

Management Playbook – Template

Use this template to document how your firm operates—roles, workflows, controls, and metrics. Replace prompts with your procedures.

1. Firm Profile	2. Service Model	3. Roles & RACI
4. Core Workflows	5. Compliance Program	6. Data & Reporting
7. Vendor Management	8. Change Management	9. Business Continuity
10. KPIs & Reviews	11. Client Communications	12. Appendices

1. Firm Profile

- Legal entity details (LLC, IRS S-Corp election); licenses and registrations.
- Offices and contacts.
- Mission, markets served, differentiators.

2. Service Model

- List of services (AI FinTech Ops, Financial Planning Ops, Life & Health Ops, Alternative Assets).
- Standard vs. premium tiers, SLAs, and escalation paths.

3. Roles & RACI

- Org chart and role descriptions.
- RACI matrix for core processes.

4. Core Workflows

- Intake → Qualification → Engagement.
- KYC/KYB onboarding, adverse media checks.
- Policy administration or portfolio cataloging steps.

5. Compliance Program

- Licensing & CE tracking, calendars, evidence trails.
- Audit readiness and documentation standards.

6. Data & Reporting

- Data model, lineage, retention schedule.
- Dashboards, KPI definitions, exception reports.

7. Vendor Management

- Approved vendors list, due diligence cadence.
- Security, privacy, and performance requirements.

8. Change Management

- Request → Impact assessment → Approval → Release → Review.
- Model monitoring (if applicable) and rollback plans.

9. Business Continuity

- BCP/DR objectives, roles, and test cadence.
- Recovery procedures and communications.

10. KPIs & Reviews

- Operational KPIs and targets.
- Weekly/Monthly/Quarterly review cadences.

11. Client Communications

- Templates: onboarding, disclosures, renewals, status updates.
- Tone & accessibility guidelines.

12. Appendices

- Glossary, references, version history.

Notes

Use this section for firm-specific instructions or exceptions.