

TransitionCheck™ Milestone Plan



IFS Securities has developed a five-step process to make sure the transition is seamless for you and for your clients.

1. Develop a comprehensive, customized transition plan tailored to your needs.

- Milestone dates for transition
- Determination of any financial support
- Identification of key “watch” areas of particular concern to you and your clients

2. Arrange for system access, licensing transfers, and compliance reviews.

- Office and technology configurations
- Transfers of insurance, securities licenses
- Review of comp structure and statements
- Training on trading procedures

3. Prepare transition plans for your clients.

- Establish client accounts
- Transition of client reporting, including tax-basis preferences

4. Establish marketing and communications plans.

- Approved client communications and firm announcements
- Business cards, stationery
- Web page on IFS Securities site

5. Train you and your staff on resources, reporting, and firm policies.

- Compliance review procedures
- Reporting requirements and protocols
- Overview of firm contacts, resources
- Review of Raymond James and Sterne Agee toolkits, products, and services

The art of independent thinking.™