Unleash the power of automated advisor onboarding

Get advisors producing faster with a frictionless, digital platform.

Advisor recruitment drives your business. Accelerate smoother, smarter onboarding workflows—all in a single, digital platform. Broadridge Wealth Advisor Onboarding enables your firm to provide applicants with a transparent, streamlined process so your new advisors can begin producing faster. Only Broadridge has the expertise to make advisor onboarding your strategic asset.

MAXIMIZE ONBOARDING AT SCALE

Empower your onboarding team to track applicants' progress at each stage of your recruitment workflow. Broadridge Wealth Advisor Onboarding equips your firm with extensive capabilities to accelerate time to first trade.

Gain new efficiencies as you upgrade your advisor onboarding experience.

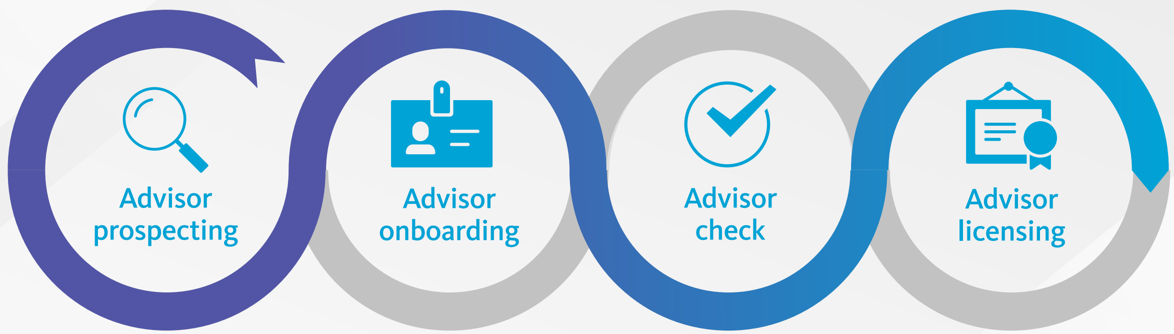
Eliminate manual processes.
Reduce redundancies and minimize errors. Now it's easy to configure data validation and automate tasks or actions with programmable dependencies.

Automate tracking.
Define the review process on your terms. Apply robust KPI metrics and automatically flag issues. Quickly identify disengaged applicants or workflow challenges to alleviate bottlenecks.

Scale as required.
Now you can simultaneously onboard more advisors, easily monitor the progress of each one and provide a simpler, more streamlined onboarding experience.

Advisor Onboarding lifecyle

Holistic, digital management of all stages of advisor onboarding



Advisor prospecting
- Invitations to apply—individual, bulk and API
- Single sign-on (SSO) or direct login

Advisor onboarding
- Customizable paths
- U4/Amendments Wizard
- OBA/PBA conflicts
- Proprietary documents

Advisor check
- Gateway triggers
- Criminal/financial background checks
- Fingerprinting and results sent to BD
- Drug testing and results
- FINRA/CRD interfaces

Advisor licensing
- FINRA Securities licenses
- State/Jurisdiction registration

Gain unparalleled accuracy

Better onboarding begins with seamless integration of essential internal and external systems. Gain robust capabilities to expedite time to advisor productivity.

Streamline digital management of essential advisor onboarding components.

TRACK COMPLETION OF CRITICAL FORMS AND DOCUMENTS

Present and monitor completion of all required regulatory and proprietary forms, such as confidentiality and arbitration agreements, attestations and more. A simple, permissions-based checklist process makes it easy to ensure all information has been entered and documents are in place.

EXPEDITE BACKGROUND AND OTHER ONBOARDING CHECKS

Provide applicants and advisors with digital access to your firm's preferred providers for imaging, background and credit checks, fingerprinting and more. Easily specify onboarding paths by position type, firm hierarchy and other key factors.

CUSTOMIZE TO YOUR REQUIREMENTS

From inputs to third-party integrations such as Salesforce, Broadridge Wealth Advisor Onboarding makes it simple to tailor the system to work for your firm.

AUTOMATE FINRA SUBMISSION

Once forms are completed and approved, your firm can automatically submit the U4/amendments to FINRA as needed.

QUICK

EFFICIENT

INTUITIVE

ACCURATE

FLEXIBLE

SCALABLE

EXTENDABLE

Once advisors are onboarded, you can use the same efficient dashboard to manage ongoing licensing and registrations.

EXPERIENCE LIMITLESS CAPABILITIES

With Broadridge Wealth Advisor Onboarding, you can easily onboard as many advisors as you require, when required. It's easy to see where each advisor is in the process, identify any red flags or bottlenecks, and streamline every step. Plus, once advisors are onboarded, you can use the same efficient dashboard to manage ongoing licensing and registrations.

AUTOMATE RECRUITMENT AND MINIMIZE THE TIME TO FIRST TRADE

Go beyond compliance and make an excellent first impression on your advisors. Demonstrate your commitment to digital technology that takes you beyond the competition with Wealth Advisor Onboarding from Broadridge.

Drive growth with automated advisor onboarding.
Learn more > >

broadridge.com

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Ready for Next