

Advisory Alpha Case Study:



COMPLIANT COMMUNICATION FOR INVESTMENT ADVISORS

“The feedback from advisers that are actively using the TeleMessage app has been extremely positive. They are finding that clients have been very easy to adapt ... Works wonderfully!”

~Katie Koeman, Compliance Director, Advisory Alpha & Planners Alliance

Advisory Alpha

I. Full Adherence to Regulatory Monitoring and Archiving Requirements

Executive Summary

Advisory Alpha partners with TeleMessage to enable their financial advisors enhance their advisory practice and exceed their client's expectations. With TeleMessage, Advisory Alpha's financial advisors can use different mobile channels, including text messaging, voice calling, and instant messaging to engage and interact with their clients with regards to their investment accounts. Clients stay informed about the status of their assets; and advisors can execute actions through real-time communication; and financial advisory firms can further increase their operational efficiency and competitiveness.

Challenges

In order for Advisory Alpha to allow their partner financial advisors and firms to communicate on various mobile channels with their clients without breaching any regulatory requirements, they need an enterprise-grade archiving solution that will their platform to capture and record electronic and mobile communications in real-time.

Given the stringent supervision and recordkeeping regulations from FINRA and SEC, it's important to ensure that the mobile archiving solution is built with compliance in mind. TeleMessage is an approved Email Archive and Data Management vendor by FINRA and a solution that helps firms comply with Rule 17a-3 and a-4 of SEC.

The Financial Services Client Experience

One way Advisory Alpha helps financial advisors gain better insights about their clients is by providing them an integrated Client Web Experience. Through this portal, clients can oversee their entire financial picture, allowing them to provide feedback and ask clarity from their dedicated financial advisor.

By enabling both the financial advisors and clients to communicate in a channel that is secure and compliant with stringent supervision and recordkeeping standards, a high-level of personalized interaction can be fostered, which ultimately leads to increased client loyalty and improved brand reputation.

Compliant Communication for Investment Advisors

With TeleMessage, Advisory Alpha is now able to enhance financial advisors' and firms' communication with their clients. Advisory Alpha's technology combines core technologies - that financial advisors need on their practice - with a compliant mobile archiving solution, enabling them to streamline their client's experience and maintain full compliance with regulators.

This technology can be readily integrated into various platforms, including desktop, iOS and Android mobile devices, and tablets, allowing advisors to easily send investment-related information through SMS messages, voice calls, email, instant messages, and other mobile channels.

This platform meets various financial recordkeeping regulations and standards, such as FINRA 3110 and 4511, and financial firms' own written supervisory procedures (WSPs) and communication policies.

With this technology, financial advisors will be able to enhance and manage their relationship with their clients more efficiently, allowing them to take their practice to higher degree of success over the long haul.

TeleMessage has been providing state-of-the-art messaging solutions since 1999. Our software has been deployed and used by thousands of enterprises, trusted by dozens of telecom operators, reaches hundreds of millions of users and powers billions of messages through customer's networks. We support an ever growing number of enterprise, including leading brands across a range of industries such as financial, government, healthcare, and retail, among others.

To learn more about our Mobile Archiving solutions, please contact us:
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