



BEACON ROUNDTABLE SERIES

BEACON STRATEGIES, LLC

2025 FULL YEAR STATISTICS

6

Number of Roundtables



COMPLIANCE

SARASOTA, FL



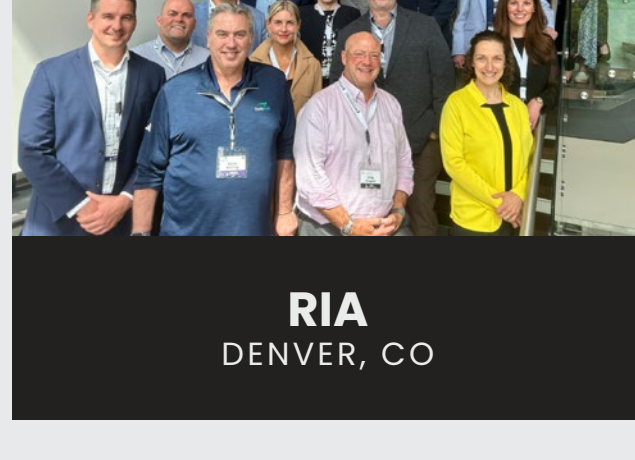
OPERATIONAL EXCELLENCE

ORLANDO, FL



INNOVATORS

SAVANNAH, GA



RIA

DENVER, CO



MARKETING & RECRUITING

PENTAGON CITY, D.C.



THE ROUNDTABLE

SONOMA, CA

Number of Attendees

Wealth Firms: 116

Partners: 82

New to Beacon Community

Wealth Firms: 16

Partners: 15

19

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....
- Supporting Advisors is a Full-Time Focus.
- The Chicken and The Egg; Grow Revenue and/or Cut Expenses
- Making Transitions a Strength.
- Marketing in an Era of Always-On Client Engagement

36

Breakout Sessions

Examples

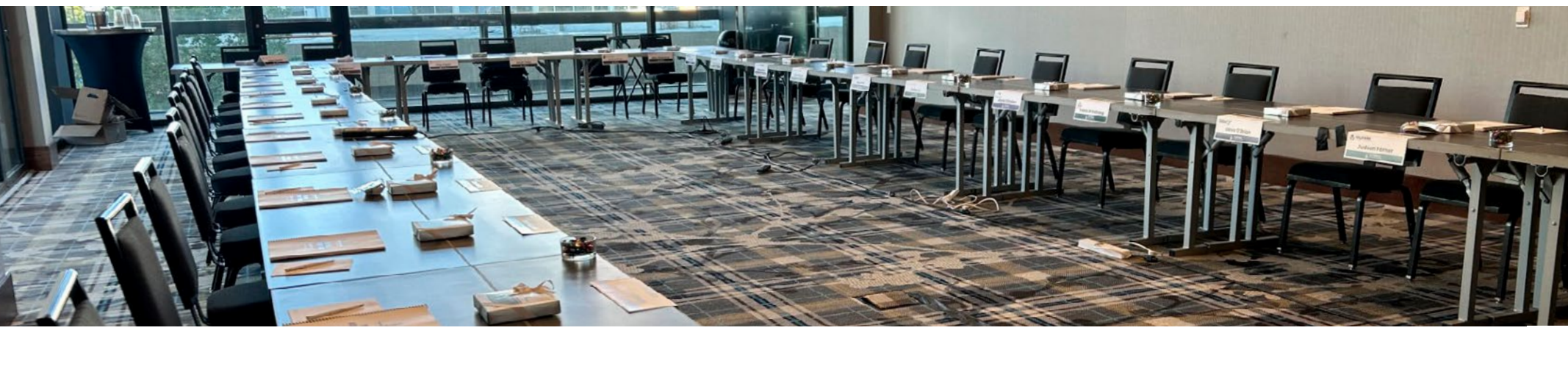
- In 2025, you have a significant budget to invest in your firm. You have decided to focus on differentiating yourselves and becoming a disruptor. Where and how would you invest?
- To run your firm effectively, what measurements/KPIs does your dashboard include for management, operations, growth, other? 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?
- What does the Ideal Marketing Engine and Flow Look Like?
- Elevate the Transition Experience for the Advisor
- What are the Top Six Unmet Requests for your Clearing/Custody Firm to Grow your Business?
- How can Healthcare fit into an an Advisor Practice?

212

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?
- How do you Work with Advisors to Develop Marketing Strategies?
- Recruiting Cycles can Stretch 12 - 24 Months, How are Firms Measuring the ROI of Attracting New Advisors?
- How does your Firm Approach the Build, Buy, and Partner Paradigm?
- 4. What Opportunity not AI, has Captured your Focus for 2026?



Wealth Firms

Addison Avenue
Investment Services
A Division of First Tech

Allstate

Ameriprise
Financial

APOLLON

ARETE
WEALTH

BANKERSLIFE™

Brookwood

CAMBRIDGE

Commonwealth

CG Financial Services

Concorde

CONCURRENT

Eagle
Strategies
LLC

Edelman
Financial Engines®

Equity Services
Incorporated®

FARMERS
INSURANCE

FIRST
COMMAND
Get Squared Away

FREEDOM
ADVISORS

FF

Geneos
HEALTH MANAGEMENT, INC.

HARBOR
INVESTMENTS, INC.
Registered Investment Advisor
A Independent member of

HIGHTOWER

HilltopSecurities
A Hilltop Holdings Company

Investment Planners, Inc.

IPI WEALTH
MANAGEMENT™

Keel Point

KOVACK
FINANCIAL NETWORK

LINCOLN
INVESTMENT

LION STREET
FINANCIAL

LPL Financial

MERCER
ADVISORS

MODERA

NewEdge
ADVISORS

MassMutual

National Life
Group®

NEWBRIDGE
SECURITIES CORPORATION

NFSG

osaic

OXFORD
FINANCIAL GROUP, LTD.

PlanMember®

PRIVATE
CLIENT
SERVICES.

PROSPERA
FINANCIAL SERVICES

RAYMOND JAMES

REALTA
WEALTH

SFA

Signature Wealth

SOVELL
MANAGEMENT

STRATEGIC WEALTH
DESIGNERS

TRANSAMERICA
FINANCIAL ADVISORS, INC.

UNITED PLANNER
FINANCIAL SERVICES

VALMARK
FINANCIAL GROUP®

Partners Firms

Advisor360°

Advyzon

COMPLIANCEEDGE

Docupace

ENVESTNET

Feathery

Fidelity
INVESTMENTS

FormsLogic™

FOUNDATIONSOURCE

InvestiFi

Goldman Sachs
Advisor
Solutions

INCOME CONDUCTOR

Jump

ORION

QUIK!

PROPEREXPRESSION

RBC

Clearing &
Custody

RegEd

RightBRIDGE®
by CapitalROCK

SMARtX
Advisory Solutions

SNAPPY
KRAKEN

SurgeONE.ai
Smarter. Secure. Compliant

SYCAMORE

TradePMR

TaxStatus

YCHARTS

zocks



TOP NINE SUMMARIES

Compliance:

Working from new policies, AI uses and approval requirements, Cybersecurity processes and protocols, Roles of teams in approving home products, New Year, New Administration, and New Regulations, how and what do you prioritize, 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 buzz.

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.

Marketing & Recruiting:

Marketing and recruiting efforts struggle without reliable data, Advisors who provide high-quality data during transitions can offer more efficient and smoother asset transfers Wealth firms are cobbling together a plethora of companies to support their marketing demands. Wealth firms have many strategies to drive organic growth. Change management presents significant obstacles to tool adoption. The dynamic of digital outreach and personal interaction is blurry.

The marketing flywheel needs to deliver personalized / tailored content that aligns with an investor client, prospect, or recruit's stage in life or hot buttons. A differentiator for advisors is building a personalized approach to wealth planning for investors.

The Roundtable:

Artificial Intelligence is rapidly transforming every aspect of wealth management, Wealth firms now offer more comprehensive and sophisticated support to their advisors. Note-taking applications are optimizing advisors' workflows, Wealth firms are facing a surge of artificial intelligence demands. Organic growth has stagnated, with most expansion being driven by M&A. Clients' expectations of their advisors are evolving—many view their advisor as a financial and/or life coach. Clearing and custody firms serve as the foundation for wealth management organizations. Advisors prefer not to serve as managers of technology stacks. Wealth Firms must balance growing revenue and cutting expenses.



Implementation Ongoing Evaluation

AI Governance

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