WEALTHWORX®

The BPM Solution for Wealth Management

Industry Expertise Delivered with

Business Process Management (BPM) Technology

Developed by

OAKBROOK SOLUTIONS

WealthWorx®

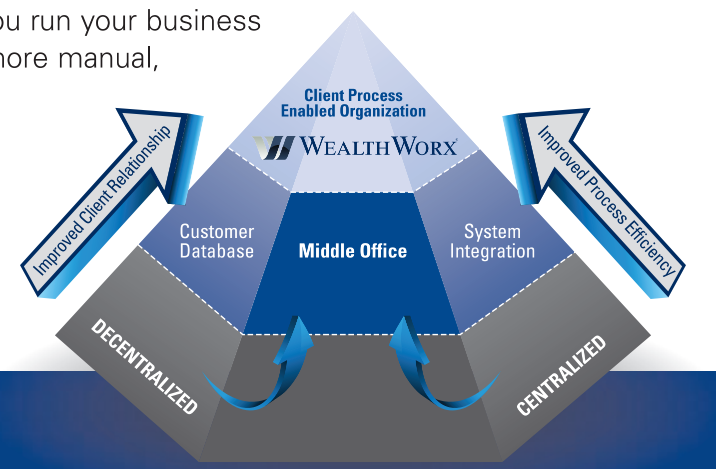
…will **transform existing processes** in your organization, **deliver cost savings**, and **increase productivity**.

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:

- Organizational processes are becoming increasingly complex through efforts to deliver a more comprehensive investment product and service offering
- Cost, regulatory and control demands conflict with the ability to deliver high-quality client service
- Traditional point-to-point application integration is no longer affordable or effective. Many of these applications were developed decades ago and they constrain the way business is run.

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.



Transforming the Middle Office

Wealth Management firms make organizational and technology choices based on a continuously changing environment, which have significant ongoing impacts on:

- Customer relationships
- Regulatory compliance
- Customer retention
- Business profits
- Client fee revenue

In an effort to minimize these impacts and improve client service, organizations have evolved from centralized to decentralized (and hybrids of both) and established middle offices.

This results in the front office spending more time with the client and the middle office improving client data quality and support.

However, these changes require additional processes and technologies and also introduce significant risk and cost to manage new client on-boarding, funding, and other client support processes.

As your clients consolidate their assets searching for better returns and regulatory requirements change with increasing frequency, the ability to effectively manage and change client processes has never been more important.

Built on BPM technology using our extensive business experience and based on industry best practices, WealthWorx® is the BPM solution that enables organizations to significantly improve and manage all client processes.

Driving innovation and efficiency, WealthWorx® reduces costs and risk while improving quality and provides the business with control over change from both a technology and business perspective.

WealthWorx® provides a platform to meet the challenges of change and positions organizations to meet client service objectives creating a cost effective, high-quality process enabled organization.

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.

The Solution

WealthWorx® is the industry-leading, pre-built, comprehensive Business Process Management (BPM) solution designed for the Wealth Management Industry. Built on the Appian Enterprise BPM platform, WealthWorx® combines pre-developed workflows, integration, and delivery expertise with the latest in BPM technology to provide an innovative total solution for process automation and management.

- **Reduce costs** by automating processes to eliminate repetitive tasks
- **Improve quality** by eliminating missed steps
- **Reduce risk** by improving controls, driving policy, and enforcing compliance
- **Improve product delivery** with fast implementation of changes
- **Improve transparency** across the front, middle, and back-office
- **Enhance customer satisfaction** by completing tasks quickly and error-free
- **Improve revenue collection** and fund new business quicker
- **Enable ongoing change** across systems, regulations, acquisitions, staff, and growth

WealthWorx® is an application neutral platform, which can be implemented as either a stand-alone or integrated automation solution customized to meet organizational needs.

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.

The Oakbrook Advantage

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:

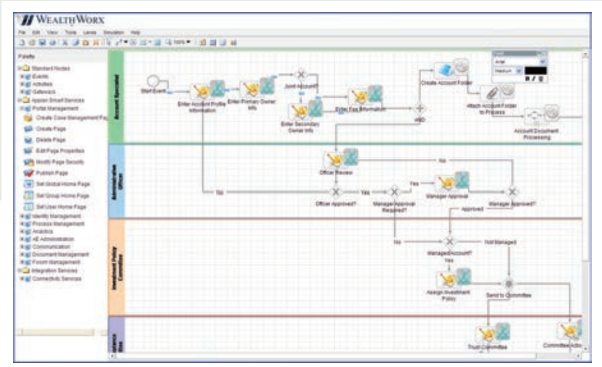
- **Speed of Implementation**
  Pre-developed processes and interfaces enable rapid implementation with proven fixed price delivery in 60-120 days, and provide a quicker return on investment
- **Reduced Risk**
  Proven processes and methodologies provide a quality implementation with verifiable results that accelerate revenue, and increase efficiency, and compliance
- **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

Delivered on a Full 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



WealthWorx® Process Modules

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

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

CIP/KYC Automation
- Central facility to initiate and process requests
- Business rule architecture
- 100% audit trail
- Management reporting

Exception Management
- Central facility to handle routing, escalation, resolution, and reporting of exceptions
- Full audit trail
- Failed Trades
- Cash/Asset Recon Exceptions
- ACH Rejects

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