



CASE STUDY

Digitally Transforming Advisor Onboarding, Compensation, Compliance and New Account Opening

San Diego, Calif.-based boutique RIA and broker-dealer Madison Avenue Securities was seeking a flexible, modern front- to back-office operations platform that would help enhance the productivity of more than 140 affiliated financial advisors across 100 U.S. locations, and adapt to continuous business change for years to come.

Challenge

- ▶ While the firm used different best-of-breed platforms over the years, keeping pace with business growth and increasing advisor, compliance and scalability requirements became more difficult.
- ▶ The drive to continuously meet the needs of its growing network of financial advisors became ingrained in the company's progressive mission and fast-moving culture, from leadership to technology.
- ▶ There were few qualified technology providers who could help the firm adopt a hub-and-spoke, cloud-based model within a seamless Salesforce ecosystem and transform its vision into a reality.

 **Madison Avenue Securities, LLC**[®]
Member FINRA/SIPC, a Registered Investment Advisor

Location	San Diego, CA
Employees	35 plus 140+ affiliated advisors
Solution	Full Platform
Live Date	2020

“Sycamore’s expertise in modernizing how broker-dealers and RIAs manage advisor compensation and compliance – all within the Salesforce platform – is helping our advisor community increase efficiencies, adapt to change, and digitally transform their paper-intensive processes across the front and back offices.”

▶ *Casey Cotton, Chief Technology Officer, Madison Avenue Securities, LLC*

Solution

- ▶ Madison Avenue Securities chose Sycamore Company to provide a highly adaptable, central native-Salesforce platform – branded internally as Omnio Pro – which became the firm’s hub of operational data and efficiency while delivering a completely digital experience for advisors and their clients.
- ▶ The Sycamore Company platform manages advisor recruiting, advisor onboarding and compensation; compliance with OFAC, FinCEN and SEC RegBI capabilities; and client relationship management.
- ▶ Dashboards come complete with Einstein Analytics which present insights to advisors on important client, operations and compliance activities and trends.
- ▶ The platform provides client onboarding (new account opening) leveraging [Finity360 Docs](#) for auto-indexed document management integrated with e-signatures, and other apps within the Sycamore platform to create an end-to-end, paperless experience for advisors and their clients.

Impact

- ▶ In coordination with Finity360 and other partners, accelerates processes and eases the paperwork burden on the firm’s financial advisors
- ▶ Delivers insights and reduces risk through Einstein Analytics for trade surveillance, supervision and trends detection
- ▶ Offers limitless functional and integration possibilities due to an open, cloud-based architecture
- ▶ Meets the FINRA and SEC requirements for record retention via Finity360 Docs
- ▶ Provides a fully digital onboarding process for reps and new account opening process for clients, from prospect to signing

“ Sycamore is extremely responsive and knowledgeable of the financial services industry, which has helped to accelerate the design, implementation and rollout of the platform.”

▶ Casey Cotton

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