

# Transition Overview

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 Transition Overview Guide

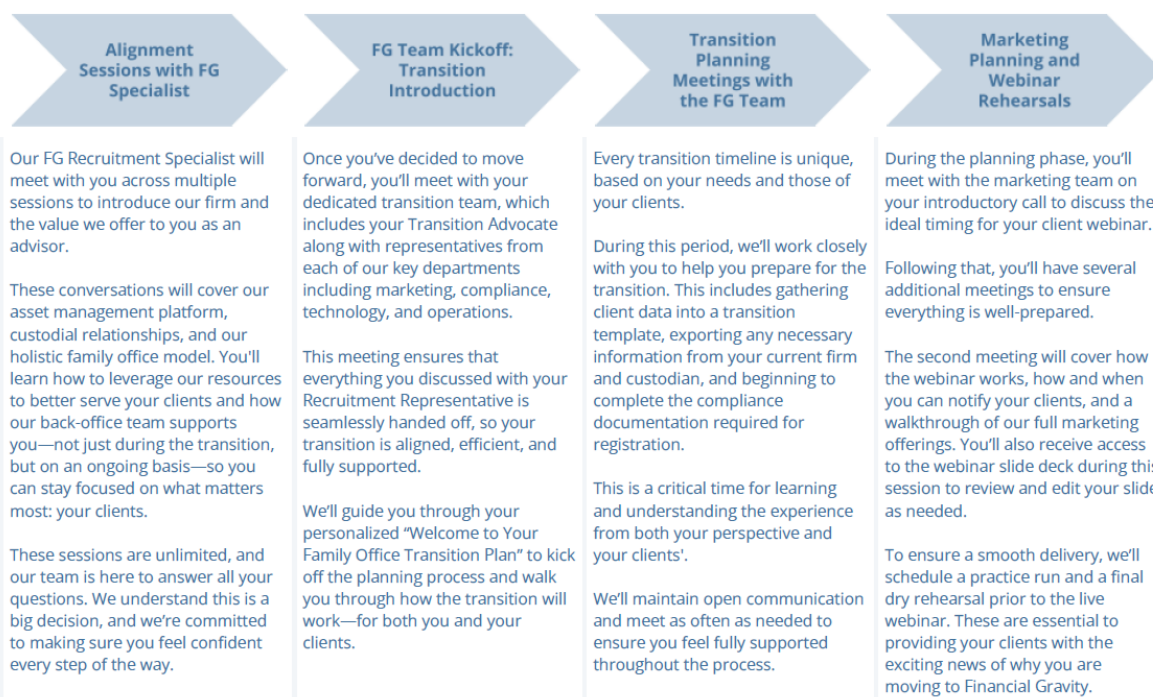
## Welcome to Financial Gravity Transition Overview



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## Phase One: Planning for Success





## 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.



## Phase Three: Integrated Family Office Execution



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