BEACON ROUNDTABLE SERIES
BEACON STRATEGIES, LLC

2025 FIRST HALF STATISTICS

4

Number of Roundtables

Number of Attendees

Wealth Firms: 76

Advisors: 53

New to Beacon Community

Wealth Firms: 12

Partners: 11

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Case Studies

Examples

- Confronting a large and growing set of regulations
- Regulatory focus on revenue sharing arrangement persists
- Artificial Intelligence Continues to be Buzz Phase of Recent Times
- Managing many disparate Operational Systems!!
- Driving the Investor-Customer Experience to the Next Level
- Technology is a Cornerstone to Running a Wealth Management Business, Yet....

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Breakout Sessions

Examples

- In 2025, you have a significant budget to invest in your firm. You have decided to focus on differentiating yourselves and becoming a disruptor. Where and how would you invest?
- To run your firm effectively, what measurements/KPIs does your dashboard include for management, operations, growth, other?
  How and compared to who are you comparing your numbers to?
- Your firm wants to lean into growing your use of Artificial Intelligence, internally and for advisors. Create a strategy and delivery model.
- Cash sweeps are a hot topic. Model an ideal framework that serves, the customers and compensates the firm.
- Data is still king. Design an ideal framework including critical functionalities, gathering and maintenance processes, validations, etc.
- As part of your growth initiatives, transitioning new advisors can possess regulatory and business challenge to your firm. Highlight your top transition concerns and an ideal process flow.
- Cyber Security is front and center or should be for your business.
  What is the ideal model/requirements for protecting the end investor and what is the home office and advisor roles?

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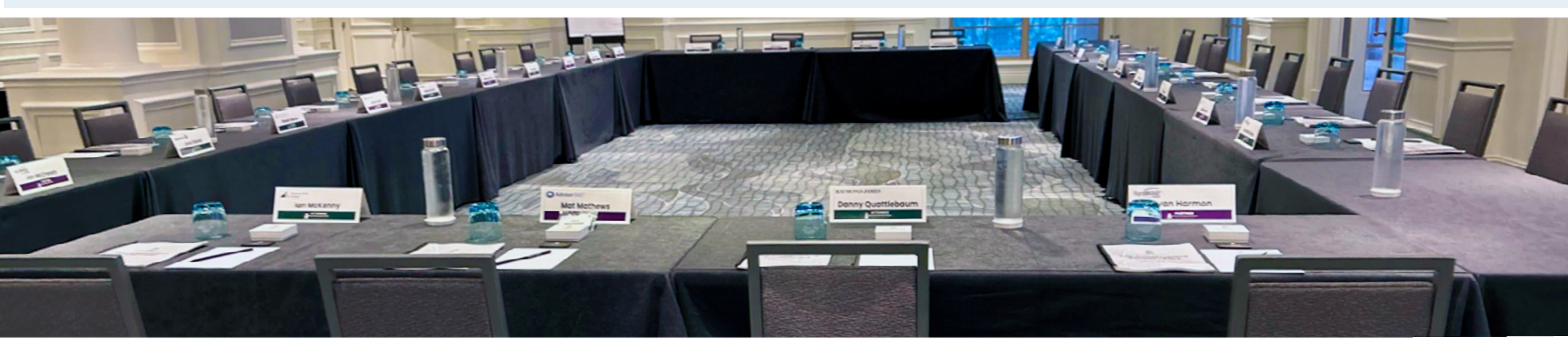
Community Questions

Examples

- How do you manage multiple clearing firm relationships?
- What technologies/ processes, do you use / have you tried to use to prevent regulatory violations?
- How do you manage client and advisor data across different platforms? What challenges do you face with integrations?
- How are you onboarding new clients? Opening new accounts? Measuring initial client satisfaction?
- How is your firm leveraging AI to enhance / expedite your Operations and Service experience
- How do you support financial service professionals in maximizing efficiency within CRM platforms?
- What's one task/process your advisors consistently highlight as a drain on their time and how have you addresses?



Wealth Firms

Addison Avenue investment services (A division of First Tech) · Allstate · APOLLON · ARETE WEALTH · Brookwood · CAMBRIDGE · CG Financial Services · Commonwealth · Concorde · CONCURRENT · Edelman Financial Engines · Equity Services Incorporated · FARMERS INSURANCE · FIRST COMMAND (Get Squared Away) · FREEDOM ADVISORS · Geneos Wealth Management, Inc. · Harbour Investments, Inc. (Registered Investment Advisor & Independent Broker Dealer) · HIGHTOWER · HilltopSecurities (A Hilltop Holdings Company) · IPI Investment Planners, Inc. · IPI WEALTH MANAGEMENT · Keel Point · KOVACK FINANCIAL NETWORK · LINCOLN INVESTMENT · LION STREET FINANCIAL · LPL Financial · MODERA · NEWBRIDGE SECURITIES CORPORATION · MERCER ADVISORS · National Life Group · NewEdge ADVISORS · OXFORD FINANCIAL GROUP, LTD · PRIVATE CLIENT SERVICES · PROSPERA FINANCIAL SERVICES · REALTA WEALTH · SFA · RAYMOND JAMES · Signature Wealth · SOWELL MANAGEMENT · STRATEGIC WEALTH DESIGNERS · UNITED PLANNERS FINANCIAL SERVICES · VALMARK FINANCIAL GROUP

Partners Firms

Advisor360° · Advyzon · COMPLIANCEEDGE · Docupace · ENVESTNET · Feathery · Fidelity Investments · FOUNDATIONSOURCE · InvestiFi · Goldman Sachs Advisor Solutions · INCOMECONDUCTOR · QUIK! · ORION · RegEd · RightBRIDGE by CapitalROCK · SMArtX Advisory Solutions · SURGE VENTURES · SYCAMORE · TradePMR · TaxStatus · YCHARTS · zocks

TOP NINE SUMMARIES

Compliance:

Work from home policies, AI uses and approval requirements, Cybersecurity processes and protocols, Roles of teams in approving new products, New Year, New Administration, and New Regulations, how and what do you prioritze, Different ways firms are growing their businesses

Operational Excellence:

Advisors and Investors are expecting more personalized experiences. Onboarding new advisors is becoming more complicated. Artificial Intelligence (AI) offers significant benefits but also risks and challenges. Technology dollars spent on manual processes and antiquated systems is not always the right / most effective answer. Advisors at the table as decisionmakers on solutions. Products and technology offerings are table stakes.

Innovators:

CEOs at many wealth firms see AI as the art of the possible. Managing a wealth firm's tech stack requires a balance of info security, procurement demands, and business relevance. Roles of business lines to encourage organic growth. Characteristics of a successful operations group, Productive reinvestment Business Focus areas, Firms' disruptive Platform Ideas, Firms are working on allowing advisors to be build and manage their practice independently yet have a common look and feel.

RIA:

Cornerstones for building a successful RIA. Key KPIs to manage a successful RIA. Wealth firms need to continually rethink / rework their client experience journey. Organic Growth strategies are difficult to implement. Organic Growth Strategy Key Metrics, Firms need to weave together Finders, Minders, and Grinders!, Firm Tactical Actions for a Successful Business, Actions firms should focus on with Available Cash. RIAs have technology fatigue.

Implementation Ongoing Evaluation

AI Governance

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