Back Office Connection provides a comprehensive set of operational, Information Technology and Compliance services to Financial Advisors. Although the following list of services expands the detail regarding our support services, it is not an exhaustive list. Please contact us about how we can customize our services to help your firm grow.

Operations Services

- Portfolio management software maintenance including custodial data downloads, account reconciliations and trade blotter confirmations.
- Manual transaction data entry and account reconciliation for those accounts for which we cannot get an automated download.
- Advisor website data uploads and site accounting mapping maintenance.
- Branded, customized portfolio performance reporting and investment accounting reports.
- Client account billing, invoice generation and production breakout reporting.
- Account setup, documentation, asset transfer facilitation and cost basis tracking.
- Index and performance file maintenance, security information maintenance including corporate reorganizations and share split activity.
- Securities trading and settlement, cash flow facilitation and income reconciliation.
- Mutual fund capital gain research and tracking, separate account manager fee reconciliation and MBS current face reconciliation.
- Contact manager database maintenance including document management for all client file permanent documents.
- We can conduct any task pertaining to Operations that we can create a procedure document for.

Network IT Services

- Fully hosted applications and data with access via Microsoft Terminal Services.
- All you need is a computer and an Internet connection.

- Full local hardware redundancies to assure high up-time percentages.
- Disaster Recovery “Warm site” access in case of emergencies and to fulfill SEC disaster recovery planning requirements.
- Email exchange services with antivirus and spam filtering--all designed to fulfill SEC retention requirements.
- Online access to electronic client file folders for office documents, client reports and databases.
- Magnetic tape backup of all database, exchange and electronic client file folders with offsite storage and file restoration services.
- OS, application and database updates, security patch maintenance and user license tracking.
- Network technical support.

Compliance Services

- SEC audit support and preparation assistance.
- Assistance with continual maintenance of known document discovery files, portfolio activity reports, electronic trade blotters and client file access.
- Annual and ongoing ADV and ADVII support and assistance with the IARD system.
- Compliance program support including assistance with AML policy review, periodic updates to your Policy and Procedures manual and your Code of Ethics.
- Assistance with annual compliance program review and report to the board of directors.
- Assistance with ongoing employee compliance requirements including annual training, new employee acknowledgement forms, quarterly transaction reports, annual holdings reports and annual related persons and outside business activity reports.
- We can conduct any task pertaining to Compliance that we can create a procedure document for.