TAKE YOUR CLIENT EXPERIENCE TO THE NEXT LEVEL

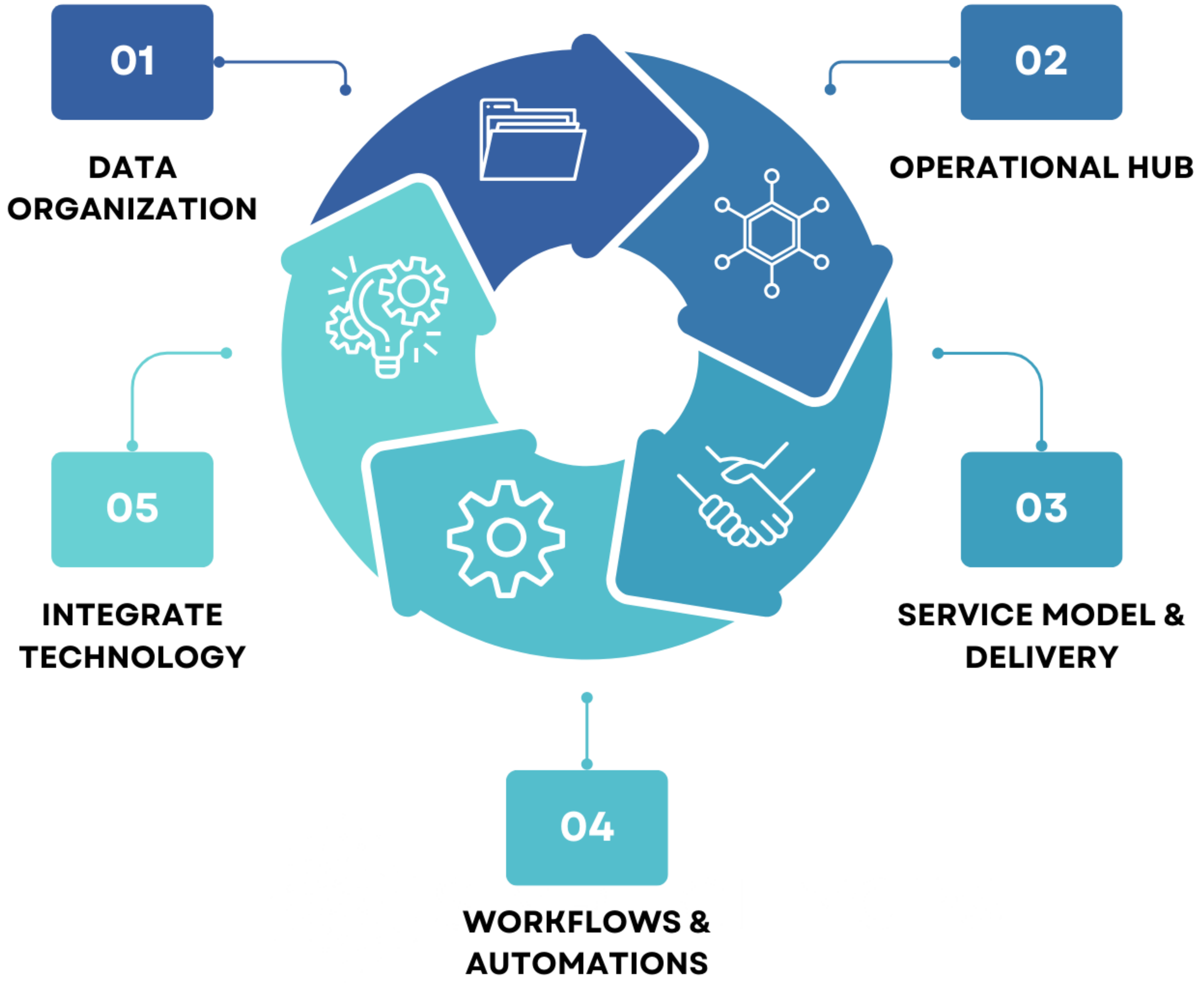
Using Systems, Workflows and Technology

SIMPLICITYOPS

ABOUT SIMPLICITY OPS

Kate Guillen
Founder, Head of Strategy

ADVISOR’S #1 PRIORITY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01

DATA ORGANIZATION

Database Organization

Status/Type:

The highest level used to identify contacts in the CRM. These are mutually exclusive so a contact can only have one status at a time.

- Business
- Client
- COI
- Deceased
- Inactive
- Not Specified
- Personal Contact
- Professional Network
- Prospect
- Relative of Client

Category/Custom Field:

Once they have a status, the category can be used to clarify their rank within the status.
Also, mutually exclusive so a contact can only have one category at a time.

- Business - Vendor
- Business - Client's Employer
- Business - Other Business

- Client - Tier 1
- Client - Tier 2
- Client - Tier 3
- Client - Tier 4
- Client - Retirement Plan
- Client - Plan Participant

- COI - Attorney
- COI - CPA
- COI - Insurance Agent
- COI - Other Financial Professional

- Deceased - Former Clients
- Deceased – Other

- Inactive - Former Clients
- Inactive – Other

- Personal Contact - Other

- Professional Network - Attorney
- Professional Network - CPA
- Professional Network - Insurance Agent
- Professional Network - "Our Firm" Employee
- Professional Network - Other Financial Professional

- Prospect - Hot
- Prospect - Cold
- Prospect – Lost

- Relative of Client - Spouse
- Relative of Client - Child
- Relative of Client - Other

02

OPERATIONAL HUB

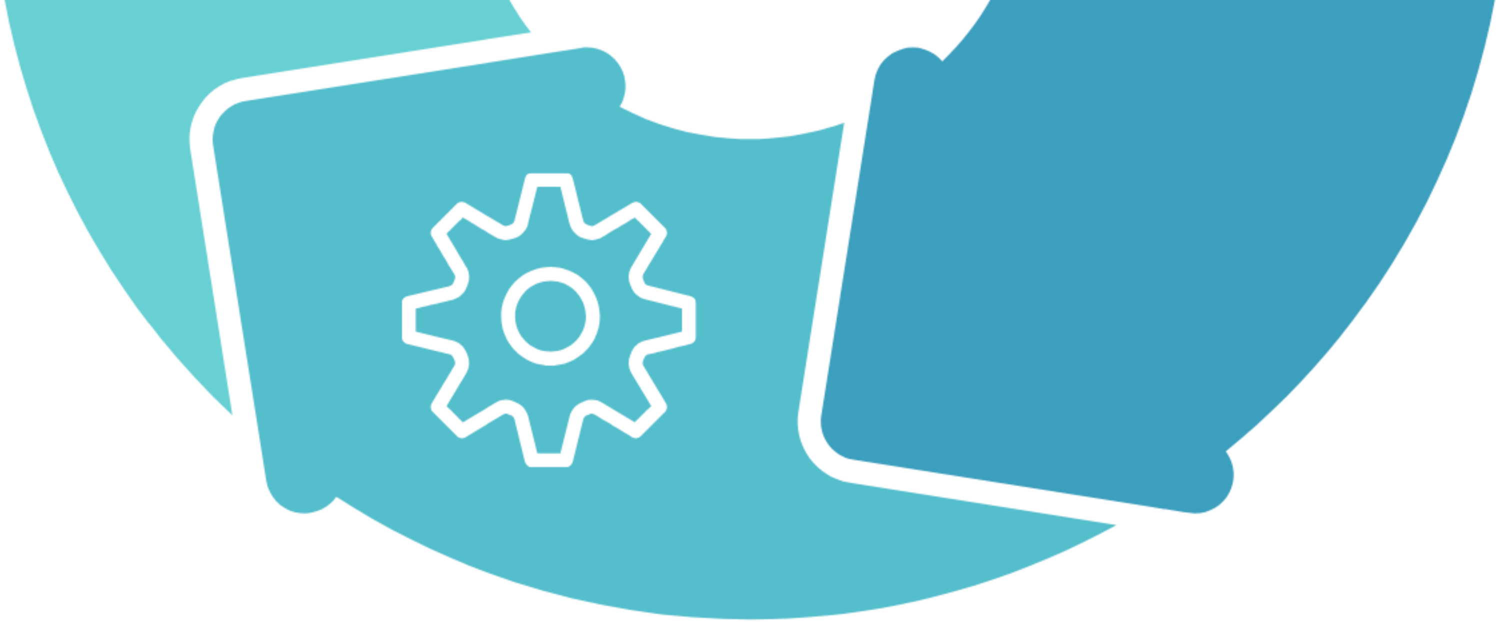

Reports
Accounts
Contacts
CRM
Pipeline
Tasks
Calendar

03

SERVICE MODEL & DELIVERY

Service Model and Delivery

Services	Tier 1	Tier 2	Tier 3	Tier 4	Prospects - Hot
Qualification	$1M+	$750k-$1M	$500k - $750k	Under $500k	Potential Client
Review Meetings	2 in person or Zoom - Client preference	1 in person or 1 Zoom	1 - Zoom	Reactive	
Meeting Duration	60 minutes	60 minutes	60 minutes	60 minutes	
Client Check In	4 phone calls	2 phone calls	1 email	Reactive	
Initial Financial Plan	X	X	X		
Annual Plan Update	X	X	As Needed		
Client Portal	X	X	X	X	
Investment Advice	X	X	X	X	
Response Time	By end of day	By end of day	24 hrs	48 hrs	By end of day
Type of Advisor	Senior	Senior	Associate	Associate	
Admin Support	Manager	Manager	Associate	Associate	
Birthday Acknowledgement	Card/Call	Card	Card	Card	
Milestone Birthday Gift	X	X			
Client Since Acknowledgement	Call	Email	Email		
Life event acknowledgement (housewarming, new baby, retirement)	X	X	X		X



04

WORKFLOWS & AUTOMATIONS

Prospecting/Client Onboarding Workflow Recommendations

- Introductory Call
- Discovery Meeting
- Financial Planning Meeting
- Implementation Meeting (Paperwork)
- Onboarding Process *
- New Client Welcome Meeting

Client Management Workflow Recommendations

- Account Closure *
- Account Transfer *
- Address Change *
- Age of Majority – UTMA *
- Beneficiary Change *
- Charitable Donation *
- Check Deposit *
- Client Death *
- Client Divorce *
- Client Retirement *
- Client Termination *
- Email Change *
- Fee Adjustment *
- Move Money *
- New Account for Existing Client *
- QCD *
- Re-Registering Accounts *
- Review Meeting
- Rollover *
- Roth Conversion *

Additional Workflow Recommendations

Practice Management

- Auditing Fees
- Client Billing
- Client Event
- Client Tax Document Delivery
- Quarterly Redtail Maintenance
- Review Meeting Prep Process
- RMD Process

Human Resources

- New Hire Checklist *
- Terminated Employee Checklist *
- Payroll

05

INTEGRATE TECHNOLOGY

QUESTIONS

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Join our community!
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Talk to Kate →