



# Pioneering Optimal Performance - 2019

## Convergence for Service Providers

www.convergenceinc.com

**CONVERGENCE**  
OPTIMAL PERFORMANCE

### Delivering Unprecedented Transparency into the Alternative and Mutual Fund Investment Industries

Today's Service Providers face immense challenges: Fragmentation in the Market, Profitability, and Client Selection. Convergence's technology-driven products will provide you with the necessary data intelligence that helps you make better business decisions. Our products and services will help you in the following 3 areas -

#### MANAGE REVENUE GROWTH

#### MANAGE PROFITABILITY

#### MANAGE RISK

##### - Service Provider Data and Tools -

###### ADVISOR RESEARCH

- 35,000+ SEC/STATE-RIA Advisors, 56k+ Funds, 134k+ Confirmed Contact details, including Emails

###### ADVISOR NEWS AND SURVEILLANCE

###### Daily Notification of ADV Filing Changes

- Critical updates create new business development opportunities

###### Daily Notification of NEW Advisors and Fund

- Notification of new prospects in the marketplace

###### Daily Notification of Capital Raising - Form D

- Engage emerging Advisors we identify via Form D Filings
- Discover new funds from start-ups/existing SEC/STATE-RIAs
- Track Amendments to monitor progress towards capital raise targets

###### Daily Notification of Operating Risk Changes

- Track 40 factors that influence operational risk

###### Daily Market News

###### ANALYTICS

###### Advisor Operating Model Risk Scoring

###### Competitive Assessment

###### Clients at Risk

###### Sales Advisory

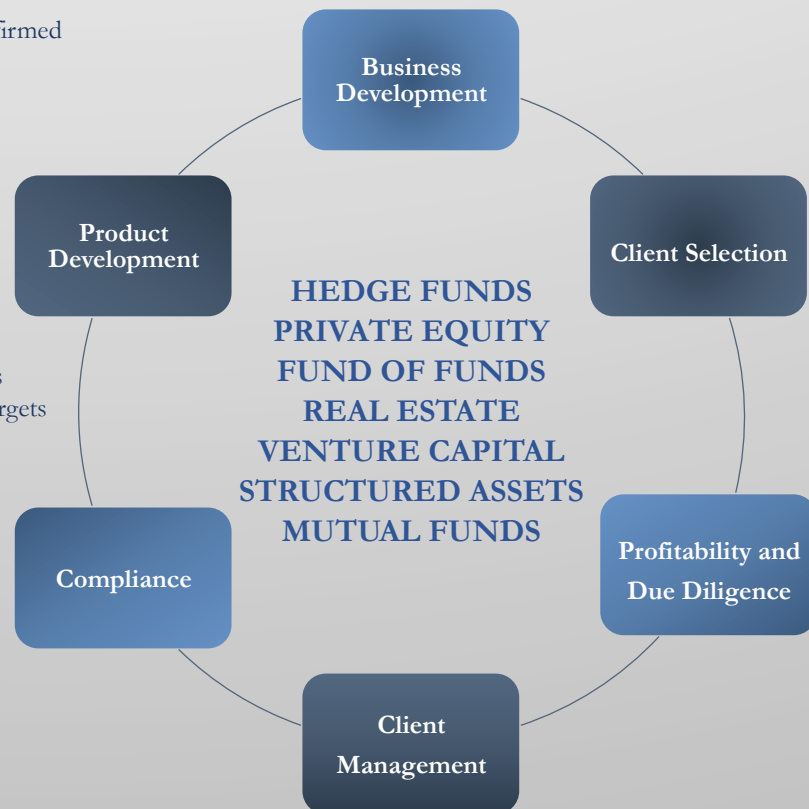
###### Service Provider Best Fit Analysis

###### Advisor Staffing & Productivity Analysis

###### Advisor Fund Expense Practices Analysis

###### Advisor Civil, Criminal & Regulatory History

###### RegTech product suite including the ADV Analyzer



Across all stages of your business cycle, Convergence will arm you with Advisor and Competitor empirical and peer-driven data. Gain the Advantage!



### RESEARCH

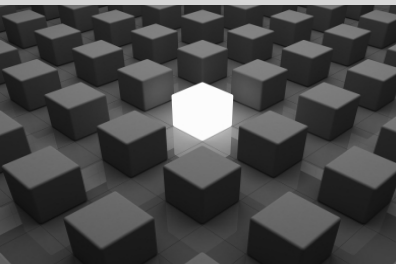
Coverage on 100% of 35,000+ SEC/STATE Registered Investment Advisers. Research any Adviser from a comprehensive view of 4,000 data points created daily. Each Adviser is mapped to an affiliated 'Enterprise' and then organized into relevant peer groups based on their investment strategy and size, allowing you to compare and contrast peers and to the marketplace. Available in web-based portal with mobile access or exportable files.



### ANALYTICS

Our original content and analytics allow you to benchmark and compare data metrics across the industry and peers. Examples include:

- Competitive Analysis** - Compare your growth to the market and peers and power growth
- Clients at Risk** – assess client base 'flight' potential
- Reg Tech Toolset** – provides Advisor Operating Model Risk Diagnostics
- Fund Expense Practices Analyzer** - Expense Disclosure Analysis
- Regulatory History** - Regulatory, Criminal and Civil violations
- Market Share Analysis and Book** - Service Provider Market Share
- Complexity Scoring** - Proprietary 40+ Factor Advisor Operating Model Risk Rating
- Service Provider Portal** - "Best Fit" and Efficiency Client Selection Tool



### SURVEILLANCE

Daily surveillance of Advisor material Operating Model changes:

#### PEERS/COMPETITORS

- Advisors Added
- Asset Growth/Redemptions
- Funds Launched – FORM D
- Staffing Changes
- Investor Moves
- Conflicts Of Interest
- Fee Types
- Vendor Changes
- Qualified Audits
- C Suite Changes
- New Regulators
- Regulatory Actions
- New Office Locations
- Expense Disclosures
- Productivity Benchmarking
- Staff Benchmarking

#### SERVICE PROVIDERS

- New Fund Clients
- Unique Advisors
- Existing Funds Lost
- Assets Under Administration
  - Strategy
  - Fund Type
  - AUM Size
- Market Share
  - Strategy
  - Fund Type
  - AUM Size
- Client Complexity
- Headcount Levels
- Productivity Levels
- Qualified Audits
- Client Strategies Supported

Convergence delivers tools and insights giving our Clients a competitive edge.  
We invite you to discover how.

For more information, please contact George Evans at [gevans@convergenceinc.com](mailto:gevans@convergenceinc.com)