**AI Business OS**



← Back to Financial Services

FINANCIAL SERVICES · WORKFLOW

# Client onboarding and KYC verification

Automates client onboarding and KYC verification for financial advisors, streamlining compliance checks and account setup. Reduces onboarding time from weeks to days while ensuring regulatory compliance.

Download PDF

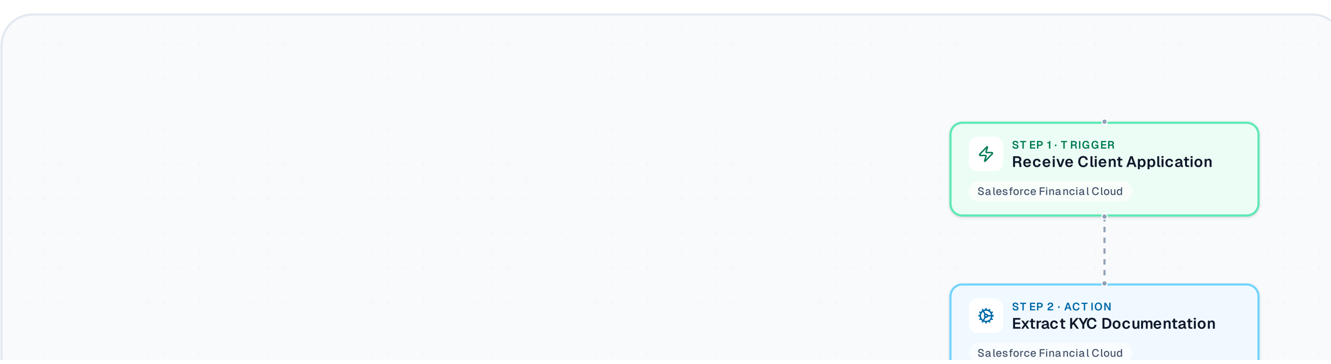
Get Your Blueprint

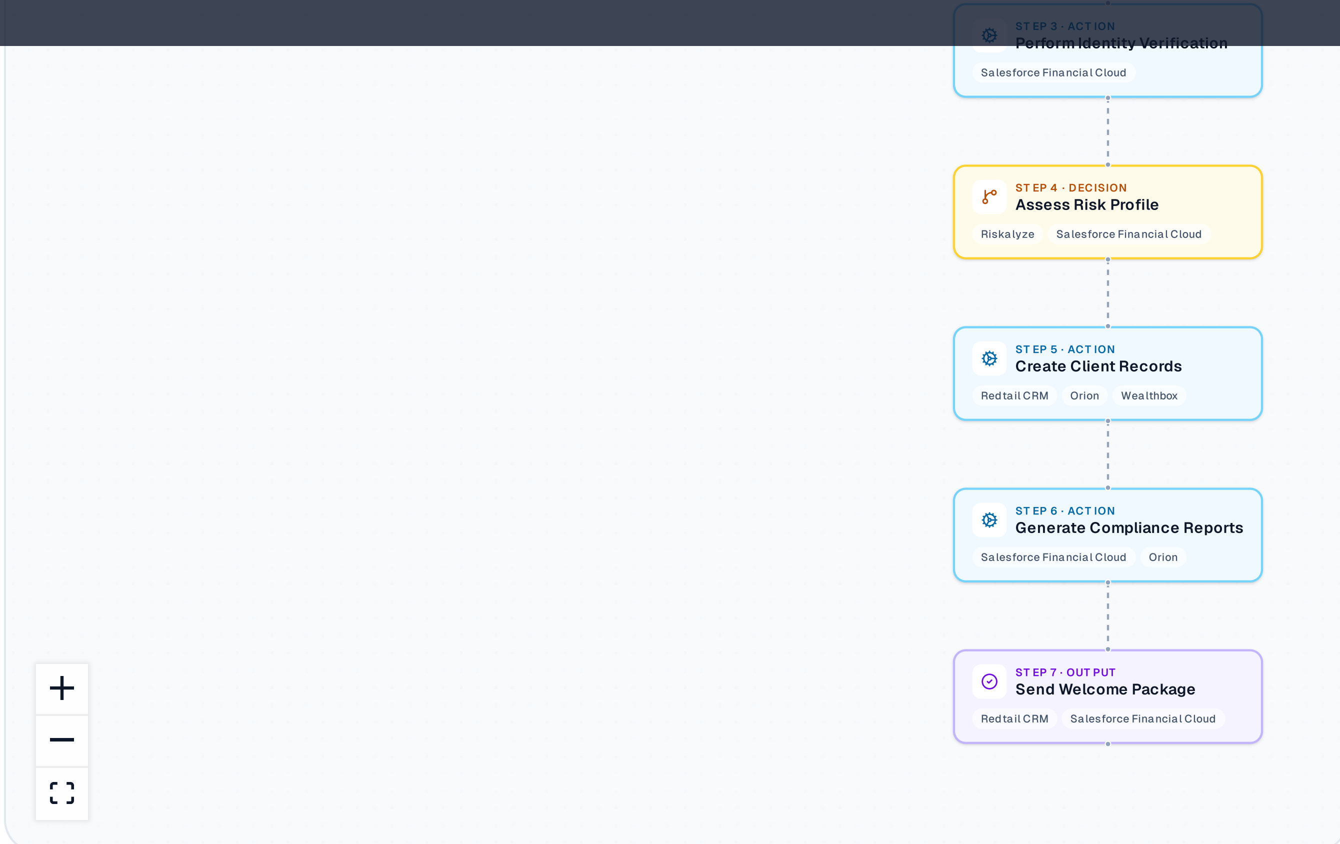
WORKFLOW TRIGGER

New client submits completed onboarding form through advisor portal

## Visual Flow

Each node represents an automated step. Connections show how data and decisions move through the workflow.






# Step-by-Step Breakdown

Detailed explanation of each automated stage in the workflow.

1

TRIGGER

### Receive Client Application

New client onboarding form is submitted with personal information, financial details, and required documentation. System captures all data and initiates the verification workflow.

Salesforce Financial Cloud

2

ACTION

### Extract KYC Documentation

Automated document processing extracts key information from uploaded ID, proof of address, and financial statements. OCR technology validates document authenticity and completeness.

Salesforce Financial Cloud

3

ACTION

### Perform Identity Verification

Cross-references client information against government databases and watchlists for AML compliance. Validates identity documents and checks for any red flags or sanctions matches.

Salesforce Financial Cloud

4

DECISION

### Assess Risk Profile

Analyzes client's financial information, investment experience, and risk tolerance using automated scoring algorithms. Determines if manual review is required based on risk thresholds.

5

ACTION

### Create Client Records

Automatically populates CRM with verified client data and creates portfolio management accounts. Sets up communication preferences and assigns appropriate advisor based on client profile.

Redtail CRM Orion Wealthbox

6

ACTION

### Generate Compliance Reports

Creates required regulatory documentation including CIP forms, risk assessments, and suitability determinations. Stores audit trail for compliance monitoring and future reference.

Salesforce Financial Cloud Orion

7

OUTPUT

### Send Welcome Package

Delivers personalized welcome materials including account details, investment policy statement, and next steps. Notifies advisor that client is ready for initial consultation.

Redtail CRM Salesforce Financial Cloud

## Outputs

- Verified client profile in CRM
- Completed KYC compliance documentation
- Automated risk assessment report
- Welcome package and account credentials

## Key Metrics

- Onboarding completion time
- KYC verification success rate
- Compliance documentation accuracy

## Tools & Integrations

- Salesforce Financial Cloud
- Riskalyze
- Redtail CRM
- Orion
- Wealthbox

AI Business OS

AI Business OS

Actionable AI implementation strategies for business leaders ready to transform their operations.

COMPANY

About

Industries

RESOURCES

Articles

CONNECT

MVP.dev

LinkedIn

**AI Business OS**