# **Transition Overview**

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Tagsrg



### **Welcome to Financial Gravity Transition Overview**



### 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.



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### **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, custodial relationships, and our holistic family office model. You'll learn how to leverage our resources to better serve your clients and how our back-office team supports you—not just during the transition, but on an ongoing basis—so you can stay focused on what matters most: your clients.

These sessions are unlimited, and our team is here to answer all your questions. We understand this is a big decision, and we're committed to making sure you feel confident every step of the way.

FG Team Kickoff: Transition Introduction

Once you've decided to move forward, you'll meet with your dedicated transition team, which includes your Transition Advocate along with representatives from each of 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

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 template, exporting any necessary information from your current firm and custodian, and beginning to complete the compliance documentation required for registration.

This is a critical time for learning and understanding the experience from both your perspective and your clients'.

We'll maintain open communication and meet as often as needed to ensure you feel fully supported throughout the process. 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.

The second meeting will cover how the webinar works, how and when you can notify your clients, and a walkthrough of our full marketing offerings. You'll also receive access to the webinar slide deck during this session to review and edit your slide as needed.

To ensure a smooth delivery, we'll schedule a practice run and a final dry rehearsal prior to the live webinar. These are essential to providing your clients with the exciting news of why you are moving to Financial Gravity.

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## **Phase Two: From Planning to Performance**

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 set the date for transitioning from your previous firm to ours, typically on a Friday. Once registered, you'll gain access to our technology and resources. You'll also review and approve your U4 and ADV2B forms—critical steps to ensure a smooth setup before transitioning your clients.

Our technology team will schedule an introductory call to confirm your access to our systems and walk you through key features of our CRM. You'll receive multiple resources to ensure you're connected to your team via Google Workspace and fully understand where your client data will be stored.

This is a significant milestone, and we're here to support you every step of the way as we understand technology transitions take time.

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 so they can watch the webinar and understand the next steps, which is scheduling a call with you via the book link we provided.

The standard transition process is outlined during the webinar, which includes the client session, followed by a one-on-one meeting with the client's advisor to discuss risk allocation.

After that, a DocuSign packet will be sent to you, the advisor, for review and approval before it's presented to the client for signing. During this process our goal is to set up the account as identical as the current setup in our platform.

We'll thoroughly explain the packet and process, ensuring your clients know exactly what to expect.

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 form, investment agreement, and custodian paperwork.

While we prepare the documents, your clients will schedule meetings with you to review the risk meter and select their investment allocations. Once ready, provide the completed risk meter to our team, and the Client Success Team will send you the client transition packet for review. You can make adjustments, sign off, and send it to the client, including setting up any recurring money movements.

After the accounts are transferred, you'll meet with our Paraplanner to review our capital gains analysis conducted for all non-qualified account types to ensure that clients will not incur a large amount of capital gains/losses. They will walk through how it works and what you will be reviewing prior to account(s) being invested.

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### 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 mentor 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 legacy 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, custodian 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 wraps up any loose ends.

#### 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-touch 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 realign 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.

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