The 6 Phases of an Operational Diagnostic Engagement

1 ***Assessment***
Collect Operational Diagnostic Questionnaire responses completed by Client's subject matter experts

2 ***Review***
Analyze Questionnaire data to produce an agenda for evaluation process

3 ***Evaluation***
Assess, through employee interviews, Client's ***people*** and ***processes***, focusing on *systems*, *workflows*, and *functions*

4 ***Research***
Investigate potential solutions to Client's pain points, ensuring long-term profitability and scalability

5 ***Deliver***
Propose findings, recommendations, and implementation timeline to Client

6 ***Align***
Discuss conclusions to determine strategy and next steps

Conducting an **Operational Diagnostic**

- Provide full analysis & documentation of back office systems and technology:
  - *Reporting*
  - *Custodian/Clearing*
  - *Ongoing Service Model*
  - *Document Management*
  - *Account Opening/Transfer Process*
  - *End-to-End Workflow*
  - *Financial Planning*
  - *Trading/Rebalancing*
  - *CRM*
  - *Billing*
  - *Compliance*
  - *Client Portal*

- Present a report with high-level findings and in-depth analysis suggesting:
  - How back office systems can run more efficiently
  - What workflows should be restructured
  - How to better integrate collective systems/overall infrastructure
  - What, if any, systems can be updated/replaced
  - Better definitions of roles and responsibilities as they pertain to our recommendations