

Transitions are complex, so we create the right plan for your business and execute it flawlessly.

We are the industry-leading provider of Outsourced Consulting COO and Transition Services.

- **RIA Edge** — Transition services
- **RIA Next** — Outsourced COO
- **RIA Trajectory** — M&A (adding advisors, mergers of multiple firms)
- **RIA Succession** — Succession planning, evaluation and buyout options

Becca Knauss, President and CEO of The RIA Works, has transitioned hundreds of advisors to independence for more than ten years. From business planning to transition services, operations, marketing, vendor selection and administration, we offer a wide range of consulting services for RIAs. We partner with our clients to develop engaging business strategies, design high quality and scalable solutions, and build and grow thriving RIA firms.



Services for New and Established Advisors

TRANSITION SERVICES

Full scope and comprehensive migration of business and assets.

- Business model consulting and assessment: review business goals, service model and other key decisions affecting the registration and operational model
- Project management: create and maintain a secure, online project plan and timeline to aid in the tracking of deliverables
- Vendor selection: provide insight on necessary vendors including IT, marketing, compliance, accounting, custodian, broker-dealer, legal, CRM, performance reporting, firm insurance, health care
- Asset mapping custodian accounts, brokerage, direct business, loans
- On-site support: on site 1-2 days pre-transition break and 3-4 post transition depending on scope and need of project. RIA Works will return to location based on paperwork return rate and workload
- Post-transition training plan: training plan for the Advisor and key personnel on new platforms, operational workflow and best practices for the Advisor

COO SERVICES

Conduct an annual review of the Advisor's organizational operations and infrastructure and recommend either enhancements to the existing structure/workflow or replacement.

- Operations audit: review all areas of the business
- Roles and responsibilities: overall responsibility for business operations — vendor relations, service contracts, insurance contracts
- New business: create new client onboarding process, create workflow for new client servicing model, develop new client business plan, marketing campaign
- Investment operations: complete projects to improve efficiencies related to money movement, portfolio implementation, workflows
- Technology/systems: work with technology team to review full implementation of technology resources, monitor execution of projects/initiatives with technology team, technology training
- Client segmentation: competitiveness assessment, aging clientele and succession planning for specific accounts



Ready to Step Up?

Learn more about how The RIA Works can help your firm optimize its business operations by contacting Becca Knauss at **646.315.3418** or at becca@theriaworks.com.

www.theriaworks.com