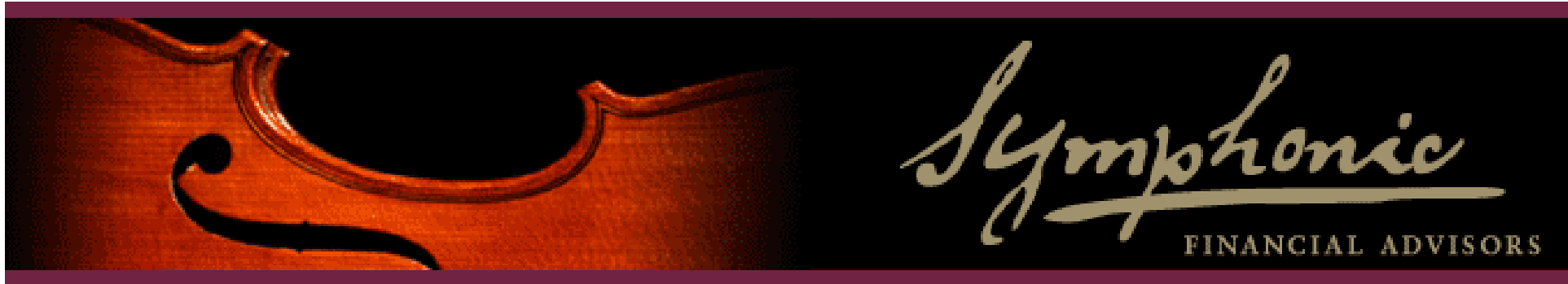


# **Orchestrating Your Success**

## *A Plan For Your Investment Practice*



Shelly Hall-Peterson, AIF®

*Director, New Business Development*

*“Thank you for visiting our site. I invite you to take a look at this information at your convenience – but also extend an invitation to have a personal and confidential conversation to learn about your specific needs and goals. Looking forward to hearing from you!”*



*Shelly*

# Facing Reality: Must Create The Right Business Model



Transition to a business model that produces reliable, sustainable, recurring and profitable sources of income

It is more profitable to simplify your business model in order to focus time on relationship management and gathering assets

It is more profitable to attract, win and retain an increasing number of affluent, high-quality clients

# Facing Reality: Must Create The Right Business Model

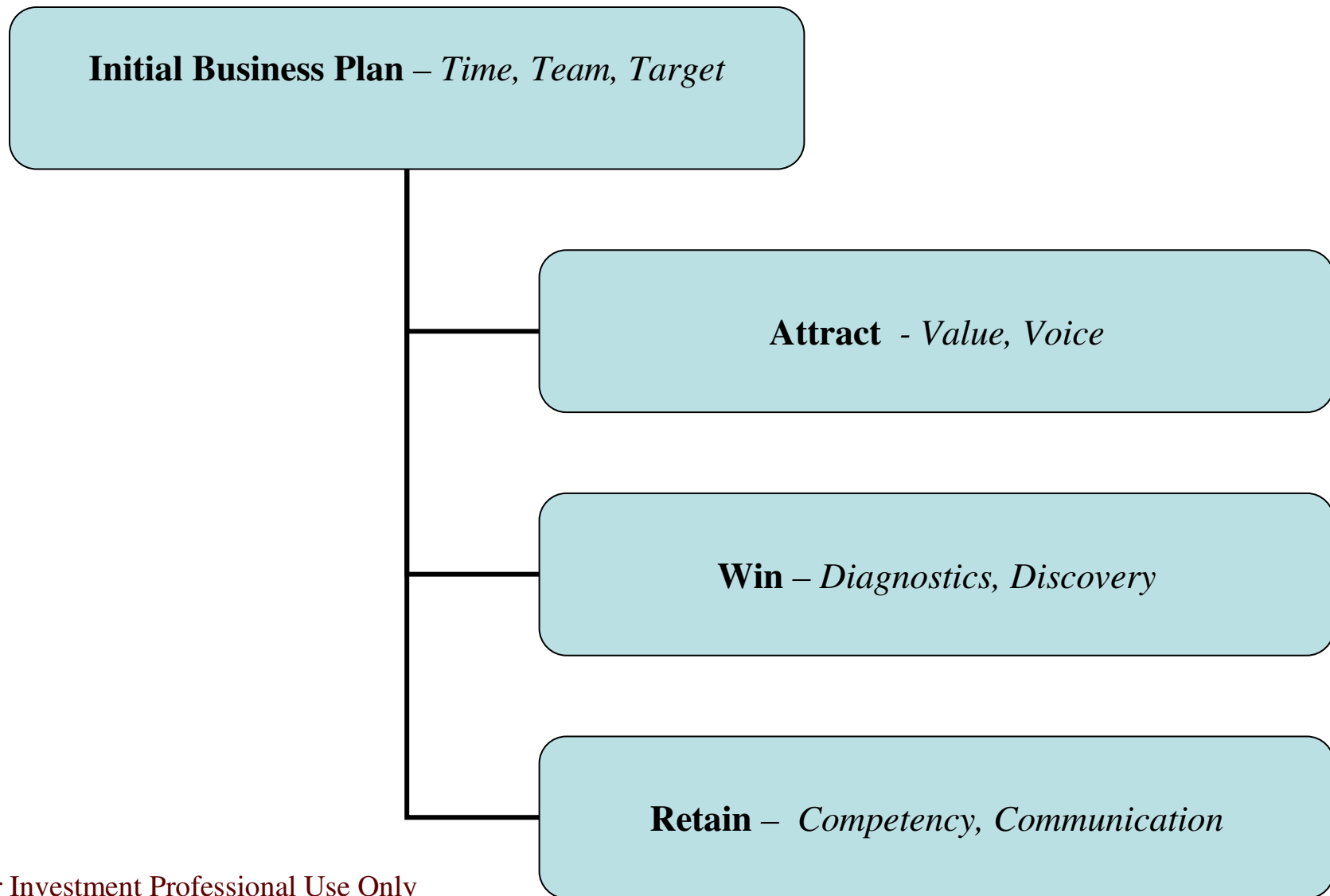


To *attract* affluent, high-quality clients, I must have the education, skill and support to communicate relevancy, build credibility, and bring clarity to prospects and centers of influence

To *win* affluent, high-quality clients, I must offer conflict-free advice, and provide intelligent, personalized and customized diagnostics and solutions for complex situations and issues

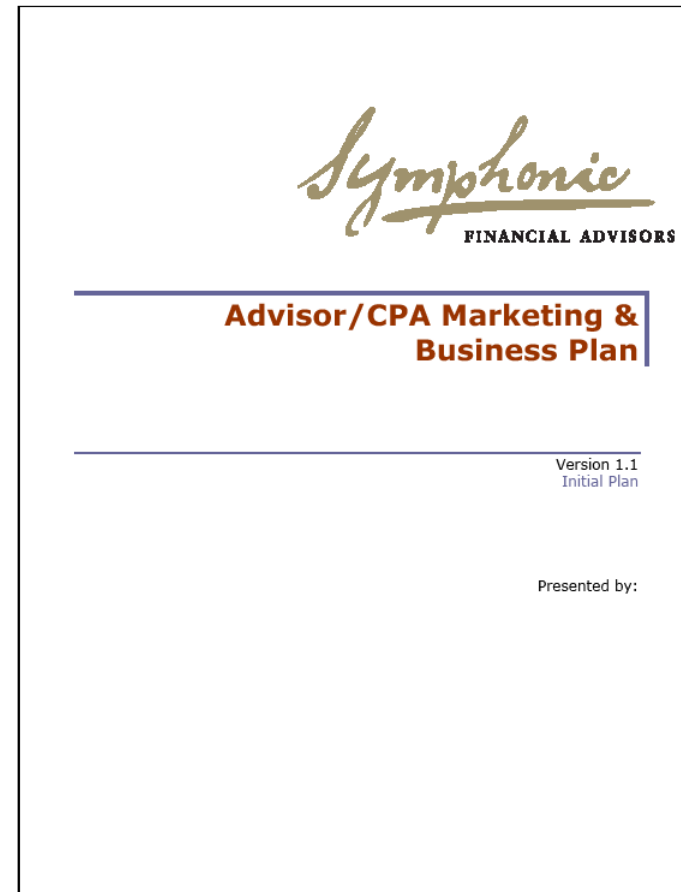
To *retain* affluent, high-quality clients, I must have the investment intelligence and capabilities to reduce a client's potential anxiety that occurs due to increased volatility created by financial engineering of sophisticated products, short-term investment horizons and interconnected global markets

# Symphonic and You – Partnering for Success



# Business Plan Coaching

- *Time*
  - Prospecting, Serving, Building
- *Team*
  - Business Development, Senior Investment Consultants, Research Analysts, Portfolio Managers
- *Target*
  - Identify and Profile your ideal client



# Attract

- Investors are looking for a financial professional who demonstrates their competence in the use of current, relevant economic data
- Investors are attracted to professionalism, trustworthiness, and investment intelligence
- Symphonic and our professional partners provide the relevant data, investment competency and business development
- *Value* – you are the trusted advisor with access to a full team of investment strategists on your org chart
- *Voice* – you have a relevant and important story that investors are looking for in today's environment

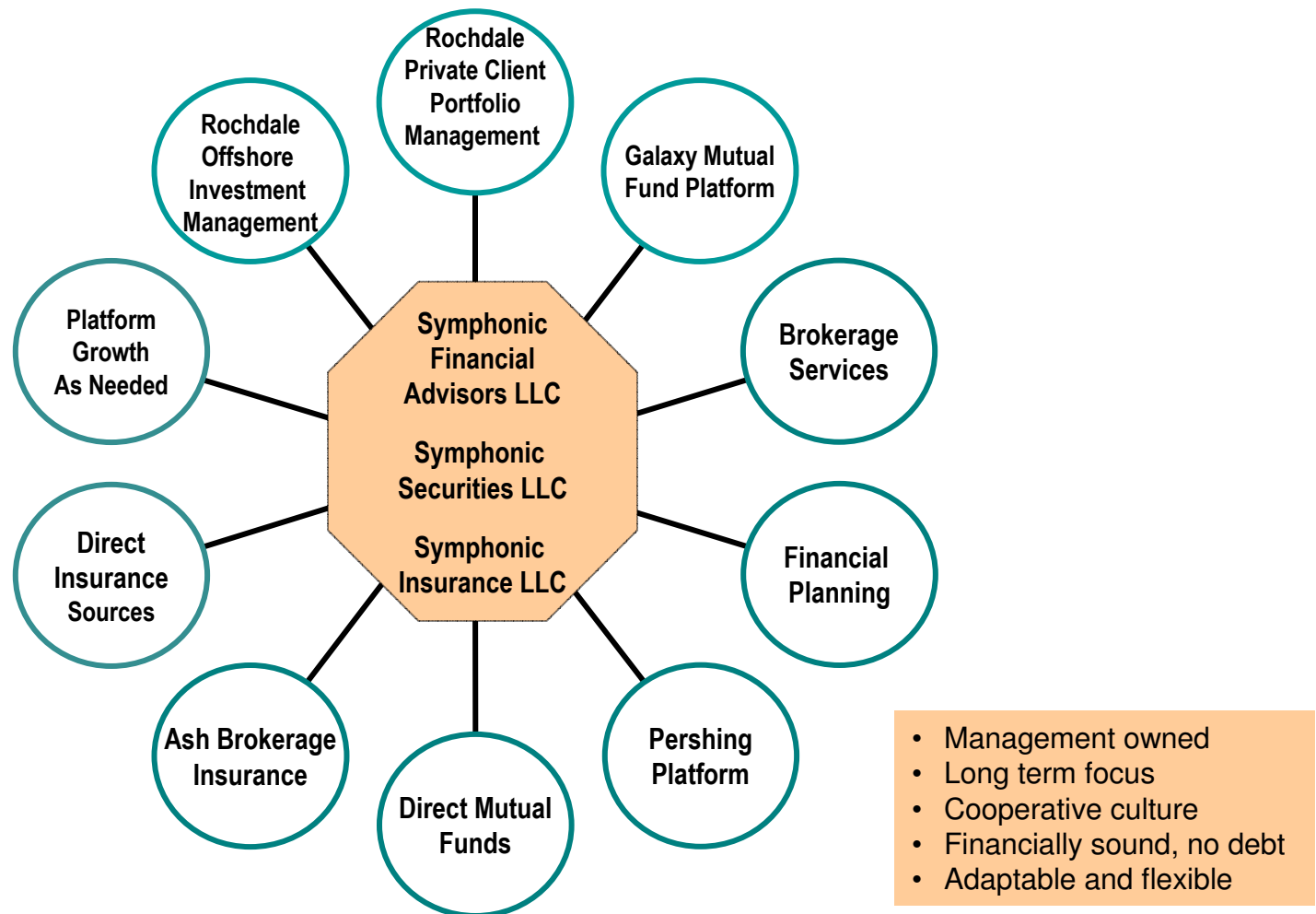
# Win

- ***Diagnostics*** – The level of comprehensive diagnostics of an investor's entire portfolio leads to a sense of awareness that they need to work with a trusted advisor who makes investment decisions based in current reality.
- ***Discovery*** – The process of diagnostics reveals what they own, why they own it, and should they continue to own it. Prospects become clients when the information they are provided is timely, relevant and important to *them*.

# Retain

- Monthly Economic Commentaries to keep the client informed on current realities in the market
- Customized presentations for use with your current clients and/or prospects
- Investment strategies that reflect current economic and market environments
- Close attention to each client's risk budget
- All efforts to bring *competency* in all *communication* with clients and prospects

# Depth, Breadth and Expertise





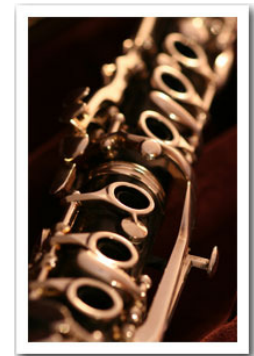
## Who is Symphonic?

- Business model for Advisors & CPAs that recognize the need for ‘premium ingredients’ in order to attract, win and retain clients
- Provides investment management to clients utilizing sophisticated strategies previously only available to the wealthiest investors
- Founded by industry leaders focused on best practices and comprised of highly qualified and experienced professionals with CPA, CFP<sup>®</sup>, CFA, and AIF<sup>®</sup> designations
- Provides comprehensive wealth preservation and portfolio management services
- Privately held affiliate of Rochdale Investment Management

# What Makes Symphonic a Good Fit?

- Philosophical alignment with successful investment professionals
- Client-centered
- Fiduciary obligations embraced
- Personal mentoring and support
- A prudent investment process
- Advice with honesty and integrity
- Extensive analytical proposal work
- Excellent response time

*Result: comfort, continuity, and consistency for clients*



# Benefits of Symphonic

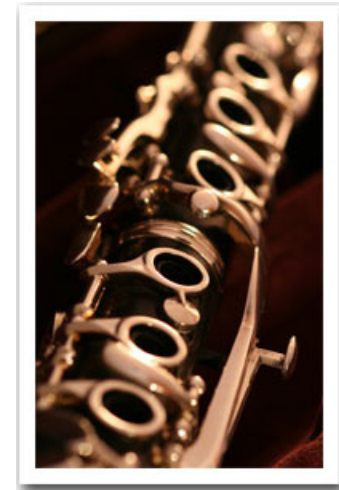
- Timely economic and investment information and data to assist your team in making decisions for your clients
- Receive direct in-field sales and marketing support for client meetings and seminars
- Develop investment knowledge via education and training on fiduciary standards and industry best practices
- Provide consistent, long-term investment performance through disciplined adherence to asset allocation
- Outsource substantial aspect of service and administration, as desired
- Have access to some of the best resources for investment management, risk management, wealth coordination and financial planning

# Symphonic Enables You To Build the Ultimate Financial Services Practice

- Grow your business with minimal cost and time commitment
- Maintain control of the client relationship
- Provide independent and unique investment advice, tailored to each client
- Focus on delivering investment services that add the most value
- Grow fees and establish recurring income
- Take purposeful actions in your decision-making process that are timely, relevant and important
- Create a marketable stream of income for exit strategy and succession planning

# A Relevant Client Experience

- Conflict-free investment advice
- Investment intelligence and experience
- High value proposition: high quality investment counsel at a fair price
- Practical solutions given risk and return objectives
- Portfolio coordination across accounts
  - With existing assets
  - Of taxes, estate, and financial planning



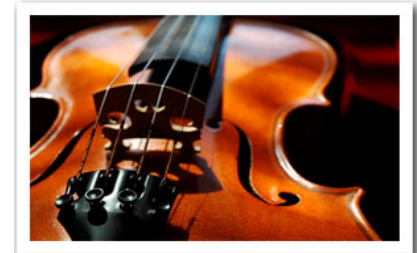
# [www.symphonicfinancial.com](http://www.symphonicfinancial.com)

- Summary of accounts by advisor or client
- Quarterly client statements and current portfolio appraisals
- Unrealized/realized gains and losses
- Company research reports and market updates
- Fillable, printable forms and applications
- Galaxy Lite™ fee only fund allocation platform - proposal generation and account implementation
- Links to professional partners
- Business Development and practice materials
- Marketing materials and presentations



# Platform Summary

- Pershing, Custodian
- On-line access to client forms
- On-line access to client accounts through Pershing's NetEx 360
- On-line access to client accounts through Symphonic's proprietary program, Galaxy Lite™
- Access to insurance strategies and products through Ash Brokerage (insurance wholesale firm) or direct to multiple insurance carriers
- Financial planning support – discounts on Financial Guidance software, Methuselah
- Brokerage services on Pershing's platform
- Competitive payouts (range from a net of 75-90%)
- Comprehensive portfolio diagnostics available on-line
- Private Client portfolio management services through Rochdale Investment Management
- Third-party managers through Lockwood Advisors



# The Choice is Yours

- Symphonic was created for successful CPAs and Advisors
- We partner with independent-thinking investment professionals only
- We are an educational and mentoring broker dealer
- Our goal is to help you succeed
- We promote and adhere to the highest level of fiduciary standards for all clients
- *Envision* what your practice could be
- *Create* the best model
- *Implement* strategies with a team that helps you attract, win and retain clients for life!



For more information, please contact:

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