Client Realignment Process – Within the Team

These are the client-facing activities in the transition process for any clients aligned to the NEW Lead FA.

CLIENT MEETINGS

Depending on how long the New FA has been on the team, and the relationship he has with those he will be working with, this process may be expanded to accommodate an ‘introduction & warm up’ period. This could include the Current FA introducing the New FA at the next meeting and then following this process to formally pass them over at the subsequent meeting.

The Current FA is welcome to drop in for a quick ‘Hello’ on all future meetings but should not be expected to attend and/or prepare to discuss any of the client’s wealth management needs in that meeting.

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| **Step** | **Activity** | **Person Responsible** | **Completed on:** |
| 1 | Call to Set Up **Review Meeting** with FA & New FA | CSA |  |
| 2 | **Review Meeting Initial** Confirmation Email | CSA | Same day Mtg booked. |
| 3 | **Review Meeting** **Day Before** Confirmation Email | CSA | 1 Day Prior to Meeting |
| 5 | **CLIENT TRANSITION MEETING** with Agenda | FA & New FA | Meeting Day |
| 6 | **Send Client Realignment Follow Up Email** | New FA | Day after the Meeting |
| 6 | **Review Meeting** Follow Up Email | New FA | Within 2 Days of Meeting |
| 7 | **Change Lead FA on CRM & Launch Soft Land** | CSA | Within 2 Days of Meeting |
| 8 | **Review Meeting** Follow Up Activities | New FA | Varies – as appropriate |
| 9 | **Handwritten Card** | New FA | 1 Week After Meeting |
| 10 | **Follow Up & Care Call** | New FA | 1 Month After Meeting |
| 11 | All **Incoming Portfolio Account Phone** **Calls** | New FA | Ongoing |
| 12 | All Future **Review Meetings** | New FA | Ongoing |
| 13 | All other **FA-related** **Client Service Activities** (Calls, etc.) | New FA | Ongoing |