

the ROAD to INDEPENDENCE

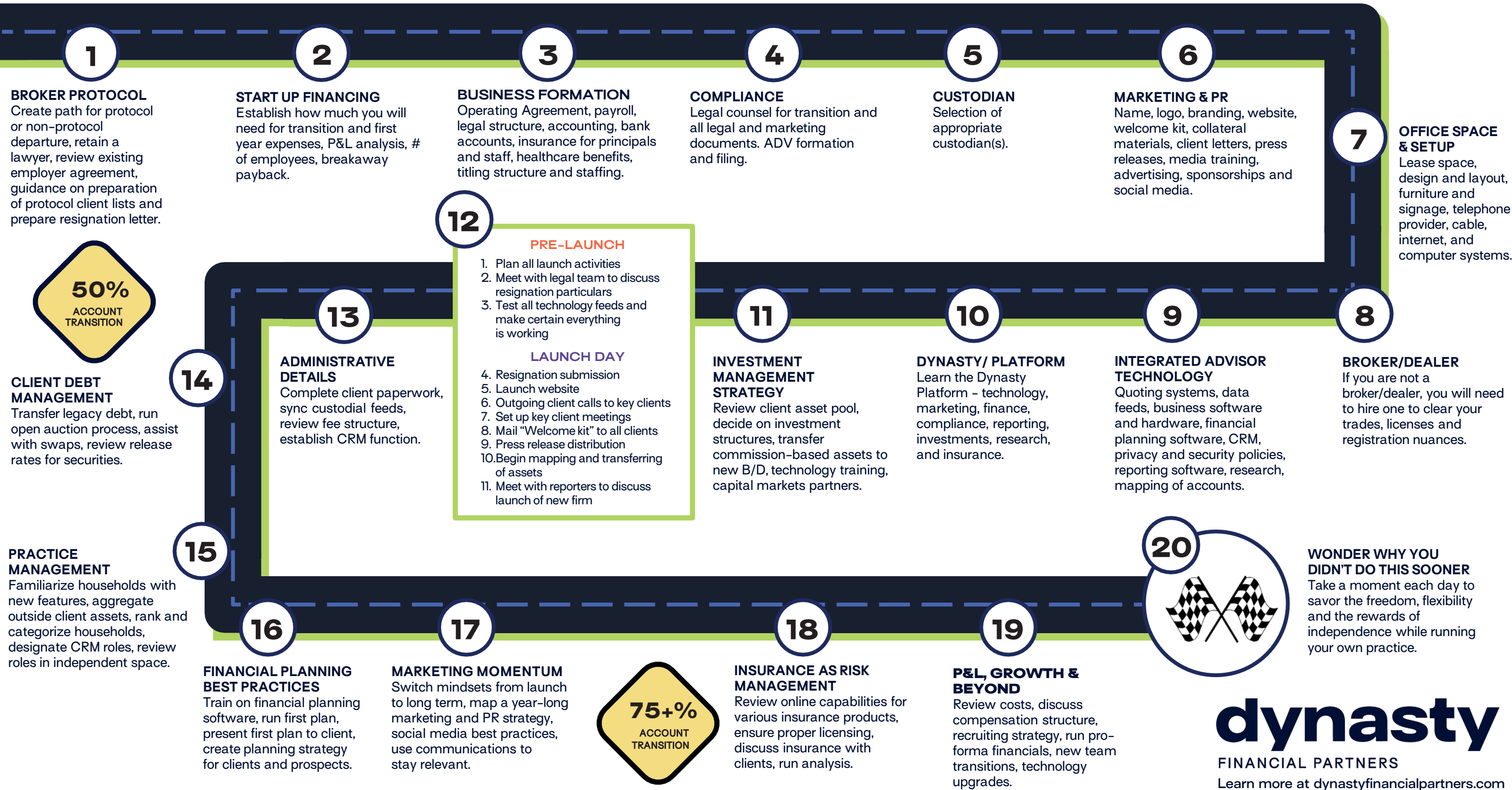
POWERED BY **dynasty**

Independence Is More Than Just a Transition

It's a transformation, an opportunity to own what you've created and build a legacy you can pass on.

With Dynasty Financial Partners, you'll work with our professional transition team that partners with you before, during and after your launch so you take exactly the right steps at the right time. No roadblocks, no detours, no wrong turns.

We've perfected the Road to Independence for our Network, and with our resources, technology and expertise behind you, we can partner to make your journey a successful one.



1

BROKER PROTOCOL
Create path for protocol or non-protocol departure, retain a lawyer, review existing employer agreement, guidance on preparation of protocol client lists and prepare resignation letter.

2

START UP FINANCING
Establish how much you will need for transition and first year expenses, P&L analysis, # of employees, breakaway payback.

3

BUSINESS FORMATION
Operating Agreement, payroll, legal structure, accounting, bank accounts, insurance for principals and staff, healthcare benefits, titling structure and staffing.

4

COMPLIANCE
Legal counsel for transition and all legal and marketing documents. ADV formation and filing.

5

CUSTODIAN
Selection of appropriate custodian(s).

6

MARKETING & PR
Name, logo, branding, website, welcome kit, collateral materials, client letters, press releases, media training, advertising, sponsorships and social media.

7

OFFICE SPACE & SETUP
Lease space, design and layout, furniture and signage, telephone provider, cable, internet, and computer systems.

50%
ACCOUNT TRANSITION

CLIENT DEBT MANAGEMENT
Transfer legacy debt, run open auction process, assist with swaps, review release rates for securities.

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PRE-LAUNCH

1. Plan all launch activities
2. Meet with legal team to discuss resignation particulars
3. Test all technology feeds and make certain everything is working

LAUNCH DAY

4. Resignation submission
5. Launch website
6. Outgoing client calls to key clients
7. Set up key client meetings
8. Mail "Welcome kit" to all clients
9. Press release distribution
10. Begin mapping and transferring of assets
11. Meet with reporters to discuss launch of new firm

11

INVESTMENT MANAGEMENT STRATEGY
Review client asset pool, decide on investment structures, transfer commission-based assets to new B/D, technology training, capital markets partners.

10

DYNASTY/ PLATFORM
Learn the Dynasty Platform - technology, marketing, finance, compliance, reporting, investments, research, and insurance.

9

INTEGRATED ADVISOR TECHNOLOGY
Quoting systems, data feeds, business software and hardware, financial planning software, CRM, privacy and security policies, reporting software, research, mapping of accounts.

8

BROKER/DEALER
If you are not a broker/dealer, you will need to hire one to clear your trades, licenses and registration nuances.

14

ADMINISTRATIVE DETAILS
Complete client paperwork, sync custodial feeds, review fee structure, establish CRM function.

15

PRACTICE MANAGEMENT
Familiarize households with new features, aggregate outside client assets, rank and categorize households, designate CRM roles, review roles in independent space.

16

FINANCIAL PLANNING BEST PRACTICES
Train on financial planning software, run first plan, present first plan to client, create planning strategy for clients and prospects.

17

MARKETING MOMENTUM
Switch mindsets from launch to long term, map a year-long marketing and PR strategy, social media best practices, use communications to stay relevant.

75+%
ACCOUNT TRANSITION

18

INSURANCE AS RISK MANAGEMENT
Review online capabilities for various insurance products, ensure proper licensing, discuss insurance with clients, run analysis.

19

P&L, GROWTH & BEYOND
Review costs, discuss compensation structure, recruiting strategy, run pro-forma financials, new team transitions, technology upgrades.



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WONDER WHY YOU DIDN'T DO THIS SOONER
Take a moment each day to savor the freedom, flexibility and the rewards of independence while running your own practice.

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