MFD CRM Readiness Checklist

Use this checklist to identify where your Mutual Fund Distribution practice depends on spreadsheets, personal reminders or last-minute coordination. Tick each statement that is consistently true today.

Business / Practice: ______________________ **Date:** ______________

1. Lead Management

- [ ] Every new enquiry enters one shared lead pipeline.
- [ ] Every open lead has a named owner and next action date.
- [ ] Lead source, stage, ageing and outcome are consistently recorded.
- [ ] Overdue and uncontacted leads are visible to management.

2. Client and Family Data

- [ ] Investor records have standardized name, PAN, mobile and email formats.
- [ ] Duplicate records are identified and resolved through a controlled process.
- [ ] Family relationships and primary relationship owners are mapped.
- [ ] Source references are retained for reconciliation with RTA or back-office data.

3. Onboarding

- [ ] The onboarding checklist has clear owners and target dates.
- [ ] Pending documents and approvals are visible in one place.
- [ ] Clients receive timely, reviewed status or reminder communication.
- [ ] Incomplete onboarding cases are escalated before they become stale.

4. SIP and Transaction Follow-up

- [ ] SIP rejections and other exceptions are captured on a fixed schedule.
- [ ] Rejection reasons are categorized for analysis and corrective action.
- [ ] Follow-up tasks have owners, due dates and closure status.
- [ ] Repeat issues and unresolved cases appear on a dashboard.

5. Portfolio Reviews

	Review frequency follows an approved client segmentation policy.
	Preparation tasks and documents are completed before the meeting.
	Meeting notes and agreed next actions are recorded.
	Open review actions are tracked until completion.

6. Client Servicing

	Service requests are recorded regardless of intake channel.
	Each request has category, priority, owner and target turnaround time.
	Clients receive updates at defined service checkpoints.
	Ageing, escalations and recurring issue causes are reviewed.

7. DDQ and Readiness

	Policies, evidence and business documents have named owners.
	Review and expiry dates are monitored before they become overdue.
	Open observations and remediation actions are tracked.
	Final DDQ responses are reviewed by qualified professionals.

8. Team and SOPs

	Daily, weekly and monthly team responsibilities are documented.
	Critical processes have backup owners and escalation rules.
	SOP steps connect to the records where work is captured.
	Training and adoption gaps are reviewed with users.

9. MIS and Management

	Management can view lead, task, review and service ageing.
	Field definitions and dashboard calculations are understood by users.
	Exceptions are reviewed without preparing new spreadsheets each time.
	Data quality and CRM usage are part of the management review.

10. Website and Marketing

☐	The website clearly explains the practice, team and service process.
☐	Important solutions have dedicated search-focused pages.
☐	Forms, WhatsApp and campaign sources connect to lead follow-up.
☐	Original content is published through a reviewed marketing calendar.

Your Readiness Score

32-40: Strong foundation - focus on integration, analytics and adoption.

20-31: Partial system - prioritize the areas with recurring leakage.

0-19: High dependency - begin with process audit, data cleaning and core CRM.

Book a CRM Audit Call

Review your gaps and build a practical implementation roadmap.

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This checklist provides general operational and technology information. It is not investment, legal, tax or regulatory advice.