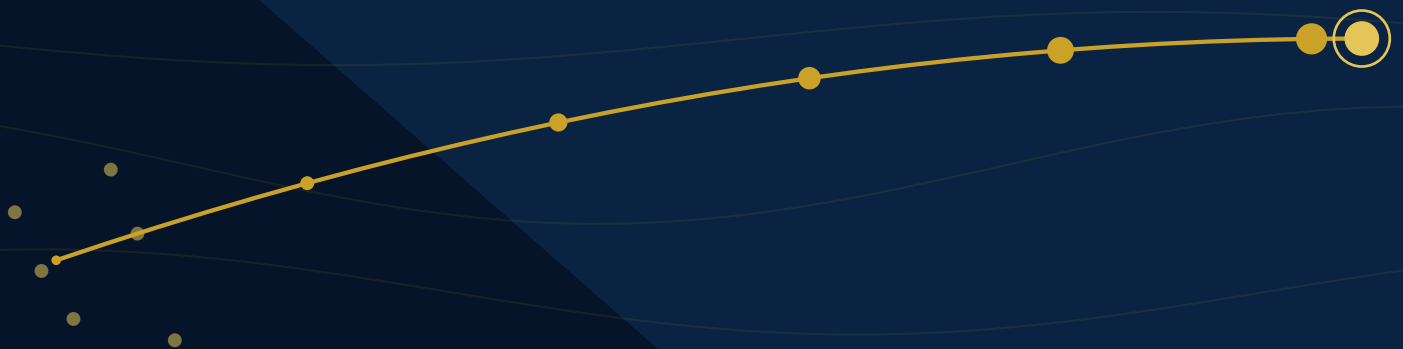


SIGNALS OF CLARITY // ADVISOR TRANSITION FRAMEWORK

The Operational Transition Guide

A signals-based approach to aligning every advisor transition with the data, diagnostics, and operational insight it actually requires.



INTRODUCTION

Deep Partner Insights, Applied

To create a transition guide that leverages deep partner insights, TSG applies the Signals of Clarity framework. This methodology moves beyond traditional recruitment by using data-backed diagnostic tools to tailor the transition experience to the specific needs, aspirations, and operational pain points of the advisor.

“This guide is structured to minimize friction and maximize growth potential by aligning the transition path with the advisor’s specific archetype.”

WHAT'S INSIDE

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| 01 | Pre-Transition Alignment Diagnostic
<i>A Friction & Pain Points Assessment and weighted Identity Scoring to confirm the move solves real operational bottlenecks — not just a change of venue.</i> | PG 03 |
| <hr/> | | |
| 02 | Structured Operational Integration Flow
<i>A sequenced Day 1–90 roadmap across Setup & Launch, Operational Integration, and Platform Maturity Integration.</i> | PG 04 |
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| 03 | Partner Insights & Retention Strategy
<i>Archetype-specific attraction triggers and retention strategies drawn from each advisor's Jobs-To-Be-Done.</i> | PG 06 |
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SECTION 01

Pre-Transition Alignment Diagnostic

Before any movement occurs, leadership must conduct a Friction & Pain Points Assessment to ensure the transition solves specific operational bottlenecks rather than just changing a venue.



Discovery Diagnostic

Have prospective advisors rate their current operational pressure on a scale of 1 (minimal) to 5 (severe) across four dimensions.

Administrative Drag		4/5
Tech Disconnection		3/5
Compliance Constraints		5/5
Human Capital Limitations		3/5



Identity Scoring

Calculate the advisor's weighted archetypal identity to determine the custom support proposal that follows:

Legacy Transactor

Capacity-Bound Integrator

Kinetic Acquirer

Sovereign Breakaway

Boutique Purist

SECTION 02

Structured Operational Integration Flow

To ensure the transition provides deeper partner insight than ever before, the integration is sequenced into three specific phases across the first 90 days.

**PHASE 1 — Day 1-7****Setup and Launch**

Data Migration. Activate custodian data feeds and import client records into Advisor Gateway.

Connectivity. Establish compliant Smarsh call/text recording and launch branded client portals with pre-filled e-signature links.

**PHASE 2 — Day 8-45****Operational Integration**

Capacity Reclaiming. Move client portfolios onto WFAFN's model portfolios and UMAs, which can reclaim up to 7 hours of investment management time each week.

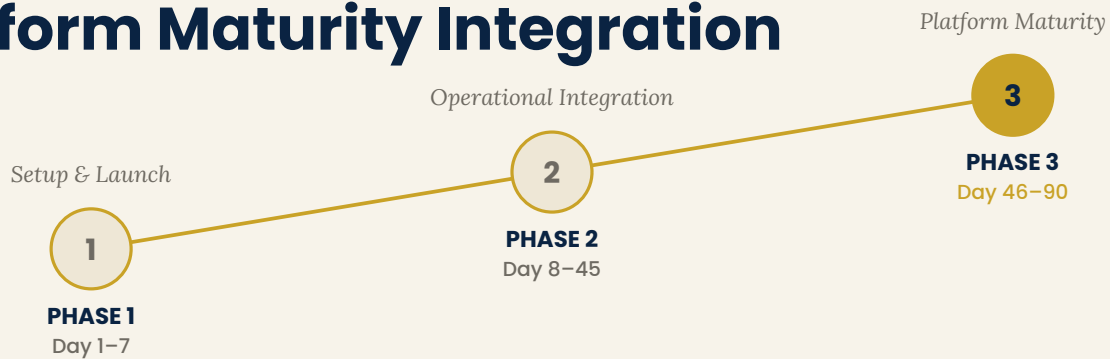
Staffing Support. Assign dedicated TSG Client Associates to handle routine account inquiries, transition paperwork, and eMoney planning model rebuilds.

7 HRS

reclaimed weekly via model
portfolios & UMAs

SECTION 02 (CONTINUED)

Platform Maturity Integration

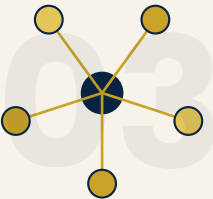
**PHASE 3 — Day 46–90****Platform Maturity Integration**

Growth Acceleration. Implement Salesforce automation for lead-tracking and integrate Aladdin Risk Analytics for institutional-grade portfolio reviews.

Specialized Wealth Solutions. Connect the advisor directly with Wells Fargo Bank, N.A. specialists for residential mortgages, securities-based credit lines, and trust planning services.

BY DAY 90

- Client data, e-signature, and compliant recording fully live
- Portfolios consolidated onto model/UMA infrastructure
- Dedicated Client Associate coverage in place
- Institutional analytics, automation, and specialized wealth access online



SECTION 03

Partner Insights & Retention Strategy by Archetype

Transition success is anchored in the Jobs-To-Be-Done for each specific archetype, allowing for personalized ongoing support.

Archetype	Deep Partner Insight / Attraction Trigger	Retention & Growth Strategy
Legacy Transactor	Structured valuation and succession runway.	Match with next-gen successors from TSG's internship program.
Capacity-Bound Integrator	Consolidation of fragmented tech (Advisor Gateway).	Dedicated Client Associate coverage for billing and operations.
Kinetic Acquirer	Business advisory resources and growth capital.	Compliant marketing systems and M&A; integration tools.
Sovereign Breakaway	Proven growth data — 17% vs. 11% for solo startups.	Turnkey transition team managing compliance and setup from Day 1.
Boutique Purist	Operational sanctuary — offloading billing and HR.	Standardized model portfolios to reduce administrative drag.

CLOSING PERSPECTIVE

From One-Time Move to Long-Term Partnership

By deploying the Signals of Clarity diagnostic, TSG leadership can pre-emptively identify operational pain points using public regulatory data — BrokerCheck and Form ADV — and structure the transition as a long-term strategic partnership rather than a one-time move.

17%

Advisor growth rate
via TSG-supported transition

11%

Growth rate for solo
breakaway startups

TSG — TRANSITION STRATEGY GROUP

Signals of Clarity: an operational transition framework prepared for TSG leadership and advisory partners.