Advisor Caddie

SAMPLE DOCUMENT · ILLUSTRATIVE FIGURES

WORKFLOW OPPORTUNITY AUDIT

Where the onboarding route loses time at Brightwater Advisors.

Prepared for the **managing partner** · Brightwater Advisors (illustrative firm) · 6 staff · ~180 households

EXECUTIVE SUMMARY

Nothing here is broken. The account-opening route works — it is just carried by people. Across three weeks of observation we mapped **one household moving through four systems**, and found the same approved information being entered by hand at each stop, with open items surfacing after preparation had already begun.

1 of 4
stops in the current route re-enters information the firm already holds

4
destinations touched per new household

2
points where an open item can surface late

30 days
to one narrow route running beside the current one

0
systems replaced or retired

THREE CANDIDATES — RANKED BY HOW NARROW THE FIRST BUILD IS

1

Account-opening preparation

Collect the approved household and firm information once, check it against the firm's required fields, prepare the destination records, and hold the package in a review queue. The reviewer sees the source, the preparation, and every open item before anything is released.

Narrowest first build · Uses current systems · Stops for firm approval

Recommended
for the 30-day pilot

2

Missing-item detection at intake

Run the firm's required-field and consistency checks at the point the information arrives, rather than at preparation. A missing beneficiary designation or signature is named while the client is still engaged, instead of after the package is half-built.

Extends candidate 1 · Firm-defined rules

Phase two
after the first route holds

3

Service-request ownership

Give a routine request an acknowledgement, a required-information list, a recorded owner, and a visible next step — so status is read from the record rather than confirmed by asking a person.

Separate workflow · Own pilot scope

Later
not bundled into this pilot

THE ROUTE WE WOULD PUT IN PLACE

01 — Approved source
The intake answer, document, or record the firm already treats as authoritative.
WEEK 1

02 — Prepared record
Normalized once, checked against required fields, with open items named.
WEEKS 2–3

03 — Firm review
A person sees the source, the preparation, the exceptions, and the destinations.
FIXED POSITION

04 — Destination
Only after approval, and only to systems the firm has authorized.
WEEK 4

Operating boundary. This route prepares work and records status. It does not execute trades, move money, take custody actions, bypass a security control, or use shared credentials. No destination system is treated as supported until access, vendor terms, and home-office approval are confirmed. Advisor Caddie supplies the technical and operating documentation; the firm's CCO or counsel decides whether the workflow is acceptable under its compliance program.

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