**New Client Checklist**

New Client Name:

Client-Facing steps to be carried out by the Financial Advisor are indicated accordingly below. All other steps may be implemented by others on the team.

|  |  |  |  |
| --- | --- | --- | --- |
| **Step** | **Activity** | **Person Responsible** | **Completed on:** |
| 0 | Send a Thank You Card to client |  |  |
| 1 | Set Up on CRM as Prospect |  |  |
| 2 | **Initial Call to Prospective New Client using Initial Contact Script** | Financial Advisor |  |
| 3 | Send the Introduction Kit |  |  |
| 4 | Make call to set up 1st Appt. |  |  |
| 5 | Send 1st Appt. Confirmation Letter |  |  |
| 6 | Make 1st Appt. Confirmation Call |  |  |
| 7 | **1st Appointment** with Agenda | Financial Advisor |  |
| 8 | **Make “Is there a Fit?” Call** | Financial Advisor |  |
| 9 | Send 2nd Appointment Confirmation Letter & Checklist |  |  |
| 10 | Make 2nd Appt. Confirmation Call |  |  |
| 11 | **2ND Appointment** with Agenda | Financial Advisor |  |
| 12 | Make 3rd Appt. Confirmation Call |  |  |
| 13 | **3RD Appointment** with Agenda | Financial Advisor |  |
| 14 | Send New Client Welcome Card |  |  |
| 15 | Send New Client Welcome Letter |  |  |
| 16 | Send New Client Welcome Gift |  |  |
| 17 | Make 1st Statement & Care Call |  |  |

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| --- | --- | --- | --- |
| **Administrative Onboarding** | | | |
|  | **Update New Client on the CRM:**  Code as Client  Add Client Classification  Activate Client Experience on CRM  Set Additional Follow Up if Required  Add all other Notes or Client Info |  |  |
|  | **Client Admin & Setup:**  Add Client Folder to Digital Shared Drive  Upload appropriate info to Client Folder  Set Up Client Paper File (if applicable)  Add Client to Email Distribution Lists |  |  |
|  | **New Accounts:**  Make sure New Accounts are Opened  Check Accuracy of Info/Type of Account  Notify Clients New Accounts are Open  Scan & Upload NAAF to the CRM |  |  |
|  | **Account Transfers:**  Weekly Tracking of Transfer-Ins  Weekly Contact re: Transfer Status  Notify Advisor Transfer is Complete  Notify Client Transfer is Complete |  |  |
| **New Client Advocate Process Completed:** | | |  |