



Strategic Assessment Outline

AK Advisory Partners LLC (“AK”) conducts its strategic reviews in two phases - Review of Current Business and Implementation. This first step includes an exhaustive examination of all aspects of your current operations, including a comprehensive in-person visit. The deliverable is a menu of suggested changes with recommended priorities and a timetable for implementation.

PHASE I: REVIEW OF CURRENT BUSINESS

Our ability to assist you in successfully adapting and growing your business rests on our having a complete understanding of your current organization and lines of business. As important is our understanding of the priorities and perspectives of your key executives and employees. Extensive in-person interviews highlight this portion of the project and provide insight needed before making any recommendations. We have often found that information uncovered in such interviews highlight internal inconsistencies which can hamper future growth if left unaddressed.

A. Review existing corporate strategy and organization

1. Corporate structure
2. Business, strategic and succession plans
3. Marketing, distribution and client servicing plans
4. Staffing levels, hiring and training procedures
5. Operational procedures



6. Compensation
7. Compliance / legal capabilities
8. Communications (internal and external)

B. Review marketing materials and corporate branding

1. Web Site
2. Client presentation books
3. Brochures / marketing materials
4. Client reports and materials
5. Training manuals
6. Client service manuals

C. Review target client markets

1. Current markets
2. Penetration / success rates
3. Strengths and weaknesses of each
4. Barriers or hurdles to access



The success of any strategic review rests on the following client commitment:

- 1) All employees will be required to fill-out a proprietary questionnaire;
- 2) All employees will be made available for in-person interviews;
- 3) Information requested will be provided freely and in a timely basis; and
- 4) All information obtained in interviews is confidential and individual sources of information will not be divulged

DELIVERABLES:

- 1) Overall assessment of business, including structure, corporate strategy, marketing distribution and client servicing strategies;
- 2) Assessment of why desired success has not been achieved that you have such success can be achieved in the future;
- 3) A strategy to move your business forward, including specific actions (menu of suggested changes) and suggested prioritization of such actions; and
- 4) An estimated timeline for completion for each action

This report will be the basis for the Phase II: Implementation. Once a course of action has been agreed upon, a proposal and timeline for this phase will be prepared.

AK Advisory Partners is a consultancy to the financial services industry, providing advice and training to firms and individuals in the fee-based, investment management and wealth management areas.

Our Principals have gained in-depth knowledge of the banking, brokerage and investment management businesses during their successful careers and varied roles at preeminent small, midsize and large companies. They have developed an adaptable mix of mentoring, problem-solving and communication skills and a strong network of industry contacts and resources. They also have reputations for decisiveness, honesty and fairness.

AK Advisory Partners LLC is committed to listening to our clients' needs and collaborating to help meet their stated objectives. Our credibility rests on open and honest communication at all times and on delivering the unparalleled service that our clients expect and deserve.

Please give us a call to discuss how we can partner for success.

**Andy Klausner, Founder and Principal
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