PROFESSIONAL COLLABORATION NOTE

# A Continuity Architecture Layer for Complex Family Mandates

*Working alongside the family's trusted advisers*

*Successful families rarely need another general adviser. They often need a disciplined continuity layer that connects ownership, control, liquidity, succession, governance, documentation and implementation.*

Sandeep helps the family see the whole continuity question while each existing professional remains accountable within their own discipline.

## When to involve Sandeep

- The founder remains central to major business or family decisions.
- One child is active in the enterprise and another is not.
- A Will, trust, share transfer or restructuring is considered without an integrated continuity view.
- The family has substantial business or real-estate wealth but limited transition liquidity.
- The spouse or next generation does not understand ownership, obligations or decision rights.
- Several advisers are involved, but no one owns overall alignment and completion.
- Personal guarantees, partner exits, buy-sell obligations or estate equalisation needs may be unfunded.
- A clear capital, income or access-control requirement needs focused examination.

## How the mandate is divided

| CONTINUITY ARCHITECTURE | PROFESSIONAL ADVICE | IMPLEMENTATION |
|---|---|---|
| **Led by Sandeep** | **Retained with specialists** | **Chosen by the family** |
| • Relevance conversation and mandate selection<br>• Focused Capital Review or broader Diagnostic<br>• Prioritisation and implementation governance | • Legal, tax, fiduciary, accounting and valuation conclusions<br>• Regulated and discipline-specific opinions<br>• Drafting, approvals and execution within each mandate | • Execution through selected professionals or institutions<br>• No provider or instrument is presumed<br>• Scope, alternatives and remuneration disclosed before decision |

## Four collaboration safeguards

**Professional roles remain protected**

Existing advisers retain responsibility for advice and execution within their disciplines.

**The family controls appointments and sharing**

No replacement, appointment or disclosure occurs without appropriate family authority.

**Material disagreements remain visible**

Differing professional views are identified and escalated rather than silently resolved.

**Commercial interests are disclosed**

Any implementation role, referral arrangement or remuneration is disclosed before the family decides.

WHAT HAPPENS AFTER AN INTRODUCTION

# From concern to the right first mandate

*A relevance-led path from the initial concern to family decisions and coordinated action*

| | |
|---|---|
| **01** | **Private relevance conversation**<br>Understand the broad concern, existing advisers and why the matter has become relevant now. No engagement is presumed. |
| **02** | **Select the appropriate entry mandate**<br>Use the focused Capital Review where the capital requirement is clear; use the broader Diagnostic where connected continuity questions remain unresolved. |
| **03** | **Family decisions and continuity architecture**<br>Clarify what must continue, who must control it, who must remain financially protected and which exposures will be addressed, accepted or deferred. |
| **04** | **Professional and implementation allocation**<br>Assign legal, tax, fiduciary, banking, investment and other work to the appropriate professional or institution chosen by the family. |
| **05** | **Implementation governance and review**<br>Track dependencies, deadlines, blockages and completion evidence, then establish future review triggers. |

## Two possible entry mandates

FOCUSED FLAGSHIP MANDATE

### Continuity Capital Review

For a clear question about usable capital and dependable income under the right control.

- Tests purpose, amount, timing, access and reliability
- Reviews existing resources before any new arrangement

BROADER ENTRY MANDATE

### Family Continuity Diagnostic

For interdependent ownership, control, liquidity, succession, governance or documentation questions.

- Establishes what is sound and what remains exposed
- Clarifies decisions, dependencies and what must happen first

## Family choice and commercial transparency

- Neither entry mandate is conditional on purchasing an instrument or proceeding to implementation.
- The family may retain its existing professionals and institutions for accepted recommendations.
- Any further architecture, specialist advice or implementation is separately scoped and approved.
- Any relevant implementation role, referral arrangement or commercial interest is disclosed before decision.

## Suggested introduction

> *"I would like you to meet Sandeep Setty. He helps business families determine whether continuity depends on a focused Capital Review or a broader Diagnostic. He works alongside the family's existing CA, lawyer, banker, trustee and other advisers to clarify what must be decided, funded and coordinated."*

PRIVATE INTRODUCTIONS

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