



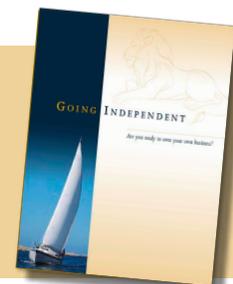
First Class Transition Services

Transitioning to a new broker-dealer isn't as simple as flipping a switch—it's more like flying an airplane. When you choose Cantella, our experienced transition crew takes the controls so you can focus on landing your valued client relationships safely at your new destination.

Preflight

It takes hundreds of hours of training and preparation for pilots to earn their wings and fly solo. You don't have that kind of time. Luckily, Cantella's experienced transition team knows how to get you prepared. They'll talk you through any concerns you have about making a change, and they'll help you take a closer look at yourself and your practice, and make sure a move is the best decision. They know which questions to ask and can help you navigate the complex legal and regulatory obstacles that transitions often face.

Cantella literally wrote the book on Going Independent. It's designed to help you make an informed decision about whether going independent suits your personality and skill set, and how Cantella can help you make that transition. You'll also find examples of Cantella advisors who made the move and what their experiences were. Read it at: cantella.com/goingindependent



Flight Planning

A successful flight begins with thorough and careful preparation: the pre-flight checklist and inspection. We'll make sure your business and client needs are addressed and considered with every decision and strategy we put into place. We'll work with you to make plans for:



- Legal support for interpreting contractual obligations and understanding what client information you can bring with you
- How repapering and account mapping will work
- Planning for production gap
- Leasing office space
- Getting office furniture and technology set up
- Options for setting up payroll, health insurance, and other benefits
- Client communication strategy
- Systems training for you and your staff

Takeoff

When it's time to make your move, we'll have your registration paperwork and U4 submission pre-filed and ready to go. Our licensing team will make the registration filing quick and easy. Our goal is to have you up and ready to do business the same day you come aboard.

In-flight Service

Here's where all the planning and preparation are put into motion, and where Cantella's experienced on-site transition team really shines. They'll already be in your new office, putting the plan into action—processing account paperwork, making sure systems are operating, and training your staff so you can focus on maintaining client relationships.

Landing—Welcome to Your New Home!

Our goal is to have accounts and assets transferred within a few weeks after joining Cantella. From there, we'll provide ongoing support from our transition consultants and operations teams. Your paperwork submissions will be prioritized and closely monitored. At Cantella, you'll feel the sense of community that comes from a hands-on executive team and dedicated home office staff who you'll get to know by name.

Once you're settled, you can start to take advantage of the other great resources Cantella provides to help you grow your business.



Moving your life's work is no small decision. As an independent advisor, you'll have the freedom to make decisions based on what you think is best for your clients and grow your business your way. This is an investment for the long term.

Ready to start planning your move? Contact us at branchrecruiting@cantella.com or 800-653-0391.