



Your back office associate understands your needs.

## Do it right the first time.

Contact FocusPoint Solutions About Your Unique Situation.

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

## A Detailed Look at Our Unique Services

Advisors can outsource any and all of the following to FocusPoint:

### BACK OFFICE: DAILY ADMINISTRATIVE AND ACCOUNT-RELATED ACTIVITIES

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

### TRADING ACTIVITIES

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

### COMPLETE REPORTING AND BILLING SERVICES

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

## **INVESTMENT MANAGEMENT AND ACTIVITIES (FOR MODELS OF ADVISOR'S CHOICE)**

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

## **INVESTMENT MANAGEMENT ACTIVITIES (FOR ADVISORS USING FOCUSPOINT MODELS)**

- Execute periodic investment reviews
- Provide ongoing investment monitoring, due diligence/evaluation, and portfolio rebalancing
- Provide weekly index and investment performance
- Regularly measure model performance and value added

## **TECHNOLOGY/SOFTWARE ACCESS**

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

## **COMPLIANCE SUPPORT**

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

## **PRACTICE MANAGEMENT**

- Offer initial discovery and consultation process with highly experienced team members
- Design a customized business analysis
- Provide assistance with Advisor's investment process
- Offer access to customizable client communications and/or presentation materials

## **ADVISOR TRANSITIONS**

- Customize a client transition plan and timeline for Advisor
- Complete paperwork relevant to Advisor's transition
- As part of Advisor onboarding process, create individual client folders and post scanned documents into proper client accounts
- Work with custodian(s) on asset review, analysis, and approval as needed
- Set up new accounts and transfer cost basis as applicable
- Trade on new accounts and set them to the investment model Advisor has chosen
- Help with data movement from Advisor's current CRM to new
- Assist with materials for client meetings and communication materials related to Advisor's transition
- Offer assistance (possibly involving a third party/additional cost) regarding migration of performance file history