Leverage, Independence, Flexibility, Efficiency.

YOUR VIRTUAL ENSEMBLE™

FocusPoint SOLUTIONS
Your Success is Our Focus

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

- Provide a dedicated relationship manager plus support of entire FocusPoint team
- Complete and quality control new paperwork, distributions, asset transfers, etc.
- Customize automated workflow for your business processes
- Create online folders and post scanned documents into proper account records
- Handle daily uploads, downloads, reconciliation, price updates
- Communicate requests to custodian

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

*Offered at an additional cost

Advisor Transitions

- Customize client transition plan
- Complete all relevant client paperwork
- 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 your portfolios

Compliance

- Assist with applicable audit-related documents
- Offer general compliance guidance and information
- Provide access to offsite legal firm*

Practice Management

- Provide initial discovery and consult
- Design your custom business analysis
- Assist with your investment process
- Give access to presentation materials

Marketing Support

- Assist with client marketing campaigns
- Building out email automation
- Integrate with CRM for marketing
- Offer deeper marketing support*:
    - Platinum*: All of above plus comprehensive digital marketing and branding
    - Platinum Plus*: All of above plus seminar marketing

Investment Management

Your Portfolios or Ours

- Provide regular account review and rebalancing (based on your criteria)
- Assist with special asset strategies
- Create customizable, client-ready quarterly advisor communications
- Offer weekly market missives, index and investment performance
- Provide access to a full-time CFA and investment committee
- Generate periodic commentary on market action and/or timely topics

FocusPoint Models Only

- Provide investment research and/or recommendations
- Offer ongoing investment monitoring and due diligence
- Measure model performance/value add

Technology

Integrated Virtual Office

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

Is our Virtual Ensemble™ for You?

If you're like many advisors, you may be searching for a solution that allows you to enjoy all of the economies of scale and synergy of a traditional ensemble—while keeping your independence and remaining in control of all decisions relating to your business. We offer advisors a unique Virtual Ensemble™ concept:

A group of independent advisors from around the country, who have similar business philosophies, have joined together to consolidate/delegate all non-client-related activities through a completely Web-based, centralized engine.

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.

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.

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.

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.

Why FocusPoint?

Many advisors who outsource with us:

- Do so in a cost-effective, capacity-building manner
- Commonly free up 20-50% more of their time
- Are able to focus more on helping clients with financial planning and building better client relationships
- Can spend more time growing business by marketing and developing more relationships with COIs
- Motivate their staff, as their daily responsibilities now often include more client-centric activities
- Can still maintain control over their client experience

We Help Build Your Ideal Business