Making the Move to RIA

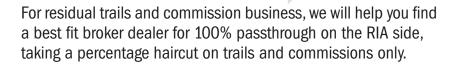# Two Ways We Help You Go RIA

1 Get Your Own RIA

We guide you in getting your own RIA, offer RIA start-up consultants at your disposal for setting up your own RIA as well as outsourcing ongoing compliance. To keep you on the cutting edge of innovation, we maintain an updated selection of outsourcing services including practice management, marketing and new client programs provided by insurance marketing agencies (IMOs). We also help you find the best fit broker dealer that passes through 100% of your RIA revenue, taking a percentage haircut on residual trails and commissions.

2 Join an RIA

We will guide you to the best fit options if you want to join an RIA that provides a turnkey all-inclusive plug & play platform. We research the RIA marketplace and uncover the best nationwide RIAs to benefit you with value pricing that their scale provides. As an example, 10 bps. RIA platform includes:

Branding
Technology
Private Banking
Black Diamond Billing & Reporting
Custody with Fidelity Institutional (IWS)
 & Schwab/TD Ameritrade
E&O Insurance
Multiple CRMs
Compliance
Operations

For residual trails and commission business, we will help you find a best fit broker dealer for 100% passthrough on the RIA side, taking a percentage haircut on trails and commissions only.

Advantages of having your own RIA or Joining an RIA:

★ Higher selling multiples for larger AUM over 200 Mill.

★ Have fees paid to a corporation for tax savings

★ Choose the best technology for your business

★ Joining an RIA is much less work, simplifying your life/increasing quality of life

★ Enjoy greater flexibility marketing yourself and running your business

★ Get away from Broker Dealer RIA platform fees, markups, proprietary advisory platforms

★ Net 90%+ rather than 60%–75% on revenue

★ Broader choices in 3rd Party Money Managers and NTF Funds

★ Realize better pricing on SMAs/UMAs

★ Be in an environment with no conflicts to adhering to a Fiduciary Standard

★ Paperwork at IWS, TD & Schwab translates to substantially shorter forms than BD RIAs