THE PREMISE OF altMAPS

The real difference between retail and institutional investing today isn't access to products. **It's the discipline of the investment management process.**

RETAIL DEFAULT

Where most independent RIAs *start.*

Capable advisors. Strong client relationships. But the program around alternatives is improvised, and the cost of that shows up at the worst moments.

- × **Selection by relationship.** Investments are added because a wholesaler called or a peer recommended - not because a process screened them in.
- × **Due diligence held in one head.** A founder or senior advisor knows the firm's “approved list” - but it isn't documented, defensible, or transferable.
- × **Portfolios built ad hoc.** Alternatives are bolted onto traditional models without a liquidity, sizing, or rebalancing framework.
- × **Monitoring catches up late.** Issues with sponsors or strategies surface through statements and headlines - not through a defined surveillance cadence.
- × **Documentation is a scramble.** When an examiner, a client, or counsel asks for the file, the firm builds it after the fact - not from a system.

INSTITUTIONAL DISCIPLINE

What altMAPS makes *standard.*

The same governance, construction, and oversight rigor you'd find inside a wirehouse, MFO, or private bank - delivered to independent RIAs as a buildable, ownable institutional framework.

- ✓ **Selection by screen.** Every alternative the firm considers runs through a structured screening framework the firm owns and operates - no exceptions, no shortcuts.
- ✓ **Approved list as an asset.** A documented methodology the firm uses to build and maintain its own approved list - built on process, not memory.
- ✓ **Portfolios constructed, not assembled.** A construction methodology framework the firm uses to make its own decisions about how alternatives fit each client account - with allocation discipline, liquidity tiering, and rebalancing logic the RIA applies.
- ✓ **Monitoring on cadence.** altMAPS equips the firm with the surveillance framework, triggers, and documentation cadence to run its own sponsor, strategy, and portfolio reviews on schedule - issues surface early, not late.
- ✓ **The file builds itself.** Documentation is a byproduct of the process - not a project triggered by a request.

altMAPS

HOW altMAPS CLOSES THE GAP

Two integrated systems. *One operating discipline.*

altMAPS

Discipline runs through every layer of the practice.

DISCIPLINE I

Governance

Screening criteria, due diligence protocols, approved list governance framework, and compliance documentation. The backbone the firm's investment process runs on - designed to support regulatory defensibility.

DISCIPLINE II

Construction

A construction methodology the firm uses to integrate alternatives deliberately - not bolt them on. Sizing and rebalancing logic the RIA applies to its own portfolio decisions. Liquidity tiering built in.

DISCIPLINE III

Oversight

Sponsor and strategy monitoring frameworks, client-level review cadence, and documented IC processes. The firm runs reviews on a defined schedule, and the file is always current.

2
INTEGRATED SYSTEMS · AMS & PMS

5
SERVICE LEVELS · ESSENTIALS → ENTERPRISE

1
EMBEDDED OPERATING DISCIPLINE

THE altMAPS POSITION

Wirehouses, MFOs, and private banks come with this **built in.**

altMAPS is how an independent RIA gets there, without the cost of staffing up internally, the limitations of a generic platform, or the conflicts that come with a consolidator. **Same discipline. Same defensibility. Independence intact.**

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