New Client Checklist

Client Prospect Referred

- ☐ Schedule Prospect Appointment (Receptionist)
- ☐ Send Client Referral Thank You Letter
- ☐ Confirmation email and list of documents (Receptionist)
- ☐ Prospect Meeting (Advisor, Paraplanner, CSA)

Client Wishes to Proceed

- ☐ Gather Financial Documents and Data (Paraplanner)
- ☐ Do a full Risk Tolerance Analysis
- ☐ Schedule FP Presentation (Paraplanner)
- ☐ Create Financial Plan (Paraplanner)
- ☐ Present Financial Plan to Clients (Advisor, Paraplanner, CSA)

Client Approves Proposal

- ☐ Client Signs Paperwork to Authorize Transfer (CSA)
- ☐ Prepare Transition Report (CSA)

Assets are Transferred and Statement Received

- ☐ Schedule Initial PR (CSA)
- ☐ Prepare Final Transition Report (CSA)
- ☐ Provide Advisor with Final Transition Report (CSA)
- ☐ Present Initial PR (Advisor, CSA)
- ☐ Assign Client Tier
- ☐ Assign Client Regular PR Month(s) (CSA based on Advisor recommendation)