

What to Expect in your Family Office Onboarding



Overview of the Transition Path

Welcome to Financial Gravity Transition Overview

Alignment
Sessions with
FG Specialist

FG Team
Kickoff:
Transition
Introduction

Transition
Planning
Meetings with
the FG Team

Marketing
Planning and
Webinar
Rehearsals

Phase One - Planning for Success

The initial phase of our partnership includes introductory and planning meetings with our dedicated teams. During this time, you'll receive a comprehensive outline of our transition process and collaborate with us to create a customized transition plan and timeline specific to your business. This is also the phase where you'll begin gathering client data and preparing a transition template provided to you, allowing our team to create transition packets for your clients.

Book of
Business
Transition with
Dedicated
Support

Client-Focused
Webinar

Official
Registration &
Technology
Kickoff Call

Phase Two - From Planning to Performance

This second phase is where the action begins. All the planning we've done so far now moves into execution. We'll get you registered with the firm, host a welcome webinar for your clients, and begin sending out the necessary onboarding documents to you and your clients. Our goal is to streamline the transition process and make it as seamless as possible—for both you and your clients.

Pathway to
Growth
Training

FG Client
Check-In Calls

Dedicated
Client Service
Support

Automated
Annual Review
Workflow

Phase Three - Integrated Family Office Execution

The final phase is about fully leveraging our family office platform. You'll receive one-on-one training to get up to speed with our software and processes while your clients will get a welcome call to walk through our systems. Going forward, you'll also have access to our servicing team, allowing you to focus on what matters most—your clients. This includes support with annual review invitations and preparation of documents for your client meetings.



Phase One: Planning for Success

Alignment
Sessions with FG
Specialist

Our FG Recruitment Specialist will meet with you across multiple sessions to introduce our firm and the value we offer to you as an advisor.

These conversations will cover our asset management platform, cost-of-living, and holistic family office model. We'll also discuss how we can better serve your clients our back-office team support your needs during the transition, but on an ongoing basis—we can help focused on what matters most to your clients.

These sessions are unique to you to help you prepare for the transition. This includes gathering client data into a transition

FG Team Kickoff:
Transition
Introduction

Once you've decided to move forward, you'll meet with our dedicated transition team, which includes your Transition Advisor along with representatives from each of our key departments including marketing, compliance, technology, and operations.

Transition
Planning
Meetings with
the FG Team

Every transition timeline is unique, based on your needs and those of your clients.

During this period, we'll work closely with you to help you prepare for the transition. This includes gathering client data into a transition

Marketing
Planning and
Webinar
Rehearsals

During the planning phase, you'll meet with the marketing team on your introductory call to discuss the ideal timing for your client webinar. Following that, you'll have several additional meetings to ensure everything is well-prepared.



Official
Registration &
Technology
Kickoff Call

Now that we've finalized the timeline and completed our preparations, it's time to move forward and go live.

Our licensing and registration team will coordinate with you to use the data for transitioning from your previous CRM. You'll receive multiple reviews of your technology and need also review and approve your U4 & Form-Critical steps to ensure a smooth transition for your clients.

Our technology team will schedule introductory call to confirm your systems and walk you through key our CRM. You'll receive multiple reviews of your technology and need also review and approve your U4 & Form-Critical steps to ensure a smooth transition for your clients.

This is a significant milestone, and support every step of the way. We understand technology transition

Client-Focused
Webinar

With everything set up, we're now ready to engage with your clients.

We'll host a client webinar via Zoom, where clients can register to attend. If clients are unable to register or attend, we'll send them a recap link

Book of Business
Transition with
Dedicated
Support

After the webinar, the transition process is the busiest phase. Once your registration is approved, our team gains access to the data you've been preparing. From there, we create the records in the CRM. We also prepare the client transition packets, including the client intake



Phase Three: Integrated Family Office Execution

Pathway to
Growth
Training

Once you've made it through the busiest part of the transition, you'll begin working with a dedicated member from our team who will help guide your next phase of growth within the firm.

Your mentor is here to support you as you shift focus toward building momentum—whether it's acquiring new clients, exploring marketing strategies, or deepening client relationships through our family office offerings.

They help with how to best utilize services like legal planning, tax support, financial planning services, compliance support, and other resources available.

This mentorship ensures you're not only supported during the transition, but also set up for long-term success.

FG Client
Check-In Calls

All of your clients will be invited to a personalized welcome call with a representative from our Client Success Team.

This white-glove experience ensures each client is fully onboarded, confirming access to the client portal, custom platform, and financial planning software. Our goal is to provide a smooth and supportive transition for every client from the very start.

They'll also be shown how to access monthly reports, use our knowledge base, and contact our service team.

If any action items come up, you'll be included in the follow-up email for smooth coordination and support. This call ensures clients feel supported and empowered by our team.

Dedicated Client
Service Support

You now have a dedicated back office team supporting you, giving you the freedom to focus on what matters most—your clients.

When a client has a request, you can simply create a servicing ticket, and our team will handle the details behind the scenes. From paperwork and processing to follow-ups and communication, we take care of the heavy lifting so you don't have to.

Think of us as an extension of you and your team—working seamlessly in the background to ensure a high-quality experience for every client.

In addition to our Client Success Team, you'll also have access to our Planning, Legacy, and Tax Services Teams—each offering specialized, guided support to enhance the value you deliver to your clients.

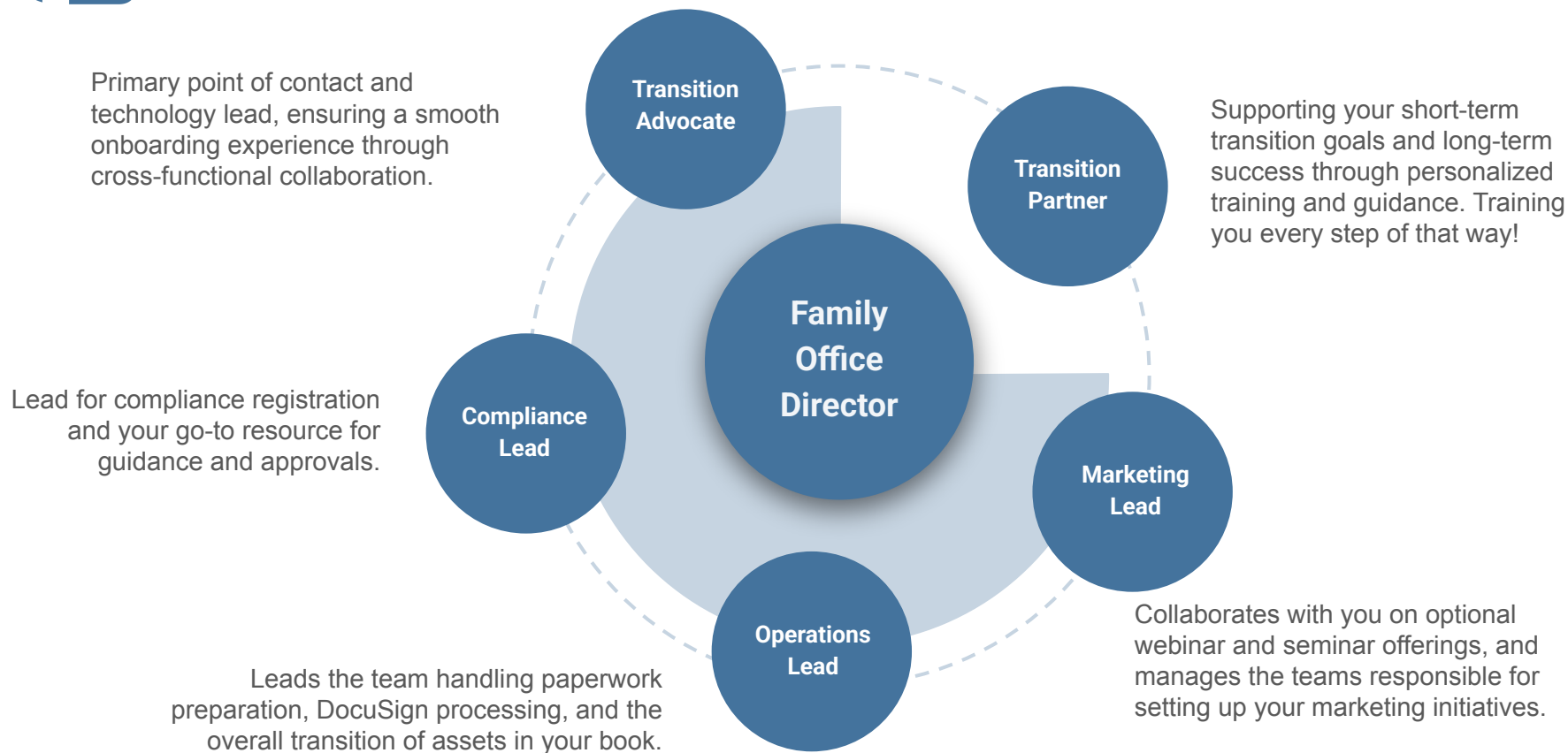
Automated
Annual Review
Workflow

Annual review meetings are a vital part of maintaining strong, trusted relationships between financial advisors and their clients. These meetings provide an opportunity to design on the client's current financial status, discuss any life changes, and ensure their long-term goals remain on track. Great reviews offer space to discuss personal milestones, challenges, or shifts that may impact financial planning.

At our Family Office, we're here to support you. Our team handles the coordination of client invitations and prepares review documents in advance, so you can focus entirely on the conversation. With robust systems and well-established processes in place, we ensure that your ongoing servicing needs are met seamlessly, year after year.



FG Transition Team Introductions





Phase One: Alignment Sessions

- **Book of Business Pre-Evaluation:** Complete the evaluation form used to begin your transitioning plan
- **Transition Process:** Step-by-step overview of the onboarding journey, brochures, and webinar resources.
- **Financial Gravity Overview:** Introduction to our mission, structure, and unique value.
- **The Family Office Advantage:** How clients and advisors benefit from Financial Gravity's Family Office model.
- **FG Asset Management:** Investment models, Risk Meter, and Transition Allocation.
- **FG Fee Overview and Questions:** Review the client fee structure and how to effectively address questions.





Phase One: FG Team Kickoff Call

Once you've decided to move forward, you'll meet with your dedicated transition team, which includes your Transition Advocate along with representatives from our key departments including marketing, compliance, technology, and operations. This meeting ensures that everything you discussed with your Recruitment Representative is seamlessly handed off, so your transition is aligned, efficient, and fully supported.

We'll guide you through your personalized ***"Welcome to Your Family Office Transition Plan"*** to kick off the planning process and walk you through how the transition will work—for both you and your clients.

During this meeting we will CONFIRM the following:

- Your resignation date and registration date
- Determine if a webinar is needed (usually for larger transitions)
- Answers any questions regarding the transition



KICKOFF CALL



Phase One: Transition Planning

During this period, we'll work closely with you to help you prepare for the transition. This includes gathering client data and exporting any necessary information from your current firm and custodian **PRIOR** to your resignation. For larger transitions, we will require a transition template to be completed.

Below are helpful documents needed for each of your clients:

- A copy of their prior profile documents
- Their most recent account statement
- Relevant money movement documents, such as a voided check, bank letter, deposit slip, or bank statement
- Prior year's tax statements

Below are helpful reports needed from the custodians:

- Current Year's RMD Information
- Systematic Withdrawal Details
- Cost Basis Data



Taking these steps ahead of time will help facilitate a seamless transition and help prevent NIGOs from occurring.

You will get a detailed guide on the [Account Opening Process](#).



Phase One: Transition Planning



Compliance Planning

Before registration, you'll need to complete your onboarding packets and review your U4 and ADV2B to ensure everything is ready for the transition.

Sharing Data

You'll receive access to a secure shared Google folder for uploading client-specific information. Templates and sample documents will be provided as needed.

Historical Data

Be sure to export all relevant data from your current system, as it won't transfer to the new firm. Securing this information early is essential for a smooth transition.

Phase One: Marketing Planning

If you choose to host a webinar for your clients, you'll be scheduled for several additional meetings to ensure everything is fully prepared. You'll also receive a copy of the webinar slide deck, allowing you to review and customize your individual slide as needed. These meetings will include a practice run and a final dry rehearsal to closely simulate the live webinar experience.

Webinars are strongly recommended for large transitions, as they help provide clarity and build trust with clients. For smaller transitions, where clients are already informed and ready to proceed, webinars are optional.





Phase Two: Registration & Tech

Resignation

You'll formally submit your resignation to your current firm and then forward a copy of that resignation to our compliance team via email.



Registration

On the next market day, we will officially register you with our firm. Once approved, you'll be cleared to begin securely sharing client data with our team.

Technology Access

After registration, you'll receive access to our systems. We use a secure password manager to provide credentials for all necessary applications. You'll also be scheduled for a detailed technology onboarding session to ensure you're fully set up and ready to go.



Phase Two: Client Webinar

Client Webinar

Our team will co-host a client webinar, which is optional based on your unique transition, with you to introduce Financial Gravity, explain your transition, highlight the family office benefits, and outline next steps. At the end, clients will be encouraged to schedule a one-on-one meeting with you.

Client-Driven Risk Assessment

In those meetings, you'll guide clients through the Risk Meter to determine a comfortable risk level. Once completed, you'll upload the Risk Meter to their CRM folder. Our team will then prepare the onboarding packet—first sending it to you for review, then to the client for completion.





Phase Two: Book Transition

The Transition Process: Key Responsibilities

The transition phase is the most intensive part of the onboarding journey.

Below are your key responsibilities during this phase of the transition:

- Conducting client meetings
- Learning the CRM system and completing Risk Meter assessments
- Reviewing and signing DocuSign onboarding packets
- Reviewing and approving capital gains analysis for all non-qualified accounts
- Providing ongoing support to your clients throughout the transition
- Meeting with key members of the FG Offering Teams, including:
 - Planning Team Lead
 - Tax Services Team Lead
 - Client Success Team Advisor





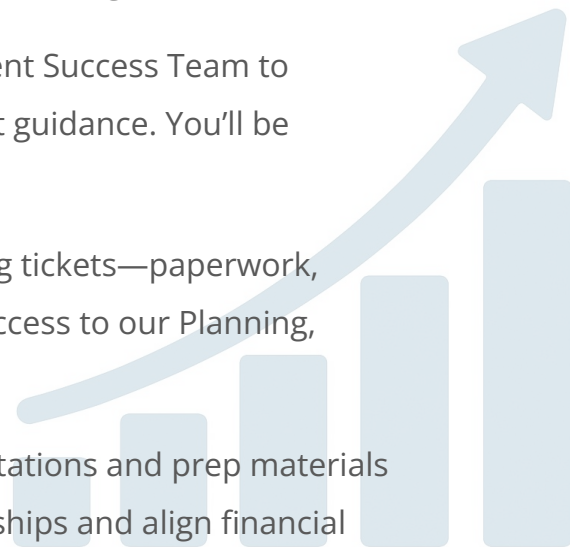
Phase Three: Overview

Pathway to Growth: After your transition, you'll be paired with a mentor to support your next phase—whether it's client acquisition, marketing, or leveraging family office services. They'll help you navigate resources like tax, legacy, planning, and compliance to set you up for long-term success.

FG Client Check-In Calls: Each client receives a welcome call from our Client Success Team to ensure smooth onboarding, including portal access, key tools, and support guidance. You'll be looped in on any follow-ups for seamless coordination.

Dedicated Client Service Support: Our back-office team handles servicing tickets—paperwork, processing, and follow-ups—so you can focus on clients. You'll also have access to our Planning, Legacy, and Tax Services teams for added support.


Automated Annual Review Workflow: We coordinate annual review invitations and prep materials so you can focus on valuable client conversations that strengthen relationships and align financial goals.





Ready to move forward?

If you're ready to take the next step, we invite you to begin by completing the Transition Evaluation Form. This form is designed to help us better understand your current situation and ensure a smooth and tailored transition process.



Transition Preparation

We are thrilled you are joining Financial Gravity and would appreciate the opportunity to assess your existing business in order to ensure a smooth and successful transition for both you and your clients.

Company Name

Total Amount of Households

Total Amount of Clients

Total Amount of Financial Accounts

Current AUM Amount

Custodians associated with the total current AUM

If you have any additional questions or need further guidance at any point in the process, please don't hesitate to reach out. Your Financial Gravity Alignment Specialist or your dedicated Transition Partner is here to support you and provide personalized assistance every step of the way. We're committed to making your transition as smooth and successful as possible.