IFS SOLUTION SUITE

Whether you are leveraging IFS Onboarding, Maintenance, Asset Movement, Transitions, or a combination of the products, our IFS Solution Suite offers a cutting-edge workflow engine that has been built to optimize business processes in tandem with your unique backend system configurations.

FEATURES:

- White-labeled, robust user interface
- Proprietary business rules engine, workflow & process engine.
- Document library used to store and map Product document templates.
- Integration layer that supports industry-standard methods (REST, SOAP) as well as vendor proprietary API integrations; allowing IFS to talk to your relevant systems.
- IFS API layer allows outside systems to talk to all products in this Solution Suite
- Work Queues and Dashboards for Home Office and Front Office users.
- Focus on configurability, not customizations.
- All components are geared for the business or solutions analyst, not programmers.

BENEFITS:

- Apply your UI style sheet to match brand guidelines.
- Provide standard audit tracking, electronic approvals for only those tasks that need it, the ability to generate notifications when something requires attention, and the ability to capture history of your communications during the review and approval process.
- Remove your advisors from the e-Signature process and allow them to digitally attest or approve transactions.
- Leverage the business rules and workflow engine to simplify your process and only review transactions that meet your specific criteria.
- Generate and track the right documents at the right time for the right scenario; including the ability to require and track externally provided documents.
- Easily integrate with other applications and data sources within your ecosystems
- Task Management for all transactions – task status, reason for status, task owner, any relevant Service Level targets
- Fully support single sign-on for ease of implementation and launching the products
- User interface is responsive to any device – desktop, tablet, or mobile.

IFS ONBOARDING

Automate account opening and streamline the initial customer experience.

The account opening process can be complex, especially for clients with growing financial needs. With IFS Onboarding, you can find simplicity in opening accounts for a single client or household with different types of investment products, including advisory and products supported by direct sponsors, such as direct mutual funds, annuities, and alternative investments. IFS Onboarding provides an end-to-end experience that enforces compliance with firm and industry requirements and policies, integrates seamlessly with multiple systems, and creates a single digital document package for all opened accounts that can easily be signed electronically or downloaded. IFS Onboarding offers the ability to establish standing banking instructions, as well as funding new accounts with an ACH money movement or Security Transfer of any variety; ACAT, non-ACAT, Transfer Agent, Direct Mutual Fund, and Banking CD products.

FEATURES:

- Flexibility to support a single client or a full household; open a single account or multiple accounts.
- Supports multiple products (Brokerage, Advisory, Annuity, Alternative Investments, and Direct Mutual Funds)
- Supports multiple Custodians (Schwab, TDA, Fidelity IWS, Pershing PAS) and Clearing Firms (Fidelity NFS, Pershing Clearing) as well as self-clearing platforms (Sungard)
- Supports 50+ registration types.
- Enforces the right account roles required for each registration type for each Custodian or system of record.
- Enforces regulatory compliance (CARES ACT, Patriot Act, Reg BI, KYC) as well as firm policies and procedures.
- Set up standing banking instructions and fund the account(s) with ACH money movement or Security Transfers as part of the integrated process.
- Incorporates documents for all products, including direct sponsor forms and advisory documents.
- Funding transactions leverage core business logic from IFS Asset Movement.
- Maintain a certified business process with the IFS "out of the box" Solution Suite.

BENEFITS:

- Comprehensive experience for the advisor and client from initial data gathering to documents and account funding.
- Using IFS configuration settings to control the key process, the IFS "out of the box" Solution Suite allows you to start opening accounts in a few months.
- Ability to layer on additional firm specific integrations and features without impacting the IFS Solution Suite.
- IFS Solution Suite is QA certified, reducing your cost of ownership.
- Funding rules and flows are consistent between funding a new account and subsequent IFS Asset Movement requests because they leverage the same IFS Solution Suite components.
- Migrate your business to a paperless environment.

IFS MAINTENANCE

Ensure that your teams can manage user accounts with ease.

Routine servicing and changes are constantly being performed on accounts; so why does each have a separate process? IFS Maintenance finally creates one point of entry and a consistent process for transactions, enabling dozens of client, household, and account data points to be updated with a single request. Updates can now be synchronized across multiple systems, narrowing the to-do list and making the routine things actually have the ease of routine.

FEATURES:

- Update account contact information
- Update account demographic information; such as employment, suitability, and financial details, investment strategy, and risk tolerance.
- Add, update, or remove beneficiary information and comply with various custodial data requirements.
- Add, update or remove interested parties on the account; such as Power of Attorney, accountants wanting copies of statements and tax forms, etc.
- Add, remove, or update account features; such as margin instructions and options trading.
- Maintain compliance with the CARES Act by easily modifying the Trusted Contact information for accounts.
- Update account settings for things like dividend reinvest instructions, money market sweep funds, default tax methodology, and client handling of trade proceeds.
- Extend maintenance activity to all related accounts within the single user experience.
- Maintain a certified business process with the IFS "out of the box" Solution Suite.

BENEFITS:

- Increase efficiency by updating multiple related accounts at once.
- Manage basic maintenance needs with a single comprehensive product.
- Synchronize changes across your enterprise, a process that historically is made up of disparate systems that do not talk to each other.

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IFS ASSET MOVEMENT

Process advisor or investor-initiated transaction quickly and efficiently.

The manual work of asset movement can be cumbersome, especially if the transaction includes complicated balance validations, ensuring retirement rules are followed, or compliance policies require additional approvals. IFS Asset Movement integrates with advisory platforms for a web-based, do-it-anywhere system that automates transactions including ACATs, Fed Wires, Check Disbursements, Journals (securities or cash), ACH, Distributions and more. Rest assured with fraud detection and easy integration of different systems like CRMs, third party money managers, and managed accounts. IFS Asset Movement helps your team perform reliable transactions more smoothly than ever before.

FEATURES:

- Full service ACH capabilities; including establishing Standing and Periodic instructions, initiating incoming or outgoing transactions, and validation of both the bank routing number and the customer bank ownership.
- All owners of the bank account - for ACH or Wire Funds - are required to sign, even if they are not on the brokerage account.
- Issue checks to first and third-party payees, including address validation.
- Journal funds or securities from one brokerage account to another and enforce rules to ensure proper ownership on the delivering and receiving account.
- Wire Funds transactions for simple first-party delivery or complex "for further credit" scenarios.
- Charge various transaction fees and control who should pay them; the client, the firm, or the advisor.
- Ensure consistent data collection and validation for all transfers initiated to pull in assets from an outside firm; ACAT, non-ACAT, Transfer Agent/DRS, Banks, and Direct Mutual Funds.
- Supports future-dated transactions.
- Know when you need to raise cash from an outside Advisory product.
- Maintain a certified business process with the IFS "out of the box" Solution Suite.

BENEFITS:

- Increase straight-through capabilities by validating transactions before they are submitted to the custodians.
- Proven rules engine that allows you to turn off certain custodial rules and enforce your firm-specific rules and approvals.
- Reduced risk exposure and improved fraud detection with our bank account validations; which include bank ownership, routing number validation, and OFAC screening and scoring on the bank owners.
- Using the address validation on check payees, you can reduce the amount of returned checks or uncleared checks because they never got to the right payee
- Cut your Transfers processing time and cost by making sure complicated rules are enforced before you initiate the transfer.
- Increased awareness when a distribution requires you to raise cash from an outside Advisory product, so you can take care of things quickly and not delay your client getting their money.

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IFS TRANSITIONS

Help new advisors to simplify the onboarding of their book of business.

To attract and retain top advisors, you need a digital onboarding experience that is transparent, simple, and that shows your dedication to a great relationship. IFS Transitions creates an initial experience with your firm that imports accounts quickly and correctly. Separate dashboard capabilities can create a new, higher level of transparency, in addition to monitoring day-to-day activities. With bulk import, a new advisor's entire book of business can be safely transferred, helping you lose the faxing, mail couriers, and sticky notes—and building client loyalty.

FEATURES:

- Focus on the post-affiliation process.
- Configurable Transition templates.
- Easy-to-use spreadsheet upload format.
- Review uploaded records in "staging" area before they are created within IFS Onboarding.
- Leverage the power of IFS Onboarding.
- Ability to involve your customer in the data collection process.
- Transition Dashboard and Reporting capabilities for Advisors, Assistants, Offices/Branches, and the Home Office.

BENEFITS:

- Make a lasting first impression with new advisors and offices.
- Improve your ability to attract top advisors and offices with a digital transition process.
- Do not just bring on accounts... bring on clients as a household and provide a consolidated document package for the entire group.
- Establish a consistent Onboarding experience that will be used for Transition accounts and other ongoing business.
- Correct data before it is too costly to change it.
- Carve out your book of business the way you want to, and upload as many spreadsheets as needed to facilitate the transition.
- Configurable templates allows the home office to establish core processing parameters and defaults to streamline the overall data collection and enforce available products and services.
- Build client satisfaction and loyalty by providing an intuitive digital experience.
- Improve transparency within the user experience, making it easier to service the client and the advisor while reducing frustrations.

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