From Insight to Action: The Converging World of Data and the Advisor

Donna Prlich, Chief Business Officer

Shift from Data

…to Insights and Action

Robo Advisors Require the Human Touch

Texting & Voice Calls will be Critical Channels AI will be optional

SEC warning: Advisor texting an
media on watch

By
Jessica Mathews

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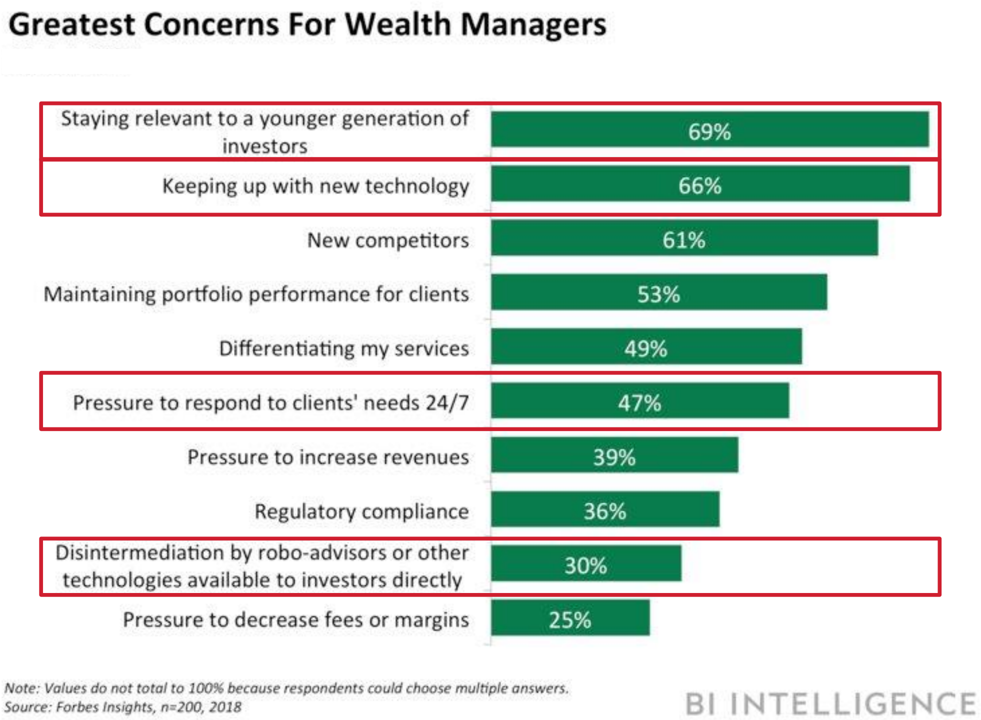
Texting clients? It's been relatively uncharted territory from a compl
no longer.

Despite Significant Investments, Wealth Management Lags



We Must Bridge the Corporate-Field Data & Digital Divide

< Can’t close loop / missing data

CORPORATE

Customer Data

Market Data

3rd Party Data

ADVISORS

Interaction Data

Relationship Data

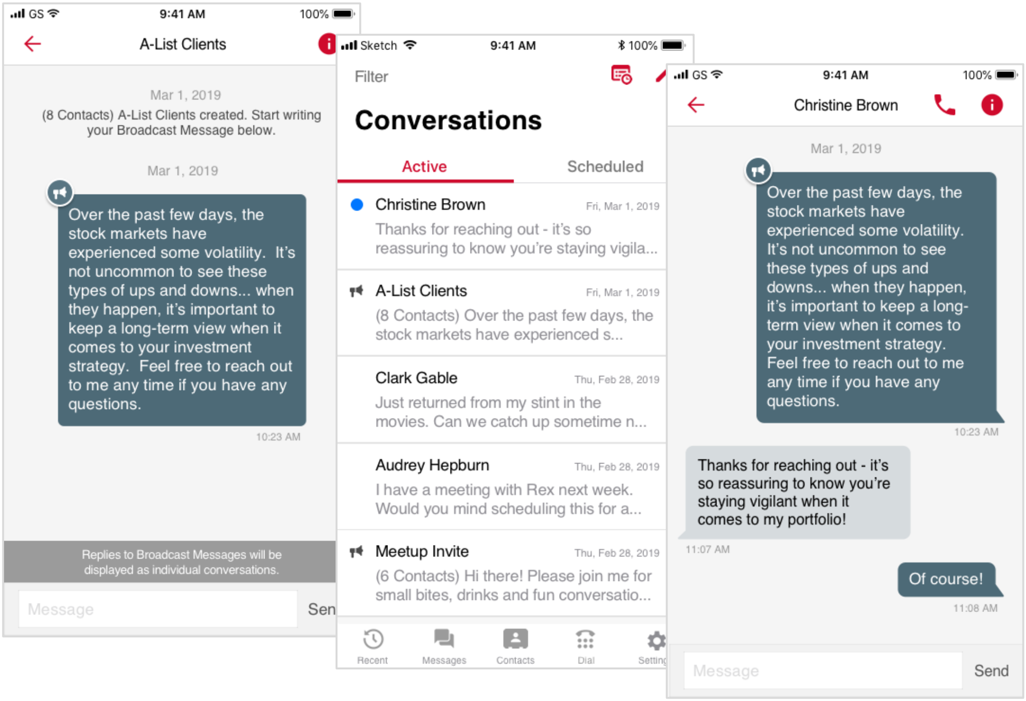
Limited influence / control >

“Touch points between advisors and clients are perhaps the most important pillar of the client experience yet often overlooked… To succeed, Marketing, Sales, and IT need to become best friends.”

JPMorgan Chase & Co.

Kristin Lemkau
Chief Marketing Officer
JPmorgan Chase

Digital marketing must be part of the routine



"When our advisors have 5 minutes to think about marketing, they [literally] have 5 minutes to think about marketing"

Chris Johnson
Advisor Marketing & Communication
Janney Montgomery Scott LLC

“Advisors are at a challenging crossroads as they embrace the needs of a new generation of clients in pursuit of financial security”

Katherine Kirkpatrick
Director of Strategic Marketing
First Command

Can you connect on a variety of channels?

Today's clients are well-informed, hyper-connected, on multiple devices and engaging on multiple channels. **They’re looking for advisors who can meet their rising expectations.**

THE NEXT GENERATION ENGAGES ACROSS MULTIPLE PLATFORMS

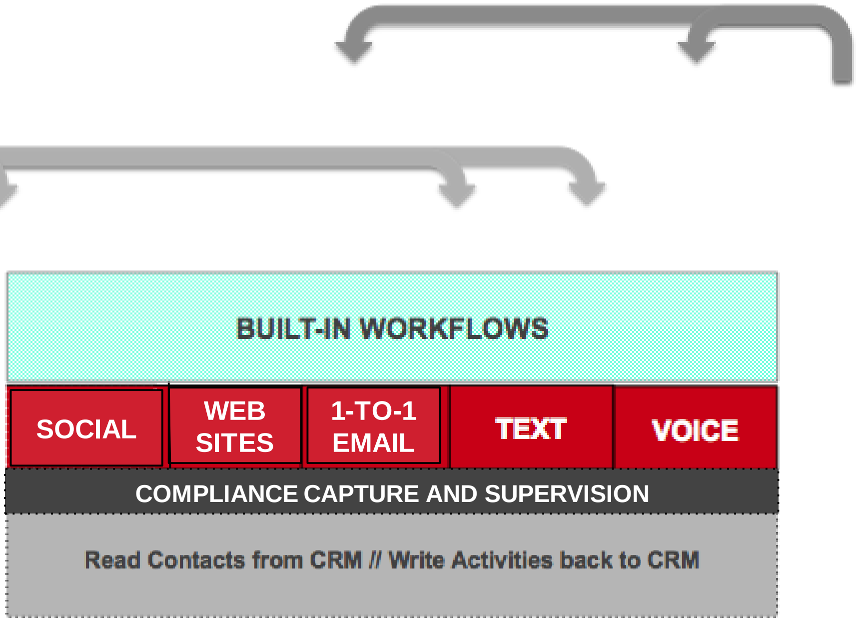
“By enabling our advisors to engage this next generation more effectively via mobile and social media with the level of compliance that our industry demands, it will vastly improve their ability to serve this growing client base.”

Karen Shakoske
SVP Head Of Marketing & Corporate Communications
Janney Montgomery Scott LLC

Automated and Triggered Workflows

ADVISOR-INITIATED WORKFLOWS

EXAMPLES
- Birthday
- Congratulations
- Referrals
- Meeting and Event Reminders



CORPORATE-INITIATED WORKFLOWS

EXAMPLES
- Follow-up on Corporate Leads
- Schedule/Track Annual Reviews
- Change in Beneficiary
- Maturing Bond
- Retirement RMDs
- Next Best Actions

hearsay SYSTEMS

“By leveraging social media at Raymond James, our financial advisors have been better able to find and to use their voice in both differentiating themselves from the competition as well as engaging in what's vastly becoming a very preferred mode of communication with so many clients."

RAYMOND JAMES®

Tash Elwyn
President and CEO
Raymond James & Associates Private Client Group

Summary

1

Data creates a personalized advisor-client experience

2

Customers will choose their preferred communication channel

3

Automation and triggered actions transform the corporate to advisor workflow

The End