PROVENANCE
WEALTH ADVISORS

Advisor Transition

The PWA Way Guide

Welcome to the team!

We're here to make your transition
as smooth as possible.

Thank you for joining the Provenance Wealth Advisors team. Our number one goal is a smooth transition for you and your team, and most importantly for your clients.

We've developed this guide to facilitate your transition process. Our Provenance Wealth Advisor transition team will work alongside the Raymond James transition team to seamlessly get you and your clients onboard comfortably. We are confident that together we can provide a smooth experience.

The PWA Transition Team

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Preperation

Prior to leaving your current broker dealer

Transition Spreadsheet

Advisors must complete the transition spreadsheet that provides the Raymond James Team with client account information necessary to open an account with Raymond James. Once Raymond James receives this client information, they will generate client packets (paper, DocuSign, etc.)

Registration Packet

A Raymond James registration packet will be completed for all advisors and staff prior to you leaving your current broker dealer. *No paperwork will be submitted for processing until the Advisor informs PWA of their resignation from their current broker dealer.*

The Registration packet includes:

- Fingerprints (Raymond James and State of FL, if applicable)
- Form U4
- Insurance license and appointment information

PWA Contract/Paperwork

Review and sign PWA contracts and paperwork, which includes:

- PWA Contract
- Succession Agreement (optional)
- HR Paperwork

Advisor Registration

Registration Packet Submittal

Once you have notified Raymond James and Provenance Wealth Advisors of your resignation from your current broker dealer and have forwarded the signed resignation letter, the registration process for Raymond James and PWA Independent Registered Investment Advisor (if applicable) will begin to be processed.

This usually takes 24 – 72 business hours.

Insurance and Annuities

The Advisor will be appointed with all insurance companies with which PWA conducts business. In addition, annuity change of broker dealer, and agent authorization forms will be completed for all current client annuities.

FINRA and State Registration

Depending on the Advisor's line of business, the Advisor may be registered with the following:

- Registered Representative with Raymond James Financial Services (RJFS).
- Investment Advisor Representative with Raymond James Registered Investment Advisor (RJFSA).
- Investment Advisor Representative with Provenance Wealth Advisors Registered Investment Advisor.
- Insurance Appointments with PWA Carriers.

Client Onboarding

WELCOME YOUR CLIENTS

Raymond James Client Registration Packet:

Once the Advisor's registration with Raymond James has been completed, a client registration packet will be sent to the client via regular mail or email. The client registration packet will include:

- PWA Client Welcome Letter from Advisor
- Provenance Wealth Advisor brochure
- Raymond James new account paperwork
- Raymond James ACAT transfer paperwork

Concierge Service

A concierge number will be included with the client welcome letter in which the client will be able to call with any questions or concerns during the transition process. The call with be handled either by the Advisor's staff or PWA Operations.

Let's Get You Started

PWA Introduction

- Office tour and introductions
- PWA culture
- Compensation reporting and payment procedures
- PWA/BPB collaborative marketing and planning process

Marketing Integration

- Press release
- Website
- Social media
- Ghost written articles

Office and Supplies

From the moment you arrive at PWA the Advisor’s Office and supplies will be set up to ensure that your business continues as normal as possible during the transition process. This includes: Office/furniture, business cards/stationary, email, phone, computer and printer

CRM and Portal Integration

- Training
- Personalization

Training and Resources

Unit Involvement

- Investment Group
- Corporate Retirement Group
- Financial Planning
- Marketing
- Operations and Compliance
- Insurance Group

Learning the Systems

- Phone and Computer
- Microsoft Outlook 365
- PWA F:Drive
- Junxure CRM and Client Portal
- 3rd Party Websites
- Raymond James Systems and Paperwork

Ongoing Education

- Collaboration Training
- Case examples
- Webinars

Transition Timeline

Timeline	Step One	Step Two	Step Three	Step Four
Four Weeks Before Transfer	Complete transmission spreadsheet and submit it to RJ and PWA	Complete registration packets.	Verify if your current broker/ dealer will be charging transfer fees on clients' accounts.	Check accounts for available cash to cover fees before transferring/
One Week Before Transfer	Compose your letter of resignation.	Submit your resignation letter to your current broker/dealer.	Submit a copy of your resignation letter to PWA.	Raymond James and PWA will begin registration process.
Welcome Aboard	Once your licenses have transferred to Raymond James, you'll receive an email from Raymond James.	Get comfortable in your new surroundings.	Start calling clients to inform them about your new affiliation and instruct them to compete then send back paperwork ASAP. Client packets will simultaneously be sent out to clients .	PWA Operations will provide you with RJ Access information.
As a New PWA Adviser	As clients receive your mailings, it is likely they will call our office. PWA will assist your staff in handling these calls to resolve any questions or concerns.	Use RJ Net to keep track of account paperwork sent to and received from clients. PWA Operations will track and monitor the ACAT transfer of your transitioning accounts.	Familiarize yourself with PWA and RJ systems.	Participate in unit introduction meetings and training to familiarize yourself with the PWA/RJ systems and processes.

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- Looking forward to working with you!