BackOffice Connection

Anchoring Your Peace of Mind

Operations:
Customizable Operational Support

Compliance:
Administrative support to the CCO

- **We act as a technical bridge between an Advisor and their software functionality.**
  - We configure and run Portfolio Management, CRM, Rebalancing and other software packages.
- **We get to know the Advisor's book of business and their investment philosophy and how it is implemented.**
  - We perform administrative services to open and close accounts, liaison with custodians and coordinate custodial alert resolution.
- **Our services are completely customizable and designed to compliment the software solutions Advisor's work with.**
  - We customize each task to suit Advisor's needs using available technology.
- **Based on the size of our clients, we can be a small Advisor's entire operational infrastructure, or we can be a smaller part of a larger operational team.**
  - We add the most value to firms that fully integrate us into their team, and we operate as if we were an employee of the firm. We think it’s easiest to achieve this balance with firms that are between 100 million and 1 billion in AUM.

BOC Provides:

- **Depth in Team**, every client is supported by a lead, a backup and fully documented processes.
- **Depth in Knowledge**, we have a combined experience base of over 100 years.

This is a Sample Set of Services.
Services are Customized to Suit Each Advisor's Needs.

OPERATIONS

Review, Reconciliation, and Remediation:

- Liaison with Software Service Teams
- Sync Completion Email
- Account, Share & Cost Basis
- SFTP Site Reports
- PortfolioCenter Interface Files
- Corporate Re-Organizations
- Income Reclassifications
- Wash Sales
- Liaison with Custodial Service Teams
- Interval Issues at All Levels
- Upload Errors/Warnings
- Trade Reconciliation
- Cash Flows
- RMDs
- Custodial Alerts

Setup & Maintenance:

- Security Details & Categories
- Security Set Up & Mapping
- Households, Groups & Accounts
- Trading Groups
- Client Portals
- Saved Searches
- Firm Settings
- Composites
- Models
- CRM Workflows
- CRM Data Maintenance
- Update Client Data
- Portfolio Management Integration
- Global Advisor Settings
- Manage Security Settings
- Reporting
- Report Templates
- Report PDF Themes
- Report Groups & Account Sets
- Global & Composite Report Settings
- Coordinate Commentary Pages
- Custom Files
- Billing Groups
- Billing Definitions
- Billing Invoice Templates

Processing:

- New & Closed Accounts for All Platforms
- Communication & Task Management
- Client Paperwork
- Download Custodian Statements & Tax Reports
- Recurring Cash Flows
- Cash Flow Tracking for Scheduled Distributions
- Upload Pre-Approved Trade Files
- Review of RMD Requirements and Calculations
- Manual Entry for Accounts, Securities & Cost Basis
- Performance, Accounting and Tax Reports
- Report Distribution Via Portal, Secure Mail, or Print
- Billing History
- Billing Management Reports
- Billing Invoices
- Billing Cash Balance Verification
- Management Fee Upload
- Process Fee Rejects
- Database Audits

COMPLIANCE

Assistance with:

- Books & Records for Closed Accounts
- Custom Fields for ADV & 13F Filings
- Security Classifications for ADV & 13F Filings
- Trade Error Documentation
- Client Privacy Notice and ADV Offer
- Best Execution Review
- Compliance Reports
- Compliance Calendar and Related Reminders
- Quarterly Employee Transaction Review
- Test and Verify Advisor Email Archiving Systems
- Test and Verify Advisor Website Archiving Systems
- Test and Verify Advisor Data Backup Systems
- SEC Exam Document Discovery
- Review and Summarize Email Keyword Search Services

We Support the Entire Envestnet | Tamarac Technology Stack, all Advent (SS&C) Solutions, PortfolioCenter and Orion.

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