



THE ROUNDTABLE SERIES

BEACON STRATEGIES, LLC

2024 STATISTICS- FIRST HALF

of Roundtables:

3

Focus:

- Compliance
- Operational Excellence
- Innovators

Case Studies:

12

Breakout Sessions:

12

Community Questions:

101

Case Study Examples

- Data is the life blood of the firm
- Artificial Intelligence is the buzz word of the day
- Technology is a foundational piece of all firm's business

Breakout Session Examples

- Build the transition of a new advisor that should be available today
- Define and sketch a Practice Management framework for your advisors. Incorporate experience, technology and training into the next generation platform.
- The audit experience is disparate for many firms. Build out a framework for maximizing audit effectiveness.

Attendees (Number of):



Wealth Firms

60

23 Compliance,
20 Operational Excellence
17 Innovators
(20 Average)



Advisors

85,000+

Represented at Spring
Roundtables



Partners

39

15 Compliance
13 Operational Excellence
11 Innovators
(13 Average)



C-Suite

78%

23% of Firms More Than 1
C-Suite Attendees (New)

Content Focus:

Our desire is to bring enterprise wealth firm's together with solution/product partner's deep diving into existing business centric challenges.

Our format enables greater exploration and dialogue between our attendees bridging the gap between needs and solutions. We encourage a conversation among many versus only a few.

WEALTH FIRMS



PARTNERS



TOP NINE TAKE AWAY SUMMARY



Roundtables:

1. Compliance Top Nine:

Firm text messaging compliance policies required. Firms looking for greater AI definition. Auditors moving away from focusing on risk. Firms implementing own "audit examination" processes. Firms balancing priorities vs exposure, needs vs wants, big picture vs weeds, etc.

2. Operational Excellence Top Nine:

Trained, "expert" servicing associates and how they develop / maintain relationships are a competitive advantage. Advisor transitions are largely paper driven, manual, and under FINRA's conflict of interest radar. Firms need to build more sophisticated data models. Doing nothing makes us feel safe but what is the cost?

3. Innovators Top Nine:

Firms set priorities based on either their loudest users, or users generating the largest volume. Choose the latter! Clients' needs have not changed, but technologies and communication delivery methods have. Advisors are not analysts and are looking for support on their daily work. Technology Playbooks Need to Include Plays.



Excellent opportunity to connect with peers, examine industry challenges in a risk free environment, and share best practices and learnings."

"Appreciated the intentionality of the preparations made for a valuable experience, both by our generous hosts and by participants leading Case Studies; development of meaningful connections with peers and partners; candid discussion of shared challenges and opportunities; and the historical unique venue which created an intimate, authentic, and creative atmosphere. Far more valuable than a large conference!"