

How Mainline West Leverages FINTRX to Target High-Fit RIAs & Scale Municipal Bond Distribution

About Mainline West

Mainline West is an independent investment firm specializing exclusively in municipal bond strategies, managing approximately \$1.8B in assets across separately managed accounts and private tax-advantaged opportunity funds. The firm focuses on generating consistent, tax-efficient income through investment-grade municipal securities, supported by long-standing relationships with over 25 regional and national underwriters and direct access to primary offerings.

Through its integrated structure combining an RIA with an in-house broker-dealer, Mainline West eliminates intermediary costs while providing differentiated access to municipal opportunities. This model supports competitive fee structures, greater transparency, and highly customized portfolio construction tailored to high-net-worth and institutional investors.

Challenges

As [Mainline West](#) continued building out its distribution effort across RIAs, the challenge was not access to advisors, but identifying the right ones. With a highly specialized municipal bond strategy and a defined target client profile, success depended on finding advisors who already understood and allocated to the asset class.

- ◆ **Limited Visibility Into Actual Municipal Bond Exposure:** Existing tools did not show whether an advisor had real exposure to municipals, making it difficult to prioritize firms already aligned with the strategy versus those requiring a full education cycle.
- ◆ **Difficulty Narrowing the RIA Universe to Qualified Targets:** The team needed to filter thousands of RIAs down to a much smaller group that not only used municipals, but also served the right client base and had the capacity to allocate.
- ◆ **Limited Ability to Filter for Specific Product Alignment:** Because a portion of the offering is structured through private funds, identifying RIAs already allocating to similar vehicles required additional effort.
- ◆ **Time Spent Validating Decision-Makers and Firm Structure:** Determining who was responsible for manager selection or product research often required additional research outside of the core system.
- ◆ **Need to Focus Outreach on Quality Over Volume:** With a targeted distribution strategy, the priority was not reaching more advisors, it was identifying those most likely to engage based on allocation behavior, client profile, and platform usage.

Why They Chose FINTRX

Mainline West turned to FINTRX to identify RIAs already allocating to municipal bonds and prioritize outreach accordingly. With visibility into real portfolio data, the team can quickly validate allocation behavior and focus efforts where there is clear alignment. The platform's ease of use made it possible to start building and acting on targeted lists immediately, while ongoing support from the FINTRX team ensures questions are answered quickly and searches can be refined in real time.

Results & Impact

FINTRX now supports a more [focused and data-driven approach to distribution](#) at Mainline West, helping prioritize advisors based on actual allocation behavior and client fit. With visibility into real portfolio data and firm-level insights, conversations are more focused, time spent validating prospects is reduced, and a more qualified pipeline is built across the RIA channel.

- ◆ **Ability to Identify Advisors Already Allocating to Municipals:** [FINTRX's 13F data](#) allows for quick confirmation of whether an advisor has exposure to municipal bonds, enabling outreach to focus on firms with an existing understanding of the asset class.
- ◆ **Improved Alignment With Product Fit & Client Profile:** By layering filters such as AUM, geography, average client size, custodians like Schwab or Fidelity, platform usage like Envestnet, and private fund exposure, outreach can be focused on RIAs aligned with the firm's investment approach.
- ◆ **Reduced Time Spent on Upfront Research & Validation:** Firm structure, investment approach, and key contact data are accessible in one place, minimizing the need to cross-reference external sources before outreach. As Craig DiRuzzo, Head of Distribution, noted, *"The approach has been the same, it's just that FINTRX provides better tools to achieve what we're trying to achieve."*
- ◆ **More Targeted Outreach By Geography & Travel:** When meeting with partners or prospects in the field, RIAs in a specific region can be quickly identified and prioritized based on relevant criteria, ensuring time on the ground is spent with the right firms.
- ◆ **Improved Meeting Prep with Firm Intelligence & AI:** Ahead of conversations, firm-level data and [AI Analyst's](#) "Prep me for a meeting" prompt provide clear insight into how an advisor allocates and who is responsible for decision-making, enabling more tailored and informed discussions.

"FINTRX has helped us build relationships with new RIA firms, grow assets across our SMAs and private funds, and perhaps most importantly, put Mainline West on the radar of a much wider universe of prospects through targeted outreach."

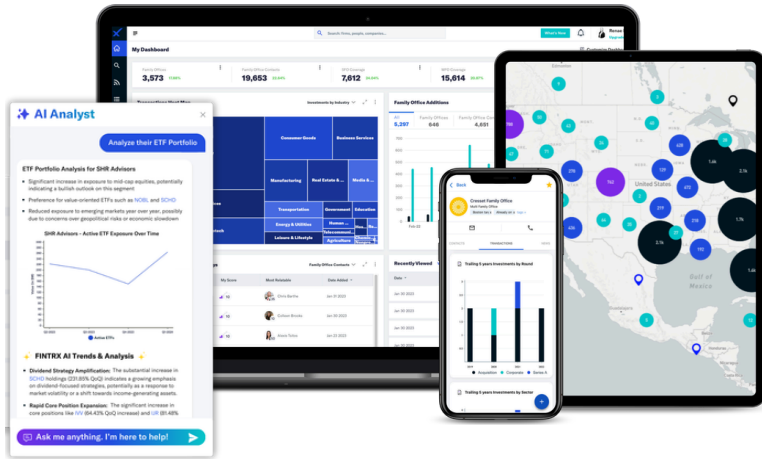


Craig DiRuzzo

Head of Distribution,
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About FINTRX

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Powered by [industry-leading AI](#), FINTRX helps firms distribute funds, raise capital, recruit advisors, identify M&A targets, and drive strategic growth.

FINTRX now provides access to data and intelligence covering 850,000+ financial firm and contact records, including more than 4,400 family offices and 44,000 RIA and broker-dealer firms.

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