Pursue Your More

Your Cetera Transition

Cetera®

Moving to Cetera means you're in good hands every step of the way. Your dedicated Transition Relationship Manager, backed by a team of specialists, is fully focused on making your move a success and helping you thrive in your new home.

Your Transition Timeline

Preparing

Begins up to eight weeks before your move

Setting the timing and communication of your move while ensuring all registrations are in good order

What You'll Do

- ✔ Create your transition plan
- ✔ Submit registration and reappointment paperwork
- ✔ Get marketing materials approved

How We Help

- ✔ Coordinate paperwork and simplify organization with access to Docupace Transition Assistant
- ✔ Ensure client data is properly collected and secure
- ✔ Support product mapping
- ✔ Provide training and orientation

Moving

Your designated transition date

Sharing that you've chosen Cetera to support the value you deliver to investors

What You'll Do

- ✔ Submit required regulatory information
- ✔ Start conducting business
- ✔ Talk to your clients and other key relationships

How We Help

- ✔ Transfer your book
- ✔ Finish additional paperwork
- ✔ Connect you with business consultants who'll help you grow your business
- ✔ Communicate progress along the way

Thriving

Up to 90 days after your move

Getting to know your new community and exploring new resources

What You'll Do

- ✔ Connect with internal consulting teams
- ✔ Get trained on new products and services
- ✔ Ensure clients are well informed and have access to everything they need

How We Help

- ✔ Address any questions and offering ongoing support
- ✔ Introduce you to the resources you'll need to continue to grow

Preparing

Getting ready for your next step

Your dedicated Transition Relationship Manager will help you create a realistic plan that makes sense for your business, sharing lessons from past moves to smooth the road to success. Your personal advocate throughout the entire process, they'll ensure your transition is minimally disruptive to your daily routine, focusing on:

Our goal is to minimize disruption for these key areas of your business:

» **Maintaining continuity:** They'll help you decide when you want to officially switch your affiliation and in what order to move accounts, as well as paperwork for:

  » Registrations for you and your assistants

  » Insurance reappointment requests

  » Cost-basis tracking for brokerage accounts

  They'll also offer assistance for getting outside business activities (including DBA names) approved and for accessing Docupace Transition Assistant to simplify the client account opening process while keeping data private and secure.

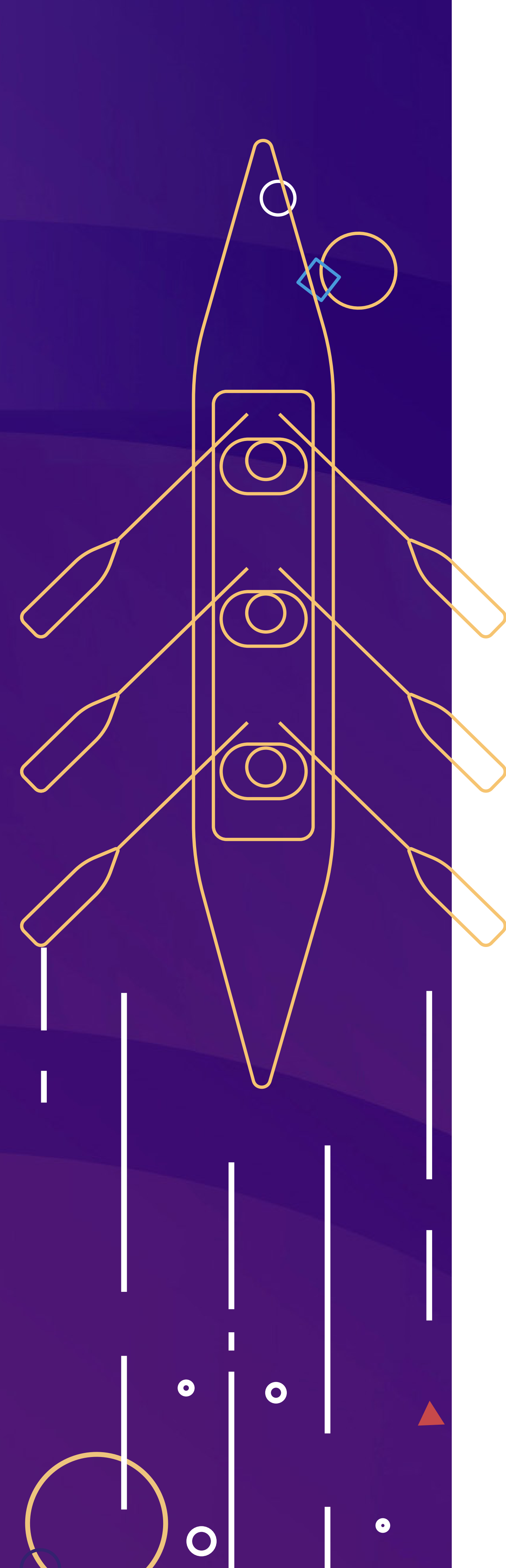
» **Operating your business:** Specialists can test your tech to ensure it's ready to run Cetera and third-party platforms, and we'll provide you with a fee sheet for your new broker-dealer so you can analyze future costs of affiliation.

» **Supporting your client experience:** They'll collaborate with you to determine a plan of how and when to explain your move to your clients, and assist you with having any marketing materials you're currently using (like business cards, envelopes, letterhead, website and email domain) pre-reviewed, so any updates can be handled before the big day.

A Less Stressful Transition

Your Transition Relationship Manager is your key resource and sounding board throughout your move, sharing best practices, connecting you with our specialized teams, and serving as a resource to address any questions or concerns you have during the process.

From helping you stay organized to double-checking paperwork to mapping your current product offerings over to Cetera's, they're there to help make your transition less stressful—and your future more successful.



Moving

Joining the Cetera community

Once you receive a welcome email confirming you're active, you're officially part of the Cetera family! We'll guide you through the following important milestones of this stage:

- **Maintaining continuity:** Remember to submit the regulatory information required for your product line-up.
- **Operating your business:** You can officially start using the technology tools you've been trained on—like your advisor workstation and clearing platform—and consulting with our full suite of specialized teams.
- **Supporting your client experience:** Using the established transition timeline and the talking points developed with your Transition Relationship Manager, you can begin discussing the possibilities for the future with your clients, and how you now have more tools and resources at your disposal to help them pursue their goals. You can also begin using the marketing materials that were previously reviewed and approved.

It's Go Time!

Your Transition Relationship Manager is here to back you up and do whatever they can to help your move continue with minimal disruption. They can assist with:

- Finishing additional paperwork
- Tracking your progress
- Connecting you with your new support teams
- Reviewing pending revenue and commission statements
- Getting technology systems up and running

Thriving

Pursuing your more

While you're settling into your new home, we'll continue our support in these three key areas of transition:

» **Maintaining continuity and growing:** You'll have access to our various learning and development opportunities so you can further explore the products and services available to help you grow on your terms.

» **Operating your business:** We'll help you tie up any loose ends so you can put your transition in the rearview and get back to fully focusing on your business. We'll also share best practices for keeping a compliant office, including document storage and paperless options.

» **Supporting your client experience:** You'll likely continue having conversations with clients about the transition and keeping them informed about what's happening. As you do, you can connect with our internal consulting teams to find new areas of opportunity and ways to deliver more value to your clients, centers of influence, and more.

You've Transitioned—But We're Still Here to Help

Your Transition Relationship Manager will stay in touch to address any questions or concerns you may have, as well as connect you with our internal resources. You'll enjoy their continuous support until you've officially crossed the finish line.

Our goal is to ensure you feel every step of your transition feels like an opportunity, not an obstacle. If you have any questions or need additional transition support, contact your dedicated Business Development team member or Transition Relationship Manager.