

# Case Study: RIA

## Challenge: Lack of Technology Hinders Effective Portfolio Management

This RIA explored new technology solutions as they began to merge with smaller RIAs. Knowing that they would be increasing the number of accounts in the near future, the firm began upgrading its tech stack to support the growth in assets. In addition, only one portfolio manager at the firm knew how to maintain the worksheets which posed a key man risk. Initially, a peer in the industry referred them to IMTC. They knew that ultimately, to support the addition of new accounts, they needed technology that enables them to invest new accounts and make portfolio decisions faster.

## Solution: Implemented Modern Technology for Managing Investments

After this client was referred by a peer, they were impressed with the ability to make investment decisions faster and in automating manual, time-consuming processes. The team wanted the visibility to see real-time portfolio insights and optimize across multiple portfolios simultaneously. As the firm grew, investing in technology to manage portfolios also minimized the key man risk.

### IMTC is helping the client:

- Invest new accounts faster with automation and optimization tools.
- Equitably allocate bonds across accounts.
- Compete for new business more effectively with comparison reporting that allows them to submit more professional proposals.

## Results: AUM Growth Through Firm Acquisitions

The team is now able to assess clients' fixed income allocation and customize strategies at scale. The firm successfully took on hundreds of new accounts in mergers with other RIAs, and organically grew assets, without increasing headcount. They're also able to get new accounts invested within 10 days (prev. 40 days), which has helped the firm to grow significantly.

The next step is to embed trade settlement, reducing the need for manual data transfers and minimizing the risk of error.

### Key outcomes:

- Increased AUM by 200% in 2 years
- Increased # of accounts by 140%
- Reduced overall operating costs by \$320,000
- Maintained team size with growth in AUM and accounts



### CLIENT PROFILE

Fixed Income Assets Under Management	\$450mm AUM
# of Accounts	545
Fixed Income Desk Personnel	2
Approx. Number of Trades (Annual)	~700

### IMTC DEPLOYMENT

IMTC Client Type	Standard Client
Legacy System Replaced	Accounting Software + Excel
Implementation Timeframe	10 weeks
Integrations Implemented	Fidelity
IMTC Platform Users	3