



AllBackoffice Advisor Solutions

The Challenge

Independent RIA firms are mostly sole practitioners, partnerships and boutique enterprises. Each of these firms is faced with the same challenge: To provide a premium wealth management experience, without the financial, technology and staffing resources that exist at a larger full-service financial institution. Advisors solve for this challenge by managing their practices with creativity and strong work ethic, all while dealing with multiple vendors to build their own in-house infrastructure. Alternately, advisors opt to affiliate with a larger firm, a B/D, or leverage a TAMP or technology platform.

Advisor Solutions – An Independent Alternative

Our AllBackoffice Advisor Solutions provides sole practitioners and boutique partnerships a full-service infrastructure typical of large RIA, wire-house or TAMP platforms, but with an open-architecture choice of service and technology partners, with AllBackoffice providing a concierge/executive admin. support service to fill in the gaps and integrate.

Ideal Advisors for our Service:

AUM not a factor, either established RIA owners, IARs or registered representatives of B/Ds seeking to break away.

Independent RIA firms - sole proprietor or boutique partnership of advisors, committed to independence. Usually less than 4-5 total in the company.

Advisor seeking to balance elements of the growth/productivity equation...seeking growth, dealing with too many distractions or work that does not equate to highest value use of time.

Advisor solving for more specialized resources without increasing labor...Expandable resources as needed in marketing, client services, compliance, IT, overall operations.

Advisors managing for high growth, adding advisors and staff or early phase of enterprise RIA evolution.

The Benefits:

Easier access to solutions - At-the-ready Expandable Expert Resources – Operations best practice consulting, operations administration, compliance admin., marketing admin., IT experts.

A vetted and reliable list of technology and professional solutions vendors to help compress costs (vetted for boutique RIAs).

Peace of mind, growth and advisor focus on best use – AllBackoffice manages mundane, boring or frustrating tasks

Improved best practice policies and documented procedures

Practice redundancy in the event of any emergency or staffing issue

AllBackoffice offers the benefits of an institutional platform without the conflict of interest of working within a financial services platform



Services and Solutions

Bundled Solutions

- RIA Launch Project Management
- Advisor Transitions – Advisor/Book onboarding/repapering
- Advisor Succession and Redundancy – Design, Document, Source Resources
- Advisor Technology Evolution – Due diligence, Design and Conversion Services
- Compliance Administration – Managed Calendar, ADV Prep, Compliance Documents
- Marketing Administration – Consulting, Website, Creative, Content and Social Media
- IT Administration – MSP for local laptops, Security administration, managed software
- Portfolio Accounting, billing and Aggregation –
 - PortfolioCenter, Tamarac, ORION, BlackDiamond, Advyzon, Panoramix, CircleBlack

One-Time Solutions

- Software and Technology Implementation and Management
- RIA Launch and Assisting RIAs with Advisor Transition
- Outsourced Recruiting and Hiring – In-Sourced Staffing
- Market Research for Focused Need
- Product Due Diligence for Products Such As CRM, Financial Planning, Portfolio Accounting
- Software and Document Management System Conversions
- Data Mining and Data Preparation for Firm Valuation During Merger Due Diligence

Recurring a la carte Solutions

Client Support Services - Operations Administration

- New Client Onboarding - Account opening processing
- Custodian process and issues management
- Document prep – for meetings or per client requests
- Client email and phone support
- Advisor and Client Support Requests
- Assembling Client Data for Financial Planning
- Leverage Document Storage Portal for All Possible Scenarios, How to Assist Virtually with Non-Tech-Savvy Clients
- Data Collection and Data Entry for Risk Analysis and Investment Planning
- Client Account Aggregation Support

Accounting, Reporting, and Billing

- Daily Maintenance of Portfolio Accounting Software -Open Architecture – we support best-of-breed technology
- Quarterly Reporting Preparation and Delivery



- Advisor Billing and Quality Assurance
- Held-away account aggregation, reconciliation and manual entry, client assistance
- Print, Stuff, & Mail Reports or Prep for Electronic Delivery (emailing & portal)
- QuickBooks Management

Compliance Administration

- Administer Advisor Compliance Calendar - to ensure no items missed
- Maintenance of client contracts and other compliance document tracking
- Annual Form ADV data gathering and updates
- Cybersecurity Preparedness
- Creation, Maintenance, and Updates of Written Policies
- System Checks and Testing Compliance
- Books and Records Maintenance

IT – Managed Services Administration

- Manage Local Machines, Laptops, and Additional Hardware
- Remote Desktop, Cloud Integration
- Data Integration Across Systems and Software
- Remote Support
- Cybersecurity Support - Reviews – Vetting and Documentation
- Software Selection and Due Diligence

Marketing – Coaching, Solutions, Social Media Administration

- Marketing Consulting
- RIA Launch and Branding
- Website Launch, and Support
- Direct and Network Marketing Administration
- Content Distribution, Drip Marketing, Social Media Management
- Branded Client Gifts