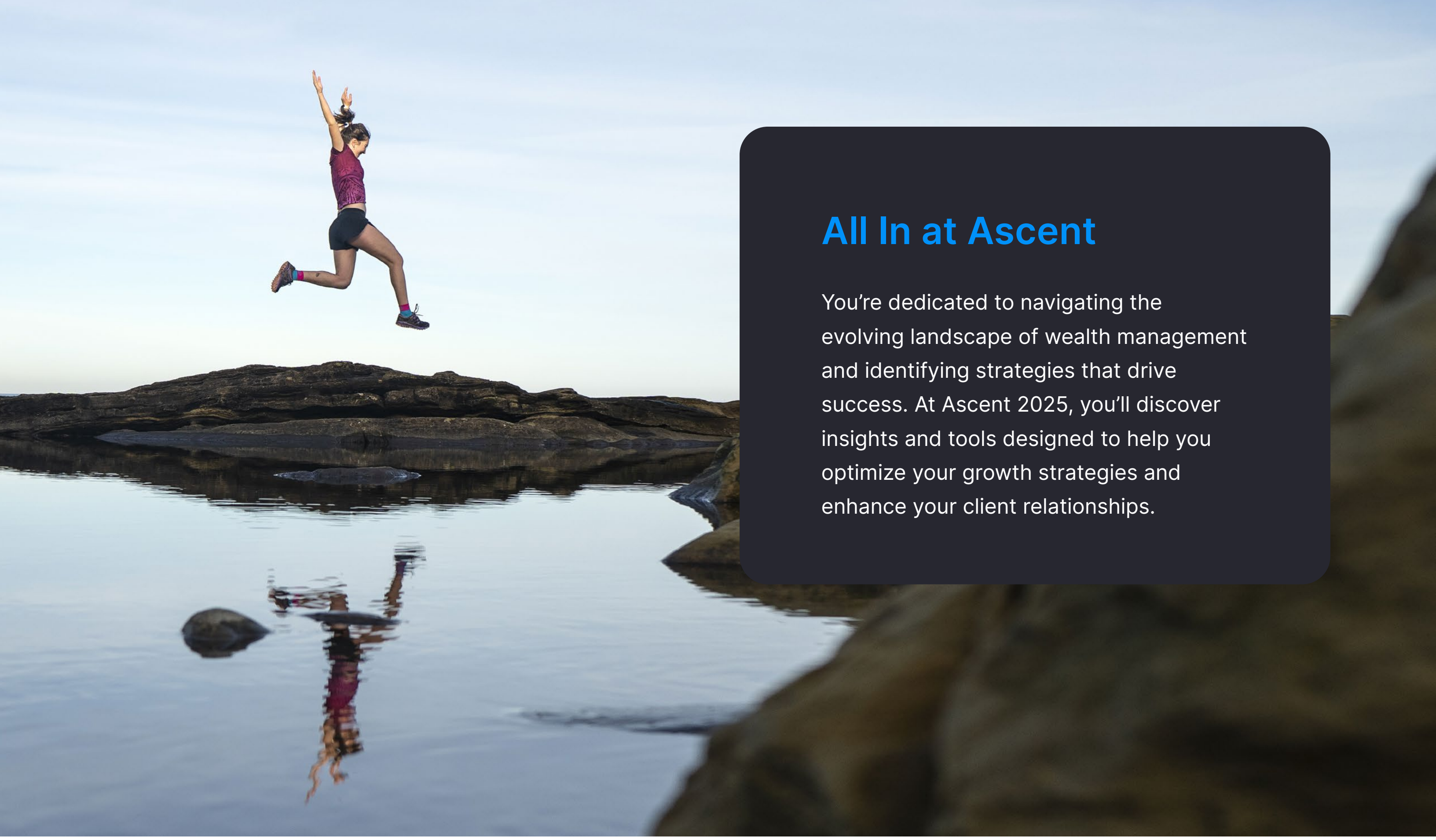
ORION ASCENT

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

You’re dedicated to navigating the evolving landscape of wealth management and identifying strategies that drive success. At Ascent 2025, you’ll discover insights and tools designed to help you optimize your growth strategies and enhance your client relationships.

PERSONA OVERVIEW

Growth-Driven Leader

This agenda is tailored for professionals who prioritize expanding their client base and enhancing their service offerings. You understand the importance of leveraging cutting-edge technology and client-centric strategies to stand out in a competitive market. Your focus on growth means you seek out new ways to connect with clients and drive business success.

LET’S DIVE IN

PRE-CONFERENCE EXCLUSIVE

Deep Dive Training: Orion Trading

Discover how to efficiently manage cash needs, quickly harvest losses across your book of business, take advantage of high-yielding money market funds, track internal notes across your trading team, send trade orders directly to custodians, and leverage custom dashboards and views to streamline your workflows. Plus: get a sneak peek at what's coming next!

PRE-CONFERENCE EXCLUSIVE

Orion Advisor Academy Live

Join us for an in-depth pre-conference program designed to provide you with actionable strategies for incorporating behavioral finance into their practice. This comprehensive program includes multiple sessions that qualify for continuing education (CE) credit, ensuring you gain valuable insights while fulfilling your professional requirements.

Led by Orion Chief Behavioral Officer Dr. Daniel Crosby and Behavioral Analyst Dr. Naomi Win, you'll learn the importance of behavioral finance and discover practical ways to integrate these principles into your business. Explore the psychological factors that influence client decisions and how to effectively address these behaviors to enhance client relationships and outcomes. Additionally, you'll receive hands-on training on how to leverage Orion's BeFi tools. Our trainers will demonstrate how to use this powerful technology suite to apply behavioral finance concepts in your daily operations, helping you provide more personalized and effective advice to your clients.

Don't miss this opportunity to deepen your understanding of behavioral finance, earn CE credits, and enhance your practice with Orion's innovative BeFi tools.

The Mind and the Machine

"The most important thing in communication is hearing what isn't said." – Peter Drucker.

In today's rapidly evolving financial landscape, where technology and emotional intelligence converge, mastering the art of connection has never been more crucial! Join us in this session as we dive into the transformative power of Artificial Intelligence (AI) and discover how it can revolutionize the way you engage with your clients. Utilizing insights from the BeFi 20 tool, you'll learn how to decode investor persona results and craft personalized communication strategies that resonate deeply with your clients' unique mindsets.

Together, we'll explore innovative AI-driven solutions that will empower you to create meaningful conversations and forge lasting relationships. By the end of this session, you'll walk away with practical tools and fresh ideas to enhance trust, boost engagement, and inspire loyalty with every client interaction. Get ready to embrace the future of finance and unlock the potential of your client relationships — one conversation at a time!

Source: Drucker, P. F. (1992). The New Realities: In Government and Politics, in Economics and Business, in Society and Worldview. HarperCollins.

It’s All in the Details: How to Make Magic for Your Clients

Did you know that, according to Zippia, 72% of customers will recommend the brand/company to 6 or more people if they have a positive client experience?* Client Experience isn’t just one thing, it’s a bunch of little things. Walt Disney himself once said, “There is no magic in magic, it’s all in the details.” Join us as we show you all about how you can make a magical experience for your clients by focusing on the little details of their lives. Come join us to learn about ways to elevate your client experience beyond the service you provide to them, to make sure that they feel emotional, resonant connections.

*Source: 25 Must-Know Customer Experience Statistics, Zippia, 2023.

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.

How to Plan an Epic Client Event

According to Harvard Business Review, businesses saw over 30%* revenue growth in the past two years also significantly increased their event activity. Hosting unforgettable client events can foster a sense of community and strengthen relationships with your clients and prospects. This session will explore innovative strategies for planning and executing events that leave a lasting impression. Discover how to create engaging, memorable experiences that not only enhance client loyalty but also drive business growth.

*Source: The Event Marketing Evolution, Harvard Business Review, 2018.

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.

Beyond Quarter-End: The Client Communications Plan Every Advisor Needs

According to YCharts, client comfort with their financial plan skyrockets from 22% to 71% when we communicate with clients on a monthly basis, versus every 4-6 months or less.* So... what's your communication plan? Clients want to be interacted with, and your firm should have a consistent plan in place — including calendars, content, e-mail, texting, and more. Discover the key elements of a successful communication plan that can elevate your client relationships and drive better outcomes, as well as uncover the most valuable parts of your client communications plan that you might be missing.

*Source: Why Frequent Advisor Communication Matters, Y-Charts, 2024.

Invest Like an Institution: Harnessing Orion OCIO Strategies and Portfolio Audits to Attract New Clients

Institutional investors adhere to rigorous best practices when constructing portfolios—standards that many financial advisors often overlook. This session uncovers how you can leverage the proven strategies of Orion's OCIO (Outsourced Chief Investment Officer) framework to elevate your investment offerings. Discover how to conduct compelling portfolio audits that not only educate your clients on optimal investment practices but also reveal whether their current advisor is truly serving their best interests. By adopting these institutional-grade approaches, you'll position yourself as a trusted advisor, capable of winning over discerning clients who seek top-tier financial guidance.

Mastering High-Net-Worth Relationships: From Customized Lending to Client Retention

High-net-worth clients demand more than just standard financial advice — they seek personalized, innovative solutions that resonate with their distinct lifestyles and goals. In this session, discover how to leverage customized lending strategies to not only meet but exceed the expectations of this discerning clientele. Learn practical approaches to deepen client relationships, enhance loyalty, and position your firm as the go-to choice for those seeking unparalleled financial guidance and services. Elevate your client engagement to new heights, ensuring your firm stands out in an increasingly competitive landscape.

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.

Winning Routines: Daily Habits of Successful Investment Producers

What sets the industry's leading investment firms apart? It's not just strategy, and definitely not luck — it's the daily habits and routines that drive consistent success. Join this panel of top advisors as they reveal the behind-the-scenes practices that keep their businesses at the forefront. From disciplined decision-making to client engagement techniques, learn the actionable habits you can adopt to elevate your own performance and achieve lasting success.

The Investment Spectrum: Insights from Leading Managers

Dive into a dynamic panel discussion where top authorities from across the investment landscape — covering fixed income, bonds, alternative investments, and international markets — share their perspectives on today's most pressing market trends. Explore how each strategy plays a role in portfolio construction, learn about the challenges and opportunities in each asset class, and discover how to leverage these insights to optimize your clients' portfolios. Whether you're looking to deepen your understanding of one asset class or gain a comprehensive view, this session offers a unique opportunity to hear from the best in the business.

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.

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.

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

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.

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.

Challenging the Status Quo: Helping Clients Embrace Change

As advisors, guiding clients towards financial success often requires challenging their existing habits and comfort zones.

Join us to explore effective strategies to encourage clients to break free from familiar routines and embrace new financial opportunities, including:

- **Understanding Comfort Zones:** Explore the psychological and behavioral aspects that keep clients entrenched in familiar financial habits and investment strategies.
- **Challenges of Complacency:** Discuss the risks associated with maintaining status quo and the potential missed opportunities for growth and diversification.
- **Effective Communication Strategies:** Learn how to communicate with empathy and clarity to gently nudge clients towards considering alternative financial strategies and investments.
- **Case Studies and Success Stories:** Hear real-world examples of advisors successfully guiding clients out of their comfort zones, resulting in improved financial outcomes and enhanced client satisfaction.

GET GUIDANCE

Personalized Consultations

Take advantage of our consultation appointments to receive personalized guidance. Meet one-on-one with Orion subject matter authorities to get tailored advice and insights that address your unique challenges and opportunities.

Join us at Ascent 2025 to connect with like-minded professionals, gain valuable insights, and propel your growth strategies forward. Don't miss out — register today to secure your spot at this transformative event!

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.

→ **CALL**

402.496.3513

→ **EMAIL**

info@orion.com

Visit Us Online

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

2583-OAS-ASC-10/8/2024

ORION