## **Client Transition Checklist**

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| **Activity** | **Person****Responsible** | **Completed**  |
| **Pre-Transition Work by the Transitioning Advisor**❒ Conversation & Agreement by other Team Members❒ Organize & Sort Book of Business to Prioritize Clients❒ Pre-Announcements |  |  |
| **Client Transition Support Team Assigned & Ready to Go**❒ Assistant for Advisor❒ Additional Support Person at New Firm❒ Support Person at 3rd Party (back office) if applicable |  |  |
| **Transition & Welcome Process for Transitioned Clients**❒ Day 1 – Formal Announcement & Call/Meet Clients❒ Day 1 – New Accounts Opened & Transfers Initiated❒ Day 1 – Monitor & Follow Up All Transfers❒ Week 1 – Announcement via Website & Social Media❒ Week 1 – Send Handwritten Welcome Card❒ Week 2 – Send Welcome Letter with Introduction Kit❒ Week 3 – Send Welcome Gift❒ Week 4 – Follow Up & Care Call❒ Week 6 to 8 – How to Read Your Statements Call |  |  |
| **CRM & Client Administrative Set Up**❒ Create a Contact Record on the CRM for each Client❒ Initiate the Welcome Process Action Plan on the CRM❒ Classify Client & Initiate Client Service on the CRM❒ Add additional info/notes/docs to the CRM if applicable❒ Digital and/or Physical Files Set Up for Clients |  |  |
| Monthly Tracking of Client Transition & AUM  |  |  |