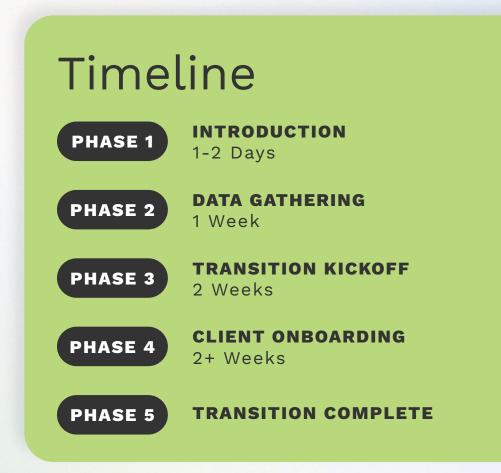
Transition & Onboarding Timeline

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.



Transition & Onboarding Timeline

Introduction

* ADVISOR

- → Attends introductory call
- → Submits prospective advisor questionaire
- → 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
- \rightarrow 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
- \rightarrow 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
- \rightarrow Runs first billing cycle

xypn sapphire