

Transition & Onboarding Timeline

Your dedicated Transition & Onboarding Manager will set you up for success from day one, crafting a customized transition plan, handling your tech setup, managing client and account transitions, and providing highly personalized support.

Timeline

PHASE 1

INTRODUCTION

1-2 Days

PHASE 2

DATA GATHERING

1 Week

PHASE 3

TRANSITION KICKOFF

2 Weeks

PHASE 4

CLIENT ONBOARDING

2+ Weeks

PHASE 5

TRANSITION COMPLETE

Transition & Onboarding Timeline

Introduction

* ADVISOR

- Attends introductory call
- Submits prospective advisor questionnaire
- Reviews and agrees to Policies and Procedures

* SAPPHIRE ONBOARDING TEAM

- Approves advisor for onboarding

Data Gathering

* ADVISOR

- Signs contract with Sapphire
- Provides client data to Sapphire
- Provides current ADV, U4, Client Agreement, OBA, and education history
- Provides brand guide and DBA information
- Provides Fee Schedule and Billing Preferences

* SAPPHIRE ONBOARDING TEAM

- Runs background check
- Provides advisor link to Box.com to begin secure file sharing
- Compiles client data into tracking sheet
- Prepares Updated ADV, U4, and Client Agreement
- Develops Transition Plan
- Requests new Schwab Master(s)

Transition Kickoff

* ADVISOR

- Verifies client data in tracking sheet
- Approves U4 update and ADV Part 2B draft
- Verifies client data in tracking sheet

* SAPPHIRE ONBOARDING TEAM

- Prepares client transition paperwork
- Submits U4, finalizes ADV Part 2B
- Completes tech migrations & verifies access to core tech

Client Onboarding

* ADVISOR

- Notifies clients of transition via email
- Confirms client model assignments
- Supports clients with questions about their transition paperwork
- Continues reaching out to client to remind them about the transition

* SAPPHIRE ONBOARDING TEAM

- Sends client transition paperwork via DocuSign
- Tracks signed paperwork submission and account openings
- Sends client portal invitations
- Provides transition updates

Transition Complete

* ADVISOR

- Completes compliance training
- Has full access to tech stack
- Working directly with Sapphire Service Team

* SAPPHIRE ONBOARDING TEAM

- Confirms accounts are all reconciled in Orion
- Runs first billing cycle