

HAVE YOU ARRANGED FOR SOMEONE TO SERVICE YOUR CLIENTS?

created by
Securities America
Your business growth expert.

Yes

No

Assistant:

Registered Office Assistants (ROAs) are required to be appropriately licensed and registered to accept unsolicited customer orders. An ROA must have either the FINRA Series 7 or the FINRA Series 11 to accept unsolicited customer orders. The ROA is subject to the same state licensing requirements as the Registered Representative(s) for the account. Registered Office Assistants can service clients and handle unsolicited trades for up to one month.

Risks: Client relationships/retention, market movement, advisor's ability to keep CE in good order.

OSJ/Branch Manager:

Client service capabilities may vary depending on whether your OSJ is local or regional. Your OSJ will have access to your client accounts without additional paperwork or authorization.

OSJs can service clients indefinitely, however, failure of the incapacitated advisor to complete Regulatory and Firm Element CE may cause the advisor to become inactive, halting all commissions.

Risks: Client relationships/retention and availability of OSJ due to schedule/logistics.

Other Advisor:

Designated servicing advisors will need a signed letter of instruction; it should include revenue sharing considerations. Your broker-dealer may assign a special code so that your designated servicing advisor can access client accounts.

Designated servicing advisors can service clients indefinitely however, failure of the incapacitated advisor to complete Regulatory and Firm Element CE will cause the advisor to become inactive, halting all commissions.

Risk: Client relationships/retention.

External Support:

Clients would need to contact your broker-dealer's trade support desk or automated trading system to enter buy/sell transactions or receive portfolio advice.

Risk: Client relationships/retention, market movement and notification to clients to use alternate resources in case of an emergency.

WHAT'S YOUR LEVEL OF RISK?

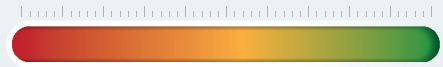
External Support: High



Assistant: Moderate



OSJ: Moderate



Other Advisor: Low



Final steps:

- ✓ Discuss the location of the continuity plan with your spouse/family.
- ✓ Train your staff on your continuity plan and where to locate it.
- ✓ Discuss your continuity plan and its location with your OSJ.
- ✓ Update your continuity plan annually.



Our Continuity - Succession - Acquisition Experts:

With over 35+ combined years of coaching advisors through Continuity - Succession - Acquisition stages, Securities America's team helps our advisors create a plan. Led by Roger Verboon, Director of Succession and Acquisitions, we understand the succession and acquisition planning options, can provide advice on creating a suitable plan or assist in locating a fitting partner.



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