Salesforce – Stock Portfolio Management

Industry: Finance / Wealth Management
Target Users: Portfolio Managers, Financial Advisors, Retail Investors, Compliance Officers
Project Type: Salesforce CRM Implementation

Problem Statement

Investors and portfolio managers often struggle with real-time visibility into stock performance, portfolio diversification, and compliance tracking. Traditional spreadsheets and manual tracking create risks of data errors, delayed decisions, and compliance breaches. Without an automated system, investors cannot effectively monitor risk exposure, rebalance portfolios, or receive timely alerts on stock movements.

The Salesforce-based Stock Portfolio Management solution addresses these issues by automating portfolio tracking, enabling real-time alerts, integrating with stock market APIs, and providing dashboards for investment insights and compliance monitoring.

Phase 1: Problem Understanding & Industry Analysis

1. Requirement Gathering

Business Needs
- Automate stock portfolio tracking and performance monitoring.
- Provide real-time alerts for stock price fluctuations, gains/losses, and compliance thresholds.
- Enable dashboards for risk exposure, diversification, and asset allocation.
- Simplify reporting for financial advisors and investors.

Functional Requirements
- Integrate Salesforce with stock market APIs for real-time price updates.
- Generate alerts for significant stock price changes, risk breaches, and compliance checks.
- Provide dashboards for portfolio performance, diversification, and exposure analysis.
- Enable automated reporting and export for investors and regulators.

Non-Functional Requirements
- Highly reliable and scalable to support multiple portfolios.
- User-friendly dashboards for financial advisors and investors.
- Secure handling of financial and personal investor data.

2. Stakeholder Analysis

- Portfolio Manager: Monitors and rebalances portfolios using dashboards.
- Financial Advisor: Provides insights and recommendations to clients.
- Retail Investor: Tracks portfolio performance and receives alerts.
- Compliance Officer: Ensures investment decisions meet regulatory standards.
- System Admin: Manages Salesforce flows, integrations, and system health.

3. Business Process Mapping

Current Manual Flow
- Portfolios tracked in spreadsheets or third-party tools.
- No real-time alerts for stock price changes or risk breaches.

- Reports generated manually, prone to delays and errors.

Proposed Automated Flow in Salesforce
- Portfolios created with stock holdings linked to real-time APIs.
- System sends alerts for stock price changes, gains/losses, and risk thresholds.
- Automated dashboards display diversification, performance, and exposure.
- Reports are generated and shared with investors automatically.

4. Industry-Specific Use Case Analysis

- Wealth Management Firms: Track and manage multiple client portfolios efficiently.
- Retail Investors: Gain real-time insights into their portfolio performance.
- Financial Advisors: Provide timely investment advice based on live data.
- Compliance Teams: Ensure portfolios adhere to risk and regulatory requirements.

5. AppExchange Exploration

- Einstein Analytics: For advanced portfolio analytics and AI insights.
- Financial Services Cloud: For client relationship and wealth management.
- Integration Utilities: For connecting Salesforce with stock market APIs.
- Decision: Leverage Salesforce-native tools (Flows, Apex, Dashboards, APIs) for scalability and simplicity.