

# Conducting an **Operational Diagnostic**

## PFI Advisors will:

- Conduct a full analysis of your back office systems and technology, including:
  - *Reporting*
  - *Account Opening/Transfer Process*
  - *CRM*
  - *Custodian/Clearing*
  - *End-to-End Workflow*
  - *Billing*
  - *Ongoing Service Model*
  - *Financial Planning*
  - *Compliance*
  - *Document Management*
  - *Trading/Rebalancing*
  - *Client Portal*
- Document all existing systems
- Determine if these systems are properly integrated with each other
- Interview employees to determine if/how they are using these systems
- Confirm these systems are being used properly
- Conclude if these are the right mix of systems for your firm
- Present a final report with high-level findings accompanied by a separate in-depth analysis suggesting:
  - What/How back office systems could work/run more efficiently
  - What workflows can be restructured
  - How your collective systems/overall infrastructure might be able to integrate better
  - What, if any, systems can be updated/replaced