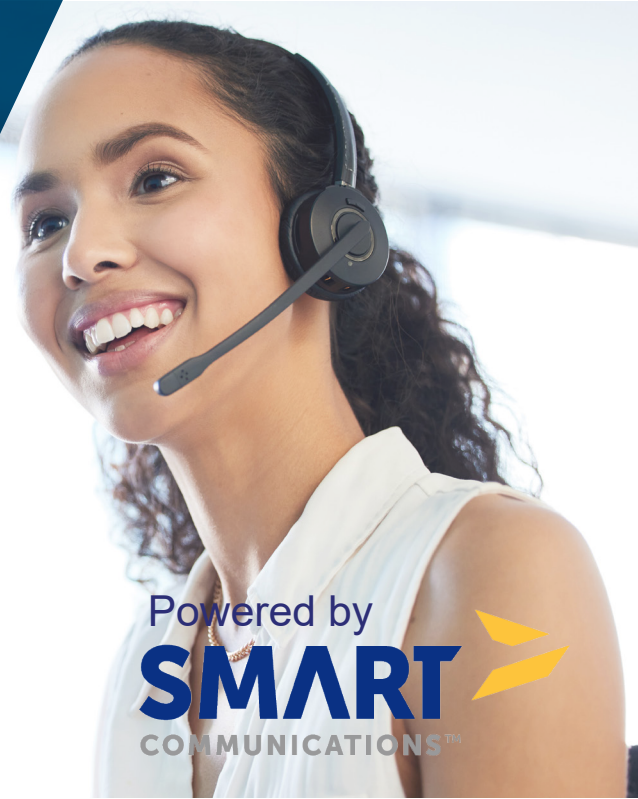


# Guided Paperwork Solution

Creating a Digital Platform for Fast & Seamless Client Onboarding



Powered by **SMART** COMMUNICATIONS™

## BACKGROUND

**Company:** The Pacific Financial Group (TPFG)  
**Location:** Bellevue, Washington, USA  
**Industry:** Financial Services, Model Wealth Manager  
**Assets Under Management:** \$3.9 billion (2022)  
**Assets Under Management:** \$4.6 billion (2025)  
**Key Contact:** Marty Pearson, (Vice President of IT)  
**Email:** [marty.pearson@tpfg.com](mailto:marty.pearson@tpfg.com)

## PROJECT TIMELINE

- **Kickoff:** September 2021
- **Soft Launch:** October 2022
- **Official Launch:** April 2023



## THE ORIGINAL CHALLENGE

**Inefficient Paperwork:** Manual processes resulted in high error rates, delays, and frustrations for clients and advisors.

**NIGO Issues:** 35% of paperwork returned for issues (“Not in Good Order”).

## KEY ISSUES



### Time-consuming Manual Tasks:

Clients and advisors had to navigate through multiple paper forms, which often resulted in errors or missing information.



### High NIGO Rates:

35% of paperwork was returned due to being “Not In Good Order” (NIGO), causing significant rework and delaying account openings.



### Client Frustration:

The lengthy onboarding process jeopardized advisor-client relationships and could deter new business.



## IMPLEMENTATION STEPS

- ▶ **Needs Assessment:** Identifying pain points in the existing onboarding process.
- ▶ **Design & Development:** Collaborating with Smart Communications to integrate and tailor the GPS to TPGF's requirements.
- ▶ **Testing Phase:** Conducting beta testing with selected advisors to refine the system before the full launch.
- ▶ **Training & Rollout:** Comprehensive training sessions were held for advisors followed by a phased rollout.

## TECHNOLOGICAL FRAMEWORK:

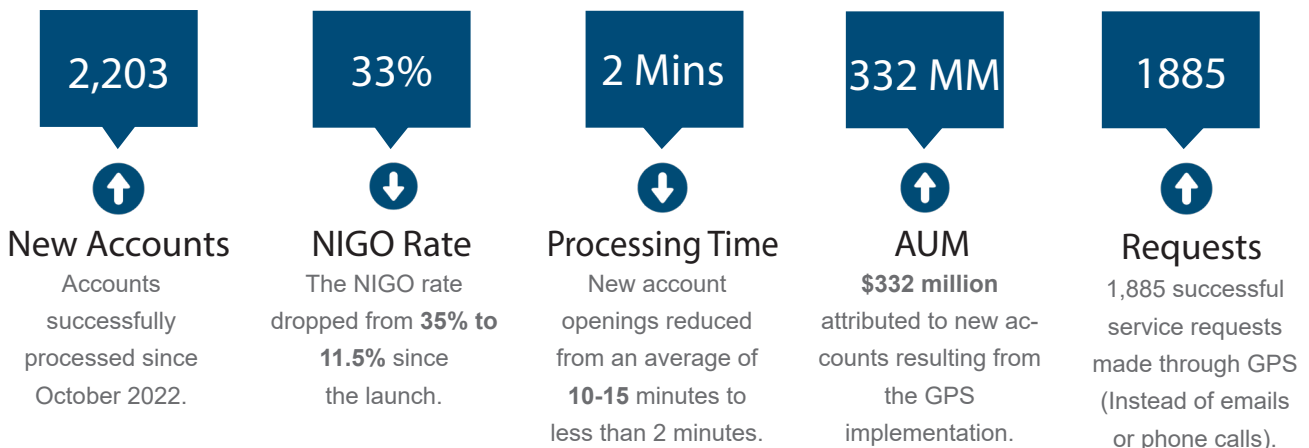
- **SmartIQ™:** A data capture and digital form solution that simplifies the completion of forms.
- **Salesforce:** Customer relationship management platform for tracking client interactions and data.
- **DocuSign:** For electronic signatures and secure document handling.
- **Orion:** Financial advisor software that integrates with the GPS for seamless processing.

## FUTURE PLANS

- Looking ahead, TPGF plans to further expand the capabilities of GPS by eliminating remaining paper processes, integrating more third-party tools and CRMs, and continuously improving advisor efficiency and client satisfaction.

## RESULTS

The implementation of GPS produced significant quantitative and qualitative benefits for TPGF.



Disclosure:

Advisory services are provided by The Pacific Financial Group, Inc. ("TPFG"), a registered investment adviser. Additional information about TPGF can be found on the SEC's website and entering TPGF's unique CRD number which is 105203.