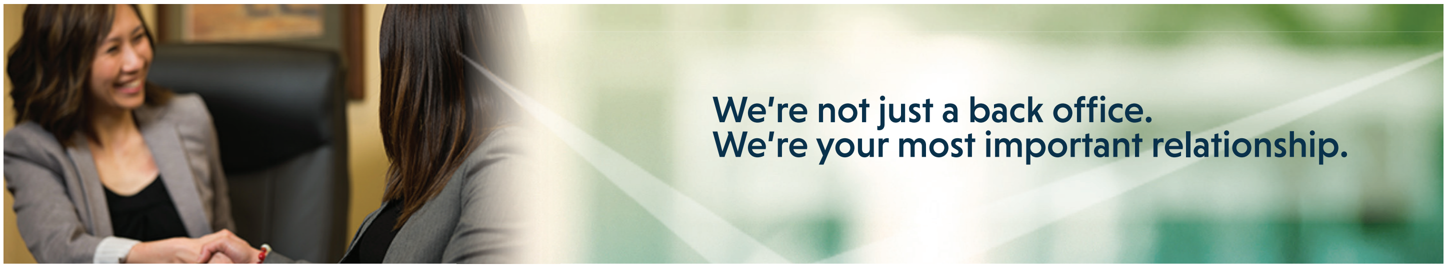
- Provide regular account review and rebalancing (based on your criteria, to ensure accounts are invested according to their investment model)
- Offer assistance with special asset strategies
- Create client-ready, customizable quarterly advisor communications on broad market topics
- Create weekly market missive communications and index/investment performance
- Provide access to communication with a full-time CFA team and investment committee
- Generate periodic commentary on market action and/or timely topics

FOCUSPOINT MODELS ONLY

- Provide investment research/ recommendations
- Offer assistance with special asset strategies
- Offer ongoing investment monitoring and due diligence
- Measure model performance and value added

Practice Management

- Initial discovery and consultation
- Customized business analysis
- Assistance with your investment process
- Access to presentation materials



Who We Serve

Existing RIAs

DO YOU HAVE YOUR OWN RIA AND FIND YOURSELF STRUGGLING IN VARIOUS AREAS OF YOUR BUSINESS?

As an RIA, you may be spending too much time trying to integrate all areas of your business, manage the compliance burden on your own, and handle staff and administrative activities. We can help you design your ideal solution, identifying and addressing any gaps you need to fill. You'll free up a significant amount of your time to spend on clients, new business, or professional development. Plus, you'll improve efficiency while increasing profitability and the intrinsic value of your business.

Advisors Forming an RIA

ARE YOU PLANNING TO FORM YOUR OWN RIA?

Are you analyzing the cost, energy, and compliance requirements associated with a broker-dealer relationship? Would you prefer to deal with one regulatory agency rather than both the SEC or state and FINRA? Would it give you peace of mind to plug into an advisor-minded, customizable back office services and technology system…yet continue to maintain your autonomy and brand? We've helped dozens of advisors in this situation over the past 20+ years, and can guide you through what to expect and how to plan for this move.

Hybrid Advisors

DO YOU PLAN TO DO MOSTLY FEE-BASED BUSINESS BUT KEEP A BROKER-DEALER RELATIONSHIP?

As a mostly fee-based advisor, do you intend to continue earning revenue from variable insurance commission business? Whether you're satisfied broker-dealer relationship or need assistance with one that supports your goal of forming (or continuing to operate) your own independent RIA, we can help you. FocusPoint has a long history of working advisors in this situation.

Plug into a fully turnkey, established solution or choose only the individual services you need to customize your ideal service model.

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Phone: 866.201.3034
Email: info@FocusPointSolutions.com
Web: www.FocusPointSolutions.com

Unique Advisors

ARE YOU INTERESTED IN FORMING YOUR OWN RIA, BUT YOUR OPTIONS ARE LIMITED?

If you're eager to form your own RIA but there are factors limiting you from doing so today—or if you desire the independence and flexibility of working under an RIA without needing to form your own—talk to the FocusPoint team about what options might be available to you. For example, by temporarily "tucking into" an existing RIA, you can enjoy the benefits of an independent scenario without needing to form your own RIA. FocusPoint has worked with several advisors in this situation and it has been tremendously helpful in moving them closer to where they want to go.

How Would Your Ideal Business Look?

Visit our website to explore how much time you could free up by outsourcing.

www.FocusPointSolutions.com