Finity360™ ADVISOR TRANSITIONS

PRODUCT OVERVIEW

MODERNIZE ADVISOR TRANSITIONS FROM DAY ONE.

A digital workflow for RIAs, broker-dealers, and transition teams to move books of business faster with less paperwork, fewer errors, and better visibility.

DESIGNED FOR

- RIAs
- Broker-dealers
- Recruiting teams
- Operations teams
- Compliance teams
- Transition specialists

THE CHALLENGE

Advisor transitions are high-stakes. Firms must protect client privacy, coordinate large volumes of paperwork, align to regulatory requirements, and keep advisors productive throughout the move. Manual processes slow down onboarding, create rework, and increase the risk of NIGOs, delays, and revenue disruption.

HOW FINITY360 SUPPORTS THE TRANSITION JOURNEY

A simple, structured process that helps firms move from planning to submission with better speed, control, and visibility.

1. Launch and configure

Define affiliation targets, business lines, required forms, rules, and responsibilities.

2. Gather and validate data

Import approved data, review completeness, and identify missing or exception items.

3. Generate packets

Assemble account-specific bundles with required and optional forms.

4. Obtain signatures

Send packets for e-sign or prepare print-ready packages for physical signature.

5. Submit and track

Route completed packets, monitor progress, and manage exceptions to completion.

WHY FIRMS CHOOSE FINITY360

- Pre-fill transition packets and new account forms from approved data sources
- Guide advisors and staff through firm-specific workflows, rules, and checklists
- Support digital and print-ready signature paths
- Securely store documents and track status across the lifecycle
- Sync transition data to CRM and operational systems
- Reduce manual rekeying, rework, and time to onboarding

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BUSINESS IMPACT

Create a more scalable, advisor-friendly transition experience while giving operations teams clearer control over data, forms, signatures, and submission status.

CLOUD-BASED AND CONFIGURABLE

Built to support firm-specific transition workflows, document handling, and operational requirements.

CORE CAPABILITIES

Forms automation

Generate required and optional forms based on account type, business line, and firm rules.

Workflow routing

Use validations and exception paths to keep packets moving.

Document vault

Store transition documents securely with audit visibility.

Digital intake

Capture advisor, client, and account data through secure workflows.

Signature support

Enable e-signature and print-ready physical signature workflows.

Dashboards and reporting

Monitor packet status, completion trends, and exception queues.

EXPECTED OUTCOMES

- Faster advisor onboarding and book conversion
- Fewer NIGOs and less manual rework
- Better advisor and client experience
- More consistent compliance controls
- Improved visibility for leaders and operations

POSITIONING STATEMENT

Finity360 helps wealth management firms modernize advisor transitions with configurable workflows, digital forms, secure document handling, and operational visibility - so advisors can move faster and firms can reduce disruption.

CONTACT AND BRANDING PLACEHOLDERS

Replace with your preferred website, email, phone, legal footer, and logo assets before external distribution.

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