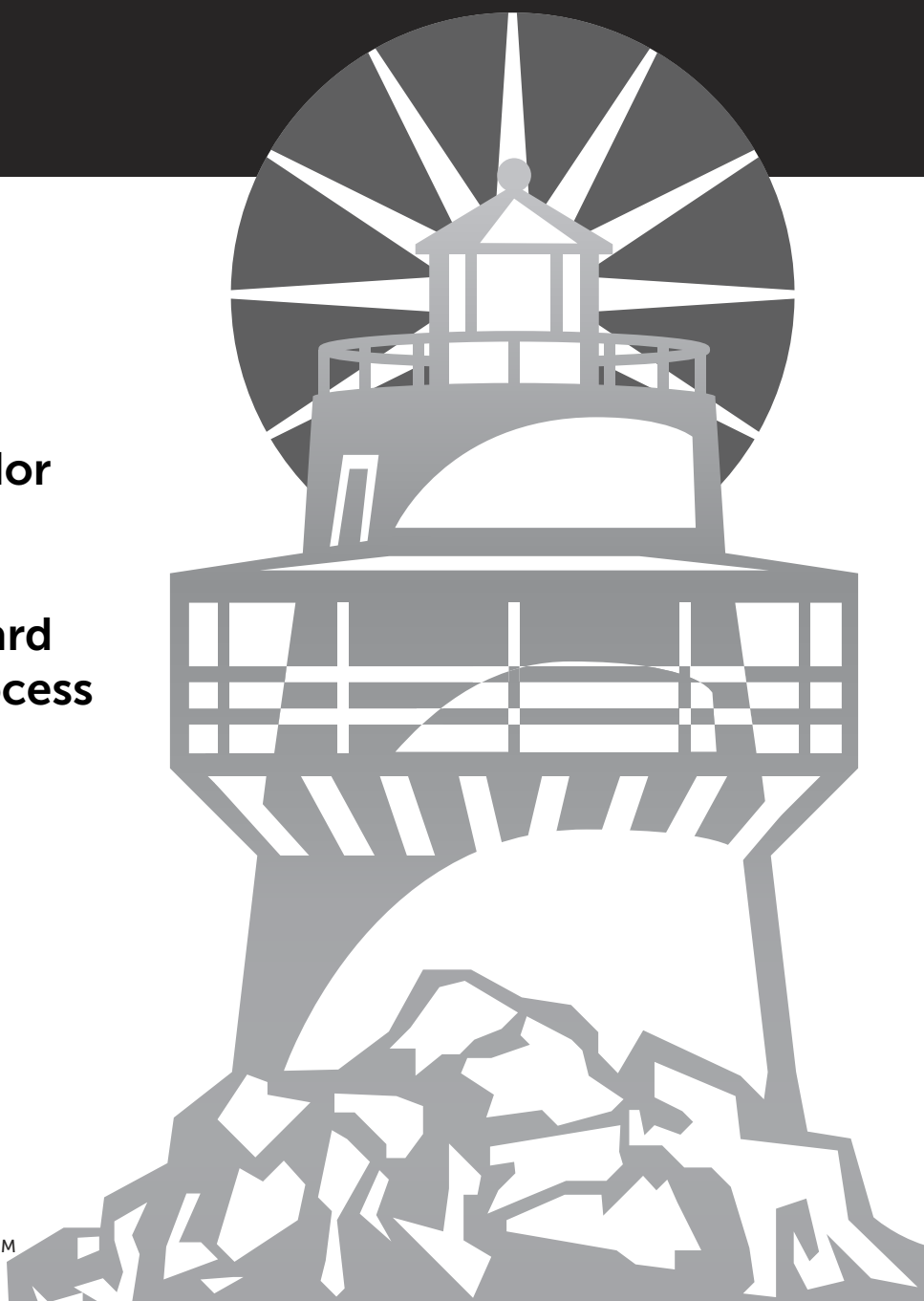


VENDOR MANAGEMENT BY BEACON STRATEGIES

Bringing an industry perspective to vendor management that meets regulatory demands and sets the stage for better provider partnerships.

- ✓ **Built for Wealth Management Firms**
- ✓ **One Stop for all Vendor Management needs**
- ✓ **Pre-Existing Dashboard for Managing the Process**



VENDOR MANAGEMENT



MEET REGULATOR DEMANDS AND MORE – TURN AN EXPENSE INTO A STRENGTH

Regulators are increasing their vendor management scrutiny. Wealth firms need to implement a more structured and efficient program for overseeing 3rd party providers.



Meet regulatory demands for oversight and due diligence

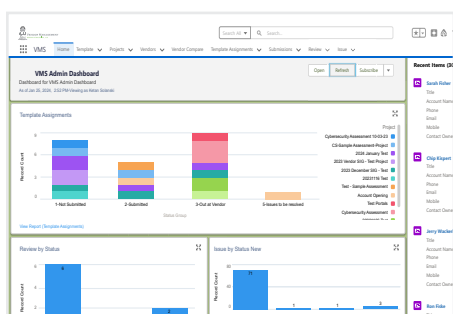


Enhance relationships with providers by setting mutual expectations



Measure adherence and satisfaction with providers

The Solution. Beacon's Vendor Management Platform for managing 3rd party providers.



DASHBOARDS

A portal supplying access to reporting, reviews, progress of assessments, and templates.

This screenshot shows the 'VMS Vendor Company Template View'. It displays a questionnaire for '1.0 Firm Information & Demographics - General'. The questionnaire includes questions like '1.2 Provide an overview of your company and contractors', '1.3 List your top five competitors and how you differentiate yourselves from them', '1.4 List any awards or recognitions your company has received in the past three years', '1.5 List your physical locations for possible site visits to show evidence of physical security and adequacy of the facility for the intended purpose', '1.6 Do you have a physical security policy?', '1.7 Have you attached a copy of your physical security policy', '1.8 Do you have a physical security staff employed as a contracted service?', '1.9 Based for name of the third party security service used', '2.0 Firm Information & Demographics - Employees', '2.1 How many temporary / contractor analysts do you employ?', and '2.2 Is your solution hosted on premises or Software as a Service (SaaS)?'. Each question has a 'Weight' and a 'Score' column.

PRE-BUILT QUESTIONNAIRES

Standard industry templates and can tailor them to match their 3rd party provider reviews.

This screenshot shows the 'VMS Vendor Company Template View' for '2023 Vendor SAG'. It displays a questionnaire for '1.0 Firm Information & Demographics - General'. The questionnaire includes questions like '1.2 Provide an overview of your company and contractors', '1.3 List your top five competitors and how you differentiate yourselves from them', '1.4 List any awards or recognitions your company has received in the past three years', '1.5 List your physical locations for possible site visits to show evidence of physical security and adequacy of the facility for the intended purpose', '1.6 Do you have a physical security policy?', '1.7 Have you attached a copy of your physical security policy', '1.8 Do you have a physical security staff employed as a contracted service?', '1.9 Based for name of the third party security service used', '2.0 Firm Information & Demographics - Employees', '2.1 How many temporary / contractor analysts do you employ?', and '2.2 Is your solution hosted on premises or Software as a Service (SaaS)?'. Each question has a 'Weight' and a 'Score' column.

UNIFIED PLATFORM

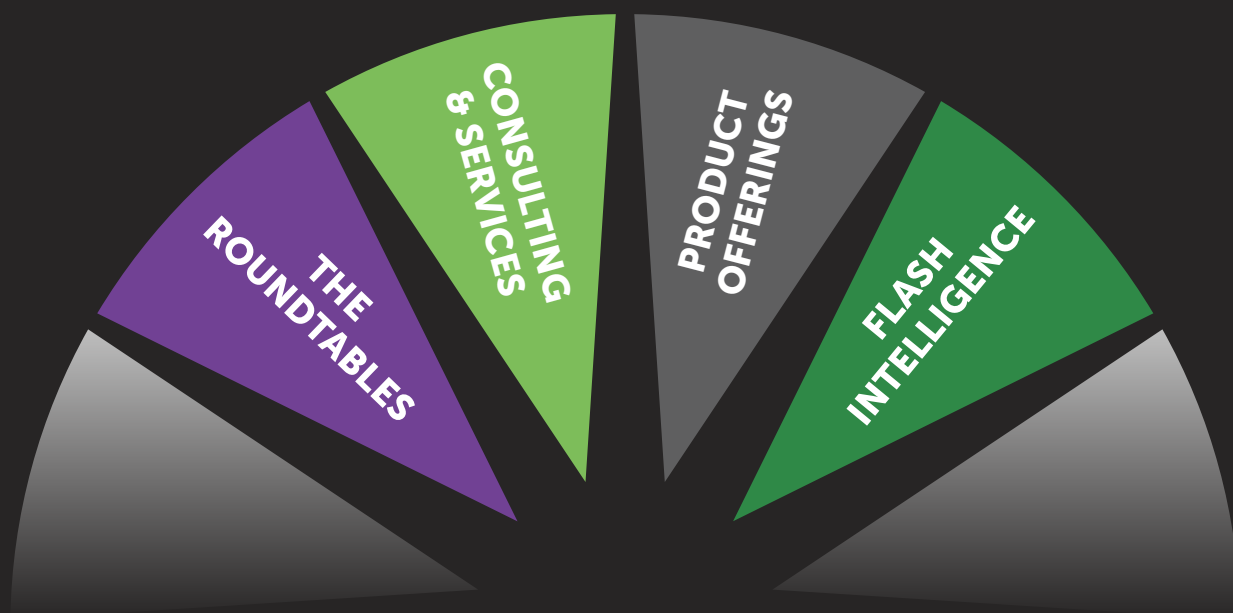
The platform organizes and manages the experience using automation for the customer and provider.



BEACON STRATEGIES, LLC
CONSULTING | ROUNDTABLES | PRODUCTS & SERVICES

AS THE INDUSTRY CONTINUES TO EVOLVE, FIRMS ARE FACING INCREASING HEADWINDS

Chip Kispert founded Beacon Strategies, LLC in 2006 to help wealth management firms and solution providers meet these challenges with thought provoking roundtables, experienced consulting services, and next generation products and services. Since opening the Beacon doors, Chip and the Beacon team have become the central repository and bridge to the ever-evolving network of products and services available to wealth firms.



We're excited to share with you our suite of operational, educational, consulting and practice management product offerings designed to support your firm's growth goals and employee development.

To learn more about Vendor Management
and Beacon Strategies:

[Schedule a meeting with Chip](#)

