


New Client Process: California and Iowa Market



Your move

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rebalance

New Client Process

1. Investor Discovery

Paperwork Processing

2. Client Agreements, IP, Etc.

Client Account Access

3. Web Access and Statements

Quarterly Review

4. Address changes

monitor

overlay
&
erosion
control

build

rebalance

New Client Process

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control

1. Investor Discovery

- 1. Meeting to determine fit.
- 2. Portfolio Analysis
- 3. Set Expectations and Deliverables.

TIME EXPECTATION

1 Day to 1 Week

Paperwork Processing

2. Client Agreements, IP, Etc

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Paperwork Processing

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2. Client Agreements, IP, Etc.

1. Fill out TD Ameritrade's paperwork (new account, transfer, check deposit)
2. Fill out HP Cap's paperwork (Investment Policy, Client Agreement)

TIME EXPECTATION

TDA Paperwork Submission	2-4 Days for processing
HP Capital Paperwork	Keep copies for record

Client Account Access

3. Web Access and Statements

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Client Account Access

3. Web Access and Statements

1. Web access on Advisorclient.com
2. Account Investing
3. Monthly statements from TD Ameritrade

TIME EXPECTATION

Web Access www.advisorclient.com	1 Day after account is open
Advisor Account Allocation	Trade entry 1-7 days
Monthly Statements	Arrives at Clients Address Monthly

Quarterly Review

4. Address Changes

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