



Implementation Ideas

Autopilot was built to help financial advisors thrive in an ever-changing industry. As technology has advanced, many have argued financial advisors will need to adapt to survive. The financial advisors who adapt to change tend to be the ones who survive and thrive. We believe an experienced financial advisor, with the right technology tools and resources, will be better prepared to serve clients into the future.

Autopilot's Objectives:

- Automate the account opening process
- Help change your clients' behavior through goal-based planning. Autopilot shifts the focus of their portfolio to things they can control (how much they spend, how much they save, how aggressive or conservative they are, and how long they work for), instead of focusing on what they cannot control (market and portfolio performance)
- Leverage your time and expertise across a broader segment of clients
- Focus on your client relationships and leave the back office details to us
- Allow you to profitably serve many account sizes

There are numerous ways to implement Autopilot and expand your business. Use the ideas, methods, and plans below in conjunction with the best practices you've used to build your business.

1. Transferring Current Clients to Autopilot

All clients deserve to receive the same level of service, regardless of account size. Transitioning a portion of your current book of business to Autopilot can allow you more time to focus on your core competences. Regardless of account size, transitioning current clients can be simple:

- Identify which clients you want to transition to Autopilot
- Send the Risk Questionnaire from your advisor dashboard
- Let CLS help map them to the appropriate model based on their risk tolerance levels
- Generate the applicable transfer forms through the migration feature in your advisor dashboard

- Send your clients their completed online bundles via your advisor dashboard for review and e-signature

2. Embedding Autopilot into your Advisor Website

Your account opening link can be placed directly into your existing website with simple messaging speaking to the low cost, ease, and digital experience of the product. Many have embedded a link within a button that connects the client to the account opening process. Buttons with a single call to action such as "Invest Now", "Start Investing" or "Open an Account" can be quite effective.

Even if you embed your account opening link into your website, your marketing efforts, and your ability to build client relationships, will still be required to successfully grow your business using Autopilot.

3. Using your Advisor Dashboard (Migration)

*please view the Account Migration video

The advisor-driven account opening process is designed to give you flexibility and control. Many advisors still want to control the account opening process, or at the very least, ensure the clients who are not as comfortable with technology or investing can still open an account. After meeting with or speaking on the phone with a client, you can leverage the migration features within your advisor dashboard. You can begin by sending the client just the Risk Questionnaire. Once the client has completed the questionnaire, you can migrate him or her into Autopilot. If you don't have the client's data, you can send the client a link to complete his or her account owner information. Otherwise, you can pre-populate documentation for the client and send him or her a completed document bundle to review and sign. The client can also sign directly from the advisor dashboard if the client is with you.

4. Leveraging Autopilot as a Prospecting Tool

With Autopilot, some advisors are starting with the account opening link as a prospecting tool. This encourages prospects to answer the Risk Questionnaire, compare their current portfolio, and build out a simple investment plan. The prospect can then exit the service. You'll receive a notification that the client has gone through a portion of the process, and the prospect will receive an email to pick up where they left off. You can re-engage the client on a later date and finish the account opening process via your advisor dashboard (migration), or the client's "pick up where you left off" email. This is a low-pressure approach.

5. Utilizing Screen Sharing Software

Examples of screen sharing programs: Join.me, GoToMeeting, WebEx

For clients who are unable to meet in person, many advisors are leveraging screen sharing software to set appointments and show Autopilot to clients via screen share. Advisors can even pass controls to the prospect to simply answer a Risk Questionnaire, view portfolio recommendations, and/or e-sign documentation.

By utilizing screen sharing tools, clients can remain in the comfort of their own homes, while still utilizing you for guidance during the account opening process.

6. Gaining Professional Referrals

You should leverage your partnerships with tax professionals, CPAs, and banks to find new clients. By providing an account opening link or website to your partners, they can easily refer business to you. In return you can provide your clients as referrals to the various professionals you work with.

7. Creating an Email Campaign

Here's an example advisors have used to introduce the Autopilot account opening process via email, which may provide you with ideas on how to tailor your own messages.

Welcome! This email gives you an overview of our onboarding approach, so you'll know what to expect. We strive to make this experience as simple and easy as we can.

There are a few things we need you to do, before starting the onboarding process:

- There are different investment account types (IRA, ROTH, etc.). Make sure you select the appropriate account.
- If you don't have your social security number memorized, go ahead and get it—you'll need it.
- If you're employed, you'll need your employer's mailing address.
- Bank account number and bank routing number.

- If you are transferring any accounts over to TD Ameritrade, you'll need to upload a copy of your most recent statement. Ensure you have a copy saved to your desktop. You will upload the statement once you get to the signature portion of the process.

Okay, all set? Here's what to do next:

- Click the onboarding link
- Choose the type of account you're opening
- Fill in the data, as it's requested
- If needed, upload monthly statements
- E-sign sign the forms
- Congrats! You're done!

Shortly after you have successfully completed the onboarding process, you will receive an email with information about how to log into your client portal. This portal will be your "one-stop-shop" for all your financial information: your accounts managed by your advisor, your Risk Number, etc. Once you get your login information, please take a moment, log in, and look around.

If you have any questions before, during, or after the process please let me know.

Are you ready to get started? We hope so! Please click the link below to begin:

[insert Autopilot account opening link here]"