## **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 |  |  |