Audit-ready with Advisor Engine CRM

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Advisor Engine CRM is a customer relationship management company NOT a compliance consultant.

Accordingly, no portion of this presentation should be construed by any consumer and/or prospective client as Advisor Engine’s solicitation to effect or attempt to advise on compliance related matters. You should consult with your compliance counsel/consultant to address any compliance related concerns relating to Advisor Engine's services prior to engaging Advisor Engine.

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Today's Topics:

- Getting Started
- Putting Data into AE CRM
- Getting Data out of AE CRM
- Creating Culture of Compliance
- Maintaining Data
- Next Steps

First Step:

Determine What Data You Will Need

- ✓ Compliance Consultant
- ✓ Compliance Counsel
- ✓ Office That Will Audit You
- ✓ Recently Audited Firms

First Step:

Identify Important Fields

- ✓ Where to record data
- ✓ What are the important fields to always fill out

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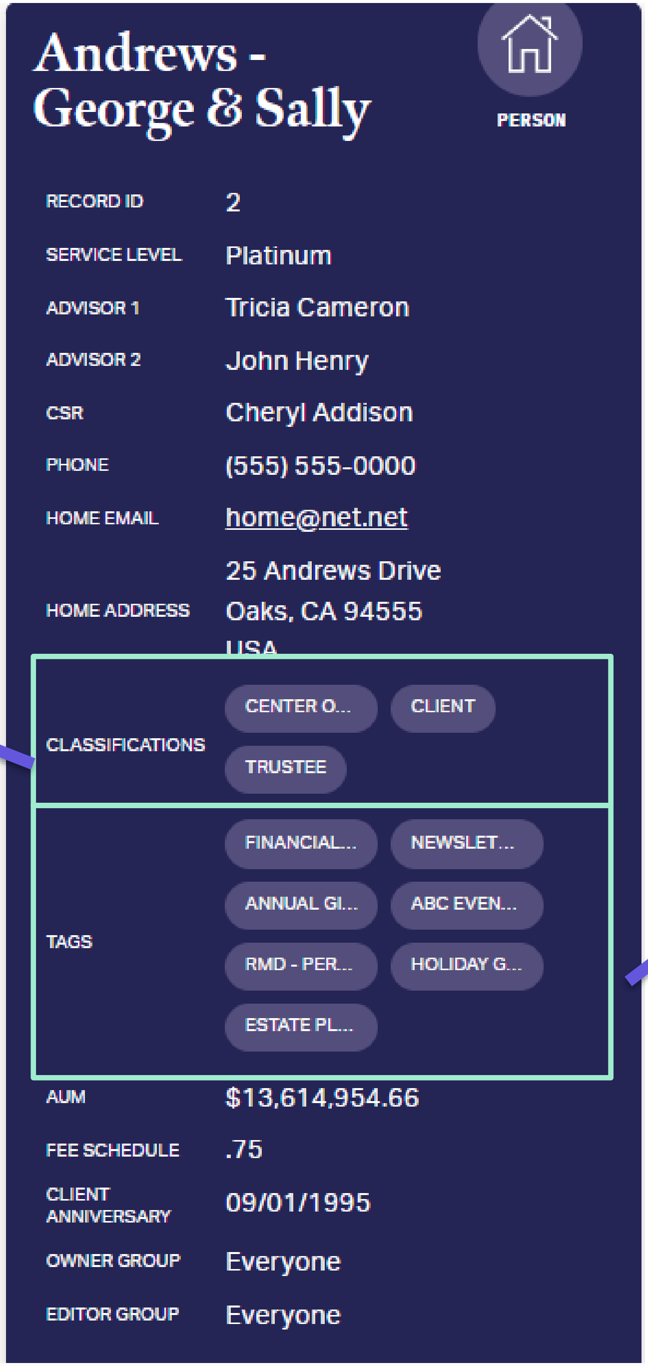
Classification Examples:

- Client
- Employee
- Ex-Client
- Ex-Employee



Record Tag Examples:

- Advisor to the Firm
- Commission
- Related Accounts
- SEC Audit (Year)
- Wrap Fee Program

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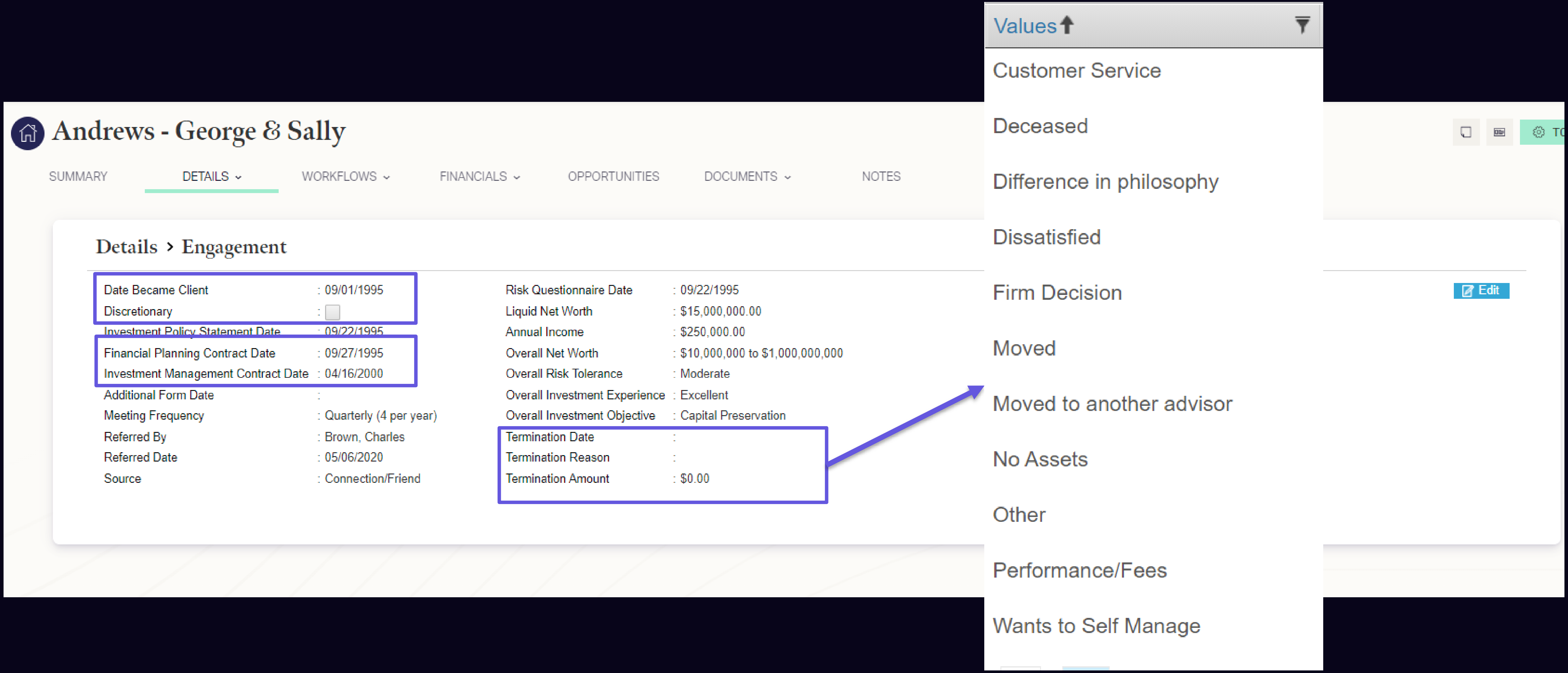

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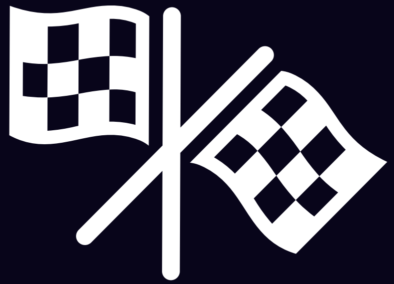
Important Fields – Finish the Setup!!



- ✓ Identify the Fields
- ✓ Populate the Information
- ✓ Create Searches
- ✓ Check the Data
- ✓ Create or Access Your Reports

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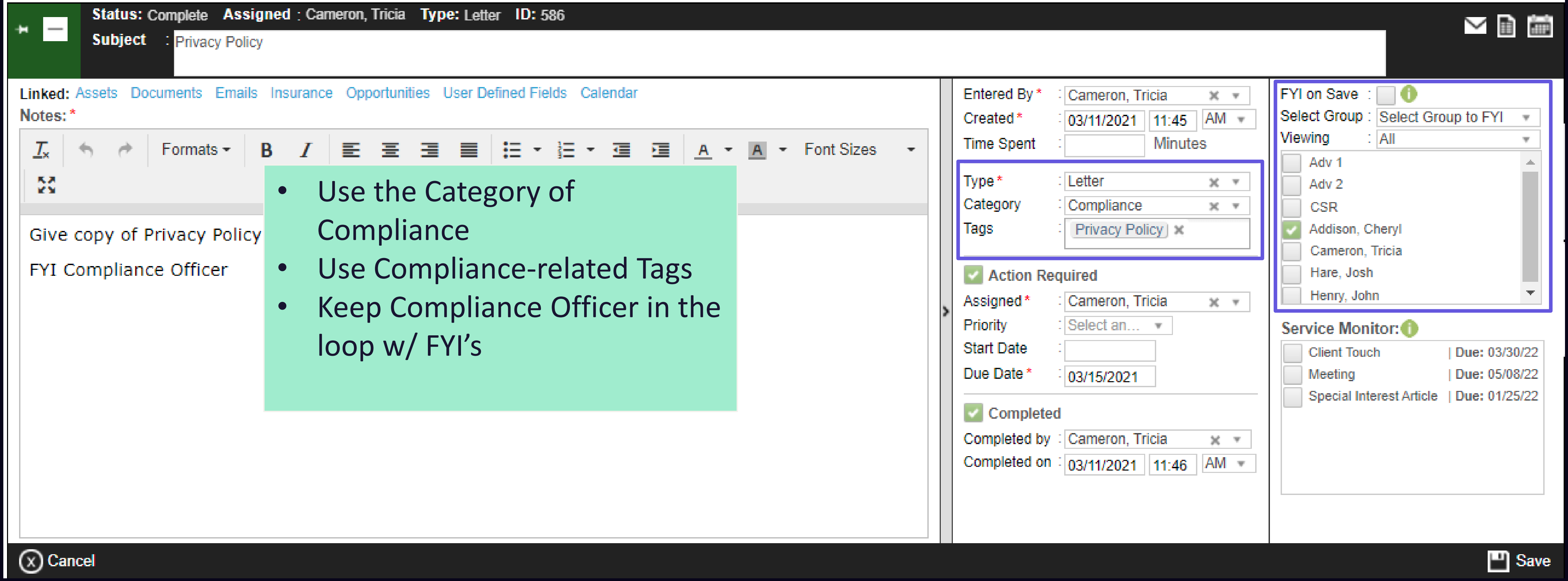

- Use the Category of Compliance
- Use Compliance-related Tags
- Keep Compliance Officer in the loop w/ FYI's

First Step:

Compliance Action Tag Examples

- Trade Error
- Compliant
- Private Policy
- ADV
- Data Checks
- Disaster Recovery
- Reg BI

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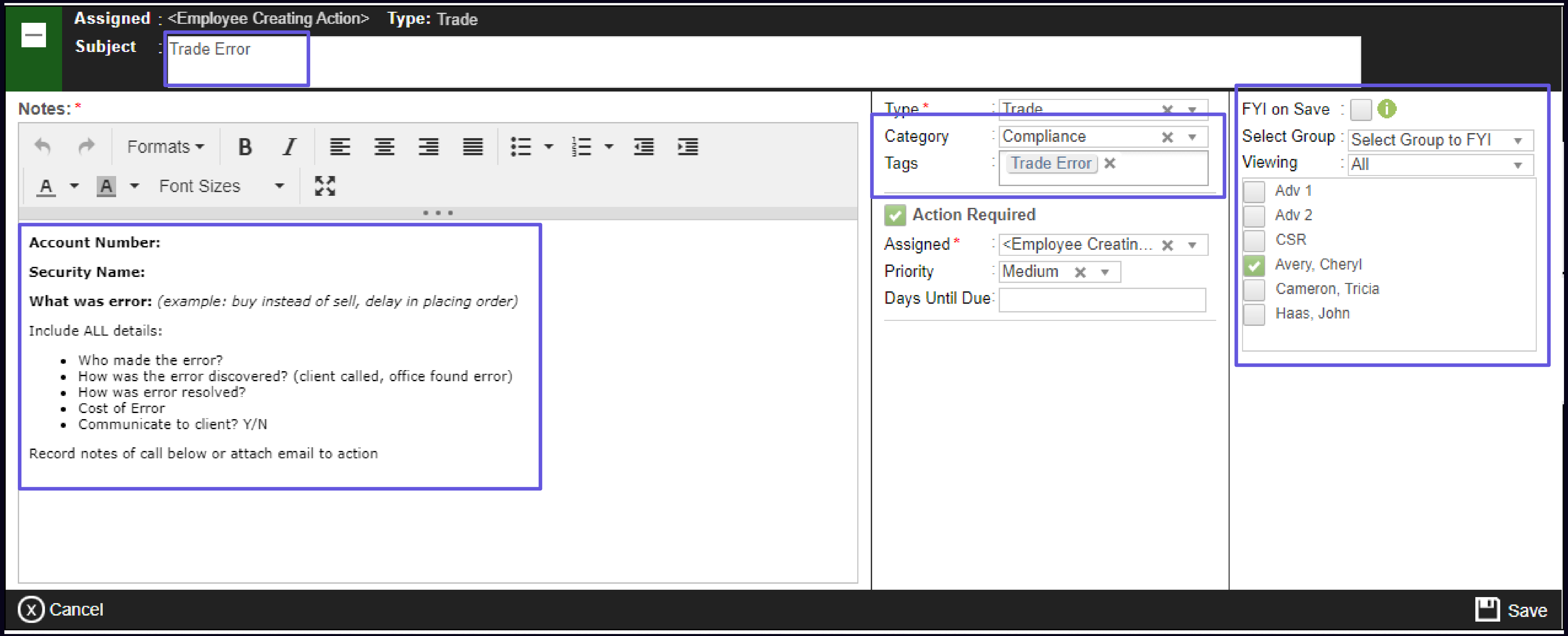

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On Firm or Compliance Record, Use Recurring Actions

Cameron Wealth Management

TOOLS

SUMMARY | DETAILS | WORKFLOWS | FINANCIALS | OPPORTUNITIES | DOCUMENTS | NOTES | EMAILS | INTEGRATIONS

Workflows › Recurring Action Definition

+ Add New Recurring Action

DRAG A COLUMN HEADER AND DROP IT HERE TO GROUP BY THAT COLUMN

Commands	Type	Subject	Assigned To	Start Date	Next Occurrence	Schedule
	Note	Event Planning - Spring Wine Tasting	Addison, Cheryl	5/21/2021	2/1/2023	1st day of February ever...
	Note	Annual Employee Compliance Requirements	Compliance	2/11/2022	12/25/2022	1st day of January every...
	Note	Annual Private Policy Mailing	CSR	2/11/2022	12/25/2022	1st day of January every...
	Note	Data Clean Up Check	Cameron, Tricia	8/24/2020	7/27/2022	First weekday every 6 m...
	Note	Annual Portfolio Holdings Report	Henry, John	2/11/2022	6/24/2022	1st day of July every year
	Note	Event Planning - College Planning Seminar	Addison, Cheryl	5/21/2021	6/1/2022	1st day of June every year

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Assets/Liabilities

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Andrews - George & Sally

SUMMARY | DETAILS | WORKFLOWS | FINANCIALS | OPPORTUNITIES | DOCUMENTS | NOTES | EMAILS | INTEGRATIONS

Financials › Asset/Liability

Assets

DRAG A COLUMN HEADER AND DROP IT HERE TO GROUP BY THAT COLUMN

A Account Number	Asset Name	Asset Type	A Custodian	Asset Note	Asset Value	Ownership Value Amt
906537500	Andrews Joint Account	Financial Account	TD		$12,764,954.66	$12,764,954.66
	Andrews Tools	Business			$3,200,000.00	$3,200,000.00
20452989	Andrews - George Traditional IRA	Financial Account	Charles Schwab		$850,000.00	$850,000.00
	Primary Residence	Real Estate			$500,000.00	$500,000.00
	Vehicle	Personal Property		George and Sally Primary Car	$14,100.00	$14,100.00
	Non Qualified ESO	Stock Option			$0.00	$0.00
						$17,329,054.66

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Displaying items 1 - 6 of 6 10

Assets/Liabilities

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Andrews - George & Sally

SUMMARY | DETAILS | WORKFLOWS | FINANCIALS | OPPORTUNITIES | DOCUMENTS | NOTES | EMAILS | INTEGRATIONS

« Return to Grid

Edit

Asset Name* Andrews Joint Account

Value $12,764,954.66

Ownership Value 100.00%

Liabilities $0.00

Owners

: Andrews - George & Sally

100.00% / $12,764,954.66

Purchase Date

Purchase Price

$0.00

Note

Financial Account Information

Asset Value

(Value is updated by Asset import, or by user manual entry)

$12,764,954.66

Last Updated

10/28/2013

Cash In Account

(Entry Overrides Cash in Account Imported Value)

$50,000.00

Cash Target

$42,000.00

Financial Account Type

Joint Brokerage Account

Balance Sheet Category

Invested Assets

Balance Sheet Owner

Joint

Account Status

Open

Asset Note

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Assets/Liabilities

Account Information

Custodian TD	Account Number 906537500	Group	Date Account Opened
Last Rebalance 9/9/2013	Rebalance Frequency Q		
Master Account	Bill to Account		
Fees Schedule 1.00%	Investment Model 60/40% Equity/Fixed	Objective Income	[x] Include In Estate [ ] Subject To Probate

Account Options

[x] Managed Account	[ ] Courtesy Account	[ ] Margin Account	[ ] Statement Housing
[x] Discretionary Asset	[x] Billed Account	[ ] Qualified	[x] E-Statements
[ ] Commission	[ ] Manual Bill	[x] Reinvest	[x] Voting Proxy
[ ] Check Writing	[ ] Link To Checking		

Example Data that AE CRM can Produce:

- Client Lists with Details
- Terminated Client Information
- Taxes & Suitability
- Correspondence History

Client List with Details

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Filter(s) Applied: Discretionary Equal To true

0 items selected Select All Select Page Select None # A B C D E F G H I J K L M N O P Q R S T U V W X Y Z - ALL Advanced Search

DRAG A COLUMN HEADER AND DROP IT HERE TO GROUP BY THAT COLUMN

Record Name	Discretionary	Annual Income	Liquid Net Worth	Overall Net Worth	AUM	Advisor 1
Austin - Geoff and Sarah	✓	$310,000.00	$2,785,745.00	$3,000,001 to $5,000,000	$0.00	John Henry
Benson - Olivia	✓	$80,000.00	$125,000.00	$250,000 to $500,000	$0.00	Tricia Cameron
Brown - Charles	✓	$110,000.00	$500,000.00	$500,000 to $1,000,000	$200,069.00	Tricia Cameron
Hayes - Jason	✓	$75,000.00	$200,000.00	$250,000 to $500,000	$0.00	Tricia Cameron
Landry - Francis and Cicely	✓	$110,000.00	$850,000.00	$500,000 to $1,000,000	$0.00	Tricia Cameron
Malone - Aiden and Wallis	✓	$495,000.00	$1,500,000.00	$2,000,001 to $3,000,000	$550,000.00	Tricia Cameron
Monroe - Janet	✓	$23,000.00	$1,500,000.00	$2,000,001 to $3,000,000	$0.00	John Henry
Robinson - Mark and Hazel	✓	$278,000.00	$990,000.00	$2,000,001 to $3,000,000	$0.00	Tricia Cameron
Tudor - Trinity	✓	$1,000,000.00	$6,500,000.00	$1,000,000,000 and up	$8,000,000.00	Tricia Cameron
Van Pelt - Schroeder	✓	$200,000.00	$750,000.00	$1,000,001 to $1,500,000	$0.00	Tricia Cameron
Wolenska - Stanley and Mavis	✓	$30,000.00	$1,500,000.00	$1,500,001 to $2,000,000	$0.00	Tricia Cameron

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Maintain the Data – Data Checks

Filter(s) Applied: Address Dear Record Is Blank

0 items selected Select All Select Page Select None # A B C D E F G H I J K L M N O P Q R S T U V W X Y Z - ALL

Quick Search

DRAG A COLUMN HEADER AND DROP IT HERE TO GROUP BY THAT COLUMN

Address...	Record Name	Phone Primary Record	Address Dear Record	Email Record	Advisor 1	First Name Person 1
	Andrews Family Trust	(555) 555-5555			Tricia Cameron	Andrews
	Grimes - Rick	(555) 234-6039		Sheriff@net.net	John Henry	Rick
	Polanco - Dascha	315-212-6168		dp4532@oitnb.com	Tricia Cameron	Dascha
	Prepon - Laura	315-212-6175			Tricia Cameron	Laura
	Price - Brian	315-212-6147			John Henry	Brian
	Sagal - Katey	315-212-6231		clss@net.com	Tricia Cameron	Catherine
	Summers - Buffy	(213) 555-6699		Slayer@gmailing.com	Tricia Cameron	Buffy
	Talboti - David	(415) 388-5524		davet@home.com	John Henry	David
	Teller - Jackson	(530) 221-2169		jteller@samcro.com	Tricia Cameron	Jackson N
	Winchester - Dean	(316) 555-1212		ilovepie1@menofletters.com	Tricia Cameron	Dean
	Zimmerman - Lakota	315-212-6333		Lzim70@hotmailing.com	John Henry	Lakota
	Zutaut - Thomas	315-212-6149		tommyz@motleycrue.com	Tricia Cameron	Thomas

Missing Data

2022 RMD P2
Over 50
Quick Search
Advanced Search

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Terminated Client Information

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		Record Name	Date Became Client	Termination Date	Termination Reason	Termination Amount
+		Barnes - Richard		10/13/2020	Moved to another advisor	$50,000.00

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Taxes & Suitability

Record Name	Overall Investment Objec...	Overall Investment Experie...	Annual Income	Net Worth	Overall Risk Tolerance	Date Became Client
Andrews - George & Sally	Capital Preservation	Excellent	$250,000.00	$17,329,054.66	Moderate	9/1/1995
Atherton - Clark and Elise	Growth	Limited	$125,000.00	$0.00	Moderate	10/2/2020
Austin - Geoff and Sarah	Capital Preservation	Excellent	$310,000.00	$0.00	High	2/11/1982
Bennett/Edgerley - Clayton and Ophelia	Growth	Excellent	$390,000.00	$732,000.00	Moderate	10/1/2020
Benson - Olivia	Growth	Good	$80,000.00	$0.00	Moderate	10/24/2019
Brown - Charles	Income	Extensive	$110,000.00	$200,069.00	Moderate	6/17/2019
Carmichael - Abbott and Ophelia	Growth	Good	$250,000.00	$0.00	Moderate	9/24/2020
Hayes - Jason	Growth	Limited	$75,000.00	$0.00	High	3/31/2020
Isaac/Fields - Noya and Dylan	Growth	Limited	$95,000.00	$0.00	Moderate	10/2/2020
Landry - Francis and Cicely	Growth	Good	$110,000.00	$0.00	High	6/1/2001
Lawyer - Reginald	Growth	Extensive	$125,000.00	$0.00	High	9/4/2002
Linker - Larry	Growth	Extensive	$350,000.00	$2,906,582.00	Moderate	8/27/2008
Malone - Aiden and Wallis	Capital Preservation	Good	$495,000.00	$1,550,000.00	Moderate	9/24/2020
Monroe - Janet	Capital Preservation	Excellent	$23,000.00	$0.00	Low	5/24/2010
Pennington - Chase and Lyra	Growth	Extensive	$495,000.00	$1,550,000.00	Moderate	9/25/2020
Robinson - Mark and Hazel	Income	Extensive	$278,000.00	$0.00	Moderate	7/30/2010
Tudor - Trinity	Capital Preservation	Limited	$1,000,000.00	$8,000,000.00	Low	9/24/2015
Van Pelt - Schroeder	Capital Preservation	Extensive	$200,000.00	$0.00	Moderate	6/20/2019
Voight - Henry	Growth	Good	$95,000.00	$0.00	High	9/18/2020
Wise - Emerson and Lily	Growth	Extensive	$85,000.00	$0.00	Moderate	4/7/2021
Wolenska - Stanley and Mavis	Capital Preservation	Extensive	$30,000.00	$0.00	Low	3/10/1995

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Correspondence History*

DRAG A COLUMN HEADER AND DROP IT HERE TO GROUP BY THAT COLUMN

HistID	Date	Document Name	Employee
50	1/21/2022	Email - 1-21-2022	Cameron, Tricia
49	9/29/2021	Email - 9-29-2021	Cameron, Tricia
48	9/13/2021	Test	Cameron, Tricia
47	8/16/2021	Email - 8-16-2021	Cameron, Tricia
46	7/23/2021	Email - 7-23-2021	Cameron, Tricia
45	7/23/2021	Email - 7-23-2021	Cameron, Tricia
44	7/9/2021	Email - 7-9-2021	Cameron, Tricia
43	7/9/2021	Email - 7-9-2021	Cameron, Tricia
42	6/24/2021	Email - 6-24-2021	Cameron, Tricia
41	6/17/2021	Email - 6-17-2021	Cameron, Tricia
40	5/26/2021	Email - 5-26-2021	Cameron, Tricia
39	5/20/2021	Email - 5-20-2021	Cameron, Tricia
38	4/29/2021	Email - 4-29-2021	Cameron, Tricia
37	4/20/2021	Test	Cameron, Tricia
36	4/12/2021	Email - 4-12-2021	Cameron, Tricia
35	3/25/2021	Email - 3-25-2021	Cameron, Tricia
34	3/22/2021	Test For 306386	Cameron, Tricia
33	3/18/2021	Email - 3-18-2021	Cameron, Tricia
32	3/16/2021	SP5A Test	Cameron, Tricia
31	2/25/2021	Email - 2-25-2021	Cameron, Tricia

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**Junxure Email Handling Will Not Fulfill Your Compliance Mandates*

First Step:

Getting Data Out of Your CRM

Data AE CRM Can't Produce:

- Certain Data Supplied by Others
  - Accounting Information
  - Performance Data
  - Historical Account/Asset Detail

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Have Your Searches Ready!

Advanced Search

Select Existing Search or **+ Create New Search**

Filter(s) Applied: Category Contains 'Comp'

DRAG A COLUMN HEADER AND DROP IT HERE TO GROUP BY THAT COLUMN

Name	Category	Search Type	Date Created	Last Run	Created By
Trade Errors	Compliance	Actions	3/16/2021	3/16/2021	Cameron, Tricia
Non-Discretionary Clients	Compliance	Record	3/16/2021	3/16/2021	Cameron, Tricia
Ex- Clients	Compliance	Record	3/16/2021	3/16/2021	Cameron, Tricia
Employee Records	Compliance	Record	3/16/2021	3/16/2021	Cameron, Tricia
Discretionary Clients	Compliance	Record	3/16/2021	3/16/2021	Cameron, Tricia
Discretionary Assets	Compliance	AssetsLiabilities	3/16/2021	3/16/2021	Cameron, Tricia
All Vendors	Compliance	Record	3/16/2021	3/16/2021	Cameron, Tricia
Compliance Related Actions	Compliance	Actions	3/15/2021	3/15/2021	Cameron, Tricia
Terminated Clients	Compliance	Record	4/12/2017	4/12/2017	,

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Edit Search | Apply

Cancel

First Step:

Have Your Searches Ready

Is there anything else?

Additional Search Ideas:

- New Clients Between Dates
- Ex-Employees
- Employee-related Accounts
- Commission Clients
- Clients – State of Residency
- Client List: Excluding Wrap Fee

If you created a search, you should also create a report for the data you want to pull out of the system

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Next Steps:

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- ❑ Set up a Task Force
- ❑ Review Your Compliance Needs with Your Counsel
- ❑ Decide Important Fields or Custom Fields Needed
- ❑ Add “Classifiers” (classifications, tags, etc)
- ❑ Create Searches & Reports
- ❑ Determine Data Entry Protocols
- ❑ Train Staff & Implement Protocols
- ❑ Do Regular Data Checks

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>drive
AUSTIN 2022

May 9 - 11

https://events.advisorengine.com

Thank You for watching

Questions can be addressed to

crmtraining@advisorengine.com

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