

THE Transition Playbook

RFG ADVISORY

Overview

There has never been a more important time in the industry to disrupt the Advisor transition process and rewrite the narrative that exists today where transitions represent fear, disruption, stress and absence of control.

The Transition Playbook is our comprehensive Advisor Transition Support Program that provides Independent Financial Advisors robust, end-to-end customized support during the transition process that empowers them to conquer their fears and strategically manage their time.

This process helps advisors grow through transition by providing a Dedicated transtion team, industry-leading marketing & Branding support, cutting-edge client onboarding technology supporting a fully-digital On-boarding experience, 2022 wealthie-winning RFG Assist administrative assistance program enrollment, and more.



How does it work?

THERE ARE THREE PHASES TO ANY ADVISOR TRANSITION. WE HAVE STRATEGICALLY CREATED STANDARD OPERATING PROCEDURES THAT HAVE PROVEN TO IMPROVE TRANSITION OUTCOMES AND EXPERIENCES. BY LEVERAGING LATEST CUTTING-EDGE TECHNOLOGY, HIGHLY-EFFICIENT PROCESSES, AND INCREASING OUR LEVEL OF SUPPORT FOR TRANSITIONS, WE HAVE BEEN ABLE TO ACCOMPLISH FULL TRANSITION IN A MATTER OF DAYS, RATHER THAN THE INDUSTRY AVERAGE OF THREE MONTHS.

1. TRANSITION PREP

WEEK 1 - WEEK 8

Our team starts working on your registration and legal consults, full-scale, custom branding with video and photography, operations due dilligence, technology infrastructure and training, and RFG Assist allocation needs. We make sure that when you on-board, you can focus on your clients.

2. GAME DAY

WELCOME TO RFG!

ALL TEAMS GO! We launch your brand with a new website, announcment email + video, social media, advertisments, and more. Then, we spin up your technology, on-boarding support, and RFG Assist administrative support so you can spend time with your clients.

3. TRANSITION

UP TO 90 DAYS

We’ve developed a transtion process with cutting-edge technology to make the re-papering process seamless, paperless, and efficient. We’ve taken the whole process from industry average three months to a matter of days. It’s your job to speak with the clients, ours is to do everything else.

KEEP TRACK IN REAL TIME USING YOUR CUSTOM

Transition Playbook

We designed a fully-integrated Sharepoint hub for each transitioning advisor to guide them through their entire transition. Our technology for digital onboarding allows us to

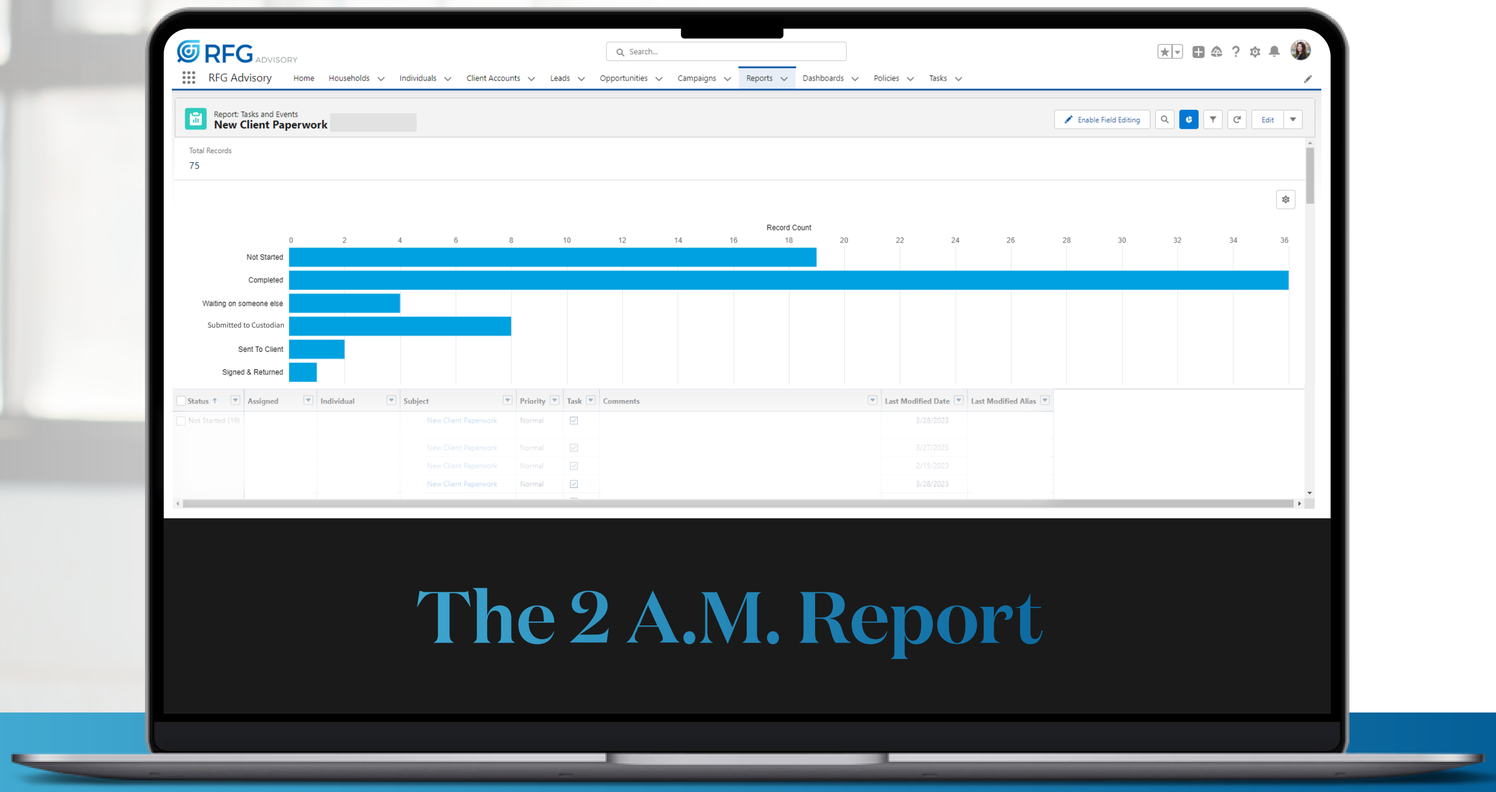
- ✓ A FULLY DIGITAL ONBOARDING EXPERIENCE
- ✓ REAL-TIME CLIENT TRANSITION STATUS
- ✓ FASTER CLIENT ACCOUNT PROCESSING
- ✓ EFFICIENT OPERATIONAL WORKFLOWS
- ✓ COMPLEX ACCOUNT ON-BOARDING



UNPARALLELED DATA COMMUNICATION AND TRANSPARENCY.

SALESFORCE INTEGRATED TRANSITION HUB DESIGNED TO TAKE THE FEAR OUT OF TRANSITION.





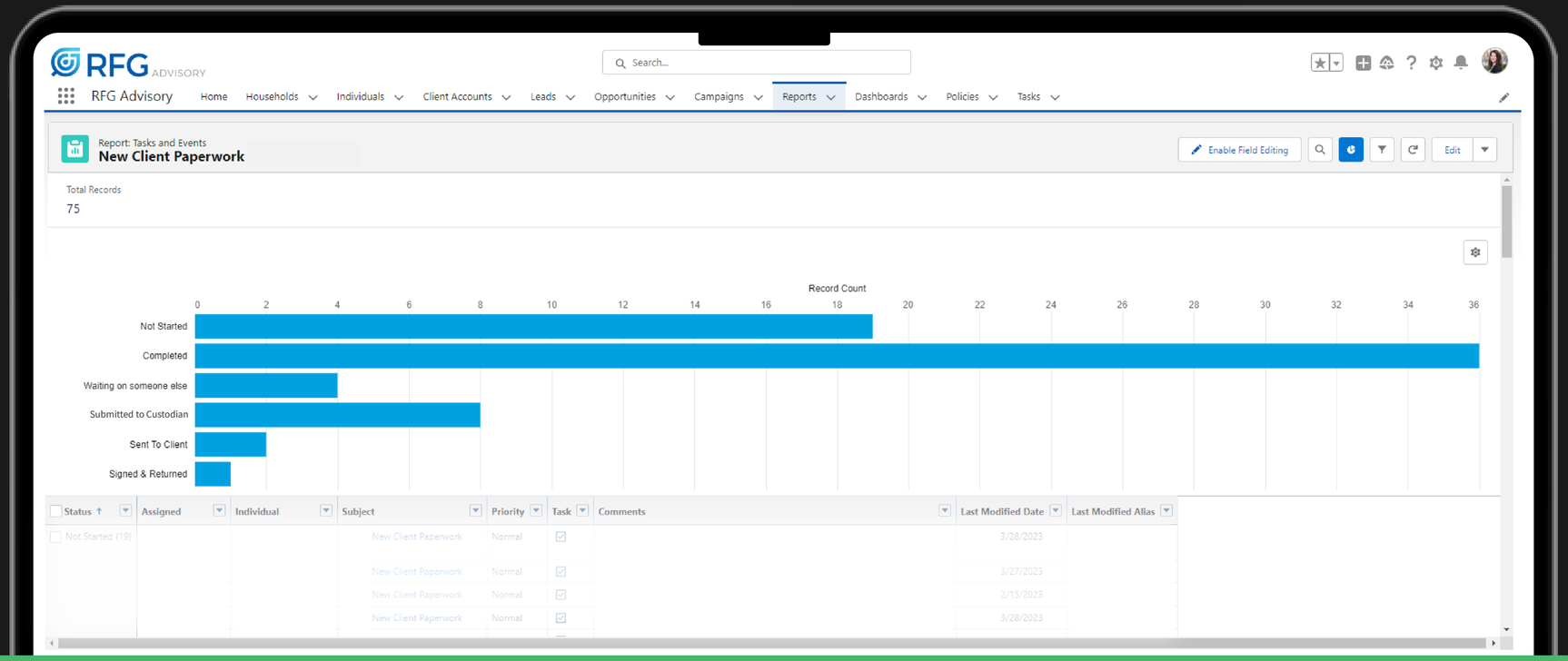
The 2 A.M. Report

THE NAME WAS BORN FROM THE ALL TOO FAMILIAR EXPERIENCE OF WAKING UP IN THE MIDDLE OF THE NIGHT WONDERING WHERE A CLIENT'S ACCOUNT IS. WE CREATED THIS REPORT TO SHOW THAT YOU CAN SLEEP AT NIGHT KNOWING WE ARE TAKING CARE OF BUSINESS.

The 2 A.M. Report

WE ALL KNOW THE FEELING OF BEING OVERWHELMED. WHEN YOU ARE TRANSITIONING YOUR BOOK TO A NEW PLATFORM, IT CAN BE INCREDIBLY STRESSFUL. WE CREATED THE 2 A.M. REPORT AS A WAY FOR ADVISORS TO SEE THEIR PROGRESS FROM FIRST ACCOUNT OPENING TO TRANSITION COMPLETION, CREATE SYNERGIES TO DRIVE EFFICIENCY, AND PROVIDE AN UNAPARALLELED LEVEL OF TRANSPARENCY AND SUPPORT.

- ✓ Fully Integrated
- ✓ Secure & Private
- ✓ Highly Efficient
- ✓ Real Time Updates
- ✓ Advisor Tested
- ✓ All Digital



THE RESULTS HAVE BEEN TRANSFORMATIVE

Over the past 18 months, this initiative has been integral to the success of RFG Advisory growing from $2.5B* to just under $3.8B* (Assets under advisement, data as of 03.31.23).

Fear of transitioning is one of the biggest reasons that Advisors will decide not to move. This initiative, with our enhancements, has made moving to independence an opportunity for Advisors instead of an impediment, creating organic growth for both our firm and the Advisors who choose to partner with RFG.

We believe that this program has set a new standard for support for transitioning Advisors and will be disruptive to this industry as Advisors will be more inclined to take the leap and embrace the possibilities of independence.

All Data based on IAR + Dually Registered Representatives afflilated with RFG Advisory who completed their transitions between 11/01/21 and 03/31/23

27 ADVISOR TRANSITIONS

18 ADVISOR PRACTICES

$757M NEW AUA TO THE PLATFORM

Starting Right to Drive Growth.

OUR TRANSITION PLAYBOOK HAS BEEN A TRUE DRIVER OF OUR ORGANIC GROWTH AS A PLATFORM AND THE DATA SHOWS JUST HOW EFFECTIVE IT HAS BEEN FOR ALL OF OUR FUNCTIONAL TEAMS AND ADVISORS. BY PROVIDING A FULLY COMPREHENSIVE LEVEL OF SUPPORT, TRANSITIONING ADVISORS HAVE THE OPPORTUNITY TO GROWTH THROUGH THEIR TRANSITION AND BE STRATEGICALLY POSITIONED FOR THE FUTURE.

91%

ASSETS TRANSITIONED
VS. EXPECTED

123%

CURRENT ASSETS
VS. EXPECTED AT TRANSITION

33%

FASTER TRANSITION DURATION*
COMPARED TO INDUSTRY AVERAGE of 90 DAYS

OVER

3000

ACCOUNTS OPENED

*We operate on a standard 60 day post-affiliation transtion support strategy, with the ability to extend up to 90 days if needed.
All Data based on IAR + Dually Registered Representatives afflilated with RFG Advisory who completed their transitions between 11/01/21 and 03/31/23

Operational Support

OUR DEDICATED TRANSITION TEAM LEAD BY OUR DIRECTOR OF OPERATIONS HAS MASTERED THE ART OF TRANSITIONING CLIENTS TO OUR PLATFORM BY LEVERAGING CUTTING-EDGE TECHNOLOGY TO CREATE A FULLY DIGITAL CLIENT ON-BOARDING EXPERIENCE, SOPHISTICATED REPORTING STRUCTURE, AND YEARS OF TRAINING AND EXPERIENCE TO TACKLE COMPLEX ACCOUNTS IN A MULTI-CUSTODIAL ENVIRONMENT.

OUR TEAM HANDLES ALL OF THE CUSTODIAL SETUP, CLIENT ACCOUNT PAPERWORK PAPERWORK, ACCOUNT PROCESSING, DATA RECONCILLATION, AND ALL OTHER OPERATIONAL PIECES TO TRANSITION. YOUR JOB IS MEET WITH YOUR CLIENTS AND SIGN NECESSARY DOCUMENTS.

DATA GATHERING

→ **PreciseFP & DOCUPACE INTEGRATION**

+ FULLY DIGITAL CLIENT INFORMATION PROFILE
+ FULLY-CUSTOMIZED & BRANDED WITH YOUR DBA

→ **FULL DATA, PROTOCOL, & NON-PROTOCOL SUPPORT**

ACCOUNT PROCESSING

→ **ALL DIGITAL CLIENT EXPERIENCE**

+ BULK PROCESSING CAPABILITY
+ SINGLE SIGNATURE ENVELOPE PER HOUSEHOLD

→ **DEDICATED SUPPORT TEAM**

+ 90+ YEARS OF COMBINED INDUSTRY EXPERIENCE
+ ENTERPRISE LEVEL CUSTODIAL RELATIONSHIPS

COMPLETION & RECONCILLIATION

→ **REAL-TIME PROCESS TRACKING**

+ DYNAMIC COLLABORATION THROUGH CRM
+ KNOW WHERE EVERYTHING IS AT ALL TIMES

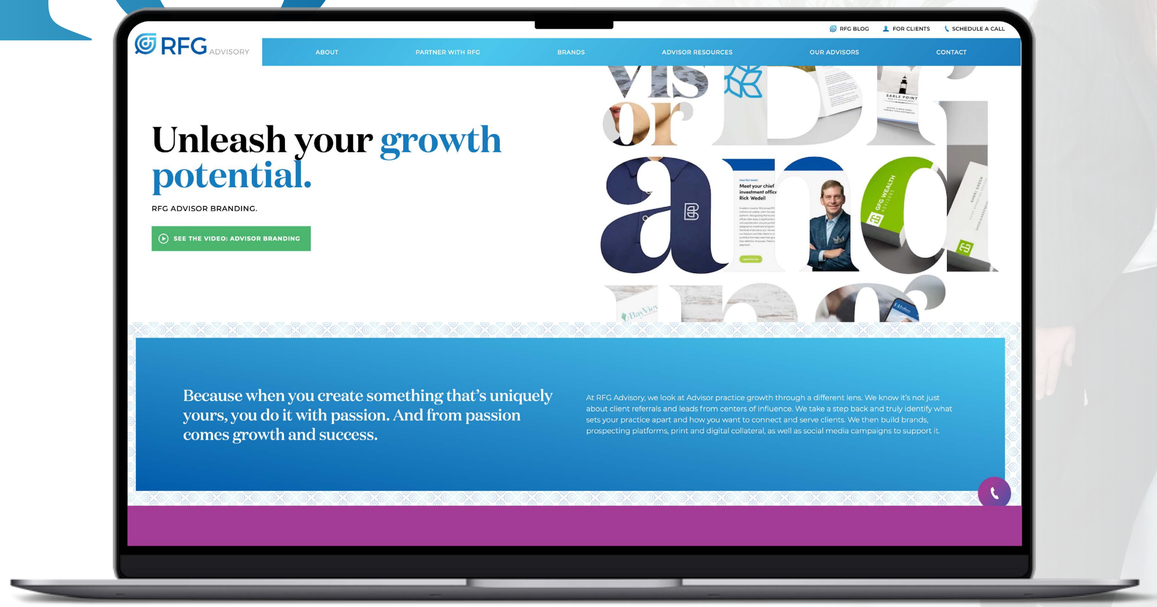
→ **ACCOUNT RECONCILLIATION**

+ ACAT & AUM RECONCILLIATION
+ CRM DATA DELIVERY AND SETUP
+ UP TO 90 DAYS ASSET MOVEMENT

End-to-End Marketing & Branding Support

18

FULL-SCALE BRANDS + WEBSITES CREATED



41
VIDEOS

81
SOCIAL MEDIA PROFILES

18
ON-SITE VIDEO + PHOTO SHOOTS

WE BELIEVE THAT PEOPLE CONNECT WITH PEOPLE.

WE'VE CREATED AND IMPRESSIVE PROGRAM SUPPORT ADVISOR BRAND DEVELOPMENT BY BRINGING THEM A COMPREHENSIVE BRANDING AND MARKETING SUPPORT PACKAGE THAT INCLUDES:

- DBA CREATION
- DOMAIN SUPPORT
- LOGO & BRANDING DEVELOPMENT
- WEBSITE DEVELOPMENT AND SUPPORT
- ON-SITE VIDEO & PHOTOSHOOT
  - TWO HIGH PRODUCTION VIDEOS
  - HEADSHOTS, TEAM, LIFESTYLE, & OFFICE PHOTOGRAPHY
- ANNOUNCEMENT EMAIL AND LETTER
- BUSINESS CARDS
- STATIONARY DESIGN AND PRINTING
- SOCIAL MEDIA PROFILE CREATION AND DESIGN
  - BANNERS, PROFILE PHOTOS, BIOS, ETC.
- PRESS RELEASE FOR LAUNCH
- OFFICE SIGNAGE
- CUSTOM EMAIL SIGNATURES
- BRAND LAUNCH MARKETING CAMPAIGNS
- SOCIAL MEDIA PROFILE SETUP AND ADVERTISING
- CONTINUED MARKETING SUPPORT

Comprehensive Technology Rollout and Support

OUR MISSION TO CREATE THE RIA OF THE FUTURE HAS RELIED HEAVILY ON FINDING CUTTING-EDGE TOOLS TO HELP ADVISORS DEEPEN THEIR 1-1 RELATIONSHIPS WITH THEIR CLIENTS, OPTIMIZE THEIR PRACTICE, AND BUILD MORE ENTERPRISE VALUE ON THEIR OWN PERSONAL BALANCE SHEET. WHEN ADVISORS JOIN RFG ADVISORY, WE DELIVER A COMPREHENSIVE PACKAGE THAT IS OPTIMIZED, INTEGRATED, AND READY-TO-GO.

DELIVERED TO YOU, READY-TO-GO.

- ✓ Hardware
- ✓ IP Infrastructure
- ✓ FinTech Platform Access
- ✓ Data Integration
- ✓ In-Depth Training
- ✓ Dedicated, In-House Support
- ✓ Client Portal Customization



RFG Assist Enrollment and Allocation

WE BELIEVE THAT AN ADVISOR'S HIGHEST AND BEST USE OF THEIR TIME IS DEEPENING THE 1-1 RELATIONSHIPS WITH THEIR CLIENTS AND PROSPECTING. TO MAXIMIZE THEIR MOST VALUABLE RESOURCE, WE CREATED RFG ASSIST TO RECRUIT, TRAIN, MENTOR, AND DEVELOP AN ADVISOR'S TEAM. THROUGH RFG ASSIST, AN ADVISOR CAN GAIN ACCESS TO FRACTIONAL OR 100% ALLOCATION TO HIGHLY-TRAINED PROFESSIONALS WHO ARE COACHED TO BE FORCE MULTIPLIERS FOR THE ADVISOR AND THEIR CLIENTS.

HERE'S HOW IT WORKS:

1. ASSESS YOUR TALENT NEED

BASED ON THE SIZE AND TEAM STRUCTURE OF YOUR PRACTICE, WE HELP YOU DECIDE WHAT SUPPORT YOU MAY NEED TO GROW YOUR PRACTICE FROM 25% ALLOCATIONS TO FINDING FULL-TIME, IN-HOUSE TEAM MEMBERS.

2. FIND YOUR MATCH

FINDING THE RIGHT FIT IS IMPORTANT. WHETHER YOU DECIDE ON A FRACTIONAL ALLOCATION OR HIRING A FULL-TIME TEAM MEMBER, WE UTILIZE PREDICTIVE INDEXES, SKILLS-BASED ASSESSMENTS, AND EXTENSIVE EVALUATION TOOLS TO MAKE SURE THAT WE CAN MATCH YOU WITH AN ADMIN WHO WILL BE A FORCE MULTIPLIER IN YOUR PRACTICE.

3. START STRONG

WHEN YOU JOIN RFG, YOUR ADMIN WILL BE READY TO GO TO HELP YOU THROUGH THE ENTIRE TRANSTION PROCESS. THEY WILL BE ABLE TO BRING THEIR TRAINING AND EXPERIENCE THROUGH RFG UNIVERSITY TO MAKE AN IMMEDIATE IMPACT IN YOUR PRACTICE. WITH AN A-PLAYER ON YOUR TEAM, YOU CAN FOCUS ON YOUR CLIENTS, YOUR BUSINESS, MENTORSHIP, AND GROWTH.



IN 2022, OUR 'RFG ASSIST' INITIATIVE TOOK HOME THE WEALTHIE FOR BEST NON-CUSTODIAL RIA SUPPORT PLATFORM.

RFG ASSIST PROVIDES ALLOCATIONAL ADMINISTRATIVE SUPPORT FOR ADVISORS TO EMPOWER GROWTH AND SCALABILITY. WE HELP ADVISORS SCALE THEIR BUSINESSES BY FINDING, TRAINING, PAYING, MANAGING, AND PROVIDING BENEFITS TO ADMINISTRATIVE TALENT AND ALLOCATING SUPPORT ON A FRACTIONAL OR FULL-TIME BASIS.

AWARD-WINNING

Compliance and Legal

1. Contract Review

THE FIRST STEP IN THE PROCESS IS GETTING TOGETHER A GAMEPLAN TO ENSURE AN ADVISOR IS FOLLOWING THE TERMS OF THEIR CURRENT LEGAL CONTRACT.

2. Termination Guidance

ONCE WE KNOW THE TYPE OF TRANSITION WE BEGIN. EVERYTHING STARTS WITH STRICT ADHERENCE TO COMPLIANCE AND LEGAL GUIDANCE

3. Legal Consult

WE PARTNER WITH BURR FORMAN, HAMBRINGER LAW, AND STARK & STARK TO ENSURE WE ARE BRING TOP LEGAL TALENT TO SUPPORT THE ADVISOR.

RFG ADVISORY

It’s Time to Crush It.

Join the #RIAoftheFuture





All investing involves risk, including loss of principal. There is no guarantee the investment process will lead to profits. Past performance of any security or strategy is no guarantee or indication of future results or performance. Market conditions change continuously.

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