Transition Timeline

provided by Sovereign Global Advisors

PRE-HIRE

The interview process. As fast as a few phone calls.

STEP 1

Introductory conversation occurs between you and a designated member of our recruitment team. The preliminary forms are filled out.

Focus is to leave no stone unturned. Product requests and/or approvals are done. Expectations, tasks and time frame are established

ON-BOARDING

Structured and stream-lined with personalized attention to each and every detail.

STEP 1

Provide us a copy of your resignation letter, along with your signed contract, and all other required compliance forms and we're off!

STEP 2

You will receive a copy of your U4, which must be reviewed and signed by you. Once approved and submitted you'll officially be a rep with Sovereign Global Advisors.

Congratulations!

STEP 3

Now you're almost ready to start conducting business! As we're bringing over your license and processing your state registrations, you'll receive your new FINRA compliant email account, the software login for our technology platform provided through NFS, and our commission software login.

STEP 4

We will provide you with customized letters for your new clients; including: welcome letters that introduce your clients to your broker-dealer and clearing agent, online access letters that provides easy-to-follow instructions on how your clients will log on to their accounts online, temporary trade confirmation prototypes, and anything else needed, depending on the type of business you conduct.

OPENING ACCOUNTS

We work hard to open every client account we receive immediately.

STEP 1

Based on registration approval you can begin soliciting business in each state and utilizing our 'short-version' form so that we can begin the process of opening and transferring your accounts.

STEP 2

Your transition team will then put together account paperwork packages* for your clients, that include the appropriate customized documents per account type and any marketing material desired.

**These packages can be sent out by FedEx or emailed at your discretion.*

STEP 3

Your onboarding specialist will contact you to discuss the progress of your accounts daily, going over any questions you may have during this process.

Further tracking is made possible by utilizing your system login, where you can see the status of the accounts your transition team is opening for you.

If sending ACATs and associated account documents by email you will be cc'ed on all correspondence with your clients, so that you can keep track of what's happening and where your clients are in the process in real time. If sending by FedEx your team will be emailing you updates with the tracking numbers associated with each client's package, so you can see where your clients are in the process.

CONDUCTING & GROWING YOUR BUSINESS

As an Independent Advisor, supported by Sovereign Global Advisors.

STEP 1

Training is available for utilizing our software, including tutorials on how to open accounts on the system. Trainings are done through web-based screen sharing and phone calls to ensure a full understanding and provide you with all the information you need to service your business.

Additional Training is also Available on:

- Marketing for clients (how to utilize social media and other outlets for your business)
- Marketing for employees (how to hire support staff at your independent office)

STEP 2

Pre-Approved, Complaint Marketing Material:

Sovereign has developed a massive library of pre-approved marketing material you will now have access to.