



PROVENANCE WEALTH ADVISORS ONBOARDING PLAN



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 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 PWA Team with client account information necessary to open an account. Once PWA receives this client information, they will generate client packets (DocuSign, etc.)

● Registration Packet

A PWA Securities (PWAS) 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 (PWAS and SEC, if applicable)
- Form U4
- Insurance license and appointment information

● PWA

Contract/Paperwork

Review and sign PWA contracts and paperwork, which includes:

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

Advisor Registration



● Registration Packet Submittal

Once you have notified Provenance Wealth Advisors of your resignation from your current broker dealer and have forwarded the signed resignation letter, the registration process for PWAS & PWA 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 PWA Securities (PWAS).
- Investment Advisor Representative with Provenance Wealth Advisors (PWA) Registered
- Investment Advisor.
Insurance Appointments with PWA Carriers.

Client Onboarding

WELCOME YOUR CLIENTS

PWA Client Registration Packet:

Once the Advisor's registration with PWA and/or PWAS 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 PWA/
- Raymond James new account paperwork
- PWA/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 will 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, 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
- Box.com
- Advisor Engine CRM and Client Portal
- 3rd Party Websites
- Custodian 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.	PWA and PWAS will begin registration process.
Welcome Aboard	Once your licenses have transferred to Custodian, you’ll receive an email.	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.



- Looking forward to working with you!

