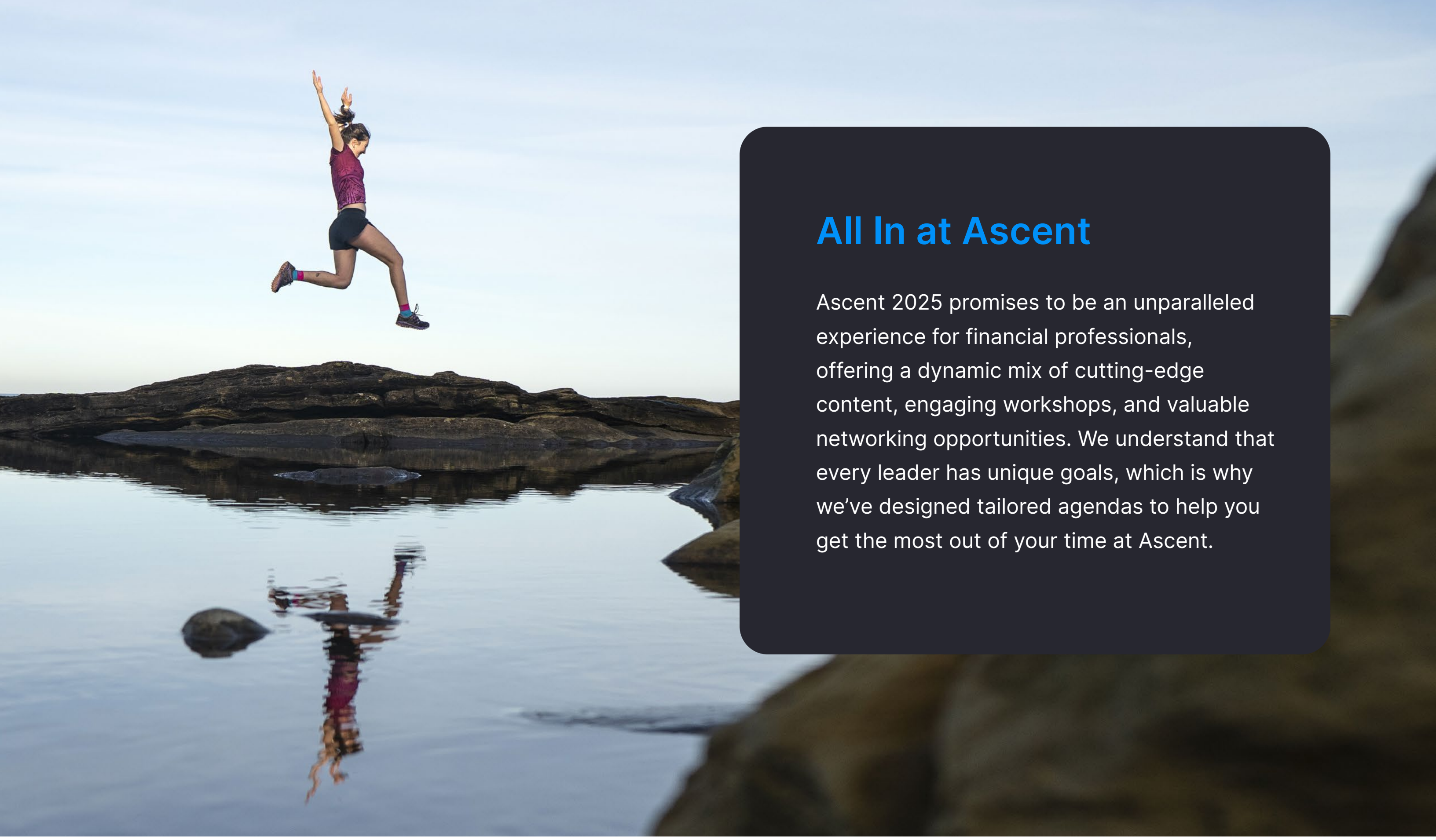
Go All In on Your Ascent 2025 Experience

A tailored agenda to help you maximize your conference experience, designed with your unique role and goals in mind.



All In at Ascent

Ascent 2025 promises to be an unparalleled experience for financial professionals, offering a dynamic mix of cutting-edge content, engaging workshops, and valuable networking opportunities. We understand that every leader has unique goals, which is why we've designed tailored agendas to help you get the most out of your time at Ascent.

PERSONA OVERVIEW

Enterprise, Home Office and RIA Leaders

If you're leading an RIA, aggregator, or independent Broker-Dealer firm, this agenda is for you! As a visionary guiding your firm toward success, you'll gain key insights into trends that shape the future of the industry, innovative growth strategies, and tools to strengthen your firm's competitive edge.

LET'S DIVE IN

PRE-CONFERENCE EXCLUSIVE

Exclusive Briefing for Broker Dealer-Home Office, Tech Elite & Industry Consultants

Join us for an exclusive meeting crafted for Broker-Dealer Home Office attendees, Tech leaders, and industry consultants. This specialized session is designed to ensure you navigate the conference with precision. Dive into a curated overview of the agenda, identify essential sessions that align with your strategic initiatives and interests, and engage in a dynamic Q&A with our product team to gain insights into Orion's strategic direction. Leave equipped with knowledge and resources to maximize your Ascent experience.

Passing the Torch: Effective Techniques for Generational Wealth Transfer

As advisors, one of the most critical roles you play is helping clients navigate the complexities of transferring wealth across generations. In this session, we'll explore creative strategies and practical techniques to ensure a smooth and effective generational wealth transfer.

Topics will include:

- **Estate Planning Essentials:** Key components and best practices for creating robust estate plans.
- **Tax-Efficient Transfers:** Methods to minimize tax liabilities during wealth transfers.
- **Trusts and Gifting:** Leveraging trusts and gifts to protect and manage assets.
- **Family Governance:** Establishing governance structures to maintain family harmony and financial stability.
- **Communication Strategies:** Facilitating open and productive conversations about wealth between generations.
- **Case Studies:** Real-world examples of successful wealth transfer strategies. You'll walk away with valuable insights and tools to help your clients secure their legacy and ensure their wealth is preserved and grown for future generations.

Whether you're new to the field or a seasoned professional, this session will provide actionable takeaways to enhance your advisory practice.

The AI Advantage: Transforming Compliance with Orion

In a demanding and ever-changing regulatory environment, staying ahead of the curve with innovative compliance tools is crucial. In this deep dive session, you'll learn how to leverage technology to automate and scale your compliance program, identify essential features from your compliance technology provider, and stay exam-ready by effectively utilizing your technology. Plus: cover compliance concerns presented by AI and how to use it effectively and compliantly.

Advanced Wealth Strategies: Leveraging Direct Indexing for Alpha and Tax Efficiency

Direct indexing allows financial advisors to offer highly personalized investment strategies that go beyond traditional indexing. By customizing portfolios, advisors can enhance alpha, mitigate risk, and optimize tax efficiency to meet the specific needs of each client. This approach not only provides a unique value proposition but also helps advisors differentiate their services in a competitive market. Implementing direct indexing strategies can lead to more precise portfolio management, better alignment with client goals, and improved overall investment outcomes.

Compliance Masterclass: Insights from Industry Experts

Welcome to "Compliance Masterclass: Insights from Industry Experts," where advisors gain unparalleled access to top-tier compliance knowledge and strategies. This dynamic session brings together a panel of seasoned compliance professionals and industry leaders to provide actionable insights and guidance on navigating today's complex regulatory environment.

In this masterclass, you will:

- **Hear from Leading Experts:** Gain first-hand knowledge from a panel of compliance specialists who will share their expertise on current regulatory trends, challenges, and best practices.
- **Understand Key Compliance Issues:** Explore critical compliance topics affecting financial advisors, including risk management, regulatory changes, and effective compliance strategies.
- **Get Practical Advice:** Learn practical, actionable strategies to enhance your compliance programs, streamline operations, and mitigate potential risks.
- **Stay Ahead of Regulatory Changes:** Equip yourself with up-to-date information and insights to ensure your practice remains compliant and competitive in a rapidly evolving landscape.
- **Engage in Interactive Discussions:** Participate in a lively Q&A session where you can pose your pressing compliance questions.

This session is designed for advisors seeking to deepen their understanding of compliance, improve their regulatory practices, and stay ahead of industry changes. Don't miss this opportunity to gain valuable insights and practical tools from the forefront of the compliance field.

The Future of Regulation: SEC's 2025 Focus and Post-Election Impact

As we kick-off 2025, the regulatory landscape for financial advisors is set to undergo significant changes. Don't miss this in-depth exploration of the Securities and Exchange Commission's (SEC) anticipated priorities and regulatory shifts following the recent elections. Join us for a comprehensive analysis of the SEC's evolving agenda and the implications for your practice.

We will delve into:

- **Upcoming SEC Priorities:** Understand the key regulatory areas that the SEC is expected to focus on in 2025, including emerging trends, enforcement priorities, and policy shifts.
- **Post-Election Regulatory Landscape:** Gain insights into how the election results could influence regulatory changes, including potential alterations in leadership, policy direction, and legislative support.
- **Strategic Implications for Advisors:** Learn how these developments may impact your business operations, compliance strategies, and client interactions.
- **Preparation and Adaptation:** Discover actionable strategies for staying ahead of regulatory changes and effectively navigating the evolving regulatory environment.

This session is essential for advisors looking to stay informed and strategically prepare for the regulatory changes on the horizon. Equip yourself with the knowledge and tools needed to thrive in a shifting landscape and ensure your practice remains compliant and competitive.

Turn Your Team into an Unstoppable Machine

As an office, you could have the right tools in place, the right plans, and the right attitude, but if your team is not on the same page, your plans could wind up less than the sum of its parts. In fact, according to Dale Carnegie, organizations with engaged employees outperform those with low employee engagement by 20%*. In this session, get key tips, tricks, and strategies to keep your team functioning for high performance to truly make your practice unstoppable. Remember, as the old saying goes, "Teamwork makes the dream work."

*Source: The ROI of Employee Engagement: 7 Stats Your Need to Know, Business2Community, 2022.

The KPI Playbook: Metrics That Drive Firm Valuation and Sale

Join us for an insightful session tailored to advisors looking to maximize the marketability and value of their firm. In today's competitive landscape, understanding and leveraging key performance indicators (KPIs) is essential for demonstrating the strength and potential of your business.

Whether you're preparing for a future sale or simply aiming to enhance operational efficiency, this session will equip you with the essential metrics and strategic insights you need, including:

- **Identifying Critical KPIs:** Learn which metrics are crucial for evaluating the health and growth potential of your firm.
- **Impact on Valuation:** Understand how KPIs influence the valuation process and what potential buyers are looking for.
- **Optimizing Business Performance:** Strategies for using KPI data to drive operational improvements and increase profitability.
- **Preparing for a Sale:** Practical steps to prepare your firm for sale, focusing on enhancing attractiveness to potential buyers through data-driven insights.

Tips and Tricks for Attracting More HNW Business

High-net-worth clients are not too dissimilar from every other client segment; they have concerns, hopes, dreams, and needs around their wealth. The thing is, they also have much clearer ideas of how they want to achieve their aspirations. HNW clients want their money to make an impact, and they want to have a deep, personal relationship with the people they entrust to help make it happen. Dive into some of the most effective strategies you can use to bring in HNW clients and serve them in ways they are looking for: by helping them attain their goals in meaningful and impactful ways.

Life After Death: Building Trust with Beneficiaries

We've all heard the statistics: over 70%* of widows leave their advisors after their spouses dies. The fact is, many advisors simply overlook the need to connect, communicate, and build strong relationships with spouses and dependents of clients. By the time tragedy strikes, it's already too late to stare. In this session, learn impactful strategies you can implement to be a genuine, positive presence for those beneficiaries who are going through the most upheaving, turbulent time in their lives.

*Source: Financial Challenges Hit Haarder for Widowed Women, Thrivent, 2024.

The Billion Dollar Firm Advantage

Leaders of billion+ dollar firms will share secrets behind their growth and sustained success. Discover the common strategies, technologies, and business practices that set these fast-growing companies apart from the competition. This session features firsthand insights from top-performing clients who have surpassed the billion-dollar threshold in assets under management, revealing how they leverage innovation, operational excellence, and market insights to maintain a competitive edge. Attendees will leave with actionable takeaways on scaling operations, enhancing client engagement, and driving firm growth effectively. Don't miss this opportunity to learn from the best in the business and identify key drivers that could propel your firm into the billion-dollar club.

Tech-Connected Roundtable: Uniting Users of Orion Tech

Join fellow users for a unique networking opportunity designed to enhance how you use Orion technology. In this engaging session, you'll sit alongside firms that are harnessing the same Orion solutions as your own, providing a rare chance to exchange best practices, explore successful strategies, and discover new approaches to common challenges. Orion product team members will facilitate discussions at each table, ensuring you can voice your experiences and provide direct feedback that shapes the future of our technology. This interactive roundtable is the perfect setting to foster collaborations, gain insights, and influence product developments with your professional peers. Don't miss out on the chance to connect deeply with the community and enhance your firm's operational efficiency and service delivery.

Custom Fit Tech: Tailoring Your Perfect Tech Stack leveraging Orion Integration Partners

Unlock the full potential of your firm's technology by customizing a tech stack that aligns perfectly with your business objectives. In this dynamic session, Jeff Kliewer will guide attendees through the strategic process of selecting and integrating the ideal technologies for their firm using Orion's extensive network of integration partners. Learn how to assess and combine diverse tech solutions to enhance operational efficiency, improve client service, and achieve competitive differentiation. Whether you're looking to refine your current setup or build a new one from the ground up, discover how to leverage Orion's flexible ecosystem to create a tech stack that truly fits your firm's unique needs. Join us to ensure your technology empowers your firm to do business exactly as you envision.

Trailblazers in Trading: Establishing and Scaling an Effective Trade Desk Team

Discover the key strategies and tools needed to scale an effective trade desk in today's dynamic financial markets. This leader-led panel will guide you through best practices for streamlining operations, enhancing trade execution, and managing risk. You'll learn about the latest technologies and methodologies that can help you optimize your trade desk's performance and drive growth.

Streaming Success: Unlocking Efficiency and Customization with Data Streaming

Dive into the dynamic world of data streaming in our live case study session, "Streaming Success." Discover how leading-edge firms are harnessing the power of real-time data to revolutionize operational efficiency and craft personalized client experiences. This session will explore various successful use cases, demonstrating the transformative potential of data streaming in the financial sector. Gain insights on how you can integrate these strategies into your firm to optimize processes and meet client needs with unprecedented precision and agility. Join us to see data streaming in action and learn how to leverage this technology to elevate your firm's service and performance.

FIRST LOOK

Product Demos

Be among the first to see and experience Orion's newest technology, right there with the people who design and develop it to transform your business. Ask questions, explore the opportunities, and get excited for everything coming next.

Join us at Ascent 2025 to take advantage of exclusive content designed to help executive leaders like you steer your firm toward new heights of success.

Register Today

About Orion

Orion is a premier provider of the tech-enabled fiduciary process that transforms the advisor-client relationship by enabling financial advisors to Prospect, Plan, Invest, and Achieve within a single, connected, technology-driven experience. Combined, our brand entities, Orion Advisor Tech, Orion Portfolio Solutions, Brinker Capital Investments, Redtail Technology, and Orion OCIO create a complete offering that empowers firms to attract new clients seamlessly, connect goals more meaningfully to investment strategies and outcomes, and ultimately track progress toward each investor's unique definition of financial success. Orion services $4.4 trillion in assets under administration and $69.4 billion of wealth management platform assets (as of June 30, 2024) and supports over six million technology accounts and thousands of independent advisory firms. Today, 17 out of the Top 20 Barron's RIA firms[1] rely on Orion's technology to power their businesses and win for investors.

Don't Work With Us Yet?
Let's Change That.

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→ **EMAIL**
info@orion.com

Visit Us Online

1 Source: 2024 Top 100 RIA Firms, Barron's, 2024

Orion Portfolio Solutions, LLC d/b/a Brinker Capital Investments a registered investment advisor. Custom Indexing offered through Orion Portfolio Solutions, LLC, a registered investment advisor.

Outsourced Chief Investment Officer (OCIO) services offered through TownSquare Capital, LLC, an Orion Company, a Registered Investment Advisor. TownSquare Capital, LLC, is an affiliated company of Orion Portfolio Solutions, LLC.

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