Transition Engagement

Village Financial Services | What to Expect

Most transition firms are transition firms. Village is a Fractional CSA firm that also runs transitions, and that order matters. Schwab Advisor Center and Altruist are where our team works every business day, executing the same account opens, ACATS, NIGOs, and paperwork your transition will require.

It also changes what we can take on. Moving assets is the foundation, but a firm still has to run once the money is in place: contact records built, custodian feed connected, billing configured, planning tools populated, files where your team can find them. That work is available to every firm we transition, whether you are launching a new RIA or moving an established book between custodians.

This document covers the scope, the timeline, what we need from you, and where our work begins and ends.

1. What's Included

Your engagement is scoped to your transition type: protocol departure, non-protocol departure, clean break with data gathering, clean break with data provided, or paperwork prep only. Final scope is confirmed at kickoff.

Standard

- Transition execution: client invitations, agreements through your custodian's e-Signature tool, follow-up, paperwork, transfer tracking, and NIGO resolution
- Beneficiaries, ACH links, and recurring contributions and distributions set before go-live
- Data gathering and cleaning, including bulk spreadsheet build, as applicable to your transition type
- Transition-specific workflow built for your firm
- Best-practice workflow template suite delivered as PDFs, complimentary: onboarding, review meetings, prospect-to-client, beneficiary updates, client death, transfers and rollovers, and more
- Placeholder records: a CRM household record for tracking, no client data entered, and a file in your document storage system for each household, limited to filing the client agreement

Premium

- Full CRM contact-record build-out: household and individual data entered, including dates of birth, SSNs, email addresses, phone numbers, mailing addresses, client agreement dates, and ADV / disclosure delivery dates
- Custodian feed to CRM and billing setup at the firm and household level
- Financial planning tool record build-out: household profile, asset and income entry, and software integrations
- Holistiplan record build-out: household entry, tax returns, tax letters, and scenarios
- Household file build-out beyond the agreement placeholder: client file migration and household folder organization

Premium services are selected individually, not as a bundle. Take all of them, some, or none. Anything added after kickoff includes a 15% efficiency markup, so scoping the full job at kickoff is the most cost-effective approach.

Alternative Investments

Households holding alternative investments require additional work: subscription documents executed directly with issuers, sponsor coordination, and additional paperwork cycles. These households are scoped separately and carry an additional cost beyond the base engagement.

What's Not Included

- Firm-level CRM build and configuration: workflow and task templates built into your system, email templates, tag groups, last review date setup, and other firm-wide setup (available as a separate Ops Consulting engagement)
- Draft ADVs or client agreements
- Make data-take, custodian configuration, or compliance decisions
- Provide investment, financial planning, or compliance advice
- Serve as the primary point of contact for clients

2. How It Works

The engagement runs two months from kickoff with a hard stop. Work is not evenly distributed: prep happens up front, the heaviest execution hits the two weeks around go-live, then tapers off as transfers settle. At the end, open items are tied off and the handoff package is delivered.

Phases

- **Kickoff and access setup:** agreement executed; access provisioned across your CRM, document storage, custodian platform, and a client-facing email at your domain.
- **Prep:** data gathering and cleaning; bulk spreadsheet build; transition workflow built; client communication plan finalized.
- **Go-live:** invitations sent; agreements executed; accounts opened; ACATS initiated and tracked; NIGOs resolved.
- **Wind-down:** open items tied off; workflow template suite and handoff package delivered; engagement closes.

3. Engagement Terms

Engagement window	Two months from kickoff, hard stop
Payment schedule	70% at kickoff | 30% at engagement close
Additional households	Billing is based on the kickoff household estimate; households served above that estimate are added at engagement close

Each engagement is scoped per firm based on transition type, household count, and Premium services selected. A formal proposal is sent following your introductory call. Once verbally approved, the proposal is included with your transition agreement.

4. What We Need From You

- Access provisioned to your CRM, custodian platform, and document storage before kickoff, plus a client-facing email at your domain
- Decisions on data-take, ADV and agreement drafting, and any custodian-side configuration
- Timely responses on items that require your input
- Attendance at scheduled checkpoints throughout the engagement

5. What You Can Expect From Us

- Daily logins to your systems during the active engagement window
- Proactive follow-through on every transfer, NIGO, and pending item
- CRM updates at every step
- Status reporting to you and to clients throughout the move
- Direct communication when something is stuck or needs your decision

6. After the Transition

At the close of the two-month window, open items are tied off and documented, and the workflow template suite and handoff package are delivered. The engagement ends there by design, with no ongoing retainer built into it.

Two optional paths are available if you want us to stay. Each is a separate engagement with its own agreement and scope.

Fractional CSA

Ongoing client servicing and operations support from the same team, already embedded in your systems and already familiar with your households: $100/hour, billed by the minute, 20-hour monthly minimum ($2,000 minimum invoice), invoiced monthly in arrears.

Ops Consulting

Tech stack selection and integration matched to how your firm actually works; process design workshopped around your onboarding, review meetings, and servicing; and the build itself, with your agreed processes switched on in your systems and the triggers, handoffs, and templates in place. Scoped and quoted separately.