

# Tracking Professional Records:

Trust, 401k, & Other  
Entities

## Advisor Engine is NOT a compliance consultant.

Accordingly, no portion of this presentation should be construed by any consumer and/or prospective client as Advisor Engine's solicitation to effect or attempt to advise on compliance related matters. You should consult with your compliance counsel/consultant to address any compliance related concerns relating to Advisor Engine's services prior to engaging the CRM.

# Today's Agenda:

- ✓ Record Structure
- ✓ Classifications
- ✓ Relationships
- ✓ Communication
- ✓ Assets

# When should a trust be established on a Client's Record?

- When the SSN of the Trustee is the tax ID
- Revocable Trusts with 1 Trustee

+ Add Estate Document Information

DRAG A COLUMN HEADER AND DROP IT HERE TO GROUP BY THAT COLUMN

Type ↑	Document For	TIN	Date Executed	Note	Date Last Reviewed	Commands
Asset Protection Trust	The Malone Vineyards	22335678	4/1/2021			

1

Displaying items 1 - 1 of 1 10 ▾

# When should a trust be established on its Own Record?

- When it has its own tax ID
- Irrevocable Trust
- Multiple Trustees to communicate with
- Separate Management Agreement
- Compliance

Reminders

### Andrews Family Trust



TRUST

RECORD ID 88  
SERVICE LEVEL  
ADVISOR 1 Tricia Cameron  
ADVISOR 2  
CSR  
CELL PHONE (555) 555-5555  
EMAIL  
ADDRESS  
CLASSIFICATIONS **CLIENT**  
TAGS **INHERITE...**  
AUM \$0.00  
LAST MEETING  
CLIENT ANNIVERSARY  
FEE SCHEDULE

### AFT



ANDREWS TRUST

DATE OF BIRTH  
BIRTHDAY LIST   
SSN \*\*\*-\*\*-\*\*\*\*  
ADDRESS  
CELL PHONE (555) 555-4321  
EMAIL  
GENDER  
MARITAL STATUS  
WEDDING ANNIVERSARY  
MAIDEN NAME  
COMMUNICATION PREFERENCE



Andrews Family Trust



PHONE

CELL > JEFF ANDREWS - BENEFI...  
(555) 555-4321

CELL > BUFFY SUMMERS BENEFI...  
(213) 555-6699

CELL > GEORGE ANDREWS TRUSTEE  
(555) 555-5555  
★ PRIMARY

Details > Relationships > Relationships to Record

+ ADD RELATIONSHIP

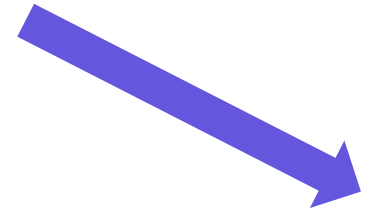
DRAG A COLUMN HEADER AND DROP IT HERE TO GROUP BY THAT COLUMN

Record Name	Relationship	Phone Number	Record Email	First Na...	First Na...	DOB Person 1	SSN Person 1	DOB Person 2	SSN Person 2	Family	Depend...	Associat...	Com
Dewey, Stealer, Cash & Skipper Law	Attorney	(213) 555-5511	info@dscslaw.com	Duncan						<input type="checkbox"/>	<input type="checkbox"/>		
Andrews - Jeff	Beneficiary	(555) 555-4321 x	JeffAndrews@email.com	Jeff		12/21/1990	555557777			<input type="checkbox"/>	<input type="checkbox"/>		
Summers - Buffy	Beneficiary	(213) 555-6699	Slayer@gmailing.com	Buffy		1/19/1981	568-22-1111			<input type="checkbox"/>	<input type="checkbox"/>		
Andrews - George & Sally	Trustee	(555) 555-0000	Home@home.net	George	Sally	1/19/1950	222-22-2222	5/25/1955	555-55-5555	<input type="checkbox"/>	<input type="checkbox"/>		

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# Start Communication from Action



**Type** : Email **ID**: 1079  
**Subject** : Signatures Required

Linked: [Assets](#) [Documents](#) [Emails](#) [Insurance](#) [Opportunities](#) [User Defined Fields](#) [Calendar](#)

Notes: \*

*I* *B* *I* *A* Arial 10pt

Sending Email for DocuSign signatures for Trust Paperwork

Entered By \* : Cameron, Tricia x  
Created \* : 07/02/2021 12:21 PM  
Time Spent : Minutes  
Type \* : Email x  
Category : Select an Option  
Tags : Select Some Options  
 Action Required

FYI on Save :  i  
Select Group : Select Group to FYI  
Viewing : All

- Adv 1
- Adv 2
- CSR
- Addison, Cheryl
- Cameron, Tricia
- Henry, John
- Kovach, Joel

Service Monitor: i

Cancel Save

# 401k Records

ABC 401k Plan

SUMMARY DETAILS WORKFLOWS FINANCIALS OPPORTUNITIES DOCUMENTS NOTES EMAILS INTEGRATIONS

Reminders

**ABC 401k Plan** COMPANY

RECORD ID 5

SERVICE LEVEL

ADVISOR 1 John Henry

ADVISOR 2 Tricia Cameron

CSR Josh Hare

PHONE (432) 555-4545 x

EMAIL [jjones@abc401kplan.com](mailto:jjones@abc401kplan.com)

ADDRESS 3478 Johns Creek Parkway  
San Francisco, CA 94129  
USA

CLASSIFICATIONS CLIENT

TAGS AESAMPL... NEWSLET...

AUM \$0.00

LAST MEETING

CLIENT ANNIVERSARY

FEE SCHEDULE

**Julie** JULIE JONES

DATE OF BIRTH

BIRTHDAY LIST

SSN

ADDRESS 3478 Johns Creek Parkway  
San Francisco, CA 94129  
USA

PHONE (432) 555-4545

EMAIL [jjones@abc401kplan.com](mailto:jjones@abc401kplan.com)

GENDER F

MARITAL STATUS

WEDDING ANNIVERSARY

MAIDEN NAME

COMMUNICATION PREFERENCE

Contact

# 401k Records

Plan Administrator  
**Julie Jones**  
 PERSON ID: 62



NAME

INITIALS

MAIDEN NAME

PREFIX AND SUFFIX

MIDDLE NAME

NICKNAME



GENERAL

GENDER

F

MARITAL STATUS

BIRTHDAY

WEDDING ANNIVERSARY

DECEASED

Deceased

Contact

# 401k Records


Details > Relationships > Relationships to Record

+ ADD RELATIONSHIP

DRAG A COLUMN HEADER AND DROP IT HERE TO GROUP BY THAT COLUMN

Record Name	Relationship	Phone Number	Record Email	First Na..	First Na..	DOB Person 1	SSN Person 1	DOB Person 2	SSN Person 2	Family	Depend..	Associat...	Com
Prepon - Laura	Participant	315-212-6175		Laura		1/12/1967				<input type="checkbox"/>	<input type="checkbox"/>		
Polanco - Dascha	Participant	315-212-6168	dp4532@oitnb.com	Dascha		8/5/1967				<input type="checkbox"/>	<input type="checkbox"/>		
Smith - Sam and Michelle	Participant	(609) 555-1212	sam@net.net	Sam	Michelle	1/30/1958	555-55-5555	4/21/1966	446-46-4646	<input type="checkbox"/>	<input type="checkbox"/>		
White - Walter and Skylar	Participant	(555) 658-2367	Testtube@net.net	Walter	Skylar	6/17/1950	654-78-9321	3/13/1968	456-78-1239	<input type="checkbox"/>	<input type="checkbox"/>		
Fern/Reyna - Donald and Elizabeth	Participant	(666) 777-8989	df@net.net	Donald	Elizabeth	5/5/1970		5/10/1978		<input type="checkbox"/>	<input type="checkbox"/>		
David - Aubrey	Participant	(919) 221-5555	aad1984@email.com	Aubrey		10/15/1984				<input type="checkbox"/>	<input type="checkbox"/>		
Zutaut - Thomas	Participant	315-212-6149	tommyz@motleycrue.c...	Thomas		12/17/1966	560-12-8899			<input type="checkbox"/>	<input type="checkbox"/>		
Pimentel - Jessica	Participant	315-212-6177	jpim959@email.com	Jessica		11/14/1967				<input type="checkbox"/>	<input type="checkbox"/>		
Price - Brian	Participant	315-212-6147		Brian		12/15/1966				<input type="checkbox"/>	<input type="checkbox"/>		

# Other Entities

 Dewey, Stealer, Cash & Skipper ...

SUMMARY | DETAILS | WORKFLOWS | FINANCIALS | OPPORTUNITIES | DOCUMENTS | NOTES | EMAILS | INTEGRATIONS

Reminders

### Dewey, Stealer, Cash & Skippe...

COMPANY

RECORD ID: 52

SERVICE LEVEL

ADVISOR 1

ADVISOR 2

CSR

BUSINESS PHONE: (213) 555-5511

EMAIL: [info@dscslaw.com](mailto:info@dscslaw.com)

ADDRESS: 500 Escape Way, Suite 100, Los Angeles, CA 90212

CLASSIFICATIONS: OUTSIDE ... REFERRAL...

TAGS: ATTORNE...

AUM: \$0.00

LAST MEETING

CLIENT ANNIVERSARY

FEE SCHEDULE

### Duncan

DUNCAN DEWEY ESQ.

DATE OF BIRTH

BIRTHDAY LIST:

SSN

ADDRESS

PHONE: (909) 887-7744

EMAIL: [ddewey@dscsaw.com](mailto:ddewey@dscsaw.com)

GENDER: M

MARITAL STATUS

WEDDING ANNIVERSARY

MAIDEN NAME

COMMUNICATION PREFERENCE

**Main Contact**

# Other Entities

^ Contact Information

 Dewey, Stealer, Cash & Skipp...



EMAIL

> MAIN OFFICE  
info@dscslaw.com

★ PRIMARY

> STELLA STEALER  
sstealer@dscslaw.com

★ ADDITIONAL

> CALEB CASH  
ccash@dscslaw.com

★ ADDITIONAL

> SAMUEL SIPPER  
sskipper@dscslaw.com

★ ADDITIONAL



PHONE

BUSINESS > MAIN OFFICE  
(213) 555-5511

★ PRIMARY

> STELLA STEALER  
(909) 887-7745

> CALEB CASH  
(909) 887-7746

> SAMUEL SKIPPER  
(909) 887-7747



ADDRESS

500 Escape Way  
Suite 100  
Los Angeles, CA 90212

★ PRIMARY

DEAR  
MAILING NAME  
COMPANY NAME  
Dewey, Stealer, Cash & Skipp...

# Other Entities

Details > Relationships > Relationships to Record

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Andrews Family Trust	Trust	(555) 555-5555		Andrews			566-22-1111			<input type="checkbox"/>	<input type="checkbox"/>		
Malone - Aiden and Wallis	Client of Professional	(707) 779-9901	drinkwine@malonevine...	Aiden	Walis	9/1/1965	223356789	11/16/1969		<input type="checkbox"/>	<input type="checkbox"/>	Stella Steeler From Firm is their Lawyer	
Bennett/Edgerley - Clayton & Ophelia	Client of Professional	(843) 477-7788	eatbythewater@bennet...	Clayton	Ophelia	11/23/1965		7/14/1970		<input type="checkbox"/>	<input type="checkbox"/>		
Pennington - Chase and Lyra	Client of Professional	(609) 336-9988	fixyourheart@ppth.org	Chase	Lyra	10/21/1969		9/17/1976		<input type="checkbox"/>	<input type="checkbox"/>		
Andrews - George & Sally	Client of Professional	(555) 555-0000	Home@home.net	George	Sally	1/19/1950	222-22-2222	5/25/1955	555-55-5555	<input type="checkbox"/>	<input type="checkbox"/>		

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# Thank You!

[crmtraining@advisorengine.com](mailto:crmtraining@advisorengine.com)

