Client Onboarding Process Template

Process: Client Onboarding Process

Description: Process for a seamless and consistent onboarding experience for new clients, immediately following receipt of new account paperwork.

Category: Client Onboarding

Keywords: Onboarding / Client Onboarding / First Client Year / New Client Process / New Client Onboarding

Last Updated: (Date) **Updated By:** (Name)

Locations Referenced:
- CRM – Workflow – New Client

PROCESS DETAILS:

STEP #	WHAT	WHEN	WHO
1	Deliver signed account paperwork to operations team	Immediately following signing	Advisor
2	Introduce clients to team	Immediately following signing	Advisor/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	Advisor/Relationship Manager

11	Make confirmation call to client	As account transfers and plan implementation are complete	Advisor/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	Advisor
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 #12	Advisor
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 30-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