

# DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

2009



*Bringing clarity to private equity.*

890 WINTER STREET – SUITE 325, WALTHAM, MA 02451 • 781.250.4000 • FAX: 781.250.4099 • EMAIL: SALES@RELEVANT.US

**Q Briefly describe your firm, including its history and positioning with the wealth management/family office industry.**

Relevant Equity Systems was founded in 1986 and has provided software to the Private Equity industry for 19 years. We recently began supporting single- and multi-family offices. To date, we've delivered over 240 systems to clients in 19 countries including some of the most successful families worldwide.

At Relevant, we bring more to the table than just private equity software. Our expert team's unparalleled industry knowledge and hands-on private equity operations experience has helped industry leading firms streamline their operations, gain unmatched clarity into their investments, and achieve superior performance.

**Q Describe the products and services you offer.**

Our flagship product, Relevant EquityWorks, is a fully integrated front- and back-office solution. EquityWorks tracks family members and their trusts, administers family limited partnerships and other investment vehicles, and models portfolio assets. EquityWorks v6 offers a vibrant new user interface that takes the user experience to a new level of sophistication, convenience, and clarity. The system is particularly effective at cataloguing your data, rolling it up into easy-to-read reports, and distributing it to recipients and their third party representatives.

Relevant CRM is our web-based deal and contact management solution. Built upon Microsoft CRM, it leverages the latest advances in Windows technology. Both products are Windows and Mac OS compatible.

**Q What problems are your products designed to solve?**

Our private equity solutions help your team get more done with less effort. Managers get the clarity they need into a family's holdings to minimize exposures and maximize performance. Family members benefit from clear professional communications and reports.

**Q What services do your platforms offer? (Check all that apply and list product.)**

- Alternative investments: Relevant EquityWorks & Relevant CRM
- Client relationship management: Relevant EquityWorks & Relevant CRM
- Client reporting: Relevant EquityWorks
- Enterprise content management/document management: Relevant EquityWorks
- Investment analytics: Relevant EquityWorks
- Partnership accounting: Relevant EquityWorks
- Portfolio accounting: Relevant EquityWorks
- Portfolio management: Relevant EquityWorks
- Trust accounting: Relevant EquityWorks
- Trust administration: Relevant EquityWorks
- Trade order management: Relevant EquityWorks

**Q Describe the price models of your products and services, including starting and implementation costs.**

Relevant's software solutions are available for purchase or via subscription. Licensing costs range from \$20,000 to \$75,000 per year, depending on your configuration.

Implementation costs vary depending on the size of the project; however, upgrades, unlimited Help Desk support, and monthly online classes are included in your annual user fee.

## AT A GLANCE

Firm name: Relevant Equity Systems, Inc.  
 Office location(s): Boston, Tucson  
 Years in business: 23  
 Years in family office space: 2-3  
 Number of clients: 12  
 Web site: [www.relevant.us](http://www.relevant.us)  
 Contact person: Ray Haarstick

# DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

2009



600 TOWNSEND STREET SAN FRANCISCO, CA 94103 USA • 415.543.7696 FAX: 415.543.5070 EMAIL: INFO@ADVENT.COM

## Q Briefly describe your firm, including its history and positioning with the wealth management/family office industry.

The Advent® for Family Offices and Wealth Manager platforms are the industry's first fully integrated enterprise solutions designed to meet the specialized investment management and reporting requirements of single-family, multi-family offices, and wealth managers. Hundreds of wealth managers and family offices around the world, managing assets from \$50 million to \$5 billion, leverage Advent's reliable and proven investment management tools.

## Q Describe the products and services you offer.

By leveraging advances in portfolio management technology, family offices and wealth managers can scale their operations without adding headcount – resulting in increased profitability. Taking advantage of integrated tools and accounting software will dramatically decrease back office IT cost, freeing staff to spend time on asset management rather than IT compatibility issues.

The Advent solution includes the following integrated modules:

- Research management
- Portfolio management & reporting
- Portfolio monitoring & trading compliance
- Performance analytics
- Custodial data
- Trading & order management
- Total wealth reporting

## Q What problems are your products designed to solve?

Advent's solution seamlessly integrates portfolio modeling, performance analytics and trade order management capabilities with portfolio accounting and comprehensive client relationship management tools.

Now you can maximize client service with personalized reporting. More than 450 automated custodian data interfaces allow firms to deliver reconciled reports to their clients the day after month-end and increase employee productivity every day. Customized reports can be easily created without the involvement of valuable IT resources, thus reducing costs and increasing client satisfaction.

## Q What services do your platforms offer? (Check all that apply and list product offered.)

- Alternative investments: Geneva, Advent Partner
- Client relationship management: Advent Portfolio Exchange
- Client reporting: Advent Portfolio Exchange, Geneva
- Enterprise content management/  
document management: Tamale RMS
- Investment analytics: Advent Portfolio Exchange
- Partnership accounting: Advent Partner
- Portfolio accounting: Advent Portfolio Exchange, Geneva Axys
- Portfolio management: Advent Portfolio Exchange, Geneva Axys
- Trust accounting
- Trust administration
- Trade order management: Moxy

## Q Describe the price models of your products and services, including starting and implementation costs.

Pricing depends on the number of products, term of agreement, seats and many other factors specific to each firm.

### AT A GLANCE

Firm name: Advent Software

Office location(s):

• 600 Townsend Street San Francisco, CA 94103 USA  
415.543.7696 Fax: 415.543.5070

Email: info@advent.com

• 666 Third Avenue, 31st Floor, New York, NY 10017 USA  
212.398.1188 Fax: 212.819.1864

Email: info@advent.com

Years in business: 26

Years in family office space: 20

Number of clients: 4,500

Web site: www.advent.com

Contact person: Jim Kranz, 800.685.7688

# DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS



2009



## ByAllAccounts

*Aggregating the World of Wealth™*

10 STATE STREET, 2ND FLOOR, WOBURN, MA 01801 • 781.376.0801 • FAX: 781-376-8040

**Q Briefly describe your firm, including its history and positioning with the wealth management/family office industry.**

Founded in 1999, ByAllAccounts (Woburn, MA) delivers reconciliation-ready data to investment management and advisory firms. Using innovative technology, we provide unparalleled access to reliable, accurate financial account data from thousands of custodians to enable efficient and timely account reconciliation, performance analysis and consolidated reporting. We help our customers build stronger, more profitable relationships by providing timely, personalized levels of service and better advice based on a more complete understanding of their clients' assets.

**Q Describe the products and services you offer.**

ByAllAccounts Custodial Integrator™ enables you to import reconciliation-ready account data into your portfolio accounting or reconciliation system. It gathers updated balances, holdings, and transaction history for the full range of managed and “held-away” accounts, including retirement, banking, brokerage, trust, hedge fund, annuity, and more.

**Q What problems are your products designed to solve?**

- Eliminate Manual Data Entry on Held-Away Accounts
- Shorten the Reporting Cycle from weeks to days
- Allow Advisors to grow their practice without adding headcount
- Augment your current feeds and enable Consolidated Reporting

**Q What services do your platforms offer? (Check all that apply and product used.)**

- Alternative investments: Supported through Custodial Integrator
- Client relationship management: Supported through Custodial Integrator

- Client reporting: Supported through Custodial Integrator
- Enterprise content management/document management: Supported through Custodial Integrator
- Investment analytics: Supported through Custodial Integrator
- Partnership accountin: Supported through Custodial Integrator
- Portfolio accounting: Supported through Custodial Integrator
- Portfolio management: Supported through Custodial Integrator
- Trust accounting: Supported through Custodial Integrator
- Trust administration
- Trade order management

**Q Describe the price models of your products and services, including starting and implementation costs.**  
Subscription-based service

### AT A GLANCE

Firm name: ByAllAccounts  
Office location(s): Woburn, MA  
Years in business: 10  
Years in family office space: 10  
Number of clients: 400+  
Web site: <http://www.byallaccounts.com>  
Contact person: Sean M. Hurley

# DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

2009



8180 GREENSBORO DRIVE, 8TH FLOOR, McLEAN, VA 22102 • 1.888.485.3456

## Q Briefly describe your firm, including its history and positioning with the wealth management/family office industry.

Folio Institutional is a division of FOLIOfn Investments, Inc. FOLIOfn Investments, Inc., founded in 1999 by Steven M.H. Wallman, a former Commissioner of the U.S. Securities and Exchange Commission ("SEC"), has been a self-clearing broker-dealer and a direct member of The Depository Trust & Clearing Corporation ("DTCC") since 2001. Today, it provides custody and brokerage services for billions of dollars of investor assets, and hundreds of registered investment advisors. Folio Institutional is an ideal match for advisors seeking an established, well-respected custodian, and a cost-effective portfolio management, trading, investment, and high-end client services platform.

## Q Describe the products and services you offer.

Folio Institutional delivers a fully integrated trading and portfolio management platform that allows advisors to manage hundreds, or even thousands of client accounts in the time it would normally take to manage one. Solutions include model management and synchronization tools that automatically account for individual client preferences such as advanced tax strategies and social, sector and stock exclusions. The vertically integrated platform combines brokerage, custody, portfolio accounting, fee billing, compliance reports, online proxy voting, investment management and asset allocation tools in one platform.

## Q What problems are your products designed to solve?

Workflow is streamlined through automation with a web based brokerage that includes paperless account opening and account transfers, and a powerful model driven portfolio management system. Its centerpiece is the FOLIO investment concept: individualized portfolios that can include equities, ETFs and mutual funds. Additional features include:

- Stock, Social and Sector Exclusions
- Tax Management
- Model Driven Portfolio Trading
- Daily Compliance Reports

- Online Proxy Voting
- Online Performance Reporting
- Electronic Statements, Trade Confirmations and Tax Documents

## Q What services do your platforms offer? (Check all that apply.)

- Alternative investments: Folios
- Client relationship management
- Client reporting
- Enterprise content management/document management
- Investment analytics
- Partnership accounting
- Portfolio accounting
- Portfolio management
- Trust accounting
- Trust administration
- Trade order management

## Q Describe the price models of your products and services, including starting and implementation costs.

General brokerage services are provided on an asset based, or transaction based fee schedule, with minimal start up and implementation costs. The brokerage platform includes automated fee calculation and remittance for advisory and brokerage fees. Additional fees may apply for certain services.

### AT A GLANCE

Firm name: Folio Institutional  
 Office location(s): McLean, VA  
 Years in business: 11  
 Years in family office space: N/A  
 Number of clients: N/A  
 Web site: [www.folioinstitutional.com](http://www.folioinstitutional.com)  
 Contact person: Greg Vigrass

# DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

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## Northern Trust

50 SOUTH LASALLE STREET, CHICAGO, ILLINOIS 60603 • 312.444.5142

**Q Briefly describe your firm, including its history and positioning with the wealth management/family office industry.**

Northern Trust was founded in 1889 in Chicago, Illinois, by Byron Laflin Smith as a trust bank to serve wealthy individuals and families. Throughout our 120 year history, Northern Trust has pursued steady organic growth, as opposed to growth via mergers. We serve clients throughout the United States and internationally with integrated teams focused on specialized segments of the wealth spectrum. Our clients' needs range from standard brokerage to solutions for serving ultra affluent families and family offices and may include domestic and global asset servicing, wealth transfer planning, private banking, investment management and consulting and concierge services.

**Q Describe the products and services you offer.**

Northern Trust is a global leader in delivering innovative investment management, asset and fund administration, fiduciary and banking solutions to corporations, institutions, family offices and affluent individuals. We provide the following services to wealthy individuals and client families:

- Fiduciary Administration
- Integrated Financial Planning
- Lifestyle Management
- Investment Consulting
- Asset Servicing and Technology

**Q What problems are your products designed to solve?**

Throughout our history, Northern Trust has led the financial services industry by focusing our efforts on providing services to anticipate and solve client problems before our clients encounter them. Northern Trust closely follows and analyzes trends in our client base to provide forward-thinking solutions.

**Q What services do your platforms offer? (Check all that apply.)**

Northern Trust's proprietary technology supports the solutions

provided to our clients including but not limited to:

- Alternative investments
- Client relationship management
- Client reporting
- Enterprise content management/document management
- Investment analytics
- Partnership accounting
- Portfolio accounting
- Portfolio management
- Trust accounting
- Trust administration
- Trade order management

**Q Describe the price models of your products and services, including starting and implementation costs.**

Our fees are unbundled in order for clients to better understand the fees they are paying. Dependent on each client family's unique situation, there could be fees for domestic and global asset servicing, investment management, performance measurement and reporting, as well as fiduciary services.

### AT A GLANCE

Firm name: Northern Trust

Office location(s): Northern Trust is headquartered in Chicago, Illinois. We have over 80 offices within the United States and 15 offices outside of the United States

Years in business: 120 years

Years in family office space: 120 years

Number of clients: 162,300

Web site: [www.northerntrust.com](http://www.northerntrust.com)

Contact person: Shannon Kennedy, Global Director Wealth Services, Cynthia Clarke, Director of Family Advisory Services

# DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

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**Pershing**  
Advisor Solutions®

AN AFFILIATE OF THE BANK OF NEW YORK MELLON

ONE PERSHING PLAZA, JERSEY CITY, NJ 07399 | 800.445.4467

**Q Briefly describe your firm, including its history and positioning with the wealth management/family office industry.**

Pershing Advisor Solutions LLC is dedicated to serving RIAs and is uniquely positioned to meet the needs of Wealth Managers and Family Offices. We bring an undivided focus, a deep understanding of your business challenges, and proven thought and technology leadership to a rapidly changing industry. Pershing Advisor Solutions is an affiliate of Pershing LLC, the industry's leading global provider of financial business solutions, with more than \$930 billion in assets under custody for customers in more than 40 countries. Pershing's parent company, The Bank of New York Mellon Corporation, is the oldest, continuously operating bank in the United States.

**Q Describe the products and services you offer.**

Pershing Advisor Solutions offers a highly custom, comprehensive range of institutional-quality global solutions to help meet your needs. Whether you are looking to attract assets, improve margins or take your business in new directions, we can help turn your vision into reality. Working with our affiliate Pershing, we deliver dependable operational support, robust trading services, flexible technology, an array of investment solutions, practice management support and service excellence. Through an innovative custody platform, we deliver superior expertise and scalable, customizable solutions to help family offices manage and grow their businesses.

**Q What does your firm view as its primary features that differentiate you from your competition?**

Pershing exclusively serves only three customer segments: RIAs, broker-dealers and hedge funds. That means we bring extensive experience in supporting financial service companies like yours. We offer a strategic partnership designed to help you deliver a competitive solution, while managing in a difficult business environment and meeting the complex needs of your clients. Having no retail channel, you benefit from our full focus and resources as we work to build your brand and solutions to help your business grow.

**Q What features, functionality or services does your firm offer family offices and wealth advisors?**

We can help you meet your clients' sophisticated wealth management needs with customized solutions that help reinforce the value of your services and give you a strong head start to acquire new clients and strengthen existing relationships. Through Pershing's groundbreaking technology platform, NetX360™, you can access the tools and technology you need to perform client relationship management, flexible client reporting, portfolio modeling tools, investment analytics, portfolio accounting, trust accounting and administration, trade order management, and customize your client statements and checks, as well as access document management and storage systems.

**Q Describe the top initiatives planned for 2010 and beyond.**

Pershing Advisor Solutions is committed to creating solutions that help our advisors achieve their goals for growth, efficiency and the ability to provide a superior client experience. Our new technology platform, NetX360™, will enhance our products and services offering as we continue to create partnerships with third-party providers. To learn how we can help you grow your business without limits,™ please call us at (800) 445-4467.

## AT A GLANCE

Firm name: Pershing Advisor Solutions LLC

Office location(s): Jersey City, NJ, Lake Mary, FL, Quincy, MA, Charlotte, NC, Greenwood Village, CO, San Francisco, CA, Phoenix, AZ, Oak Brook IL

Years in business: Pershing has served independent RIAs since 1994, but expanded its commitment to meeting the needs of the RIA market segment in 2005 through the launch of Pershing Advisor Solutions LLC.

# DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

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## PRIVATE CLIENT RESOURCES, LLC

WILTON CORPORATE CENTER - RIVERVIEW, 187 DANBURY ROAD, SUITE 202, WILTON, CT 06897  
203.762.9006 - EXT. 2251 • FAX: (203) 612-3007

### Q Briefly describe your firm, including its history and positioning with the wealth management/family office industry.

Private Client Resources (PCR) provides outsourced data aggregation, daily reconciliation and flexible reporting via a secure private-labeled web site. PCR is focused exclusively on high wealth data aggregation and reporting and has extensive client conversion experience.

Started in 2000 based on the personal need of the founders, PCR continues to increase the clients on the system as the demand for aggregation grows:

- Clients: over 700 families and more than 2000 households
- Average wealth: new clients over past 12 months average \$80mm
- Average accounts: 37 (26 bank/brokerage, 11 alternatives)

Today, PCR has relationships with 27 small/medium institutions and several leading wealth management firms. The institutions that have outsourced aggregation to PCR include 4 of the top 10 MFO firms (\$116B AUA representing approximately 35% of the total market according to 2008 Family Wealth Alliance study) and 4 of the top 10 Wealth Management firms (\$3.6T AUM representing approximately 25% of the market according to 2008 Scorpio Partnership survey).

### Q Describe the products and services you offer.

PCR's aggregation process produces online, daily updated reports. Patterned after the management control systems that chief executives rely on to run their enterprise, the purpose of aggregated reporting is to see instantly what is happening and serve as a basis for timely decision making. The rules systems that underlie aggregation are designed to show an accurate picture across all custodians and are not designed to meet accounting and regulatory requirements.

Clients choose PCR for its proven ability to deliver:

- Data accuracy
- Daily reconciliation
- Operational expertise, systems and processes
- Online, flexible reporting

### Q What problems are your products designed to solve?

PCR gathers and updates all financial information including, traditional marketable securities, alternative investments, personal use assets, etc. PCR collects data at the transaction level, with tax lot detail, and publishes the information daily, with an on-line Document Vault for storage of important documents such as wills, trusts, etc.

PCR's flexible online reporting service enables clients/advisors to publish highly customized reports for each household, with the ability to quickly and easily modify reports on-the-fly.

### Q What services do your platforms offer?

- Client reporting: PCR Insight Online, private labeled web site
- Enterprise content management/  
document management: Secure Online Document Vault
- Partnership accounting: PCR Insight tracks fractional ownership interests

### Q Describe the price models of your products and services, including starting and implementation costs.

PCR's cost is based on complexity as measured by the number of accounts and tax entities. There is an annual maintenance fee and a one-time set-up fee.

## AT A GLANCE

Firm name: Private Client Resources LLC  
Office location(s): Wilton, CT USA  
Years in business: since 2000  
Years in family office space: since 2000  
Number of clients: over 700 families with more than 2000 households  
Web site: [www.pcrinsight.com](http://www.pcrinsight.com)  
Contact person: Michael Naylor 203-762-9006

# DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

2009

## Rockit™ Rockit Solutions, LLC

333 LUDLOW STREET, NORTH TOWER, 8TH FLOOR STAMFORD, CT 06902 • 866.497.9111 • WWW.ROCKITCO.COM

### Q Briefly describe your firm, including its history and positioning with the wealth management/family office industry.

Our history dates back to 1882 when John D. Rockefeller established a New York office to manage the Rockefeller family's personal and philanthropic interests. The proprietary information management application, Rockit™ *Command*, was launched in 2000. In 2005, Rockit™ became an independent business, offering its integrated wealth services to a broader group of wealth holders and their advisors – clients who demand the same timely, accurate reporting and exceptional personal service. We understand the issues facing wealthy families: being responsive, growing and preserving wealth, deriving new investment strategies, and accessing wealth-related services.

### Q Describe the products and services you offer.

Rockit™ is a dynamic integrated information management solution. Rockit™ *Command* is the technology platform at the center of our solution suite. In combination with accounting professionals and industry analysts, this powerful transaction processing system with an integrated general ledger translates complex multi-dimensional data into complete, timely information for confident decision-making. Rockit™ helps clients make better financial decisions by seeking to ensure that complex data from multiple sources – custodians, managers, brokers, banks, and others – is aggregated, processed and reconciled with unsurpassed attention to accuracy and timeliness.

### Q What problems are your products designed to solve?

Rockit™ is a technology-enabled service that processes diverse information, reconciles feeds daily, checks data to verify accuracy, and strives to resolve exceptions quickly. Most systems simply reconcile to the custodian, but Rockit™ uses a unique triangulated reconciliation process, comparing transaction initiator data to custodian control group data. The Rockit™ Data Integrity Team of accountants, analysts and administrators reviews inputs daily, and provides error resolution as necessary. These services, coupled with our robust reporting capabilities, provide our clients with multiple levels of information for analytics and comparison reporting.

### Q What services do your platforms offer? (Check all that apply.)

- Alternative investments
- Client relationship management
- Client reporting
- Enterprise content management/document management
- Investment analytics
- Partnership accounting
- Portfolio accounting
- Portfolio management
- Trust accounting
- Trust administration
- Trade order management

### Q Describe the price models of your products and services, including starting and implementation costs.

Rockit™ offers a variety of service levels to address the needs of our clients. Rockit™ performs an extensive consultation and needs analysis to determine client complexity, and the appropriate service level and delivery model required. Our fee structure is also flexible to allow for customization to meet the client's immediate and future objectives.

### AT A GLANCE

Firm name: Rockit Solutions, LLC

Office location(s): Stamford, CT

Years in business: 9

Years in family office space: 9

Number of clients: Rockit Solutions currently serves over 250 client relationships.

Web site: [www.rockitco.com](http://www.rockitco.com)

Contact person: Peter Metaxas ([pmetaxas@rockitco.com](mailto:pmetaxas@rockitco.com))



# DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS



2009

## SAL NTICA

245 PARK AVENUE, 29TH FLOOR • NEW YORK, NY 10167-0002 • 212.672.1777

**Q Briefly describe your firm, including its history and positioning with the wealth management/family office industry.**

Salentica was formed in 1997 by a group of seasoned technology and financial industry experts who recognized the need for a vertically focused client management solution to address the needs of the wealth management/family office industry.

Salentica's Advisor Desk extends and enhances the value of the Microsoft CRM platform for single family office, multi-family offices and wealth managers.

With over 20 years of experience in technology for financial services, Salentica has more than 70 clients worldwide, including leading banks, large and medium-sized family offices and wealth managers.

**Q Describe the products and services you offer.**

Salentica Advisor Desk delivers a single and complete view of client information – enabling greater efficiency, stronger oversight and compliance, and more effective sales management and marketing. Built on the Microsoft CRM and integrated with Outlook, the solution provides easy access to Know Your Client information... personal information, trades, holdings and performance, all presented from back office systems. All client touch points and documents can be viewed, with security-controlled access, even from a Blackberry® or choice of PDA.

Salentica offers complete implementation services, including extended support to ensure maximum value.

**Q What problems are your products designed to solve?**

- Management and tracking of complex relationships within wealthy clients' families and households
- Tracking of all aspects of the clients' assets, physical & financial
- Management and tracking of all communications for better oversight
- Ease of use (Microsoft look and feel, Outlook interface)
- Assurance of document accuracy and compliance
- Capacity to add value to the client relationship through enhanced or new services capabilities
- Complete reporting capabilities

**Q What services do your platforms offer? (Check all that apply.)**

- Alternative investments
- Client relationship management
- Client reporting
- Enterprise content management/ document management
- Investment analytics
- Partnership accounting
- Portfolio accounting
- Portfolio management
- Trust accounting
- Trust administration
- Trade order management

**Q Describe the price models of your products and services, including starting and implementation costs.**

Salentica's solutions are provided either on-premise or hosted in our SAS 70 Level 2 compliant environment. Pricing is dependent upon the number of users and the level of integration with various systems. Our installations range from boutiques with as few as five users to large implementations of over 300 users.

### AT A GLANCE

Firm name: Salentica Inc.

Office location(s): Toronto, New York

Years in business: 12

Years in family office space: 10

Number of clients: 70 companies, representing over 2,750 users

Web site: [www.salentica.com](http://www.salentica.com)

Contact person: Tim Davey, 416-366-3456 ext 233

[tdavey@salentica.com](mailto:tdavey@salentica.com)



## DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

# charles SCHWAB

## ADVISOR SERVICES

211 MAIN STREET, SAN FRANCISCO, CA 94105 • 877.687.4085

**Q Briefly describe your firm, including its history and positioning with the wealth management/family office industry.**

For more than 20 years, Charles Schwab & Co, Inc. has been an advocate for individual investors and their advisors, and has held a prominent role in serving the wealth management industry. Serving clients is at the heart of what we do. The corporation's affiliates and subsidiaries offer custody and trading services, securities brokerage, banking, money management and financial advisory services to individuals, independent advisors, plan sponsors and their employees.

**Q Describe the products and services you offer.**

Through Schwab, you have access to an array of institutional-quality financial products from Schwab and other unaffiliated companies. These include access to a broad range of money managers, investment strategies, individual securities, mutual funds, fixed income solutions and ETFs. In addition, Schwab offers cash equivalents, retirement and education accounts, personal trust and administrative trustee services, charitable giving, annuities and lending solutions.

**Q What does your firm view as its primary features that differentiate you from your competition?**

Our unparalleled service is at the heart of what we do at Schwab; everyone at Schwab is personally committed to serving your day-to-day and long-term needs. We offer some of the most up-to-date technology, from our open architecture platforms to highly customizable data delivery systems. Through our business consulting services, we can help you plan for growth and build a tailored strategy to support your specific growth objectives. You'll have access to tools and resources, events and education that can help you with everything from business strategy and business development to expanding your firm through a merger or acquisition.

**Q What features, functionality or services does your firm offer family offices and wealth advisors?**

At Schwab Advisor Services, our technology is designed with flexibility to fit the way you work and we develop our industry leading technology with a singular focus: to enable you to handle your business quickly and efficiently so you can spend more time providing great service and high-quality advice to your clients.

More specifically, we provide a broad array of proven account servicing tools that help support your work in process, including customized operational alerts; instant, online access to detailed client account information; and online cash management. You and your clients get access to comprehensive reporting including custom, co-branded statements, cost basis reporting, realized gain/loss data and electronic delivery.

**Q Describe the top initiatives planned for 2010 and beyond.**

Looking forward, advisors will see initiatives from Schwab that are designed to help you fuel your growth and add scale by managing costs and improving your efficiency. These include Schwab Advisor Center, our newly re-designed technology platform; improved secure email functionality to enhance large file delivery; operations consultants focused on your back office to complement our technology and business consulting teams; and ongoing advisor education to help you streamline your operations, accelerate your growth and enhance your firm's productivity.

### AT A GLANCE

Firm name: Charles Schwab Advisor Services  
Office location(s): Multiple, with corporate HQ in San Francisco  
Years in business: 22  
Years in family office space: 22  
Number of clients: 6000 independent advisory firms  
Web site: [www.schwabinstitutional.com/public](http://www.schwabinstitutional.com/public)

*Charles Schwab & Co., Inc. ("Schwab") is a subsidiary of The Charles Schwab Corporation. Schwab Advisor Services (formerly known as Schwab Institutional\*) is a business segment of The Charles Schwab Corporation serving independent investment advisors, which includes the custody, trading and support services of Charles Schwab & Co., Inc. (0809-10437)*

# DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

2009



PO BOX 31565, ST. LOUIS, MO 63131- 0565 | 314.965.1555 X1722 | 866.306.7135 | F: 314.835.3045

**Q Briefly describe your firm, including its history and positioning with the wealth management/family office industry.**

For nearly 30 years, Scottrade Inc. has been a leader in the stock brokerage industry; a leader in technology, a leader in customer service, and a leader in value. Scottrade Advisor Services, a division of Scottrade Inc., was created in 2005 to provide custodial and trading services for family offices, Registered Investment Advisors, as well as other institutional clients. It provides an exceptional value through low commissions, no enrollment fees and dedicated relationship teams.

**Q Describe the products and services you offer.**

Scottrade Advisor Services offers stocks, ETFs, mutual funds, fixed income investments, and options. Available account types include taxable, retirement, business and education accounts with no cost to open, no maintenance fees and free checking (on eligible accounts).

**Q What does your firm view as its primary features that differentiate you from your competition?**

What sets Scottrade Advisor Services apart is our award-winning customer service, low-cost trading, and access to any one of Scottrade's 425+ branch offices nationwide. We also offer third-party resource partners, discounts, an online newsletter and an online community.

**Q What features, functionality or services does your firm offer family offices and wealth advisors?**

Scottrade Advisor Services recently launched a new trading platform featuring single login access to all client accounts. The new trading platform features block trading and the cost basis software Maxit™. Scottrade Advisor Services is also able to offer family offices and wealth advisors automatic account transfer reimbursement and the ability to integrate with many portfolio management software companies to consolidate and manage assets efficiently.

**Q Describe the top initiatives planned for 2010 and beyond.**

Scottrade Advisor Services will be greatly expanding our list of available institutional mutual funds by the end of 2009. In addition, with the recent acquisition of the portfolio management software of Portfolio Director, we plan to integrate most of its technology into our new trading platform. To learn more about Portfolio Director, please visit [portfoliodirector.com](http://portfoliodirector.com).

## AT A GLANCE

**Firm Name:** Scottrade Advisor Services, a division of Scottrade Inc.

**Office Location:** St. Louis, MO

**Years in Business:** 29 years

**Years in Family Office Space:** 4

**Website:** [advisor.scottrade.com](http://advisor.scottrade.com)

**Contact Person:** Brian Davis

# DIRECTORY OF FAMILY OFFICE AND WEALTH ADVISORY TECHNOLOGY SERVICE PROVIDERS

2009



## STATE STREET®

1 LINCOLN STREET, BOSTON, MA 02111-2900 • 617.664.3164

**Q Briefly describe your firm, including its history and positioning with the wealth management/family office industry.**

With \$16.4 trillion in assets under custody and administration, and \$1.6 trillion in assets under management, State Street is one of the world's leading providers of financial services to institutional investors. Our dedicated Wealth Manager Services group delivers outsourcing and investment servicing solutions for registered investment advisors, wealth managers, trust companies and banks, private wealth management firms, and single- and multi-family offices. Our customers benefit from the in-depth market expertise, dedicated service and flexible solutions of a boutique firm with the scale and breadth of a global financial services institution.

**Q Describe the products and services you offer.**

State Street's Wealth Manager Services offers our customers a full range of customized investment servicing solutions. This includes our highly automated domestic, global and alternative asset custody platform, fully integrated with our trust and multi-currency accounting systems. We offer performance and analytics, client statements, tax services, lending services, ex-custody data aggregation and reconciliation and brokerage and foreign exchange execution. Our premier wealth management technology platform, State Street WealthConnect®, provides customers with the functionality they need to manage their business effectively and securely at all points in the wealth management process.

**Q What does your firm view as its primary features that differentiate you from your competition?**

Our customers benefit from the strength and stability of a large financial services firm that is truly a thought leader. With that comes a large, ongoing investment into our technology platforms, product research and development, and our extensive global network. Within Wealth Manager Services, our customers benefit from having a strategic partner that works with them to determine the optimum solution to maintain their core competencies while maximizing their efficiency and creating a platform for growth.

**Q What features, functionality or services does your firm offer family offices and wealth advisors?**

We offer dedicated, professional client service teams, custody, alternative investments processing, trust and multi-currency accounting, partnership/hedge fund accounting, automated cash management, income collections, corporate actions, brokerage and transition management services, tax services, flexible online reporting, private label web, statements and checks. Technology we can deploy to our customers include prospect financial planning tools, portfolio and order management tools, investment analytics, and an administrative workstation that includes account, cash, corporate actions and securities processing functionality. Clients have the option of keeping their existing applications or utilizing the State Street hosted solutions.

**Q Describe the top initiatives planned for 2010 and beyond.**

In 2009, we have made significant improvements to our wealth management platform, State Street WealthConnect®. We plan to continue launching additional capabilities such as secure document transfer, more comprehensive investment analytics designed for taxable investors, and real time integration of our administrative workstation to our multi-currency accounting system. We are also adding to our statement delivery options to include electronic delivery of statements to compliment our current offering of mailed and web-based statements.

### AT A GLANCE

Firm name: State Street Corporation

Office location(s): Headquarters in Boston, MA with offices in 27 countries.

Years in business: Founded in 1792

Years in family office space: Over 25 years

Number of clients: 500 wealth managers/trust banks, over 90,000 client accounts.

Web site: <http://wms.statestreet.com/>

Contact person: Martin J. Sullivan