Table 1: Client Onboarding Process Template

Step	What	When	Who
1	Deliver signed account paperwork to operations team.	Immediately following signing	Adviser
2	Introduce clients to team.	Immediately following signing	Adviser / Relationship Manager
3	Assure paperwork completion and all documentation is in good order (IGO); submit to custodian, product sponsor, or broker–dealer for processing.	Within 4 hours of receiving paperwork	Operations Associate
4	Update CRM with any corrected or additional client information gathered during signing.	Within 24 hours of receiving account and transfer paperwork	Operations Associate
5	Update status from prospect to client in CRM.	Within 24 hours of receiving account and transfer paperwork	Operations Associate
6	Follow up with custodian, broker–dealer, or product sponsor to ensure paperwork was received.	24 hours after submitting paperwork	Operations Associate
7	Create client file in secure document storage system; link to CRM record.	24 hours after submitting paperwork	Operations Associate
8	Scan or save completed paperwork to client file.	24 hours after submitting paperwork	Operations Associate
9	Send welcome email to client. Include attachments: • Online portal login instructions • Extensive personal questionnaire • New-Client Guide	Within 48 hours of receiving paperwork	Operations Associate
10	Finalize plan and implement investment management recommendations.	Within 24 hours of account funding	Adviser / Relationship Manager
11	Make confirmation call to client.	As account transfers and plan implementation are complete	Adviser / Relationship Manager
12	Schedule portal walk-through virtual meeting with client and operations associate.	Within 24 hours of account funding	Front Office Associate
13	Schedule 45-day check-in call with client.	Within one week of paperwork signing	Front Office Associate
14	Send handwritten Thank You note to client.	Within one week of paperwork signing	Adviser
15	Enter personal preference data from questionnaire in CRM.	Within one week of receiving questionnaire from clients	Operations Associate
16	45-day check-in meeting: readdress new plan and allocation.	As scheduled in Step 13	Adviser
17	Send new client Random Act of Kindness based on survey data.	Within one week of receiving questionnaire from clients	Front Office Associate
18	Send new client survey.	Immediately following 45-day check-in meeting	Operations Associate
19	Schedule mid-year check-in.	5 months after implementation	Front Office Associate
20	Schedule annual review.	11 months after implementation	Front Office Associate