

**The Cosmic Asset & Wealth Management Co.**



## **ALL REQUIREMENTS OF OUR COMPANY**

**CEO**

**Raif Salauddin Mondal**

**MD**

**Diganta Sarkar**

**CMO**

**Soumyadeep Roy**

## ➤ **Assemble Our Team**

- **Expertise:** Recruit a team with expertise in finance, asset management, legal, compliance, technology, and marketing. Your core team should include experienced portfolio managers, financial analysts, legal advisors, and technology experts.
- **Advisory Board:** Form an advisory board with industry veterans to guide your strategic decisions.

## ➤ **Build a Business Plan**

- **Mission & Vision:** Define the mission, vision, and core values of your company.
- **Market Research:** Conduct thorough research on the investment management industry, including competitors, market trends, and target clients.
- **Business Model:** Outline your business model, including revenue streams (management fees, performance fees), pricing strategy, and service offerings.

## ➤ **Choose Your Legal Structure**

- **Entity Type:** Choose the legal structure for your company (LLC, corporation, partnership). Consult with legal experts to determine the best structure for liability protection and tax efficiency.
- **Name Registration:** Register your company name with the appropriate government authorities and secure the domain name for your website.

## ➤ **Develop Your Investment Philosophy**

- **Investment Approach:** Define your investment philosophy and approach. Will you focus on active management, passive management, quantitative strategies, or ESG (Environmental, Social, and Governance) criteria?
- **Product Differentiation:** Identify what will differentiate your investment products from others in the market.

## ➤ **Establish Regulatory Compliance**

- **Licensing:** Obtain necessary licenses and registrations, such as registering as an investment advisor with the SEC in the U.S. or equivalent authorities in other countries.
- **Compliance Framework:** Develop a comprehensive compliance framework to meet regulatory requirements, including AML (Anti-Money Laundering) and KYC (Know Your Customer) protocols.

## ➤ **Fundraising and Capitalization**

- **Seed Capital:** Raise initial capital to fund your operations, technology infrastructure, and product development. This may involve personal investment, venture capital, or partnerships with financial institutions.
- **Operating Budget:** Develop a detailed budget, including expenses for technology, staff, marketing, and regulatory compliance.

## ➤ **Get Technology Infrastructure in Place**

- **Investment Platform:** Build or acquire a robust investment platform for portfolio management, risk analysis, trading, and reporting. Consider developing something similar to BlackRock's Aladdin system.
- **Cybersecurity:** Implement strong cybersecurity measures to protect client data and financial transactions.

## ➤ **Hire Key Personnel**

- **Portfolio Managers:** Hire skilled portfolio managers who can manage client assets and develop investment strategies.
- **Compliance Officers:** Employ compliance officers to ensure adherence to regulatory standards and internal policies.
- **Technology Experts:** Recruit IT professionals to manage your technology infrastructure and develop proprietary tools.

## ➤ **Identify Your Target Market**

- **Client Segments:** Identify your target clients, such as institutional investors, pension funds, high-net-worth individuals, or retail investors.
- **Client Needs:** Understand the needs and goals of your target market to tailor your investment products and services accordingly.

## ➤ **Join Industry Networks**

- **Professional Associations:** Join industry associations like the CFA Institute, Investment Management Association, or local equivalents to network and stay updated on industry trends.
- **Networking Events:** Attend conferences, seminars, and industry events to build relationships with potential clients and partners.

## ➤ **Know the Regulatory Landscape**

- **Regulatory Bodies:** Stay informed about the regulations imposed by bodies like the SEC, FINRA, and other global financial regulators.
- **Compliance Updates:** Regularly update your compliance framework to adapt to changes in the regulatory environment.

## ➤ **Launch Your Initial Products**

- **Investment Vehicles:** Launch your first investment products, such as mutual funds, ETFs, or SMAs (Separately Managed Accounts).
- **Pilot Programs:** Consider running pilot programs with a select group of clients to test your investment strategies and operational processes.

## ➤ **Market Your Company**

- **Brand Identity:** Develop a strong brand identity, including a logo, tagline, and visual elements that reflect your company's values and expertise.
- **Marketing Strategy:** Implement a marketing strategy that includes digital marketing, content creation, thought leadership, and public relations.
- **Client Education:** Offer educational content, webinars, and white papers to establish your firm as a thought leader in the industry.

## ➤ **Network with Potential Clients**

- **Client Outreach:** Reach out to potential clients through personalized pitches, meetings, and presentations.
- **Client Relationships:** Build strong relationships with clients by offering personalized services, transparency, and regular communication.

## ➤ **Optimize Operations**

- **Operational Efficiency:** Streamline your operations by adopting best practices in portfolio management, client reporting, and administrative tasks.
- **Process Automation:** Invest in automation tools to reduce manual work and increase operational efficiency.

## ➤ **Performance Measurement**

- **Track Performance:** Continuously track the performance of your investment products against benchmarks and client expectations.
- **Client Reporting:** Provide regular performance reports to clients, highlighting returns, risk metrics, and strategic adjustments.

## ➤ **Quality Assurance**

- **Risk Management:** Implement a comprehensive risk management framework to mitigate market risks, operational risks, and compliance risks.
- **Audit Processes:** Regularly audit your processes and systems to ensure they meet industry standards and regulatory requirements.

## ➤ **Refine and Expand Product Offerings**

- **Product Development:** Continuously develop new investment products and services based on market demand and client feedback.
- **Geographical Expansion:** Consider expanding your services to new regions and markets as your firm grows.

## ➤ **Scale the Business**

- **Global Presence:** Expand your operations globally by opening offices in key financial markets.
- **Talent Acquisition:** Scale your team by hiring more professionals in portfolio management, client relations, and technology.

## ➤ **Technology Innovation**

- **Proprietary Tools:** Develop proprietary tools and technologies to enhance your investment strategies and client offerings.
- **Data Analytics:** Use data analytics to gain insights into market trends, client behavior, and investment performance.

## ➤ **Understand Client Needs**

- **Client Feedback:** Regularly gather feedback from clients to understand their evolving needs and preferences.
- **Customized Solutions:** Offer customized investment solutions that align with individual client goals and risk tolerance.

## ➤ **Venture into New Asset Classes**

- **Alternative Investments:** Expand into alternative asset classes like private equity, real estate, hedge funds, and commodities.
- **Sustainable Investments:** Consider offering sustainable and impact investment products that appeal to socially conscious investors.



## ➤ **Wealth Management Services**

- **Comprehensive Services:** Offer comprehensive wealth management services that include financial planning, estate planning, and tax optimization.
- **Client Education:** Provide clients with educational resources to help them make informed decisions about their wealth.

## ➤ **Excel in Corporate Governance**

- **Strong Governance:** Establish a strong corporate governance framework to ensure accountability, transparency, and ethical practices.
- **Board of Directors:** Form a board of directors with experienced professionals who can guide the company's strategic direction.

## ➤ **Yield Results**

- **Deliver Returns:** Focus on delivering consistent and competitive returns for your clients while managing risks effectively.
- **Client Satisfaction:** Aim for high client satisfaction by meeting or exceeding their expectations in terms of service quality and investment performance.

## ➤ **Zero in on Continuous Improvement**

- **Continuous Learning:** Foster a culture of continuous learning and improvement within your organization.
- **Innovation:** Stay ahead of the competition by continuously innovating and adapting to changes in the financial industry.