

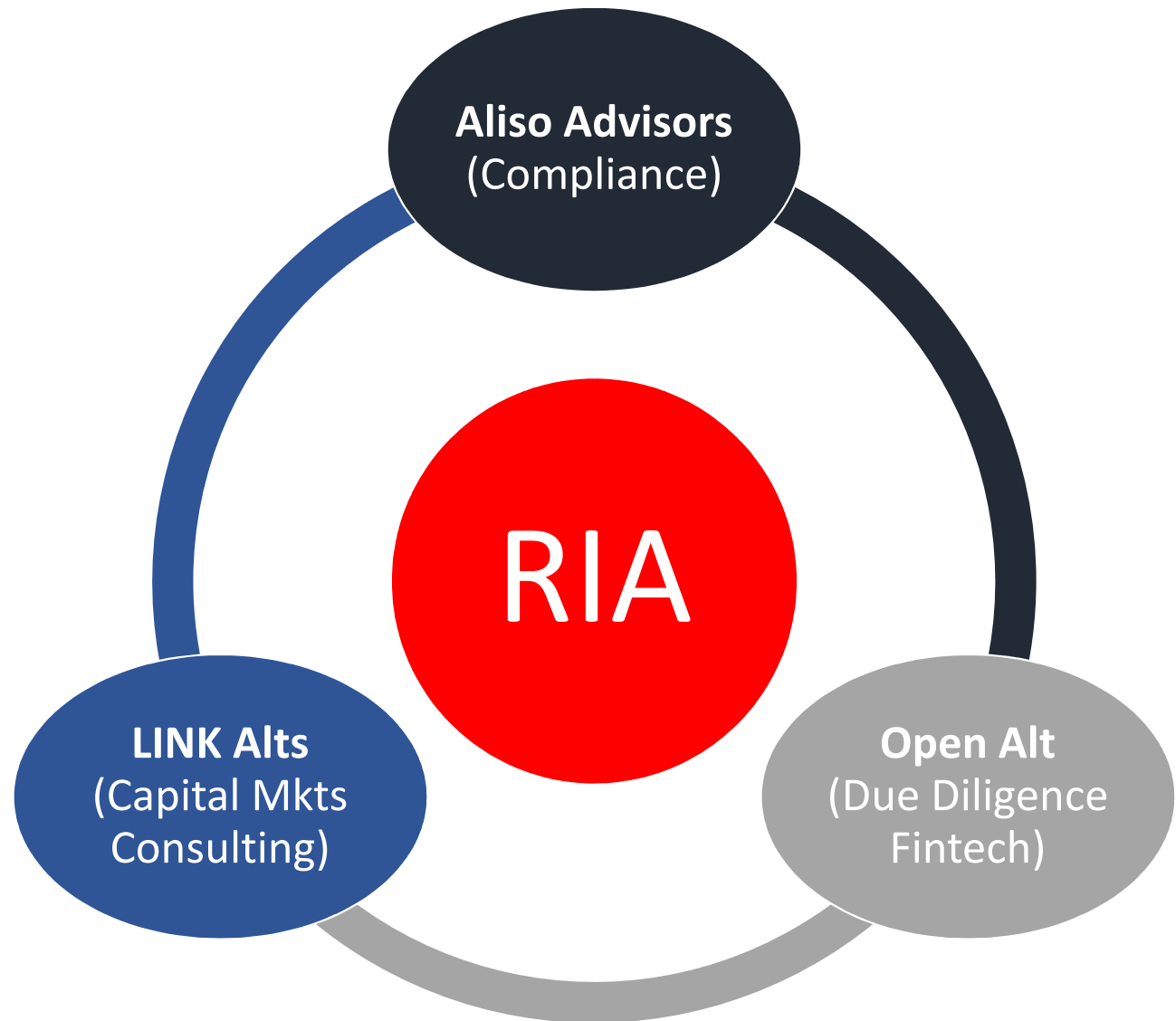
# XALT RIA FORUM 2019

WELCOME!

Wi-Fi: IIDA\_guest  
Password: welcome222

## OUR ECOSYSTEM

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## ABOUT ALISO ADVISORS

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- ☐ FINRA / SEC Registration Services
- ☐ Mock Audits
- ☐ Compliance Protocols Assistance
- ☐ Outsourced CCO
- ☐ Outsourced Alternatives CIO

## ABOUT OPEN ALT

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- ☐ Collaborative due diligence platform
- ☐ Sharable, customizable templates
- ☐ Audit trail on all activities



HOME

DUE DILIGENCE

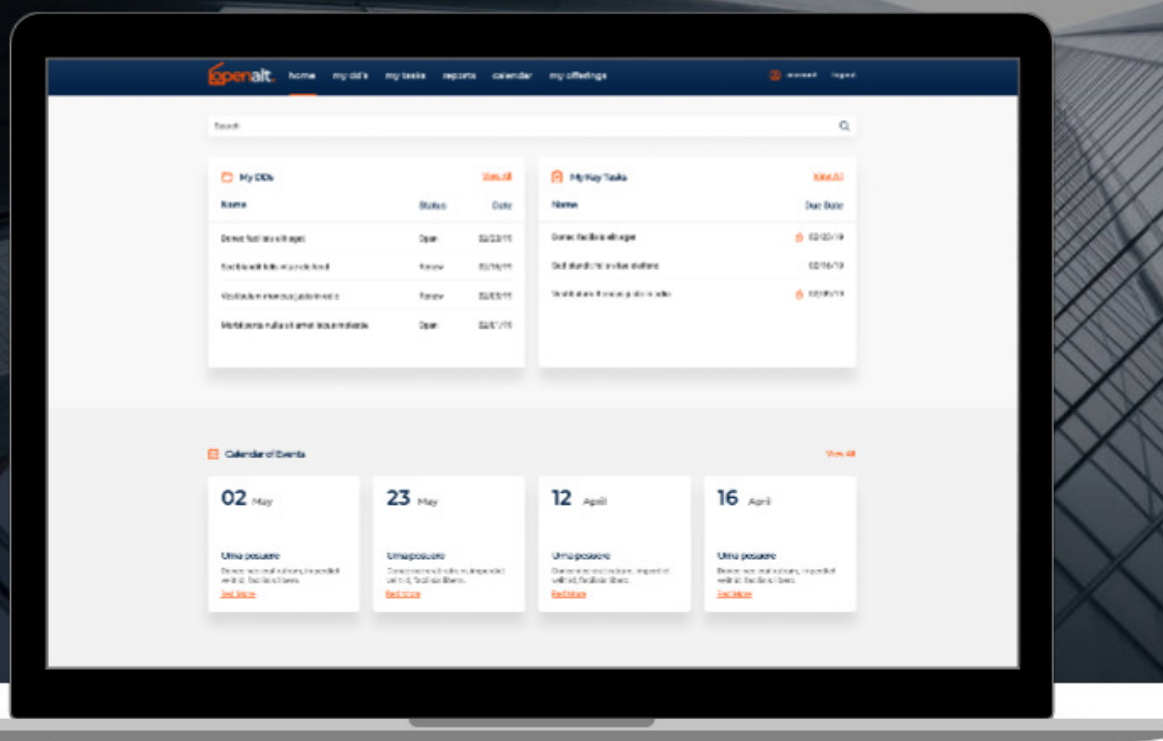
ABOUT

🔑 LOG IN / SIGN UP

# The World's First Collaborative Alternative Investment Due Diligence Platform

Bridging Financial Advisors and  
Alternative Investments

Register



## ABOUT LINK ALTS

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- ☐ RIA-only capital markets consulting
- ☐ Offering creation consulting
- ☐ RIA research & market segmentation
- ☐ Non-exclusive placement agent

XALT RIA  
FORUM  
PURPOSE

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**To help financial intermediaries achieve sustainable growth through the proper utilization of illiquid, non-traditional investments.**





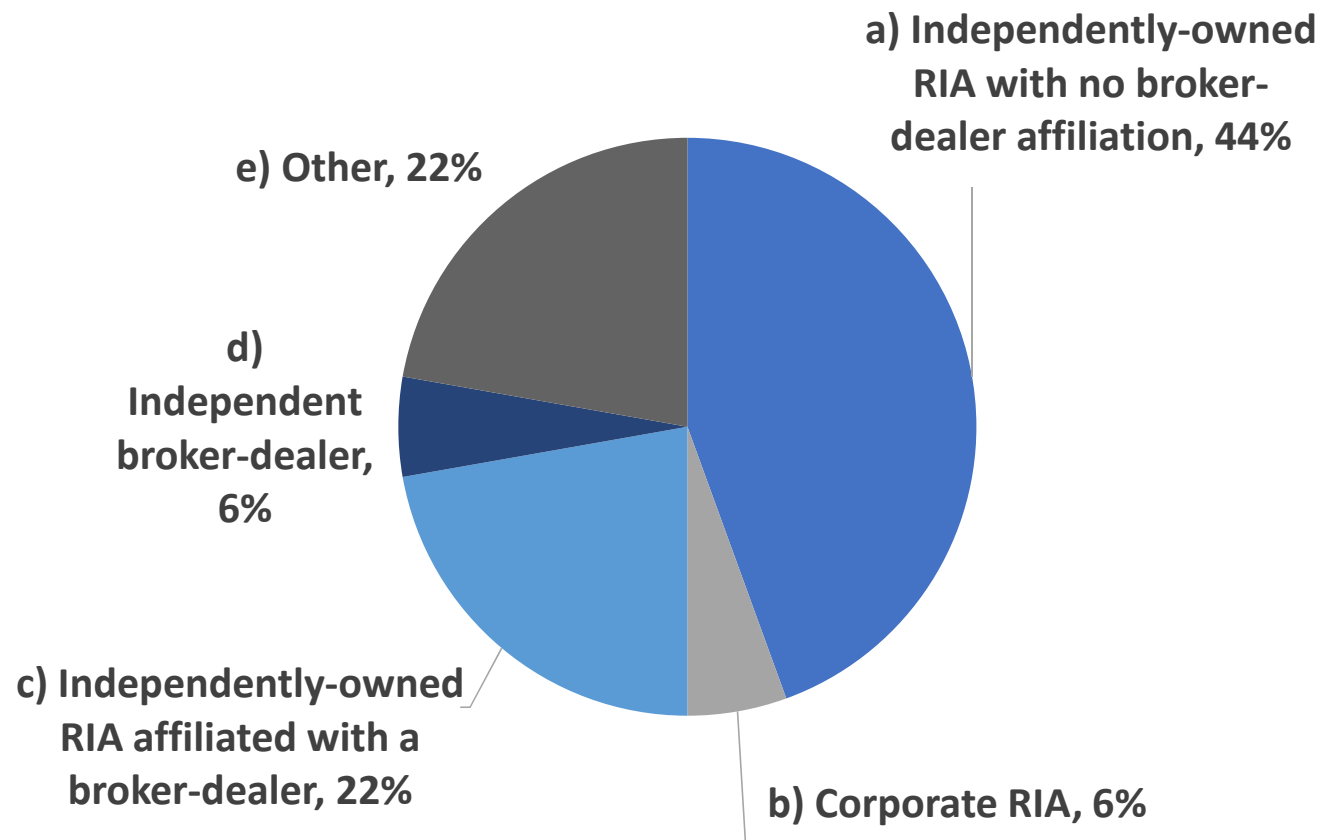
# XALT QUESTIONNAIRE RESULTS

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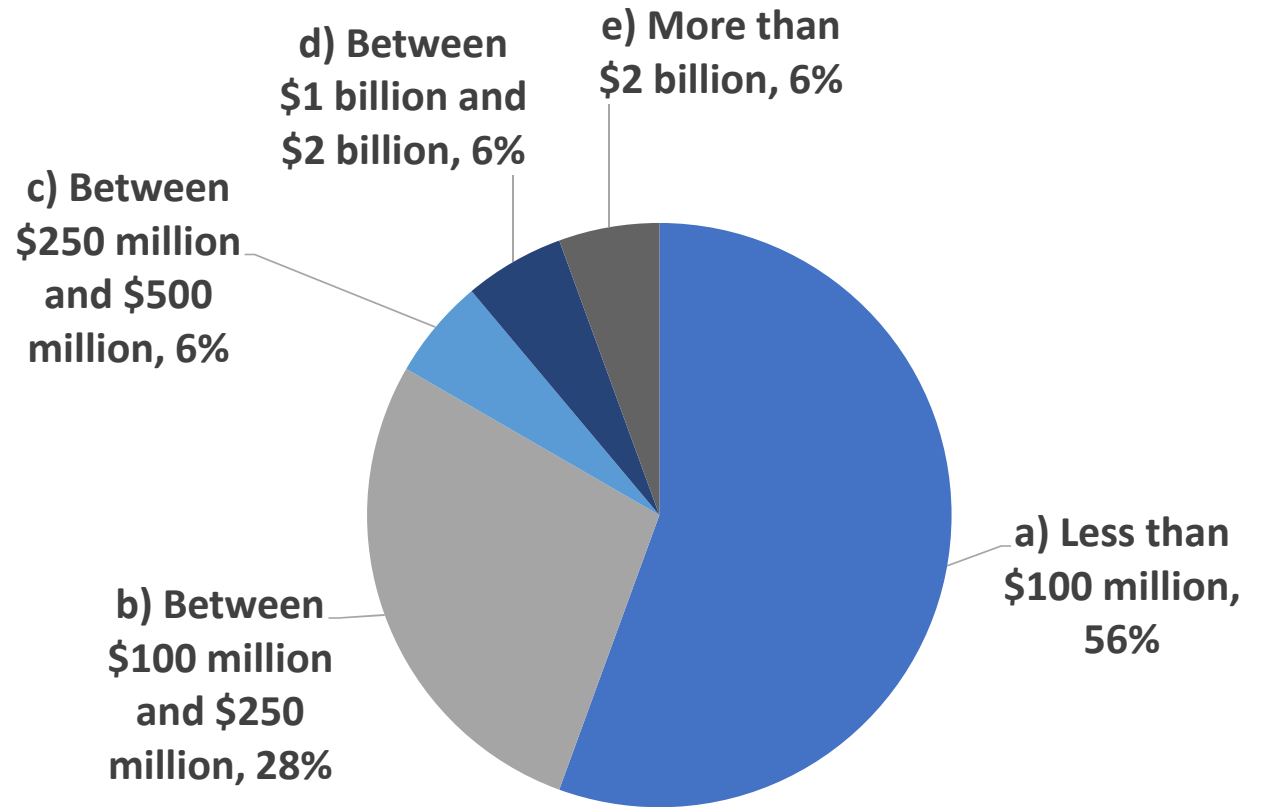
# XALT SURVEY: FIRM TYPES

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## XALT SURVEY: AUM BANDS

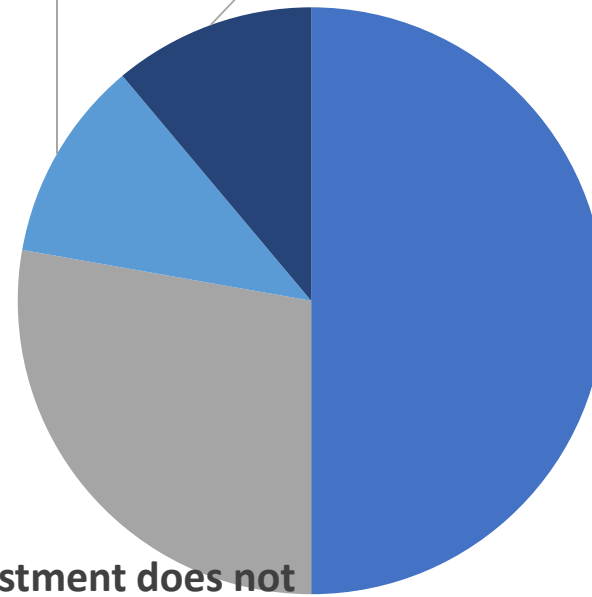
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## XALT SURVEY: RECONCILIATION REQUIREMENTS

c) I only purchase alternative investments that are available through my custodian., 11%

d) I'm not sure., 11%

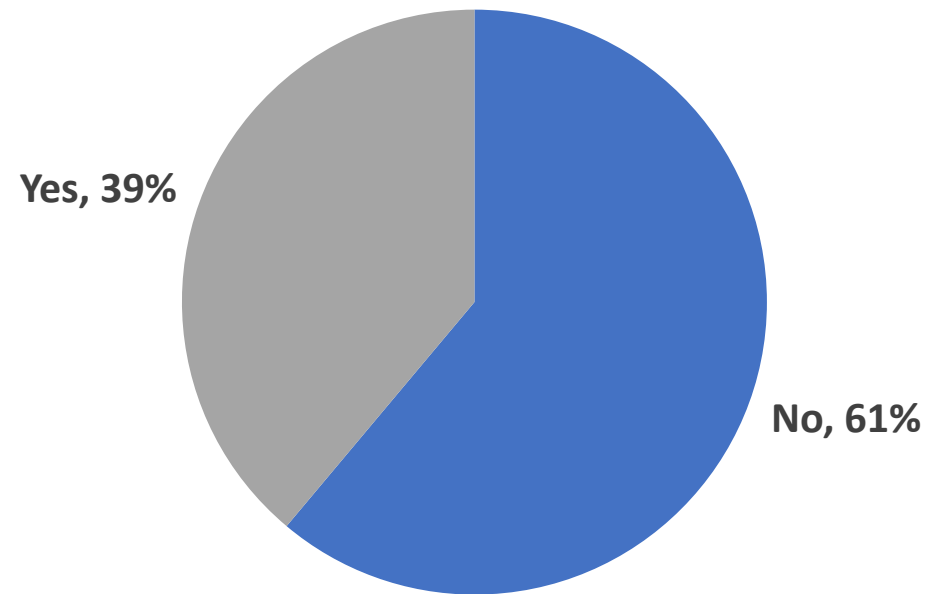


b) An alternative investment does not necessarily have to be available through my custodian, but it does have to provide fully-automated data reconciliation into my accounting software., 28%

a) I do not limit myself in any way with respect to custodian availability and will self-reconcile any investment held in "street name"., 50%

# XALT POLICY: HAS WRITTEN ALTERNATIVES POLICY

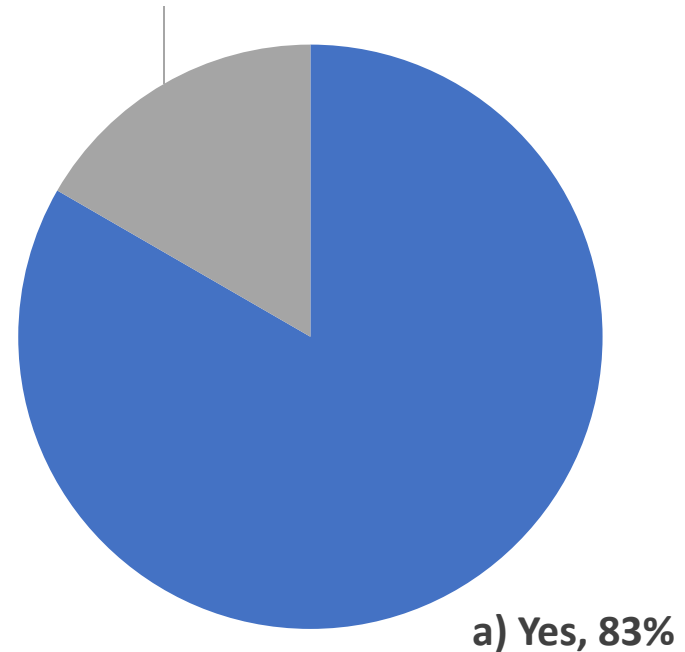
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## XALT SURVEY: USE ALTS W/ K-1s

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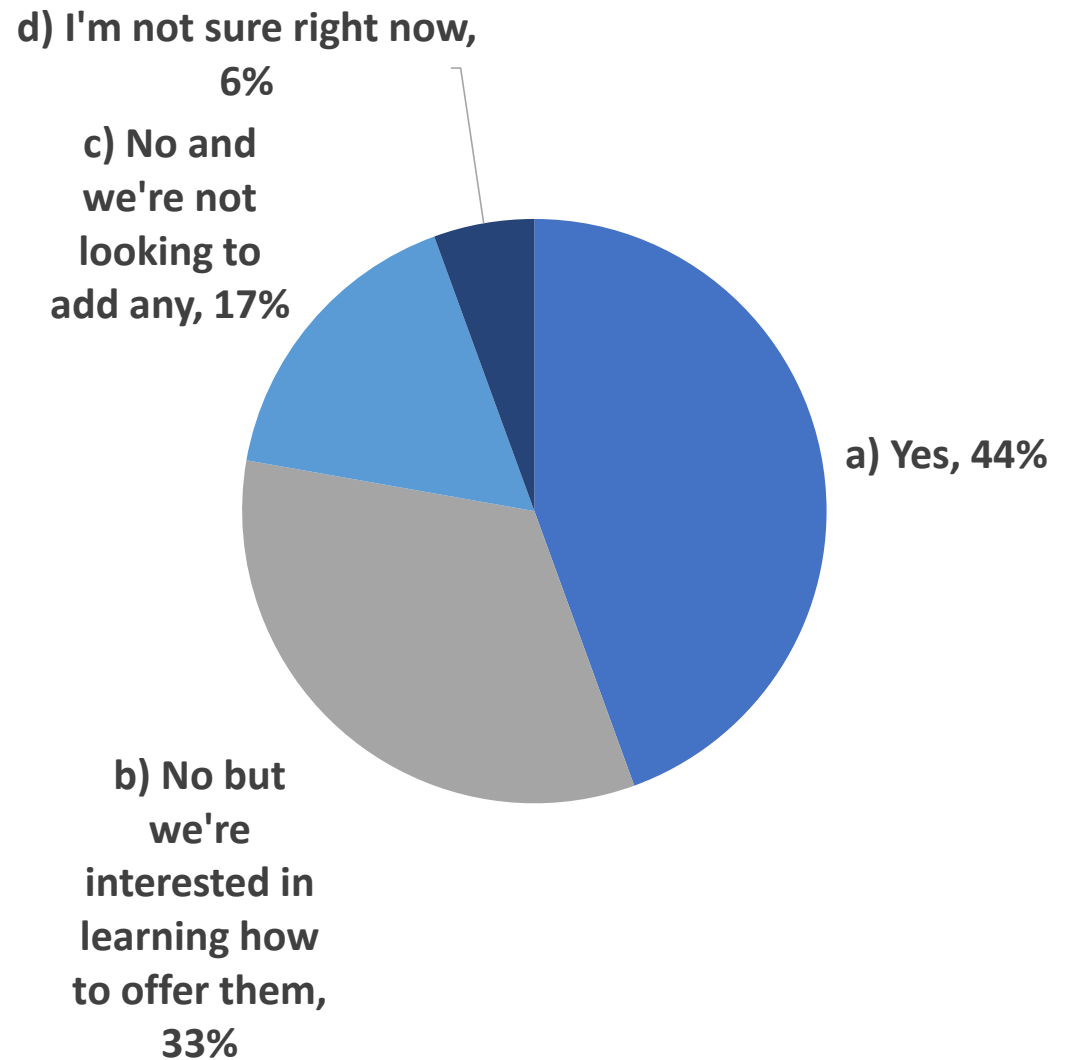
b) No but we're interested in adding some, when appropriate for our clients, 17%



a) Yes, 83%

## XALT SURVEY: USE 1031'S

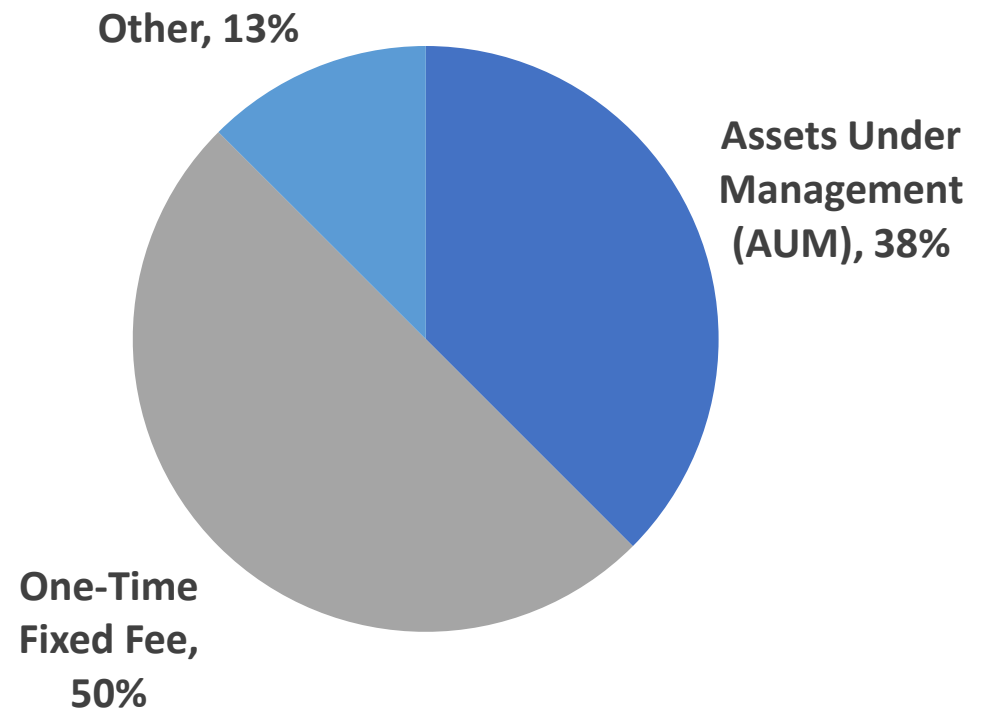
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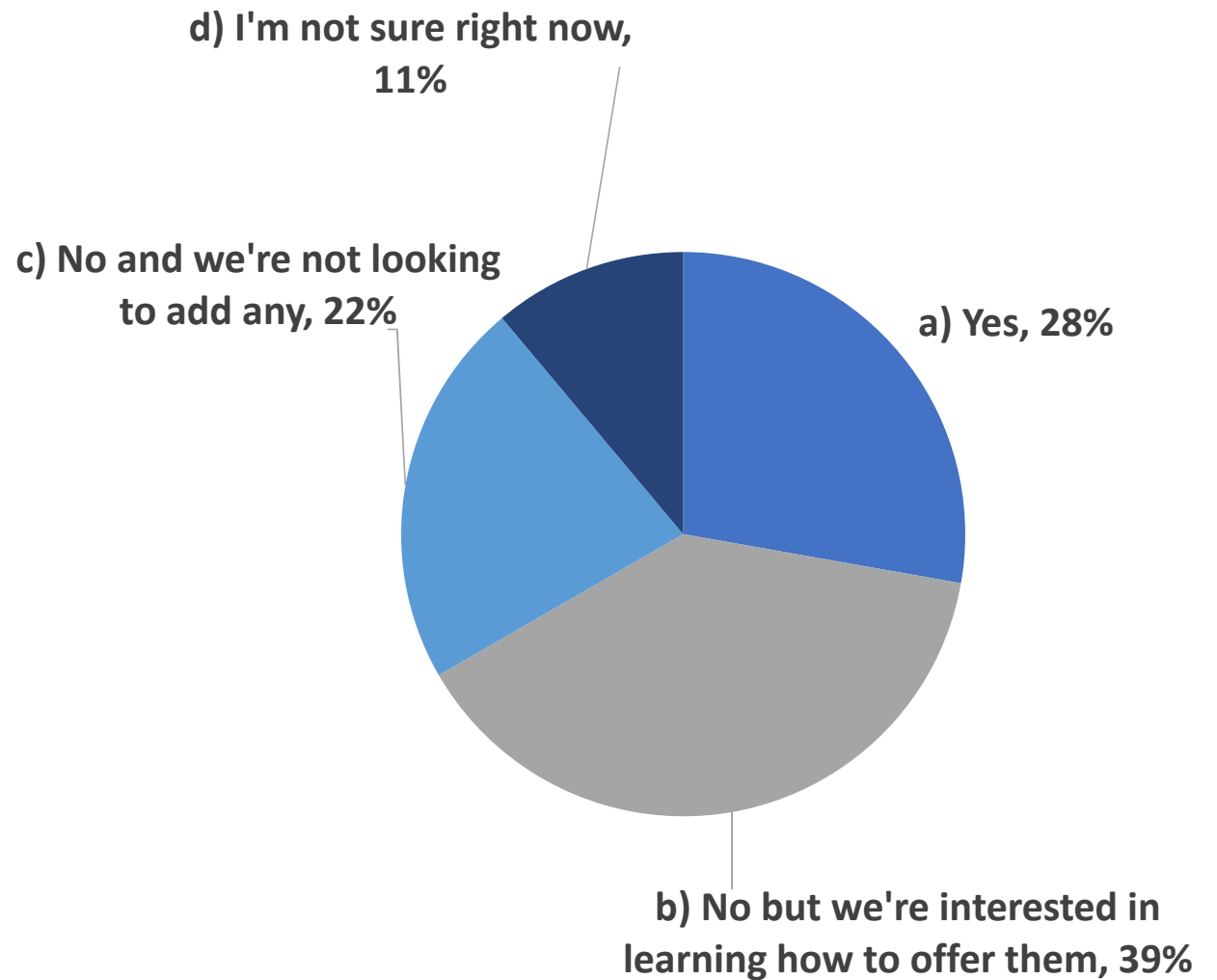
# XALT SURVEY: 1031 REVENUES

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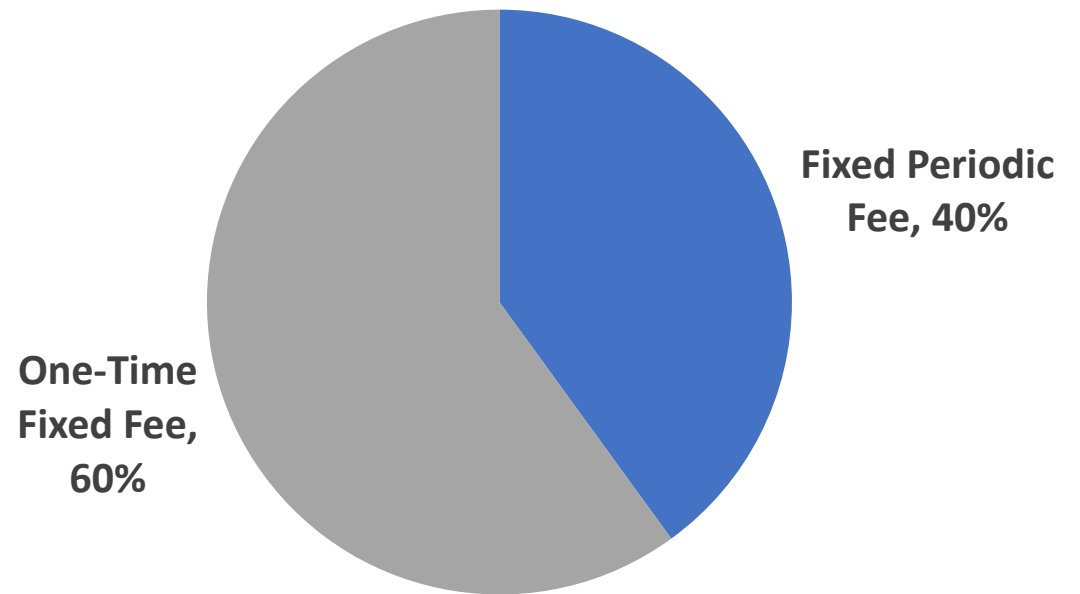
# XALT SURVEY: USE CONSERVATION EASEMENTS

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# XALT SURVEY: CONSERVATION EASEMENT REVENUES

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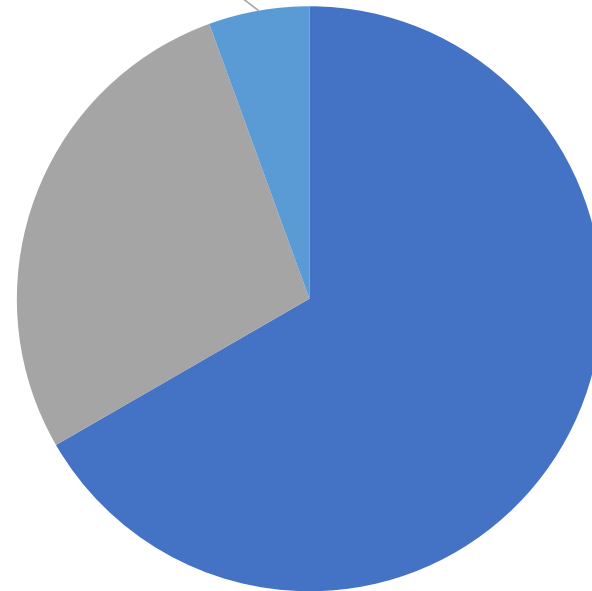


## XALT SURVEY: ADV DISCLOSURES

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c) Our ADV does not make any mention of our usage of alternative investments., 6%

a) I am confident our ADV has all of the necessary disclosures regarding alternative investments, including risk and billing procedures., 67%

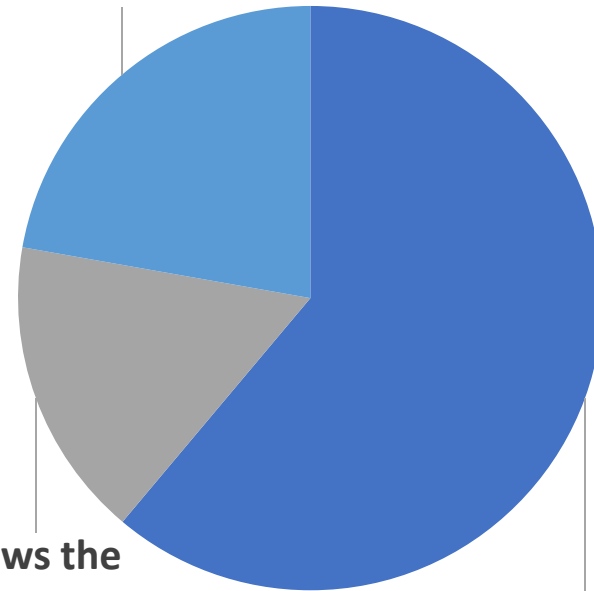


b) Our ADV mentions that we use alternative investments, but I am not confident its disclosures would meet regulatory standards., 28%

## XALT SURVEY: COMPLIANCE CONFIDENCE

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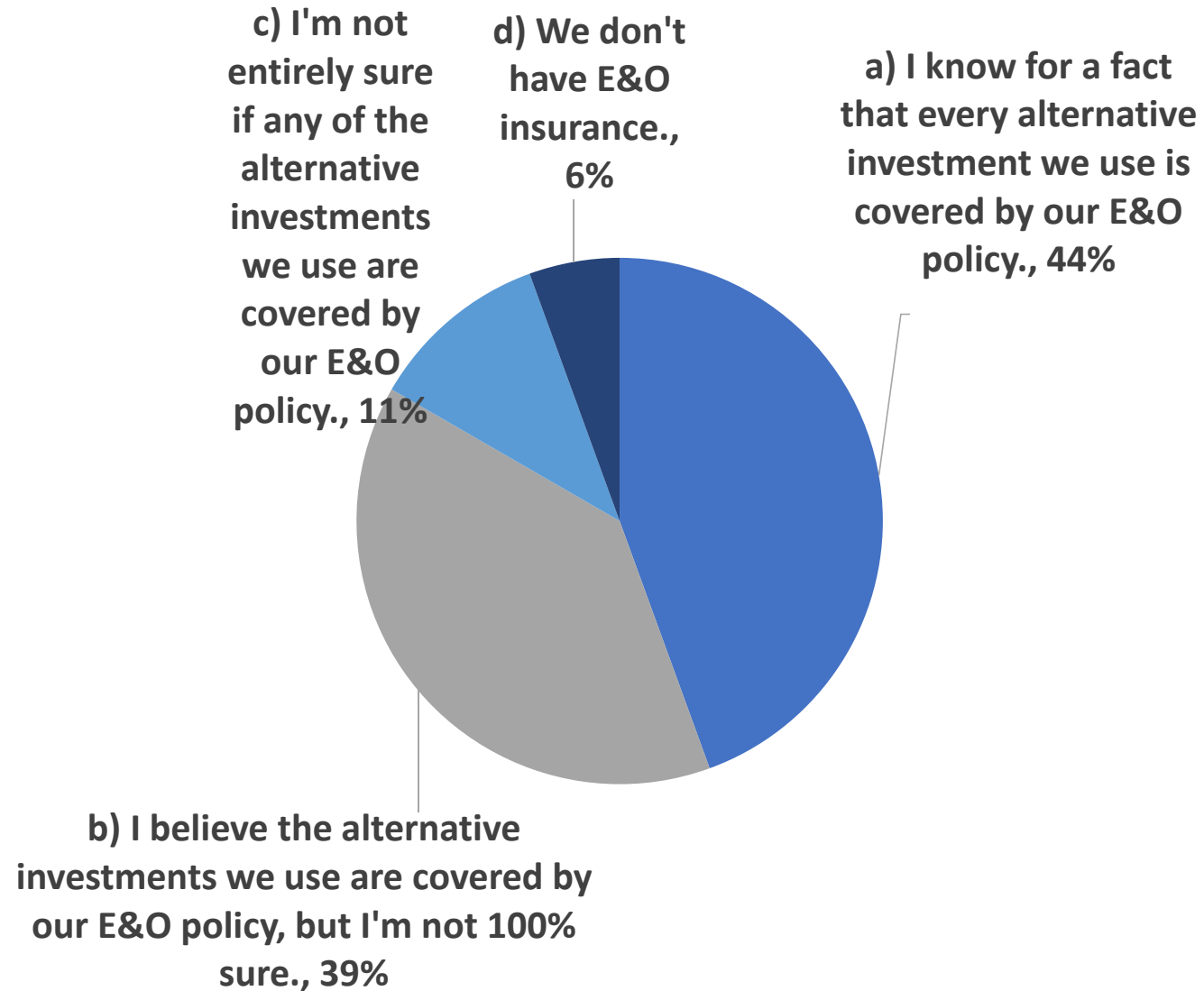
**c) I feel our firm is without a solid foundation on the compliant use of alternative investments and could benefit from some assistance., 22%**



**b) I feel our firm knows the basics but could use some help in a few areas., 17%**

**a) I feel our firm has a solid handle on the regulatory requirements around the usage of alternative investments, including disclosures, transaction processing, billing, etc., 61%**

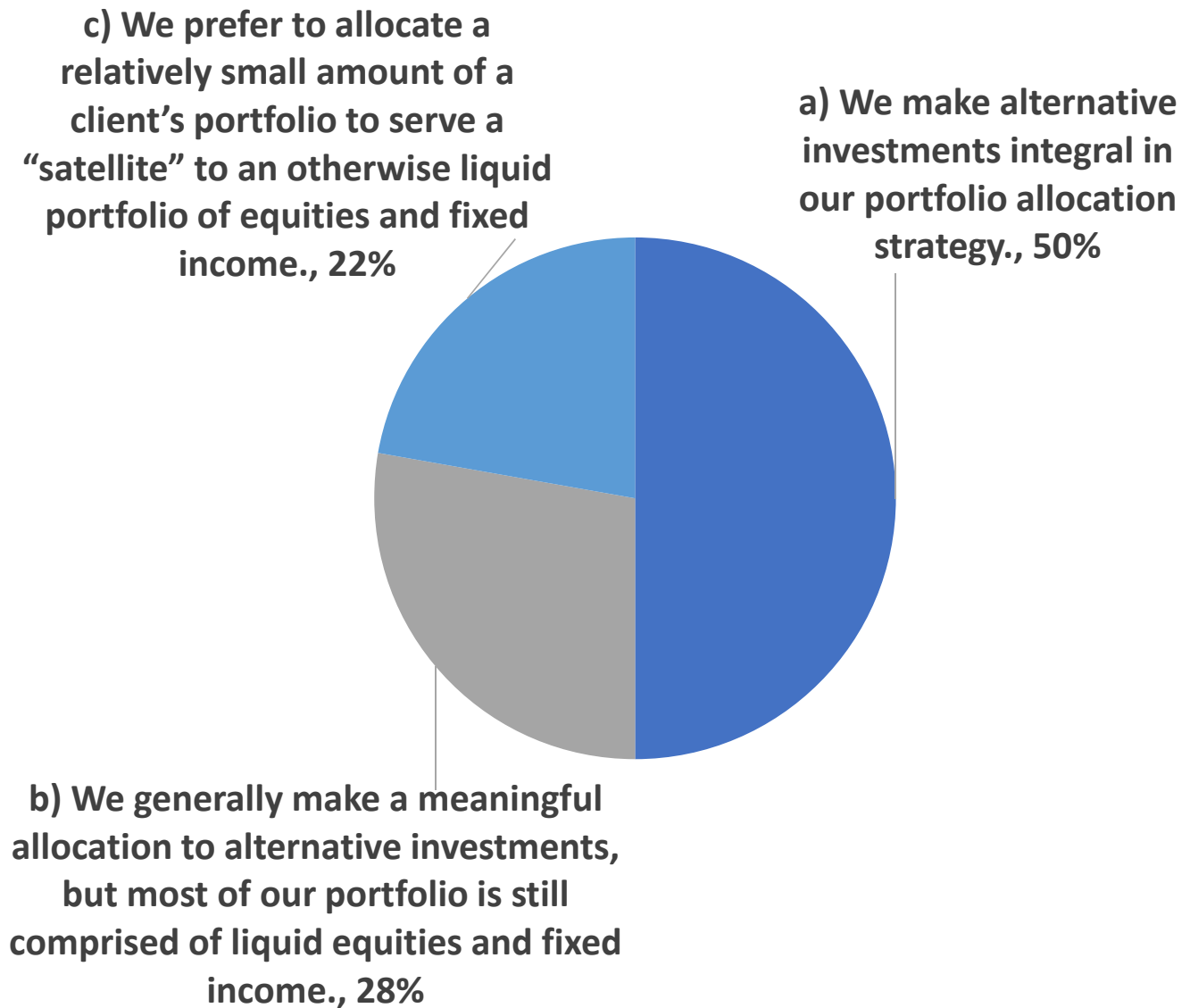
## XALT SURVEY: E&O INSURANCE





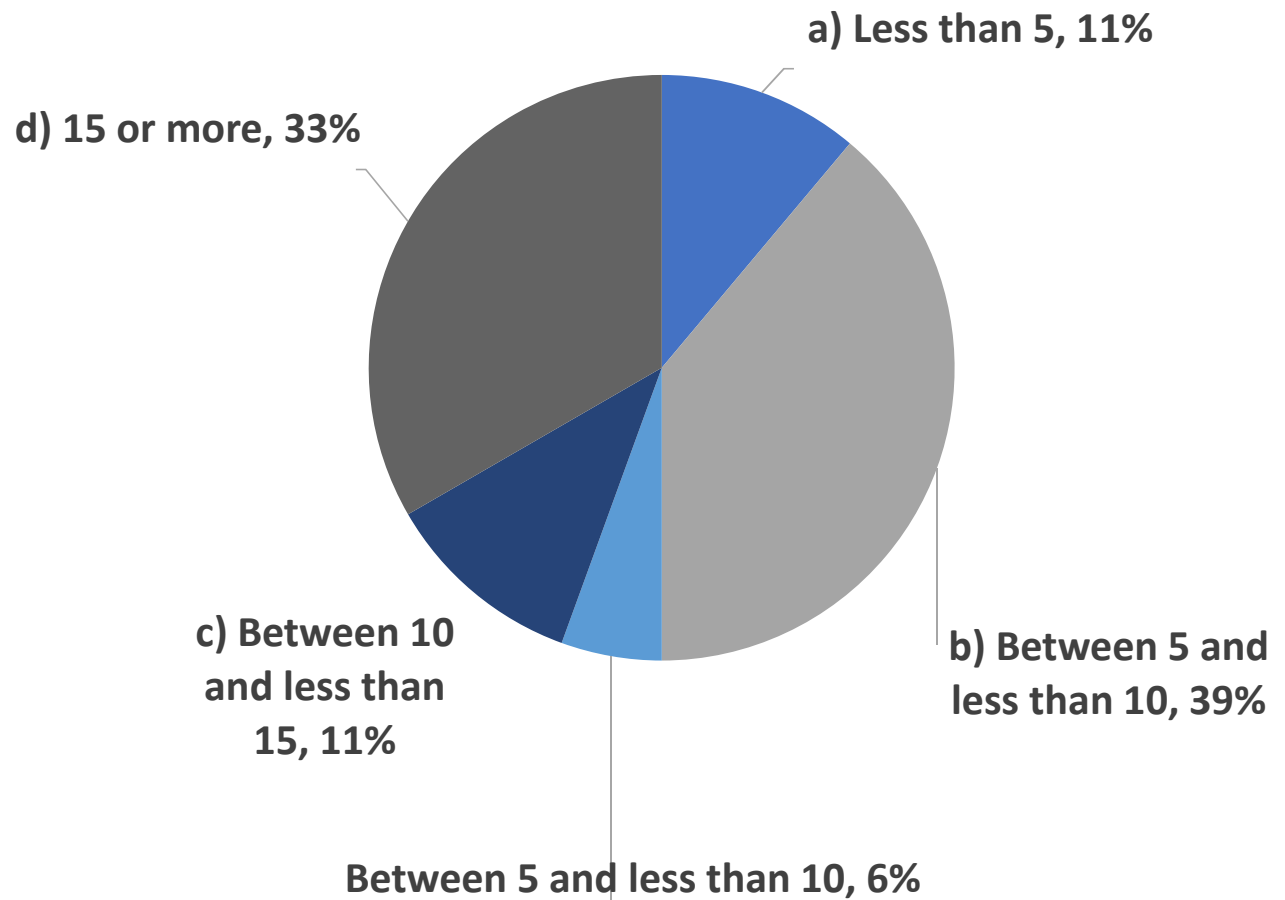
## XALT SURVEY: ROLL ALTS PLAY

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# XALT SURVEY: IDEAL ALTERNATIVE ALLOCATION

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# XALT SURVEY: MAX ALTERNATIVES ALLOCATION

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