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# MARINER

## Partnering With Mariner



As a financial advisor, you are likely very busy and need to make daily decisions on how to best grow your business. Outsourcing critical functions, such as investment management and back-office support, helps ensure that your firm can continue to grow while meeting the needs of existing and new clients alike. With many options available, finding a partner that's right for you is critical to your success.

### Who is Mariner?

While Mariner has a national presence, the State College, Pennsylvania, office is dedicated to working with third-party advisors to manage many of the functions that drain time and resources from new business development. We will work with you and your team to:

- Formulate a customized investment proposal
- Prepare custodial paperwork to open accounts and transfer assets
- Reposition, trade and re-balance accounts
- Deliver operational support for your client relationships
- Provide daily performance and account updates through our secure website

Rather than trying to wear all hats in your firm, you can focus on client relationships while we take care of the rest.

### What Makes Us Different?

As a fee-based, SEC-registered advisory firm, our clients come first. We maintain that focus through these unique features:

- Customize each portfolio, identifying an appropriate asset allocation that reflects the client's unique situation and risk tolerance, and can be sustained throughout market cycles
- Transfer and hold existing positions in an account, whether it be for performance, tax, or sentimental reasons
- Accommodate client-directed purchases of securities not on our recommended lists
- Exclude existing concentrated stock positions during the trading process and allocate elsewhere
- Transfer assets in-kind
  - Flexibility to analyze each position for gains or inclusion in the portfolio
  - If there are large unrealized gains in a taxable account, they can be recognized over multiple tax years
  - In consultation with their tax accountant, the client can provide specific instructions regarding the amount of annual gains
- Utilize options strategies on large, concentrated stock positions to either generate additional income or to hedge against downside losses
- If the client doesn't want to sell a concentrated position but still needs liquidity, utilize pledge asset lines using the stock as collateral.

## Benefits to You

The two biggest benefits to you as a financial advisor are efficiency of operations and time savings. Analyzing a potential client's current investments, preparing paperwork, identifying appropriate investments, trading and monitoring of securities, and performance reporting can be a significant amount of time that could be spent generating new leads and meeting with clients. By outsourcing these tasks to Mariner, you can devote more time to business development, client updates, and growth and management of your firm.

We want to be your partner—an extension of your office and your team. You and your staff will get to know our team members, from portfolio managers to operations and trading. While our goal is to alleviate the burden of doing these tasks yourself, we also want you to feel connected to the process and confident that your clients are being serviced with the same level of care you would provide. Client service is our main focus, and we understand that the impression we leave on your clients reflects on you.

## Building Our Partnership, Together

From your first interaction with Mariner, we want our emphasis on exceptional service to stand out. While your first contact with us will likely be through a Relationship Manager, we also want to introduce you to a member of our portfolio management team to discuss our investment philosophy. A member of our new business team will discuss the paperwork and operational aspects of transitioning to our firm, and over time, you will get to know our experienced team on a first-name basis.

## How to Get Started

The easiest way to experience our client-first philosophy is to submit an investment proposal request. To do so, reach out to your Relationship Manager or contact our office. We will provide the necessary forms and once they are completed & received, our new business team will get to work creating a customized investment proposal. We will then reach out to schedule a review call and answer any questions you may have.

### We look forward to a mutually beneficial relationship.

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