



The 10 Critical Features of an RIA Technology System **A properly integrated system or platform needs to be able to:**

- ✓ **1)** Create and store key client and prospect information including client meeting notes
- ✓ **2)** Securely store and access all client files organized in individual client folders
- ✓ **3)** Organize client accounts into various portfolio groups for investment management, reporting, and billing purposes
- ✓ **4)** Create fee billing schedules, process average daily balance billing, and automatically generate client fee billing invoices
- ✓ **5)** Automatically capture client investment holdings at a custodian and outside client account information via automated account aggregation
- ✓ **6)** Generate simple client reports including account balances and actual vs. target asset allocations
- ✓ **7)** Automatically create and display a client's personal balance sheet including assets and liabilities
- ✓ **8)** Share information with a client through a secure online portal
- ✓ **9)** Sort clients and prospects by advisor, asset size, model portfolio type, investment performance, revenue, state of residence, etc.
- ✓ **10)** Proactively monitor where the firm and individual advisors need to be registered to be in compliance with federal and state regulations

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