FULCRUM SECURITIES

TRANSITIONING YOUR PRACTICE
From There to Here

We know that the prospect of moving your practice and your clients to a new firm can appear daunting and that concerns over client portability, loss of momentum, and the potential for corresponding adverse impacts on your business are serious considerations when thinking about making a change. We also understand first hand what it takes to make the process as seamless as possible and that's why we have designed a transition program that, as producers ourselves, we would have liked to have had when we were changing firms.

One clearly marked step at a time; orderly, consistent, and closely monitored, these are the essential qualities of any successful transition. Our staff works with you at every juncture along the way, handling all aspects of the move and making sure that things are progressing according to a clearly delineated schedule that has been customized according to the unique characteristics of your business. We are committed to providing the best and most thorough support possible during your transition to Fulcrum.

In The Days Leading Up To Your Decision

- Pre-hire process including due diligence meetings covering topics such as:

  - bond inventories
  - cash management accounts
  - money managers
  - marketing support
  - advisory & alternative products
  - human resources & benefits
  - technology platform
  - peer contact

- Preparation of pre-employment paperwork, and CRD review

Between The Time When You Say 'Yes' and Actually Walk In the Door

- Develop a comprehensive and customized transition plan and checklist
- Order business & announcement cards - prepare for launch
- Learn compliance "do's" and "don'ts" of moving your practice to a new firm
- Gather allowable client information in easy to use format
- Generate client packages - account transfer paperwork & introductory client letter
- Prepare for resignation process including resignation letter
- Train on NetX360® & other technology platforms
- Move licenses & state registrations

Once You Are Here

- Mail client packages and announcements
- Full integration support opening new accounts, handling ACATs, processing paperwork