



STRATEGY BASECAMP

Strategic Planning 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



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.



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.

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.



STRATEGY BASECAMP

HELPING YOU FORMULATE YOUR BUSINESS OR IT STRATEGY

<i>Outcome: Competitive Ideas & Industry Benchmarking</i>	<i>Outcome: Written Plan of Action</i>	<i>Outcome: Monitoring of Action Plan</i>
<p>Facilitate Planning Workshop</p> <ol style="list-style-type: none">Develop Workshop Goals & AgendaPrepare Industry and Competitive ResearchDistribute Pre-ReadingFacilitate Workshop <i>(Introducing relevant industry & competitive analysis from Strategy Basecamp)</i>Document Notes & Follow Up Tasks	<p>Write Strategic Plan</p> <ol style="list-style-type: none">Perform SWOT AnalysisWrite Strategic Plan <i>(Covering areas of competitive importance such as the implementation of a new system, enhanced risk management, etc.)</i>Present Strategic Plan	<p>Monitor Execution of Plan</p> <ol style="list-style-type: none">Monitor Progress vs. PlanConduct Periodic Checkpoints with Leadership re: Progress vs. Plan



Strategy Basecamp can add value to your efforts. Call us at (800) 276-8423 or email info@strategybasecamp.com to set up a no obligation introductory consultation.



STRATEGIC PLANNING SERVICES

Strategy Basecamp works with your team to develop a strategic business or IT plan customized to focus your firm's efforts in achieving its goals. We have practical expertise in the independent broker-dealer & investment advisory marketplace. Our principals and consultants bring relevant experience and depth of knowledge of the industry to help our clients create sustainable, organic growth. We leverage an outcome-based approach in obtaining and measuring project results.


SAMPLE PLANNING SESSION MATERIALS AND AGENDA



STRATEGIC PLANNING WORKSHOP
SESSION MATERIALS / AGENDA

STRATEGIC PLANNING WORKSHOP AGENDA

DAY 1 TOPICS	TIME
A. Discussion of Organizational Goals	8:00 – 9:00
B. Discussion of Strategy Basecamp Pre-Reading Package	9:00 – 10:30
BREAK	10:30 – 10:45
C. Presentation of Industry and Competitive Research – Benchmarking	10:45 – 12:00
LUNCH <Continue Discussion of Competitive Research>	NOON – 1:00
D. Discussion of Advisor Survey Results (Optional – Not Done on All Engagements)	1:00 – 2:00
E. Working Group Break Outs – Creation of Initial List of Potential Initiatives (for Group Discussion) a. Recruiting / Sales / Marketing / Business Development b. Operations c. Compliance / Risk Management	2:00 – 3:30
DEBRIEF DAY – DISCUSS DAY 2	3:30 – 3:45
BREAK / INDIVIDUAL WORKING TIME	3:45 – 5:00
Group Dinner	6:00 – 8:00
DAY 2 TOPICS	TIME
A. Group Discussion of Potential Initiatives	8:00 – 9:30
B. Prioritization of Initiatives	9:30 – 10:30
BREAK	10:30 – 10:45
C. Recap Key Findings / Discuss Next Steps to Finalize Plan	10:45 – NOON

STRATEGY BASECAMP

We work with your organization to tailor a Strategic Plan to your highest priority organizational objectives. Ultimately, it must result in an actionable plan that delivers measureable results (most importantly, improved client satisfaction and increased profitability).

GET
STARTED

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SWOT ANALYSIS

Clearly understanding your organizational strengths, weaknesses, opportunities, and threats is a critical component of developing an effective strategic plan for your financial services firm. It is also important to understand how technology can be utilized as an effective tool to differentiate your organization in terms of your ability to better attract prospective advisors or customers & then deliver results more efficiently & profitably.



STRATEGY BASECAMP SWOT ANALYSIS Summary View - Sample



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BENCHMARKING & ACTION PLANNING

Benchmarking your firms to understand how certain aspects of your business stack up the competition is an essential activity in formulating a meaningful tactical plan of action that delivers strategic differentiation.

BENCHMARK YOUR FIRM VS. THE COMPETITION

Leading Custodians & IBDs*		Very Satisfied	Somewhat Satisfied	Somewhat Unsatisfied or Very Unsatisfied	Notes
1	Schwab	46	40	14	LEADING CUSTODIAN
2	TD Ameritrade	38	43	19	Strong adoption of the Veo Mobile tool set
3	Fidelity	26	52	22	Announced major additions to platform in early '12
4	Pershing	24	51	25	Strong adoption of NextX360
1	Commonwealth	51	32	17	LEADING IBD
2	Cambridge	47	32	21	#2 vs. Commonwealth
3	LPL	35	43	22	Significant technology investments made
4	Woodbury	34	43	23	New to survey, but did well
		Very Satisfied	Somewhat Satisfied	Somewhat Unsatisfied or Very Unsatisfied	Notes
with Integration		18	61	21	Your advisors report being 'content' (i.e. somewhat satisfied).
with Ability / Expertise		24	66	10	Neither overwhelmingly positive or negative.

FORMULATE A PLAN OF ACTION

CLIENT X Short-Term Technology Action Plan		
+		
Primary Owner*	Major Initiative Category and Action Items	Done By**
	<div>1. Technology Initiative Management</div> <div>a. Name a single owner and a specific target due date for each major initiative.</div> <div>b. Where necessary, set interim milestone due dates for sub-deliverables (e.g. the letters under each of the major initiative categories).</div> <div>c. Report on progress at least each two weeks. List the primary actions that will be completed in the next two weeks. As applicable, for each major initiative, write out the 3-5 primary unmade decisions and unsolved issues.</div> <div>d. Force rank and prioritize each of the initiatives below. Consider investing money / additional time or resources in the top 5 to ensure completion.</div>	12/31
	<div>2. Front Office Integration Blitz</div> <div>a. Integrate Redtail, LaserApp, and System X. Make data transfer bi-directional (e.g. the ability to use System X to populate Redtail with client / account information and also the ability to use Redtail to populate System X).</div> <div>b. Identify and list the 15 top workflows advisors will use related to Redtail <-> LaserApp <-> System X (e.g. how to transfer data from Redtail to System X, how to establish a new brokerage account and populate the forms, how to document a client meeting, etc.). Write out workflows steps.</div> <div>c. Add single sign on functionality from System X for these key applications: Redtail, LaserApp, and Albridge. Longer term, might want to include Streetscape and NetX360 in the SSO group.</div>	4/15



STRATEGY BASECAMP

COMPREHENSIVE SERVICES OFFERED:

Select the Strategy Basecamp service level that matches the degree to which you want us involves in the creation and execution of your Business or IT Strategy

<i>Idea Creation</i>	<i>Plan Formulation</i>	<i>Execution Coaching</i>	<i>Project Management</i>	<i>Interim Executive</i>
				Serve on Your Executive Team
			Manage Execution of Plan	
		Monitor Execution of Plan		
	Write Strategic Plan			
Facilitate Planning Workshop				

SERVICES OFFERED

Optional: Survey of Customers

LEVEL OF STRATEGY BASECAMP INVOLVEMENT



STRATEGY BASECAMP

BUSINESS PLANNING | PROJECT MANAGEMENT | TECHNOLOGY CONSULTING
www.strategybasecamp.com
(800) 276-8423