

AdvisorBridge

WHERE POSSIBILITY AND OPPORTUNITY MEET



BUYER OPPORTUNITY

NCR10196

Team of Discretionary Portfolio Managers at a Boutique Independent Dealer are Interested in Becoming the Successor to Advisors in the Ottawa Region



BUYER PROFILE

Our Buyer in Ottawa is an impressive team of 9 wealth management professionals. Collectively, they strive to offer Canadian families a unique and integrated approach to wealth management that exceeds all standards of integrity, objectivity, expertise, and client service.

The team consists of a Portfolio Manager (CIM, FCSI), an Associate Portfolio Manager (MBA, CFA, CFP), two licensed client facing Service Advisors, two Portfolio Administrators, and two Administrative Assistants, all IIROC licensed Investment Advisors. The team is also supported by an in-house tax-aware Bookkeeper for ultra high net worth families (CPA, CA, CFP). The Portfolio Manager and Associate Portfolio Manager are both insurance licensed.

This team has a clear commitment to an exceptionally high level of client services as evidenced by their low client to Advisor ratio. Our Buyer is certified by the Centre for Fiduciary Excellence. They are among the first teams in Canada to gain and maintain this certification on an ongoing basis, further demonstrating their focus on acting in the best interest of their clients.



BUYER BUSINESS PROFILE

Our Buyer's top priority is delivering personalized client service with a fiduciary level of care. They care deeply about helping Canadians have a better investment experience. They accomplish this through expert delivery of portfolio management and financial planning.

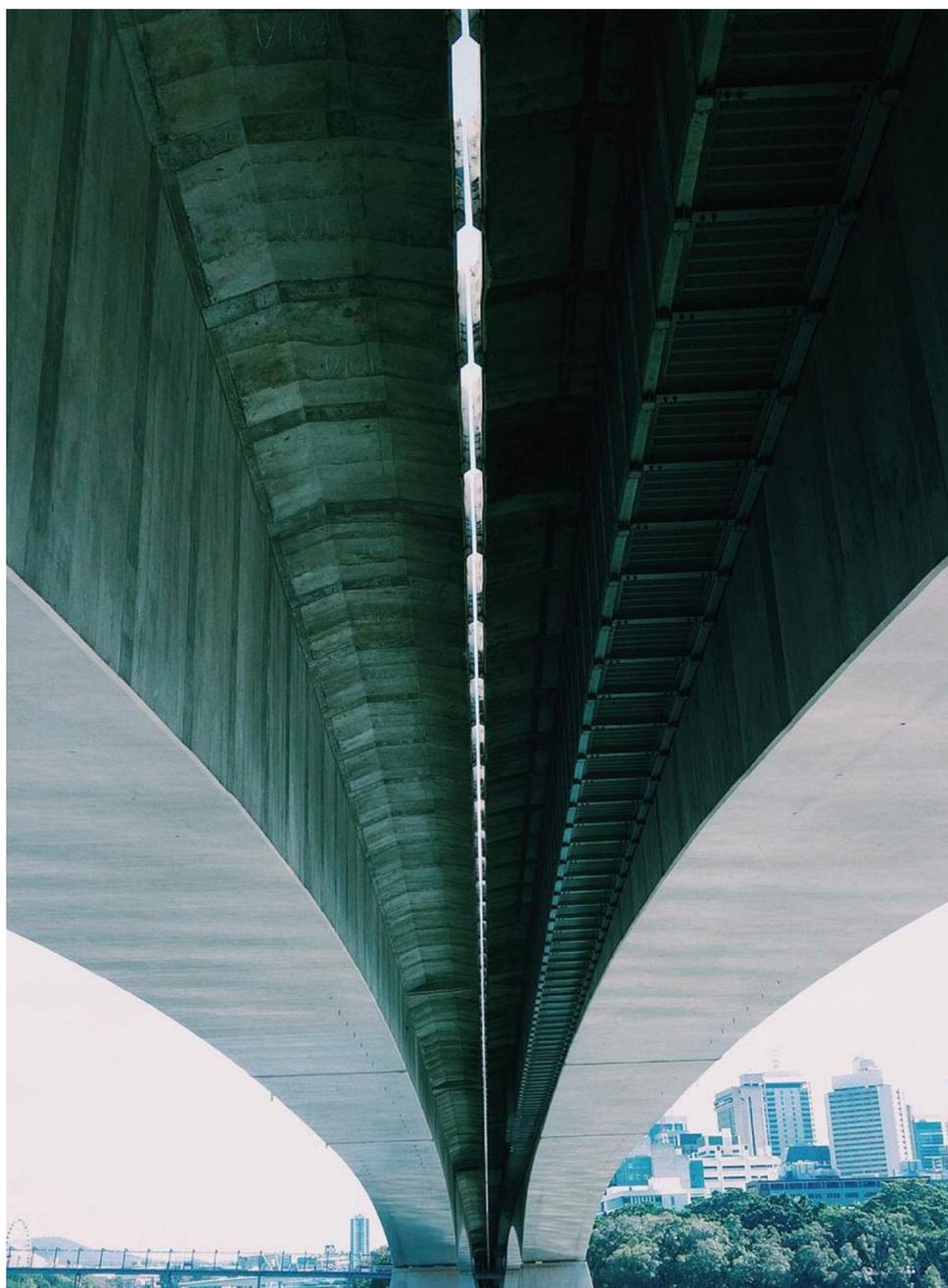
They take a team based, comprehensive approach to wealth management, incorporating retirement planning, estate planning, tax planning, corporate planning, risk management and investment management into their practice.

The team's core service offerings are further supported by best in class software for financial planning, investment analysis, client risk analysis, and portfolio management.

The team's portfolio management is based on a disciplined evidence-based approach. Client portfolios are invested with a focus on capturing market returns while optimizing for tax efficiency. Portfolios typically consist of index ETFs and Dimensional funds. Portfolios are rebalanced regularly in accordance with each client's Investment Policy Statement.

The firm is transparent and consistent in its fee structure. Fees are based on a sliding scale, depending on total household AUM.





OFFER

Purchase Price: Negotiable and Flexible

Transition: The team anticipates an onboarding and transition period that will be completed within 12 months of the execution of an agreement.

Payment: A down payment of up to 30% of the deal size is offered with the balance paid on an earn out basis on a schedule suited to the seller.

SELLER PROFILE

In the interest of maintaining their service standards the team is targeting an additional 150 additional households into their practice.

The average household size is currently in the \$1,000,000 range, and the team is targeting new clients with at least \$500,000 in investable assets, but they will consider lower asset levels if the client has high potential lifetime value or is otherwise an excellent fit.

This is an excellent opportunity for a retiring/exiting Advisor who considers personality fit, great personalized customer service, and a fiduciary level of care important for a successful transition. If you are thinking about retiring in the next 2 - 5 years this would be an exceptional team to consider for your most discriminating clients.



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