STRATEGY BASECAMP

Practice Management Services

Get Results

Strategy Basecamp is a consulting firm focused exclusively in the financial services industry. We partner with executives and managers to facilitate effective business planning and to help you competitively leverage technology for profitable growth.

STRATEGY BASECAMP SUMMARY

OUR MISSION

To help financial services firms solve their most challenging strategic business issues through critical thinking, rigorous project management, and/or the savvy use of practical technologies.

Strategy Basecamp — Prior to taking on a big challenge, it is always wise to gather your team, assess your tools, and craft a plan to successfully achieve your goal. Our firm specializes in joining your team and getting you prepared for the ascent. Many times we are there with your firm throughout the journey and can do so throughout the process or drop-in as you need us. Our experience, research, network and knowledge will add value to your endeavor. Being a part of the team is our favorite part! Use us for tasks or strategy and allow us to join the ascent.

FIRM PRINCIPALS

SCOTT SPENCER is a financial services industry executive with experience in sales, portfolio management, operations, compliance and practice management. Scott was previously a Principal in one of the top ranked producing independent advisory firms in the country, as well as, directing practice management & consulting services at a national level. Scott has served in compliance supervisory and operations roles and maintains Series 7, 24, 6, 63, 65 & 22 registrations, as well as, the Accredited Investment Fiduciary, AIF®, designation.

DODD MCGOUGH is a financial services industry executive with experience in business development, operations, sales, compliance, and technology. He has more than 24 years experience working for firms at the national level as an investment broker, regulator, consultant and senior manager. He has held Series 7, 24, 27 and 53 registrations and has been licensed in both life and health insurance.

PAUL OSTERBERG is a financial services industry executive with experience in technology, operations, and marketing. Paul was previously the Chief Operating Officer and Chief Marketing Officer of AFAM | Innealta Capital. He also worked at National Financial Partners as SVP, Operations & Systems and Director of Technology. Paul consulted to numerous financial services companies while working at Deloitte Consulting. His clients included ING, Ameriprise, Northwestern Mutual Life, Nationwide and Wells Fargo.

At **Strategy Basecamp**, we appreciate the value of teaming with experts when completing a project. We have established a close knit team of preferred experts that assist us (and our clients) in handling some specialty needs. Our virtual team includes specialists in regulatory and compliance functions for BDs and RIAs including registration services; team coaching and speakers for financial services firms; graphic design and marketing.

Call (800) 276-8423 to learn more about Strategy Basecamp.

CUSTOMIZED PRACTICE MANAGEMENT CONSULTING FOR FINANCIAL ADVISORY FIRMS

Strategy Basecamp offers Practice Management Consulting services for Financial Advisory Firms to identify, support and enhance business development strategies, increase operational efficiencies and to help drive profitable revenue growth.

AREAS OF ASSISTANCE INCLUDE:

STRATEGIC PLANNING

Assessing a firm's current state, determining desired future state, defining objectives and strategies to achieve key objectives.

FOCUS AREAS CAN INCLUDE: *development and implementation of business plans, adding business lines, firm acquisitions and/or mergers, vendor selection, business continuity and budgeting.*

ORGANIZATIONAL DEVELOPMENT

Developing people and processes to drive successful firm change and effectiveness.

FOCUS AREAS INCLUDE: *analysis of staffing structure, firm assessment and restructuring, development of job descriptions, career path development, designing bonus plan, compensation analysis and junior advisor development.*

CLIENT DEVELOPMENT

Obtaining new clients and retaining existing clients.

FOCUS AREAS INCLUDE: *design, development and implementation of client surveys, client segmentation, development of marketing and business development events and identification / implementation of client retention strategies.*

FIRM VALUATION

Addressing broad aspects of a firm's worth.

FOCUS AREAS INCLUDE: *quantitative analysis of current firm value, value enhancement strategies, value analysis of adding a partner/acquisition, exit/succession planning.*

LEVERAGING RESOURCES

Enhancing existing but underutilized firm assets.

FOCUS AREAS INCLUDE: *optimization of technology/support resources at Broker Dealers, Clearing Firms/Custodians, Technology Providers or other outsourced partners.*

Strategy Basecamp brings industry depth and experience to your firm in a way that's collaborative, supportive, actionable and measurable.

ANCILLIARY FINANCIAL ADVISORY FIRM SERVICES

IT DIAGNOSTIC

PROJECT OBJECTIVE:
Assess the quality of a firms IT offering.

Create a step by step technology plan for your firm. This typically involves:

1. Defining the current state of your technology (performing an IT Diagnostic)
2. Understanding how your current state differs from what your competitors offer, and (We should adjust to how your competitors may leverage tech.)
3. Developing a series of actions via a step by step plan that can be executed by your firm to address gaps vs. the competition and accentuate current strengths.
4. Stress what we can do for a practice – insure they have a good back up system/continuity plan, know how their current info integrates with vendors, partners, etc. How they can use tech to be more efficient.

RISK MANAGEMENT

PROJECT OBJECTIVE:
Assess current risks of the firm — business mix, product, E&O, partner, compliance and client risk.

This typically involves:

1. The firm completes a Risk Analysis Questionnaire. Additional form for Independent RIAs.
2. We analyze the results and note areas of above normal risk.
3. SB and Firm work on methods to reduce risks or contain them in a reasonable manner.

ONE LAST THING!

Business Guide service – Many firms have a strong idea of where they want to go, which services they want to provide and how they wish to interact with clients and prospects. The challenge can be staying on the path! Strategy Basecamp has rolled out its Business Guide service designed to be an outsourced method for firms to use our skills and expertise in a “Chief Operating Officer” role.

When you engage this service, we will:

❖Monitor and track all ongoing projects of the firm including participation in frequent calls on specific tasks and ongoing interaction with staff to meet projected timelines;

❖Host a quarterly staff call with firm specific topics, updates on projects, overview of performance and any other desired functions.

❖Report monthly to the primary engagement principal (usually the owner or CEO) on progress, observations and state of the firm.

Hiring Strategy Basecamp as your Business Guide is a cost effective way of having your business guided by experienced senior level personnel without incurring large salaries or benefit expense.

Pricing based on hours projected per month and length of initial engagement.

Questions on any of the services discussed?

Strategy Basecamp is flexible in working with clients by the hour, by the project or on a retained basis. Please contact Scott Spencer via email at scott@strategybasecamp.com or phone at 281.684.1188 to discuss in greater detail You can also visit our website at www.stategybasecamp.com.