



TECHNOLOGY. STRATEGY. ARCHITECTURE. MANAGEMENT.

# TABLE OF CONTENTS

## ABOUT INFOGRATE

### 1 WHO ARE WE?

A brief bio of Dr. Tania Neild and about InfoGrate as a team, an extension of your team. Not hourly, but goal oriented. Specialists in the field.

### 2 WHO DO WE HELP?

InfoGrate's clients serve the ultra-high-net-worth marketplace. These clients are similar in size, complexity/scope of needs, core business requirements.

### 3 WHAT DO WE DO?

We take care of the missing pieces of technology and operations in 4 main areas: application management, operations management, reference data management, and infrastructure management.

### 4 HOW DO WE DO IT?

We start each project at the top level with a focus on value and efficiency. We evaluate, check, re-work, oversee, and evolve clients' architecture accordingly.

### 5 WHY INFOGRATE?

Each team member at InfoGrate will integrate into your team seamlessly and each of us comes from the ultra-high-net-worth marketplace. Our focus is therefore narrow and niche.

### 6 GET IN TOUCH!

Contact us today for everything from sales inquiries to project briefs. We'll get right back to you!



# ABOUT DR. TANIA NEILD

FOUNDER // CTO



- Managing Director, CTO, COO of Private Client Resources
- Co-Founder and CTO of Envestnet Asset Management
- Computer scientist for NSA
- PhD from Northwestern University in database integration
- Retained CTO for several family offices

# THE INFOGRATE TEAM

A GLOBAL REACH





# ABOUT INFOGRATE

FAMILY OFFICE & WEALTH MANAGEMENT

- Family office (SFO and MFO) and wealth management
- Technology and operations
- Consulting boutique
- Every key player from the ultra-high-net-worth marketplace
- Company and team together for over 20 years
- Thoughtful, flexible, fast, focused, cost-conscious
- Results-oriented
- An extension of your team
- Not hourly

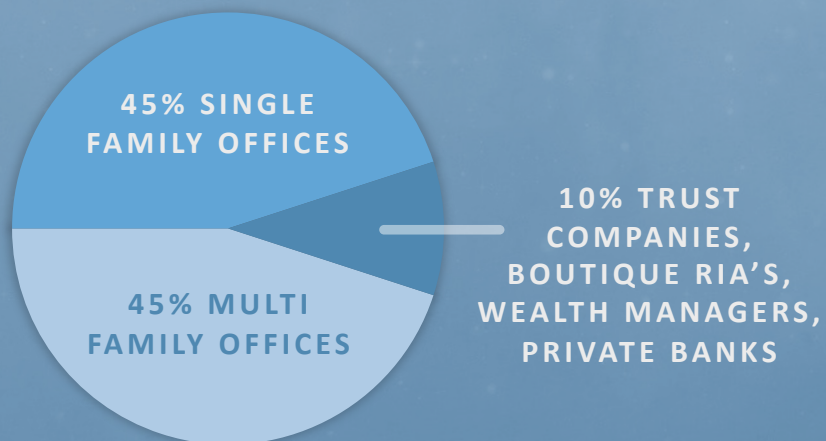




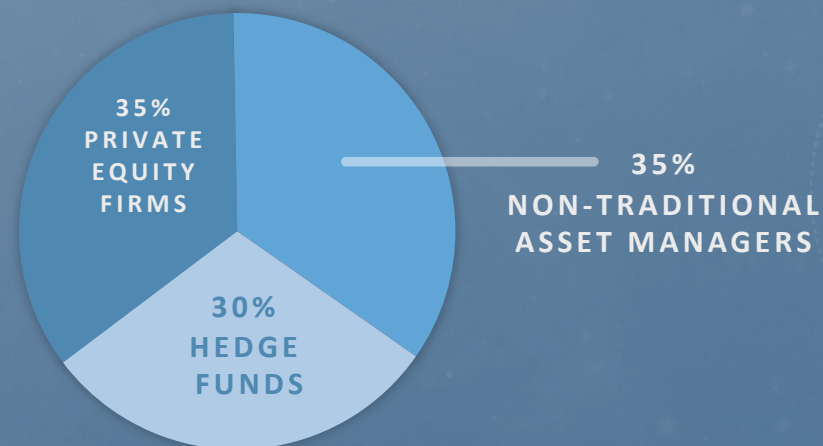
# WHO DO WE HELP?

OUR CLIENTS SERVE THE UHNW\* MARKETPLACE.

**90%**  
**ADVISORY  
GROUPS**



**10%**  
**INVESTMENT  
PROVIDERS**







# WHAT DO OUR CLIENTS HAVE IN COMMON?



**SIZE**



**COMPLEXITY  
OF NEEDS**



**SCOPE OF  
NEEDS**



**CORE BUSINESS  
REQUIREMENTS**



# SIZE



SMALL IN SIZE (FEWER THAN 150 EMPLOYEES) AND  
OFTEN NOT WELL SERVED BY TECHNOLOGY CONGLOMERATES



HIRING A DEDICATED CTO IS IMPRACTICAL, SENIOR PRINCIPAL USUALLY  
COVERS THESE RESPONSIBILITIES AS ADDITIONAL DUTIES



PREFER SMALL STAFFS OUTSIDE THE CORE SERVICE OF INVESTMENT  
AND RELATIONSHIP MANAGEMENT





# COMPLEXITY OF NEEDS



HAVE COMPLEX PORTFOLIOS  
AND REPORTING REQUIREMENTS



HAVE A FAIR AMOUNT  
OF MANUAL WORK



# SCOPE OF NEEDS



NO TECHNOLOGY PROVIDER  
OFFERS THEM A  
COMPLETE SOLUTION



THEY PULL TOGETHER VARIOUS  
PROCESSES, TECHNOLOGIES, AND STAFF  
TO SATISFY INFRASTRUCTURE  
AND OPERATIONS REQUIRMENTS





# CORE BUSINESS REQUIREMENTS

TYPICALLY FEWER THAN 150 EMPLOYEES.



CORE BUSINESS IS NOT TECHNOLOGY AND OPERATIONS (TOP'S),  
TOPS THEREFORE BECOME A HASSLE AND EXTRA COST



OVERSEEING COMPLIANCE AND RISK MANAGEMENT  
IS IMPORTANT



CONSIDERATION FOR OUTSOURCING AND REMOTE SUPPORT FUNCTIONS  
(CUSTODY, PRIME BROKER, RECONCILIATION, REPORTING, ETC.)



# WHAT DO WE DO?

WE TEND TO GAPS IN 4 MAIN AREAS.



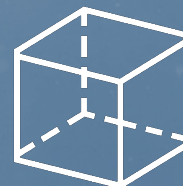
**APPLICATION  
MANAGEMENT**



**OPERATIONS  
MANAGEMENT**



**REFERENCE DATA  
MANAGEMENT**



**INFRASTRUCTURE  
MANAGEMENT**





# APPLICATION MANAGEMENT



## PORTFOLIO ACCOUNTING

Liquid and non-traditional asset focused, tax lots, generate accrued income.



## EXPENSE MANAGEMENT

General ledger, accounts payable, check writing, cash management, balance sheets, liabilities.



## TAX PREPARATION

Tax lot, cost basis backfill and matching.



## PERFORMANCE REPORTING

Daily time weighted and dollar weighted performance at any roll-up level.



## PORTFOLIO PLANNING & RESEARCH

Links to research, financial planning, rating systems, risk analysis, attribution analysis, Monte Carlo simulation, etc.

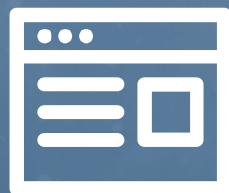


## BILLING

Client invoices, fee calculation, profitability review, cost analysis, business.



# OPERATIONS MANAGEMENT



## DATA ACCESS

Import to custodians, brokers and investment managers via direct feeds, screen scrapes, OFX feeds, emails, faxes, paper



## DATA RECONCILIATION

Daily reconciliation to position or trade blotter, process corporate actions, secondary statement validation, year-end review





# REFERENCE DATA MANAGEMENT



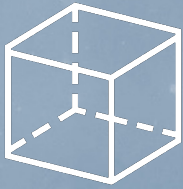
## RELATIONSHIP MASTER

CRM, entity management, task, follow-ups, correspondence management, bi-directional link to reporting, partnership systems



## ASSET MASTER

Import research and feeds for liquid security master, build master for non-traditional assets, price and maintain master elements



# INFRASTRUCTURE MANAGEMENT



## STORAGE

Backfill into data warehouse of transactions, pricing, cost basis, performance, report archiving, document scanning and management



## REPORTING

Website access, design, print production, mailing, report programming, alert management





# SOME EXAMPLES OF REQUESTS

ASSESSMENT, STRATEGY, SEARCH



## ASSESSMENT

Assess how TOPs can more effectively support organization (2 days onsite, 3 days offsite; 2 weeks to 1 month)



## STRATEGY

Identify, build, and maintain TOPs strategy for new family office or wealth management offering (1 week followed by retained onsite every 3-6 months, weekly calls/interaction)



## SEARCH

Identify, compare, review, and negotiate solution for specific problem such as outsourced aggregation, reconciliation, reporting (depends on scope of solution; 2 weeks in 1 quarter or as part of retainer)



# SOME EXAMPLES OF REQUESTS

INTEGRATION, LEVERAGE, SECURITY, ARCHITECT



## INTEGRATION

Pull together information/system/providers (custody, partnership tracking, portfolio accounting) to form complete picture to track and report progress. GL to Portfolio Accounting to CPA to Reporting)



## LEVERAGE

Extend foundation platforms to realize full potential of their investment, such as designing, building, or buying a portal to offer remote access to critical documents or reports, or building dynamic monitor for transactions, schedules, activates, changes



## SECURITY

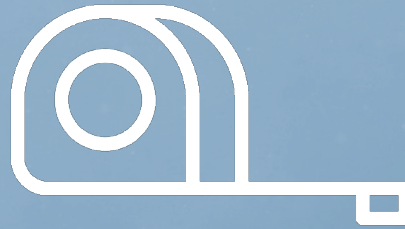
Perform security review, create business continuity plan  
(1 day onsite; 2 weeks)



## ARCHITECT

Navigate the Cloud vs In-House debate on control, ownership, contract, partners, security, and quality for servers, phones, and applications (1 day onsite; 2-4 weeks)





## **CASE STUDY: ASSESSMENT**

To begin fulfilment of an assessment request, we interview with staff at all levels to understand what and how they work. We focus on spreadsheets, reports, systems, and plans. We identify low hanging fruit and strategic opportunities.



# ASSESSMENT – FOCUS POINTS

WORKFLOWS, ADMINISTRATION AND INTEGRATION



INVESTMENT WORKFLOWS AND PARTNERSHIP ACCOUNTING



FRICTIONLESS CLIENT SERVICES- ADMINISTRATION AND REPORTING



INTEGRATED INFORMATION WITH MANUAL WORK AND REWORK





# ASSESSMENT - CASH FLOW AND AP

SPENDING, PROJECTIONS, AND MOVEMENTS



## PRO:

Cash from company stock makes liquidity issues and rebalancing simpler.



## CON:

No electronic source for the kick off of the flows.



**NEED:** Better schedules, tracking, workflow, and tagging of cash flows.

## LOW HANGING FRUIT:

- Sharepoint and flow as part office 365 for investment document filing.
- OCR of Investment statements or cash flows to kick off investment call or distribution.
- Reporting Warehouse for spending or alike non accounting details.
- Liquidity schedule tool to track future cash needs.



## STRATEGIC CONSIDERATIONS:

- Central bank, omnibus accounting, or general bank to central cash payments.
- Build reporting layer.
- Bank connections.





## **CASE STUDY: STRATEGY**

**For strategy-based requests, we identify, build, and maintain TOPs strategy for new family office or wealth management offering.**





# STRATEGY

TECHNOLOGY MYERS BRIGGS

CURRENT

GOAL



## VISION.

How far out do you want to plan your services and solutions?

CURRENT SERVICE

IN 5 YEARS



## SCOPE OF SERVICES.

From investment oversight to bookkeeping, tax, or even concierges?

BREADTH (MANY SERVICES)

DEPTH (EXPERT SPECIALTIES)



## STYLE.

Do your clients have the same offerings, services, and reports?

CUSTOMIZED SERVICES

STANDARDIZED REPORTS & SERVICES



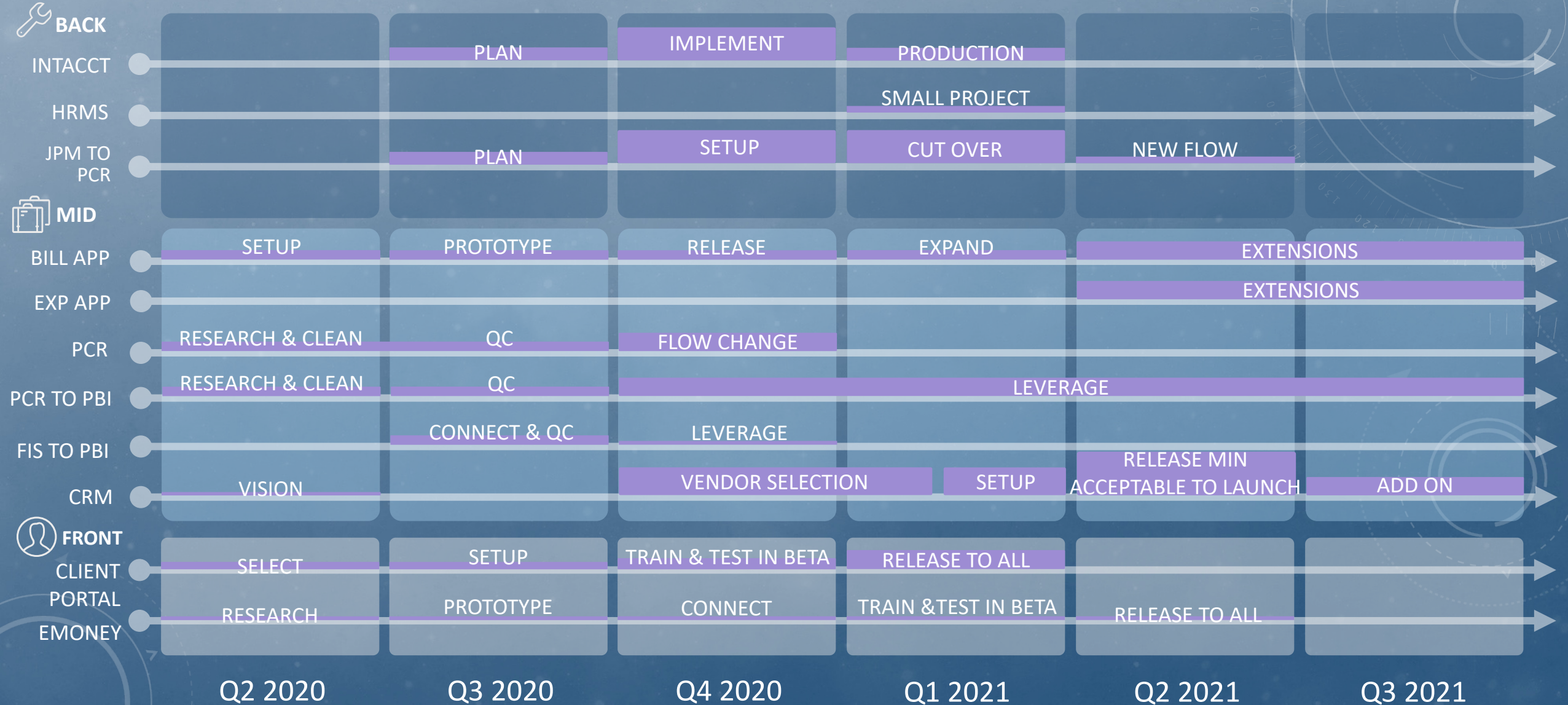
## **CASE STUDY: RETAINER**

**A year + long engagement to add flexibility and create a deeper sense of holistic engagement with InfoGrate as a true extension of your team. InfoGrate is retained with a strategic mission, and can move to address all aspects of the organizations technical, operational, information and process/workflow needs. While a year long and comprehensive, each month, quarter and the year will have different concrete milestones.**





# RETAINER - 18 MONTH PLAN





# RETAINER - COSTS

TODAY AND IN THE FUTURE

	TODAY	ANNUAL	SETUP
IWORKS	-	50K	N/A
INTACCT	-	25K	70K
BILL APPROVAL	-	10K	5K
EXPENSE APPROVAL	-	10K	5K
PCR DATA	-	-	-
MIGRATE PCR PDF	-	-	5K
EMONEY	-	5K	NONE
CRM	-	25K	30K
CLIENT PORTAL	-	75K	50K
OFFICE 365	-	-	-
CONFIGURING/TRAINING	-	-	15K
INVESTMENT SCORECARD	-	19.6K	
OVERALL PROJECT MANAGEMENT	-	-	15K
TOTAL	-	219.6K	195K





## **CASE STUDY: PROJECT**

**For strategy-based requests, we identify, build, and maintain TOPs strategy for new family office or wealth management offering.**



BACK  
OFFICE



MIDDLE  
OFFICE



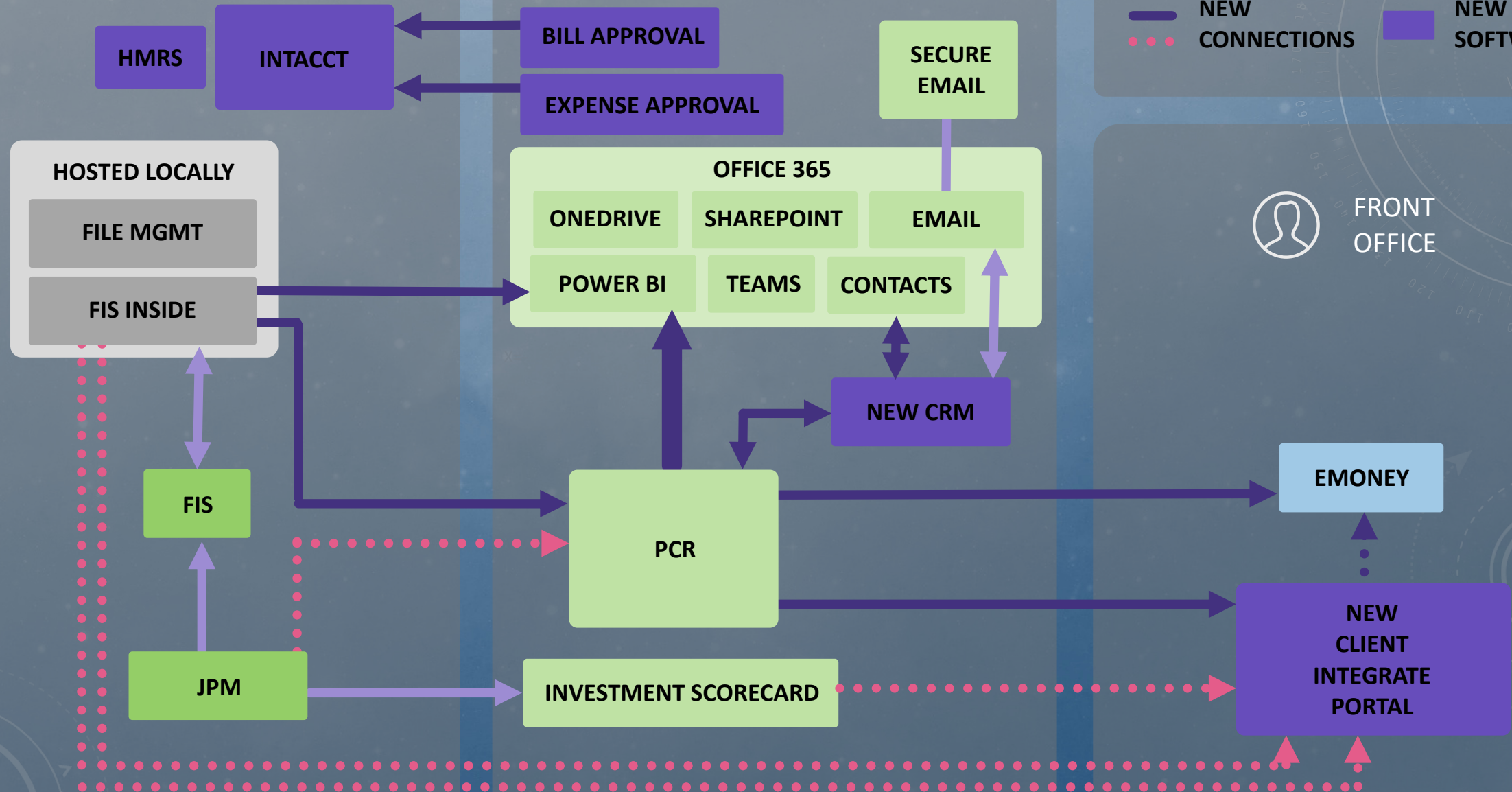
KEY IMPROVEMENTS

NEW  
CONNECTIONS

NEW  
SOFTWARE



FRONT  
OFFICE







# HOW DO WE DO IT?



**FIXED  
RESULTS**



**FOCUS, FOCUS,  
FOCUS**



**THE  
FLIP SIDE**



# FIXED RESULTS



## FIXED BIDS

Simple single fixed bid for assessment, audit, security project, each with well-defined deliverable; InfoGrate remains an independent consultant.



## FIXED BID SEARCHES

We act as a member of **your** team; we do not take **any** fees from vendors.



## RETAINED CTO // CONTRACT

To support strategy and TOPs plans – InfoGrate leads and oversees the effort and results rather than just managing the project.





# FIXED RESULTS



## FIXED BID PROJECTS

Break larger leverage or integration engagements into fixed-bid projects, milestones, and results – InfoGrate's team is an extension of **your** team.



## FLEXIBILITY

Offering breadth of service, whether you require an ongoing relationship, specific packages, or custom development.



## NOT HOURLY

Rarely work by the hour; it's more efficient for us to tend to your needs than to watch the clock.



# FOCUS, FOCUS, FOCUS



## DEEP SPECIALISM

We are deep specialists in wealth management technology; we cover it top to bottom, inside and out, rather than broadly covering many sectors.



## INNOVATION

InfoGrate works to innovate, enjoy, and produce; not to push paper, grow egos, or satisfy personalities.



## INTEGRITY

We practice what we preach, keeping non-core production requirements simple: overhead, sales, management, and billing are light





# FOCUS, FOCUS, FOCUS



## OFFSITE OPERATIONS

InfoGrate operates offsite unless needed onsite; if we are doing our jobs effectively; we are best left to execute our work rather than provide face time.



## COST-EFFECTIVE

We have established relationships inside and outside the United States to find the most cost-effective providers for development and production.



## EFFICIENCY

We reuse experience, generic code, processes, data feeds, tools, and knowledge to get clients up and running faster and more effectively than other, broader-based players.



# THE FLIP SIDE

WHAT WE DON'T DO



## TRADITIONAL CONSULTANT

InfoGrate is **not** an outside consultant that relies on polished marketing and formal project management.



## POLITICS

We do not get caught up in political boundaries.



## DESIRES

We work with the reality of practice, not the desires.





# WHY INFOGRATE?



We act and integrate like members of **your** team, not project or business management consultants.



Everyone at InfoGrate, right down to the office manager, is the the ultra-high-net-worth marketplace.



Technology and operations-centric for narrow niche market.



Service oriented and thoughtful.



Flexible, fast, results-focused, and cost-conscious.



Tight family team together for over two decades.



TECHNOLOGY. STRATEGY. ARCHITECTURE. MANAGEMENT.



1 (800) 406-5488



[linkedin.com/company/infograte](https://www.linkedin.com/company/infograte)



[info@infograte.com](mailto:info@infograte.com)