AT Team Enablement

Communication Plan & TM Enablement

New Client Experience Initiative

To deliver a world class experience for new advisors by creating a differentiated journey that fulfills their unique needs, accelerates their learning curve, and increases their growth and loyalty to Firm.

Advisor Transition Team

Create a higher level of support through a dedicated team that understands and directs the needs of a new firm.

Educational & Program Resources

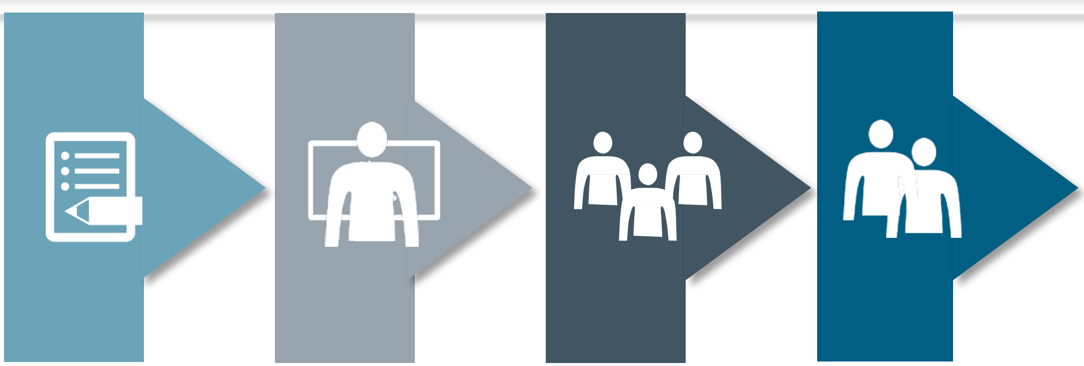
Provide customized education to new clients as they use our platform and learn how to operate their firm in partnership with Firm.

Technology and Platform

DA Services remains focused on delivering digital products for new and existing advisors.

The **DA** model will be leveraged during Advisor Digital Onboarding.

AT Team
Transition Manager Enablement Plan



New Transition Manager Checklist

Designed to help TM to prioritized to deliver a work class experience

Summary of Transition Manager Onboarding Objectives				
Get Started	**Learn the Business**	**Build Relationships**	**Plan for Success**	**Perform to Your Potential**
▪ Introduction to the NCE Playbook ▪ Firm "NEW" training (for external) ▪ Attain system and tools access ▪ Establish TM ghosting ▪ Manager coaching sessions	▪ Review NCE Playbook, learn role, and what is changing & why ▪ Begin Service ASPIRE training (If Non-Service) ▪ Complete New Advisor Training on AU ▪ Establish partner/ service team ghosting	▪ Be familiarized with all business partners ▪ Join team meetings (BDO, RM, TC, CC, TPE, BSC, Service teams) ▪ Provide teams with what's changing, why the change, and how it benefits them ▪ Establish partner/ service team ghosting	▪ Set clear objectives ▪ Create development plan ▪ Role playing with manager & TMs (if needed) ▪ Understand key business & team success metrics	▪ Talent management/ personal development in role ▪ Share best practices & team/advisor feedback ▪ Continue forging strong relationships & ghosting with service teams as needed ▪ Follow-up to update team on progress and impact for advisors

Transition Manager Development

New Transition Managers will complete a series of training session based on their level of experience

Service Team

- 4 weeks apprenticeship with tenured Transition Manager

Other Firm Experience

- 2 weeks ACT New Hire Classroom Training
- 4 weeks ACT New Hire on-the-job-training
- 3 weeks assimilation with a service team
- 6 weeks apprenticeship with tenured Transition Manager

External Hire

- 6 weeks ACT New Hire Classroom Training
- 4 weeks ACT New Hire on-the-job-training
- 3 weeks assimilation with a service team
- 8 weeks apprenticeship with tenured Transition Manager

Level of Experience

Classroom Training

Two weeks Aspire new hire classroom training- concentration on skill gaps*

Week 1-2
ACT New Hire Training to fill in the gaps

Other Firm Experience

Six weeks classroom training in the Aspire new hire training program*

Week 1-6
Complete ACT New Hire Training

External Hire

* Aspire training details in Appendix

On-the-job Training

4 weeks of on-the job Training

Week 2-4
On-the-job learning Processing and outbound calls
Week 4-6
On-the job learning Inbound calls and Team workflow

Other Firm Experience

4 weeks of on-the job Training

Week 6-8
On-the job learning Processing and outbound calls
Week 8-10
On-the job learning Inbound calls

External Hire

Service Team Assimilation

3 weeks assimilation with a service team

Week 1
Case processing with a focus on
• Forms
• Money Movements
• Account Maintenance
Week 2
Domestic review cases Outbound calls
Week 3
Inbound phone calls (20 + a day)
Process workflow

Other Firm Experience

External Hire

TM Apprenticeship

Week 1
Onboarding, systems access, auto-signature, map folders
Read Playbook
Follow Advisor Learning Path
• Facilitator Guides
• Firm U
Week 2
Schedule Business Partner Meetings (CC, TC, TPE)
Tie everything together (BDO>TC> CC> TM/TPE > Service/RM)
• Conga
• Milestone Reports
• Welcome Kit
Week 3
Assigned a TM to ghost all calls and job functions
Review NIGO cases and assist and managing workflow
Week 4
Ghost all calls and job functions
Review NIGO cases and assist in managing workflow

Other Firm Experience

External Hire

Additional 2-4 weeks in a SP capacity within the TM team

Role readiness roadmap

Team Manager Engagement Expectations

Introduction

- Review NCE Playbook and role expectations
- Establish mentor relationship tenured TMs
- Setup 1:1's with business partner in the team:
  - Prepare for meetings by helping the TM understand what's changing & why, the team, and TM added value
  - Begin relationship building
  - Prepare to discuss the process, roles, and team expectations
  - Start business planning discussion and how to leverage partners & service team
- Debrief with the TM post on a regular basic and after all partner meetings
- Obtain input on needs, direction, and agreement on go forward approach with team leaders

Launch

- Continue working with TM to ensure training, ghosting are completed and assess role readiness
- Deep Dive with TM to assess readiness
  - Clear understanding of team, role, servicing, and expectations
  - How to manager & support advisors needs during transition
  - Share Team Best Practices
- Post Readiness
  - Continue to have regular check-ins and assessment of how of role
  - Ongoing coaching & debriefs during the first few months of transition to gain insights, feedback, and how to improve the advisor experience
  - On-going debrief meetings with partner and service teams to continue relationship building, understand client interactions, and get feedback on progress
  - Follow-up training, coaching, ghosting if needed

Appendix

AT Team

ASPIRE New Hire Classroom Training

Days 1-5	Venue
New Employee Welcome Corporate Class	Classroom
Starting With You – Advisor Relationship	Virtual
Starting With You - Positive Language	Virtual
Starting With You - Raving Fans	Virtual
Starting With You – Strengths	Virtual
Starting With You – Communication and Relationship Behaviors	Virtual
Days 5-10	
ASPIRE Program Overview	Classroom
Why Firm? (Pre-work: A Winning Relationship	Classroom
Master Account Structure & Advisor Authority	Classroom
Introduction to Firm Advisor Center	Virtual
Firm Advisor Center Scavenger Hunt and Review	Practice
Firm One Accounts Part 1 & 2	Classroom
Firm One Accounts Scavenger Hunt and Review	Self-Paced
Firm Advisor Center Overview	Classroom
IRA Overview Parts 1 & 2	Classroom
ACT Fraud Prevention Training	Virtual
Restriction Codes Job Aid	Virtual
2017 ACT Signature Verification - Advisor Services	Virtual
Days 10-14	
Organization Accounts Overview & Forms Review	Classroom
Trust Overview	Classroom
Business Retirement Accounts Overview & Forms	Classroom
SWISS / ACE job History	Classroom
LOA / SLOA and Cashiering Overview	Classroom
WPFA Phase 1, Part 1 Videos	Virtual
WPFA Phase 1, Part 1 Q&A	Classroom
Money Movement Overview and Checks & Journals	Classroom
Money Movement - MoneyLinks	Classroom
Money Movement - IRA Distributions	Classroom
Money Movement - Wires	Classroom
Fraud Awareness	Classroom
BlueZone/Legacy Overview	Classroom
Intro to CONNECT- Sending Client Correspondence	Virtual
Communications with Advisor Overview	Classroom
Retirement Services Overview	Classroom
AS myQ Training for New Hires	Classroom
AS Reports	Classroom
WPFA Phase 1, Part 2 Videos	Virtual
WPFA Phase 1, Part 2 Q&A	Classroom

Days 15-19	Venue
eAuth / eSig - CET	Classroom
Estates Overview	Classroom
Restricted Stock Overview	Virtual
Navigating Bank and Broker/Dealer Client Contact	Virtual
Firm Bank, Checking, Bill Pay, Pay-No-Pay	Classroom
Margin Overview	Classroom
Sales Overview	Classroom
Firm Advisor Network	Classroom
AS Risk & Supervision Management	Classroom
AS Client Reporting	Classroom
Cost Basis (2 Videos/2 PDFs)	Virtual
Reorganization & Issuer Communications Overview	Classroom
Adding and Removing Individual POA (Delinks)	Classroom
e-Delivery	Classroom
Pledge Asset Accounts (PAA)	Classroom
Estate Processing	Classroom
Alternative Investments Overview	Classroom
Days 20-24	
Personal Trust Reporting Services	Classroom
Management Fees	Classroom
Management Fees WBT	Virtual
Account Updates	Classroom
Account Updates Part 2	Classroom
Cyber Security Webcast	Virtual
Rep Objectives / Success Measures	Classroom
Effectively Receiving Feedback	Classroom
Providing Outstanding Service	Classroom
Transfer of Accounts (TOA)	Classroom
Employee Engagement	Classroom
Client Loyalty / Client Promoter Score	Classroom
Managed Accounts / Asset Based Pricing	Classroom
AS CST Overview	Classroom
Days 24-28	
Quality Client Experience Support (QCES) Overview	Classroom
MyCoaching / Verint Job Aid	Classroom
Call Calibration	Classroom
Practice Conversations	Virtual
Throughout Program	
Money Movement Practice	OJL
Service Team Ghosting	OJL