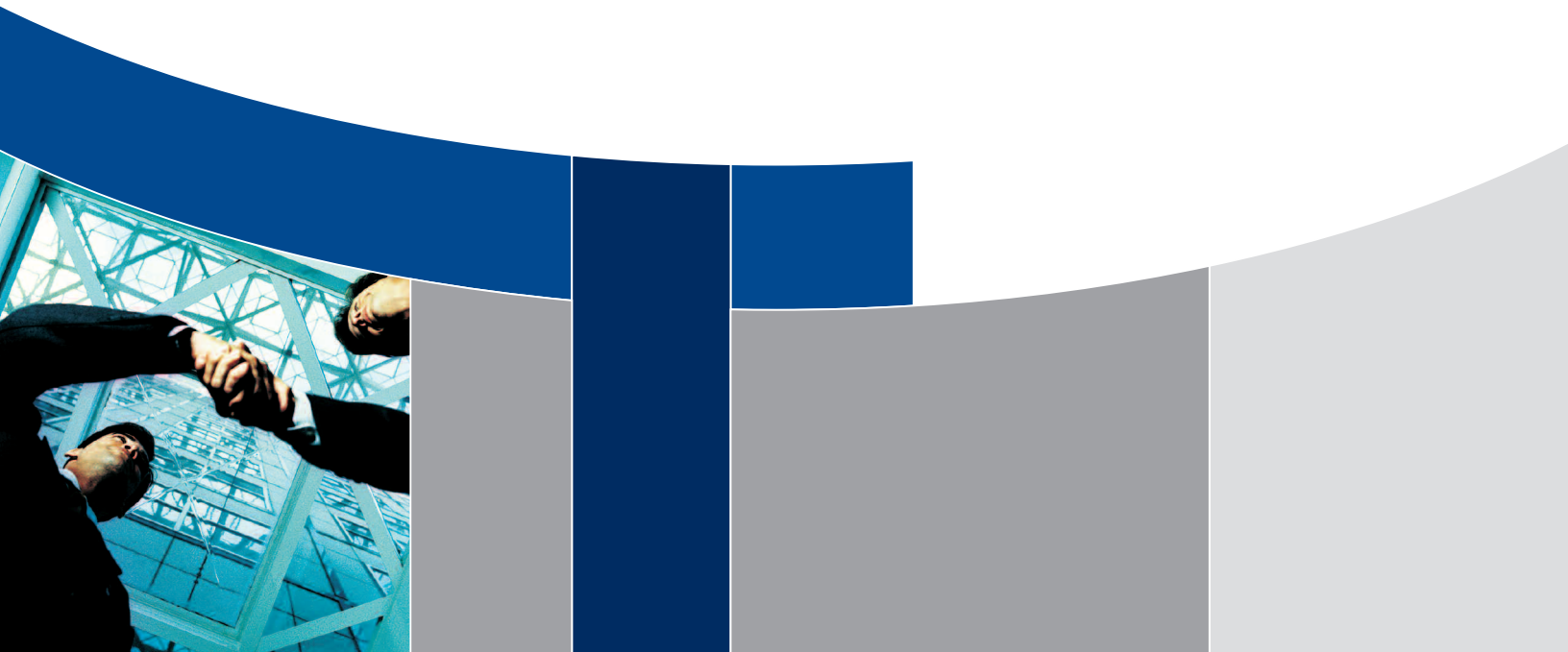


WEALTH WORX[®]

Process Solutions for Wealth Management

Introducing WealthWorx[®] Process Solutions for Wealth Management
Industry Expertise Delivered with Business Process Management (BPM) Technology



Developed by
 **AKBROOK**
solutions, inc.
"The Details Behind the Success"



...will transform existing processes

in your organization, deliver cost savings, and increase productivity.

Our Perspective

Through years of helping clients through mergers, acquisitions, system implementations and strategic development initiatives, we understand the tremendous processing challenges faced by Wealth Management organizations:

- Organization and processes are becoming increasingly complex through your efforts to deliver a more comprehensive investment product and service offering.
- Cost, regulatory and control demands conflict with your ability to deliver high-quality client service.
- An increased number of software applications required to run your business means that traditional point-to-point application integration is no longer affordable or effective. Many of these applications were developed decades ago and according to somebody else's definition of "best practice". Today, they constrain the way you run your business.

This convergence of increased complexity, systems that don't talk to each other and conflicting demands on how you run your business has resulted in processes that have become more manual, more cumbersome and more error-prone. We find them too often managed through forms, checklists and swivel-chairs.

Transforming the Middle Office

WEALTH MANAGEMENT FIRMS TRADITIONALLY HAD DISTRIBUTED CLIENT SERVICE AND INVESTMENT MANAGEMENT ORGANIZATIONS

- Emphasis on strong client relationship
- Standardization, efficiencies, and compliance very difficult

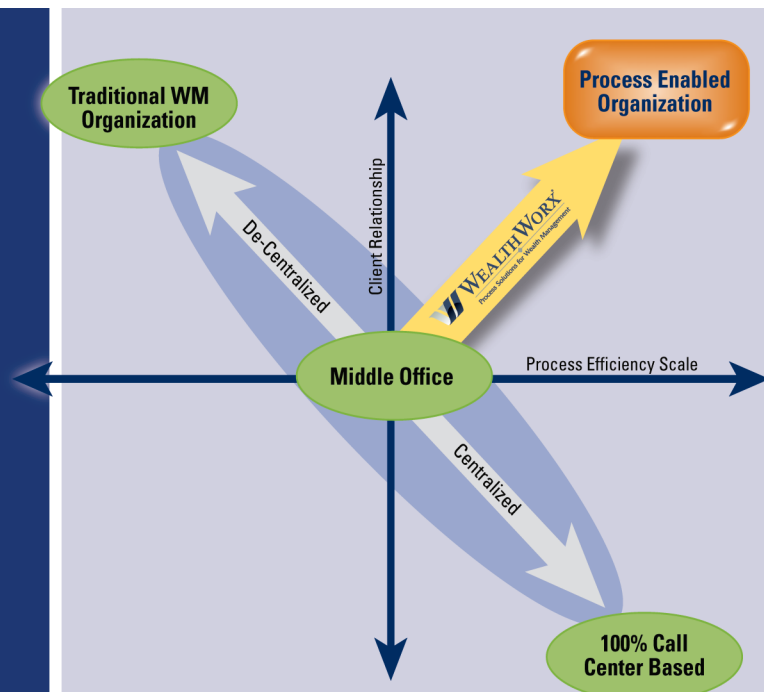
CENTRALIZED SERVICE ORGANIZATIONS ENABLE EFFICIENCY AND SCALE

- Most effective for non-client facing (back office) operations
- Not suited for client relationship demands of a typical Wealth Management client

MANY FIRMS HAVE CREATED THE "MIDDLE OFFICE" IN AN EFFORT TO CREATE EFFICIENCIES FOR CLIENT-FACING PROCESSES

- Heavy reliance on forms and manual hand-offs
- Client relationship ultimately suffers
- Desired efficiencies never obtained

WEALTHWORX® ENHANCES THE CLIENT RELATIONSHIP WHILE ENABLING EFFICIENCIES, CONTROL AND SCALE



WealthWorx® is a **comprehensive and dynamic solution** that can be quickly implemented, easily used, and continuously modified to drive **ongoing process improvement** and enable **lower support costs** over the long term.



WealthWorx® is a comprehensive Business Process Management (BPM) solution designed for the Wealth Management Industry. Developed in strategic partnership with Appian Corporation, WealthWorx® combines pre-developed workflows, integration and delivery services with the best in BPM technology. It is a defined set of process solutions that can be customized by any organization.

- **Decrease costs** by automating processes across the organization to eliminate repetitive tasks.
- **Improve quality** by eliminating missed steps.
- **Enhance customer satisfaction** by completing tasks quickly and error free.
- **Reduce risks** by improving controls, driving policy, and enforcing compliance.
- **Empower staff** to collaborate, manage and continuously improve processes.

WealthWorx® is an application neutral platform which can be implemented as a standalone automation solution or integrated with any number of applications.

WealthWorx® Processes

Client Administration

- Account Qualification, Acceptance and Opening
- Account Funding
- Administrative Review
- Bill Payment
- Client Service Requests

Operations Forms Automation

- Transaction Reversals/Adjustments
- Asset Movement/Transfer
- Asset Setup/Maintenance
- Special Asset Handling
- Trade Cancellation/Correction

Implementation Methodology



DISCOVERY AND ASSESSMENT

Inventory and document existing processes.

Strategic assessment of organizational needs to identify processes that will achieve the greatest benefit.



PROCESS DESIGN AND PROTOTYPE

Leveraging pre-developed baseline workflows, we develop processes optimized for your organization.

Before technical resources are expended, we configure and test the processes in a hosted prototype environment.



IMPLEMENTATION

Once you are satisfied with the process design, we complete any integration work required and work with you to implement the software in your preferred application environment.



CONTINUOUS IMPROVEMENT

Your staff is trained and empowered to continuously improve the automated processes. We also offer options for ongoing support, maintenance and ASP services.

Oakbrook Focus and Expertise

Since 1999 Oakbrook Solutions, Inc. has been providing systems, process and delivery expertise to the wealth management industry. Our industry focus and expertise enables us to deliver unmatched value to your process improvement initiatives:

- **Speed of Implementation**
Pre-developed processes and interfaces enable more rapid implementation and quicker return on investment.
- **Reduced Risk**
Proven processes and methodologies provide guidance for a quality implementation.
- **More Effective and Comprehensive Processes**
Industry expertise and experience leveraging BPM technology will transform processes in your organization.
- **Innovation and Change**
We facilitate consensus and manage change for true process innovation.

Powered by the Appian Enterprise BPM Suite

Automate

- With simple web-based tools
- Utilizing step-by-step web forms
- With no programming
- Change them as needed

Manage

- Built-in tasks lists and SLAs
- Integrated with MS Outlook
- Automatic escalation and notification
- Real-time dashboard reporting

Enrich

- Integrated portal technology
- Case management
- Document management
- Discussion forums

