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CLIENT ONBOARDING GUIDE

STEP ONE – INTRODUCTION (BY TELEPHONE/WEBINAR)

This introductory meeting is as simple as it sounds. We get to know you and you get to know us, if you decide, we will begin the process. Moving forward Your financial advisor will explain his or her services and define each of your responsibilities within the relationship. We will discuss the scope of the relationship, how decisions will be made and compensation.

STEP TWO – INFORMATION GATHERING

For this step we utilize online platforms to gather your information.

One of the best ways to help you create a stronger financial future is to ensure you have complete access to your financial picture and make it easier for us to collaborate.

To keep you informed and keep us connected, you will now have access to **AdviceWorks®**, a powerful technology tool where you can view all your financial data and easily and securely share documents.

The platform allows us to work together at any time and from anywhere, to create, adjust, and track progress toward your financial goals. It is designed to give you real-time transparency into your finances and help you get more out of us working together.

As part of the information gathering, we use **Asset-Map Discovery**.

One of the most important aspects of our client discovery process is making sure that we understand our clients and they understand us. Helping both of us see the big picture is essential to our ongoing communication and guidance.

We build a custom Asset-Map Report for all our clients' households and use it throughout our interactions to make sense of priorities and intentions as well as gaps and areas of improvement.

Once we have a clear picture of our client's financial position, we move on to the proposal stage. For this we use **Riskalyze** an award-winning technology that quantifies your acceptable levels of risk and reward. Using this tool, we ensure that your portfolio defines your investment goals and expectations.

TOGETHER WE CAN TAKE THE GUESSWORK OUT OF YOUR FINANCIAL FUTURE.

Platform	Action Required by you
Adviceworks	Enroll & complete your Profile and upload statements and supporting financial paperwork.
Asset-Map	Complete Discovery Questionnaire
Riskalyze	Complete Risk Tolerance Questionnaire

STEP THREE – INVESTMENT STRATEGY SELECTION

For this step we work on creating an investment strategy based on your goals and time horizon. We build a strategy/portfolio to match your Risk Number based on the level of risk you are comfortable with; this is taken from your Riskalyze questionnaire.

STEP 4 - IMPLEMENTATION

Once you are happy with the strategy designed for you, your advisor will prepare the necessary paperwork to open your account(s).

Platform	Action Required by you
Adviceworks	Sign by using eSignature or we can mail to you for wet signature.
	You will be notified once the account has been open and funded. The account will be viewable to you in Adviceworks shortly after that.

STEP 5 - REVIEW

Your advisor will meet with you periodically to review your strategy and progress towards your goal(s). This can be done by teleconference or by video conference.