

An overhead view of a diverse group of people sitting around a large wooden table, engaged in a collaborative meeting. They are using laptops, tablets, and notebooks. The image has a blue overlay.

# Revolutionize Your RIA Operations and Unlock Your Growth Potential

Achieve an unparalleled client experience while scaling  
and increasing your valuation



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Advisory firms strive to stand out from competitors by delivering a world-class client experience. Their "secret sauce" typically lies in the value of their advice and the care they invest in client relationships.

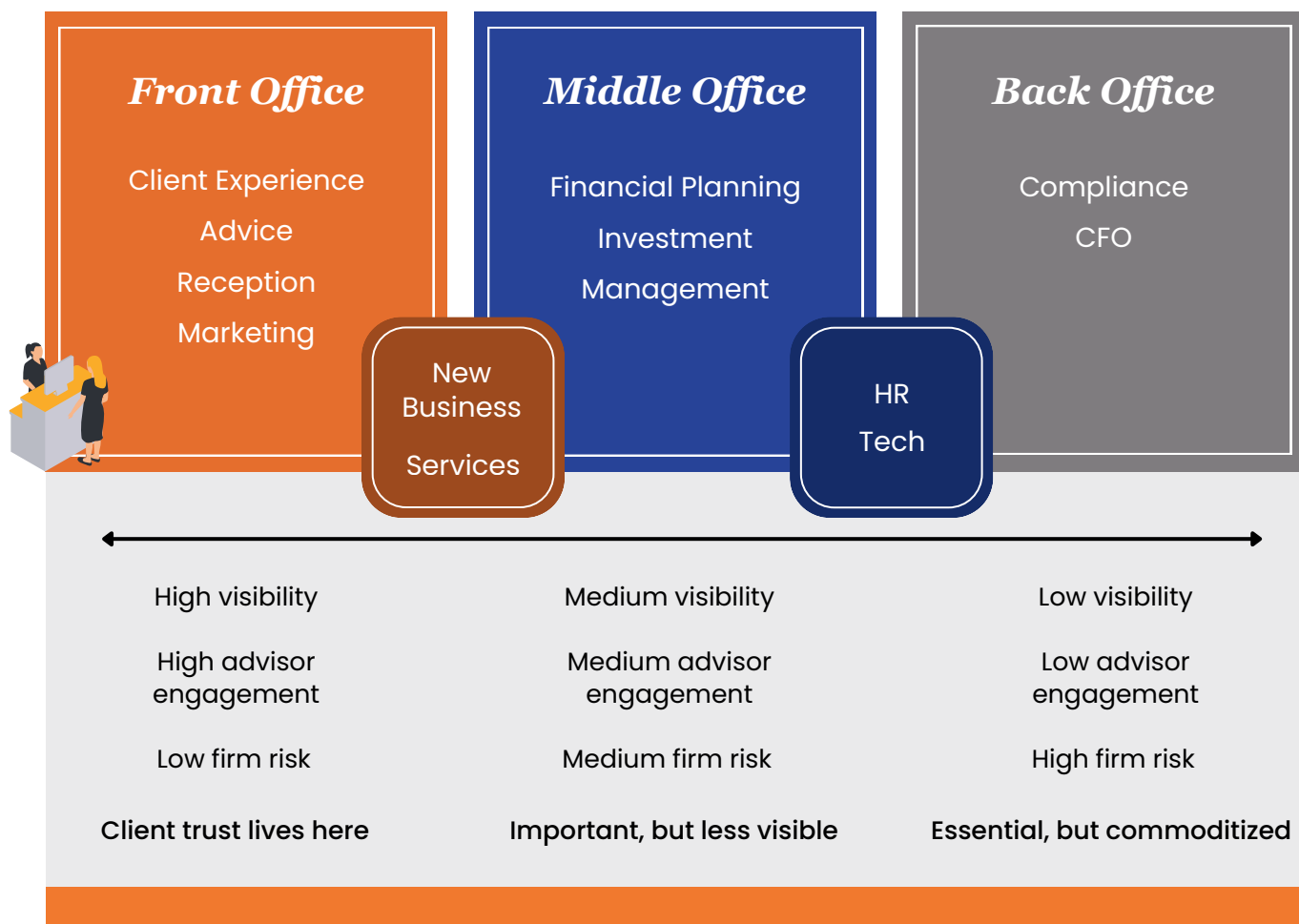
While every firm must handle tasks to execute their client service model and manage operations, the further these tasks are from direct client interaction, the more commoditized they become—and the less they reflect the firm's unique strengths.

Why dedicate time and resources to managing non-differentiating tasks when professional services can support you, allowing you to focus on what truly matters: building relationships and providing exceptional advice.

## The Continuum of Advisor Value:

### *From Client Experience to Back Office*

As functions move away from the front office, they become less visible to clients, riskier, and easier to delegate.



# 5 Ways Outsourcing Boosts Your Advisory Practice

We empower advisory firms by taking on time-consuming middle office tasks:

- Financial Planning
- Investments and Trading
- New Account Opening
- Client Services

Here's how outsourcing will transform your firm:

## 01. *Save Time and Increase Efficiency*

Our streamlined processes, tools and dedicated team handle these tasks with precision, letting you focus elsewhere. Firms typically save 10-20 hours per week, per advisor, by outsourcing

## 02. *Enhance Client Satisfaction*

Clients expect prompt, accurate service. Our team ensures client requests are handled quickly and correctly, boosting your reputation for reliability. With us managing the details, you can deliver a seamless client experience that builds trust and loyalty.

## 03. *Stay Compliant and Reduce Risk*

Navigating regulatory requirements is critical and time-intensive. Our team is well-versed in industry regulations, ensuring every task meets compliance standards. This reduces your risk and gives you peace of mind.



## 04. *Scale Your Practice and Increase Your Valuation*

Focus Forward provides expert support without the need for additional headcount. We scale with your needs, supporting efficient growth, simplified M&A activity, simplified balance sheet and increased valuation.

## 05. *Access Specialized Expertise*

Focus Forward's professionals bring deep experience to deliver high-quality results that align with your goals. We have CFPs, CFAs and other experts that will elevate your practice, positioning you as a trusted authority with robust, data-driven insights and expertise.

# Financial Planning Offering

Our team of experts will support you in environments that include a variety of technologies and strategic partnerships:

- ✓ *Multiple planning tools and portals*
- ✓ *Multiple billing processes*
- ✓ *Multiple templates for client presentations and approaches*

## *Service*

### **New Client Onboarding:**

- Facilitate collection of documents and information to be input into planning tools
- Create client profile in applications and planning tools
- Prepare new client recommendations and documents for first time plan delivery

Support meeting preparation for existing financial planning clients through the preparation of planning dashboards, updated analysis, recommendations, deliverables and other materials at your direction

Execute ad hoc data and report requests in support of financial planning and typically outside of general meeting cadence

Establish billing system / set-up clients in billing system as part of initial onboarding

## *Optional Add-on Services*

### **System Audits**

One-time or periodic audits of financial planning tools to generate a list of missing information for each planning client

Monthly white papers or other collateral/content on hot topics that you can white label and send to your planning clients

Facilitate end-to-end client billing process

If using financial planning system as client portal, we can walk client through how to use the portal and do an overall technology introductory call with the client

Project work as needed



# Investment Operations Offering

Our team of experts will support you in environments that include a variety of technologies and strategic partnerships:

- ✓ *Multiple custodians*
- ✓ *Multiple trading platforms*
- ✓ *Multiple performance reporting systems*

## *Service*

### **Investment Committee meetings:**

- Scheduling and meeting preparation, including analysis for tax-loss harvesting and capital gains assessments at the strategy level
- Meeting notes and documentation
- Capturing decisions and trade instructions

### **Trade execution:**

- Bulk / block trading for discretionary accounts
- Individual account trades on an ad hoc basis
- Executing systematic deposits and withdrawals
- Managing Dollar Cost Averaging for deposits >\$50,000

Meeting preparation for Investment Management clients

### **Account Maintenance, including:**

- Raising cash for fees or withdrawals
- Cure cash out of tolerance
- Cure accounts drifted out of risk tolerance
- Review and report (or cure) accounts with no/low trading
- Review and report (or cure) accounts with zero balance
- Review and report (or cure) accounts with high fee

Support client billing by evaluating and responding to billing reports and inquiries, including actionable reporting (acting as a 2nd set of eyes for billing)

Product evaluation on specific client investments

Monthly, quarterly or annual RMD calculations and reporting to advisor

Project work as needed



# New Business Offering

Our team of experts will support you in environments that include a variety of investment types, custodians and strategic partnerships:

## *Service*

### **New Account applications and related forms across various investment types:**

- Financial Planning
- Fee-based Investment Accounts (Schwab / Fidelity, + more)
- Estate Planning
- Variable Annuities and Variable Insurance
- Fixed Annuities and Fixed Insurance
- Health Insurance
- Mutual Funds
- 529s
- Long-Term Care
- Disability

Conversions, Roll-overs and Add-on Investments in the same categories listed above, as applicable

### **Follow-up and Client contact:**

- Ensure clients and advisors have signed all paperwork and ensure communication when accounts are opened

### **Facilitate funding of new accounts:**

- Ensure funding is facilitated within service standards to ensure idea client experience and efficient capture of revenue for advisors

Ensure investment accounts are allocated to appropriate models and fully invested – money is put to work right away

Confirm internal firm requirements are met and NIGOs are cured to ensure billing is activated

Project work as needed



# Client Service Offering

Our team of experts will support you in environments that include a variety of technologies and strategic partnerships:

## *Service Case Types*

- Address / Contact Change
- Beneficiary Change
- Profile / Suitability Change
- Statement Inquiry / Resend
- Account Balance / Performance Info
- RMD / CRUT / QCD Inquiry
- Fee payment Set-up or Change
- Journal Requests
- Life Change Notification
- Power of Attorney
- Death Claim
- Contribution / Distribution Request
- Establish a Systematic
- Technology Inquiry
- Policy Coverage Questions
- Update Banking Info
- One-time Premium Payments
- General / Miscellaneous

## *Service Levels*

Ensure investment accounts are allocated to appropriate models and fully invested – money is put to work right away

**Level 1** requests are closed same day.

**Level 2** requests are closed within 24 hours whenever possible.

**Level 3** requests are closed depending on complexity.

Clients receive updates once per week for 3 weeks

If not resolved after 3 weeks advisors are consulted for next steps



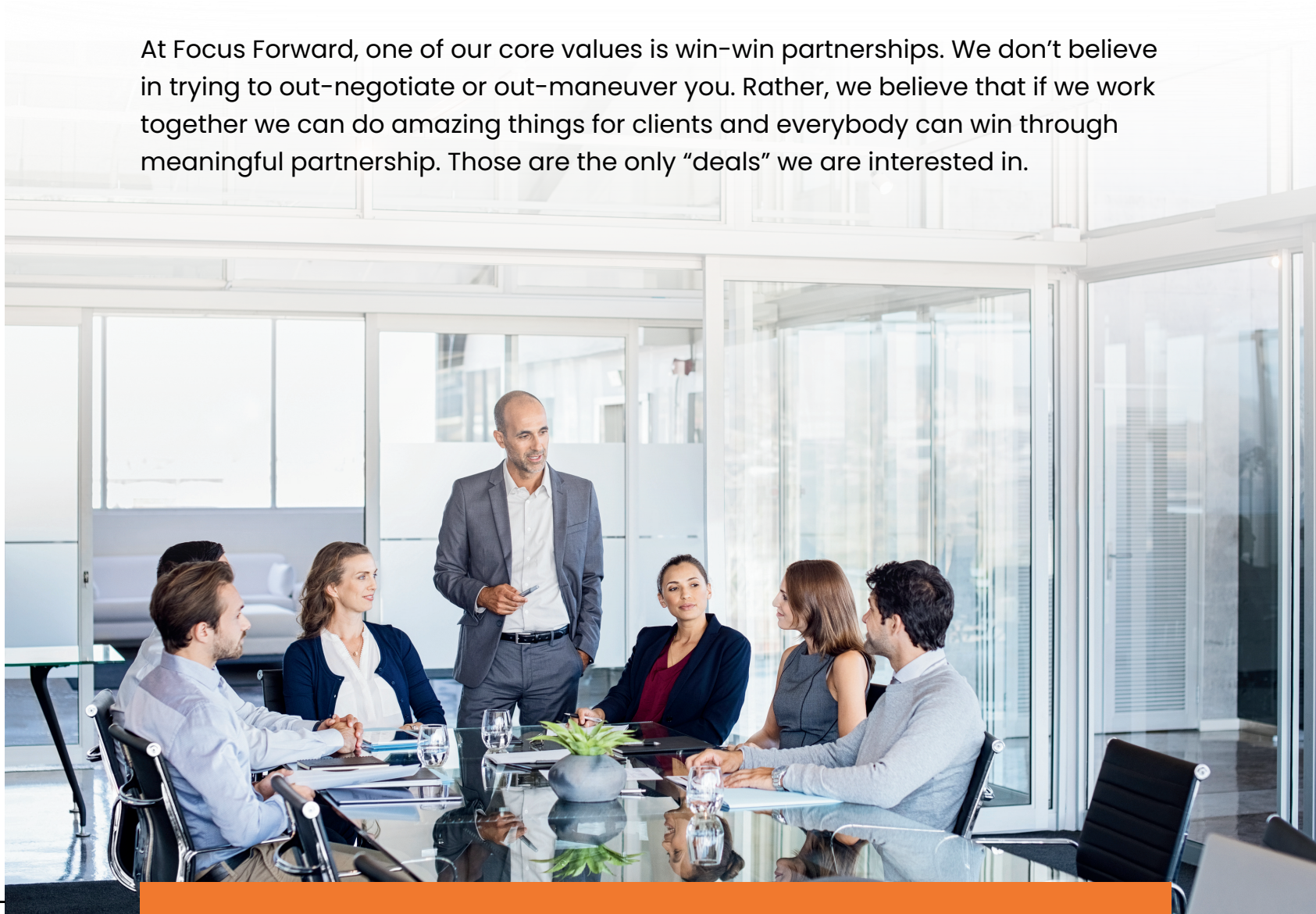
# Our Ideal Clients

## *Our ideal clients are:*

- ✓ Investing in their growth
- ✓ Looking for long-term strategic partnerships
- ✓ Ready to let go of hiring, onboarding, training, managing and developing staff
- ✓ Generating at least \$3m in annual gross revenue\*

*\* we occasionally work with firms below the gross revenue target, but please note that we impose a minimum annual contract size*

At Focus Forward, one of our core values is win-win partnerships. We don't believe in trying to out-negotiate or out-maneuver you. Rather, we believe that if we work together we can do amazing things for clients and everybody can win through meaningful partnership. Those are the only "deals" we are interested in.





# How It Works

## *Rules of Engagement:*

- We are a white-labeled service. That means the only brand or team identifier your client will ever see is yours.
- We provide fractional support – you will only pay for what you use
- We will provide support for the same or less than your current cost of insourcing
- We will load our workflows and activity templates into your CRM
- Contract terms are 1-year at an annual subscription fee, which we bill monthly
- We onboard our support resources into your environment and tech stack. Our team members will only work inside of your network so you never have to worry about privacy or data security.



# The Introductory Call



## ***Your Profile***

During an introductory call we will talk with you to gain an understanding of your current firm and why you've achieved the success you have! A job very well done!

We will also talk about what you want for your firm in the future.



## ***Pain Points***

During the introductory call we will listen carefully as you talk about the pain points you're experiencing and the things that keep you up at night.



## ***Challenges***

The introductory call is a great environment for us to hear what isn't being said. We've talked to a lot of advisors in your shoes and we know how to identify the challenges that may be preventing you from growing and scaling as fast as you'd like.



## ***M&A***

We will discuss your past and aspirational M&A work and how you approach integration. If you've completed a merger or acquisition, most likely there is integration work left incomplete.

*We will all leave the call with information to process, and a follow-up call will be scheduled for the following week or next.*

**GET STARTED**

***Set up an introductory call:***

Give us your contact info at: [gofocusforward.com](https://gofocusforward.com) | Send an email to: [info@gofocusforward.com](mailto:info@gofocusforward.com) | Call: 763-443-6740

# Meet Our Team



**DENA FROILAND**

Co-Founder, Head of Business Developments and Relationships



**TIM REGAN**

Co-Founder, Head of Strategy, Research and Innovation



**COLLEEN KEHOE**

Chief of Staff



**JARED QUINN, CFP, CFA**

Head of Financial Planning and Investments



**AMANDA DEVORE**

Head of New Business and Service

LEADERSHIP  
TEAM

# FINANCIAL PLANNING AND INVESTMENTS

## Meet Our Team

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**JOE WITKOWSKI, CFP**

Financial Planner



**CHLOE RUDNINGEN**

Investments and Trading



**CHRIS ZOU**

Investments and Trading



**KOREN MESCHER**

Investments and Trading



**TG REGAN**

Investments and Trading



# Meet Our Team



**TANDRA BROADWAY**  
Operations Specialist



**STEPHANIE WATSON**  
Operations Specialist



**AUGUST MAYS**  
Operations Specialist



**ALEX THIESEN**  
Operations Specialist



**MICHAEL CEJER**  
Operations Specialist

NEW BUSINESS AND  
SERVICE

# Meet Our Team

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**DEANDREA FORBES**

Client Service Specialist



**COURTNEY MAYNARD**

Client Service Specialist

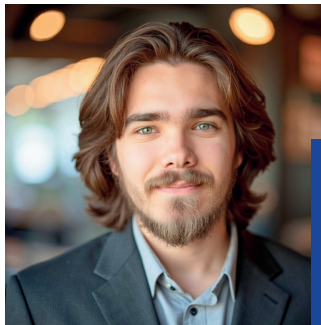
**NEW BUSINESS AND  
SERVICE**

## Meet Our Team



**TREY DEJAGER**

Integration Manager



**DEUCE FROILAND**

Experience Coordinator



**STEPHANIE TOLLEFSON**

Marketing



**LODISHEN  
NARAYANASAWMY**

Data & Insights



**ANNIKA FROILAND**

Business Development Coordinator



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