

# TRANSITION CHECKLIST

## REGISTRATION

- Conduct transition kickoff call – determine OSJ/RIA structure, account mix, number of accounts, all staff and their role, and frequency for future calls
- Complete registration paperwork for all staff
- Complete fingerprints
- Complete carrier paperwork for VA/VUL business

## BRANCH SET-UP

- Establish or amend DBA if applicable
- Submit business cards, letterhead, and other business collateral with correct disclosures to Advertising for approval
- Establish email addresses under Smarsh for surveillance and retention
- Conduct review with Technology team on hardware and software tools and applications for compatibility and efficiency
- Gather branch and rep numbers from Transition
- Provide Form ADV for Compliance review if your own RIA or amend your ADV if under Triad's Corporate RIA

## DOCUMENT PREPARATION AND TRAINING

- Establish access to LaserApp or if already a user, download forms and form groups to populate client paperwork
- Conduct WebEx training on NFS brokerage business work flow, forms, and Upload Central with Transition coordinator
- Conduct WebEx training on direct business work flow, paperwork, and establishing accounts on Investalink (iLink) with Transition coordinator
- Attain access to the iLink test system to assist with navigation, leverage reference materials, and access sample completed brokerage and direct business account paperwork to assist with paperwork preparation
- Consult with Advisory Services team for review of IA practice, if applicable, for discovery, platform options, and training
- Consult with Product team on alternative investments, Ash for fixed insurance, and any other product availability and training need
- Conduct Compliance/OSJ branch training

## TRANSITION DAY

- Submit resignation letter to current firm and fax or email a copy to the Transition team
- Await communication from Triad Licensing or Transition team to advise that FINRA and applicable state registrations are completed and business can be submitted
- Await Licensing team to fax appointment paperwork to the carriers
- Send out paperwork to clients for signature and transfer

## POST TRANSITION

- Validate access to iLink and single sign-on to tools like Streetscape and Albridge, as applicable
- Establish contact with Brokerage Services coordinator to discuss brokerage uploads, ACAT status, and the submission and tracking of client paperwork
- Amend BD affiliation on DST Vision for direct business
- Submit logo to Transition to add to NFS brokerage statements, if applicable
- Determine need for a signature guarantee stamp for the branch and, if desired, coordinate with Transition to get one issued
- Complete forms as needed to establish fee flow through Triad and surveillance through Albridge if an outside RIA with assets held at a custodian (Schwab, Fidelity, TD)
- Coordinate with Transition and Compliance to submit 407/3050 letters to related third parties, if applicable
- Determine need for third-party data feeds from NFS (e.g. performance reporting tool) and coordinate with Transition and Technology to establish
- Upload direct account client data to iLink for shell account creation (if needed)