CRM Task Template Library

Repeatable Tasks for a Small RIA — Financial Planning, Investment Management & Special Tasks

This is a working reference for building single-step Task Templates in your CRM (Redtail, Wealthbox, Salesforce, or similar). Each row below is a candidate for a saved task template — not a multi-step workflow.

Task vs. Workflow — know the difference before you build

- A Task has one step and one assigned owner. Often the advisor hands off information so a team member can execute it — but sometimes the advisor is the owner, and the team hands information to them instead. Example: "Order a life insurance illustration" (team-owned) vs. "Approve a trade before execution" (advisor-owned).
- A Workflow has multiple steps, usually touches several people or systems in sequence, and often Includes decision points. Example: "New client onboarding," "Client death," or "Account transfer (ACAT)."
- Building a workflow as a single task template hides steps and creates bottlenecks. Building a task as a workflow adds friction for something that only needs one owner and one action.

Financial Planning Tasks

Single-step requests a paraplanner, CSA, Advisor, or specialist can execute once the advisor supplies the details below.

Task	What the Task Involves	Who Owns It / What is Included in Template
Order term or permanent life insurance illustration	Request a formal illustration from a carrier or insurance desk for a specific coverage scenario.	**Owner:** Paraplanner **Template Includes:** *Instructions, health class notes, desired coverage amount, term length, insurance agent, carrier preference.*
Request updated Social Security benefit estimate	Request a benefit estimate for a specific claiming age and any adjustments that need to be made to the SSA Benefits Estimate.	**Owner:** Paraplanner **Template Includes:** *Instructions, claiming-age scenarios to model, whether adjustments need to be made to the benefits estimate based on income adjustments before filing*
Request prior-year tax return from client	Send a single, templated request for a copy of a client’s business or personal tax return	**Owner:** Client service associate (CSA) **Template Includes:** *Instructions, which tax year and entity (if applicable) to request*
Request estate document copies from client's attorney	Contact the estate attorney of record for copies of the will, POA, and/or trust for the file.	**Owner:** Paraplanner **Template Includes:** *Instructions, attorney contact info, list of documents needed, signed authorization if required.*
Order long-term care insurance quote	Submit a single quote request to an LTC carrier or broker for a named client.	**Owner:** Paraplanner **Template Includes:** *Instructions, age, health history summary, desired daily benefit and benefit period.*

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Update a beneficiary designation	Complete and submit the beneficiary change form for one account at one custodian.	**Owner:** Operations / CSA **Template Includes:** *Instructions, account number, new beneficiary name(s), relationship, and allocation percentages.*
Refresh net worth or cash-flow statement	Update the client's net worth or cash-flow schedule with current balances ahead of a meeting.	**Owner:** Paraplanner **Template Includes:** *Instructions, updated account balances, income changes, or debt payoff figures.*
Calculate and confirm an RMD	Calculate the required minimum distribution for one account and confirm it's scheduled at the custodian.	**Owner:** CSA **Template Includes:** *Instructions, account number, account type, prior year-end balance, client date of birth and original owner's date of birth and death (if inherited IRA).*
Request a 529 plan statement	Pull the current balance and contribution history for a single 529 account.	**Owner:** CSA **Template Includes:** *Instructions, plan name, account owner, and beneficiary.*
Snapshot a financial plan or plan update	Save the current copy of a financial plan by printing a pdf document, dating and saving in the client's permanent file per retention policy.	**Owner:** CSA/Paraplanner **Template Includes:** *Instructions*
Draft a plan-only engagement welcome letter	Send the templated welcome letter outlining scope for a new financial-planning-only client.	**Owner:** CSA **Template Includes:** *Instructions, engagement scope, fee, and start date.*
Deliver a Social Security claiming recommendation	Walk the client through the recommended claiming age and rationale in a single conversation.	**Owner:** Advisor **Template Includes:** *Instructions, benefit estimate, claiming-age comparison, and rationale for recommendation.*
Review and sign off on a financial plan draft	Review the paraplanner's draft plan for accuracy and approve it for delivery to the client.	**Owner:** Advisor **Template Includes:** *Instructions, completed draft plan, link to supporting data inputs.*
Recommend a Roth conversion amount for the year	Decide on and document a recommended conversion amount based on the client's current tax bracket.	**Owner:** Advisor **Template Includes:** *Instructions, current-year tax projection, bracket analysis, rationale for recommendation.*

Investment Management Tasks

Single-step trading, servicing, and reporting requests tied to one account.

Task	What the Task Involves	Who Owns It / What is Included in Template
Rebalance a single account to target	Enter trades to bring one account back in line with its target model allocation.	**Owner:** Advisor **Template Includes:** *Instructions, target allocation, account number, any tax-loss or tax-gain considerations.*
Pull cost-basis records from a prior custodian	Request historical cost-basis data for assets moving in on a transfer.	**Owner:** CSA **Template Includes:** *Instructions, account number at prior custodian, approximate transfer date, holdings list.*
Submit an ACH or wire withdrawal request	Process a one-time distribution request for a client account.	**Owner:** CSA **Template Includes:** *Instructions, ACH or wire, source account, amount, destination bank/account info, any withholding instructions.*
Set up or modify a recurring withdrawal request	Process a one-time distribution request for a client account.	**Owner:** CSA **Template Includes:** *Instructions, source account, amount, destination bank/account info, cadence, any withholding instructions.*
Update the Investment Policy Statement for one account	Revise a single account's IPS to reflect a change in risk tolerance or restriction.	**Owner:** Paraplanner **Template Includes:** *Instructions, updated risk tolerance, new restrictions, and rationale for the change.*
Generate a performance report for a client meeting	Pull a formatted performance report covering a specific date range for named accounts.	**Owner:** Paraplanner **Template Includes:** *Instructions, date range, which accounts to include, benchmark preference.*
Set up or modify a recurring contribution or systematic investment	Establish an automatic periodic transfer into an investment account.	**Owner:** CSA **Template Includes:** *Instructions, amount, frequency, start date, funding source, destination account.*
Clear a compliance trade alert	Review a single flagged trade against restricted/watch lists and document resolution.	**Owner:** Advisor **Template Includes:** *Instructions, context on the trade rationale if the alert requires advisor explanation.*
Order a held-away account aggregation link	Add a client's outside 401(k) or held-away account to the reporting/aggregation platform.	**Owner:** CSA **Template Includes:** *Instructions, institution name, account name in planning software.*
Approve a trade before execution	Sign off on a proposed trade or rebalance before the trading desk executes it.	**Owner:** Advisor **Template Includes:** *Instructions, proposed trade list and rationale from the trading desk.*

Task	What the Task Involves	Who Owns It / What is Included in Template
Set a client's risk tolerance after a conversation	Determine and document a client's risk tolerance following a discussion, for the team to apply to the IPS.	**Owner:** Advisor **Template Includes:** *Instructions, current IPS on file and any recent life-event notes.*
Approve a large withdrawal request	Review and approve a distribution above the firm's standard threshold before operations process it.	**Owner:** Advisor **Template Includes:** *Instructions, withdrawal amount, destination, and the client's stated purpose.*
Draft recommendation on year-end tax-loss harvesting	Identify and approve specific lots to harvest for losses before year-end.	**Owner:** Advisor **Template Includes:** *Instructions, current unrealized gain/loss report by account, advisor rationale.*

Special Tasks

One-off firm operations, compliance, and relationship-management tasks that don't fit neatly into planning or investments.

Task	What the Task Involves	Who Owns It / What is Included in Template
Send condolence acknowledgment	Send a card, flowers, or personal note upon the death of a client or close family member.	**Owner:** Admin / CSA **Template Includes:** *Instructions, family contact info, funeral home, obituary link and any personal detail to reference.*
Request Power of Attorney documentation	Request a copy of an executed POA for the file when a client's capacity is a concern.	**Owner:** Paraplanner **Template Includes:** *Instructions, name of agent, attorney contact if applicable, reason for request.*
Send a referral thank-you gift	Order and send a single appreciation gift to a client who referred new business.	**Owner:** CSA **Template Includes:** *Instructions, new client's name, gift budget/preference.*
Submit CE credit hours to the state	Log and submit completed continuing-education hours for a licensing or credential renewal.	**Owner:** Compliance / advisor **Template Includes:** *Instructions, course certificates and credit hours completed.*
Update website bio or headshot	Swap in an updated advisor bio, credential string, or photo on the firm website.	**Owner:** CSA / Paraplanner / Advisor **Template Includes:** *Instructions, updated bio text and/or new headshot file.*
Renew a software or data license	Review a vendor contract, upgrade, or software seat prior to automatic renewal.	**Owner:** Admin/Owner **Template Includes:** *Instructions, vendor name, renewal terms, cost, potential alternatives.*
Book a venue for a client appreciation event	Reserve a single venue and confirm a headcount for a firm event.	**Owner:** Admin / CSA **Template Includes:** *Instructions, date, guest count estimate, budget.*
File an ADV disclosure update note	Log a single disclosable event (e.g., address change, new outside business activity) for the next ADV amendment.	**Owner:** Advisor **Template Includes:** *Instructions, nature of the change and effective date.*
Call a client after a major life event	Make a personal outreach call following a life event noted in the CRM (birth, job change, loss).	**Owner:** Advisor **Template Includes:** *Instructions, life-event summary*
Approve an outside business activity disclosure	Review and sign off on a new outside business activity before it's filed.	**Owner:** Owner **Template Includes:** *Instructions, description of the activity, requestor.*
Call a referral source to say thank you	Make a personal thank-you call to whoever referred a new client.	**Owner:** Advisor **Template Includes:** *Instructions, Referred client's name and additional context.*
Review marketing content before publishing	Read and approve a single piece of content to satisfy compliance sign-off before it's published.	**Owner:** Owner **Template Includes:** *Instructions, link to draft content, target audience.*

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Submit vacation request	Submitting a vacation / PTO request to manager for approval	**Owner:** Owner **Template Includes:** *Instructions, employee name, date(s) requested, remaining PTO available, requesting paid/unpaid, any special use flag (ie: FMLA, Bereavement, Volunteer Hours).*