



Break Through Advisers

Enabling Growth For Broker Dealers

The complexity of operating a business is significant. Owning and operating a Broker Dealer is even more complex when considering the additional layers of requirements that are placed on the firm. The ability to concentrate efforts on the key functions of the broker dealer is critical to achieving success. Our team of professionals are positioned to provide support in the following areas:

National Sales Training - May consist of monthly strategy and product training sessions via Webinar combined with adviser level case support. Training may also be delivered through a series of conferences.

Product Due Diligence - Our role is to provide the due diligence necessary to enable the firm to make a better informed decision on approval. As an independent firm, we are not subject to the pressures placed by the sponsors nor the producing representatives but rather represent the best interest of the clients, the advisers and the firm. See "Minimizing Broker Dealer Risk" for more information.

Vendor Management - Support the efforts of the advisers and broker dealer by engaging sponsor firms to provide ongoing support and communication.

Compliance - Provide support in developing written supervisory procedures and general processes for the handling of REIT's, Oil and Gas, Private Equity, Structured Products, Hedge Funds and Life Settlements. We can also assist in the creation of an RIA and development of your ADV.

Insurance Training and Support - Delivered through a combination of our strategic partners, we are able to work with the sales force to provide training on key concepts, access to superior offerings and individual case support as needed. We also analyze the firms current compensation arrangement on variable life and if new relationships should be added.

Technology - Development of electronic delivery and archiving, website development, e-mail platform, phone and computer network build out, and CRM systems are all components of the value we can provide. A current technology and needs assessment would be our initial step.

Human Resources - Our HR expertise enables us to provide employee engagement and performance management initiatives, coaching, human capital development, benefits/compensation planning, and job description analysis. As partners we will help ensure that the right people are in the right jobs and compensated appropriately.

Our services are intended to enable your firm to break through its existing level by increasing adviser knowledge, expanding revenues, streamlining critical functions, and outsourcing functions that do not directly improve the value of the firm.

Contact us today for more information

TEL (586) 202-6969

www.BTAdvisers.com