

MANAGEMENT SUPPORT

Before, during, and after your transition, our team is always available.

Dan, Rhonda & Aaron will continue to be actively involved in your firm as we move forward in our partnership.

If you have a difficult situation, or need advice, we are readily available and happy to help.

WHITE GLOVE SERVICE

1. CUSTOMIZED TRANSITION PLAN

Our team will work with you to create a transition plan that you feel will work best for your practice. Flexibility is our strong suit - whether you'd like to mail, DocuSign, or a hybrid of both, we're happy to send your client packets however you'd like. You provide us the data, and we create the forms saving you time to focus on your clients.

2. STAFF IN YOUR OFFICE

Harbour will provide back-office staff in your office after client packets are prepared. Our team helps with client meetings, problem solves any issues that you may have, and helps your staff learn our systems. We also offer staff to assist you with a client signing party if you so choose.

3. ACCOUNT TRACKING

At minimum, Megan will track each and every client account for your transition for 3 months. We send your signed client paperwork to the sponsor companies and follow up with the companies to be sure the funds have successfully transferred. During this process, we provide you a tracking sheet to follow along on our progress.



YOUR TEAM & THE PROCESS...



KYLE KOPITZKE

INTERIM RIA CHIEF COMPLIANCE OFFICER/MARKETING & SPONSOR RELATIONSHIP COORDINATOR

In the beginning stages of your transition, Kyle is the one who takes your data from you, cleans it up and then transfers it to our forms for print. After you transition, he is our approving principal working with Megan as your approving principal/admin team. Together, Megan & Kyle work to help keep transition issues at bay for you so you can focus on retrieving client signatures & focus on your business.



ANGIE HELLENBRAND

TRANSITION & ADVISORY SPECIALIST

After Kyle has your data cleaned up, he sends it to Angie to merge into our forms for print. Angie then works with Megan to generate all the paperwork and prepare your client folders whether they're being mailed out or sent via DocuSign. Her specialty is Schwab so if you have any complex issues, she along with Dan are here to help.



MEGAN SMITH

RECRUITING & TRANSITION ASSISTANT / OFFICE MANAGER

Prior to your transition, Megan works with you on all your licensing needs. On transition day, she brings you and your staff aboard with Harbour, entering your team into our systems, providing you logins and alerting FINRA of your move. She reviews all the paperwork that Angie merges before print & is part of the team to prepare your client folders. After your transition, she creates a customized tracking sheet which includes each of your accounts and follows up on each account, so your business isn't interrupted. She works hand in hand with Kyle as your primary team of admin/principal providing our signature "white glove service".

BENEFITS OF HARBOUR

- **NO PLATFORM FEES**

Harbour is one of the only firms that does not have a platform fee.

- **FLEXIBILITY**

Use the products you want to use, not what we require you to use. We're happy to assist you with choosing the best products for your clients, but we don't require you to sell specific products.

- **STAFF LONGEVITY & KNOWLEDGE**

Much of our staff has been with Harbour over 10 years. We cross train our staff so they're able to assist our advisors better without having to transfer you to multiple people.

- **ADVISOR SUPPORT**

Harbour hosts weekly virtual meetings, Thursday email communications, regionals and our annual conference to provide product knowledge, practice management and networking opportunities.

- **ONGOING TRAINING**

During your transition we offer weekly check-ins as well as training sessions to ensure things are going smoothly. These includes 6-8 training sessions based upon what software your office will use.

- **PEER MENTORING GROUPS**

Harbour fosters a peer mentoring group for our advisors. This group connects a variety of our advisors together virtually allowing you to expand on industry knowledge and share tips and tricks to benefit your practice.

FIRST TRANSITION MEETING

- ✓ **DATA SPREADSHEET**
Harbour has a master data spreadsheet we use to populate our forms with your client data. We will review what is required information and what is optional.
- ✓ **LEARNING ABOUT YOUR BUSINESS**
Advisory, Mutual Funds, Variable Annuities, Fixed Insurance, or Brokerage? To help us prepare for your data, we want to dive into the different types of accounts you have as well as what sponsor companies you use.
- ✓ **DOCUSIGN, MAIL OR SIGNING PARTY**
How would you like us to send your client packets? We tailor our plan to whatever you feel is best for both you and your clients.
- ✓ **STAFF EMAILS & WEBSITE**
Together we'll review your staff's branding including e-mails and website information. Our goal is to ensure you don't go a day without having access as well as stay compliant in the eyes of the regulators.
- ✓ **BUSINESS CARDS & STATIONARY**
We take your existing marketing material and replicate them with the proper disclosures. They will be printed and ready for use by your transition date.
- ✓ **TRANSITION GAME PLAN**
Let's brainstorm! Although there are a few items we must stick to for a timeline, we are flexible on most items and want to be sure your team is included on the decision making and comfortable with the plans.

SECOND TRANSITION MEETING



DATA COLLECTION PROCESS

Let's review your progress on adding data to the spreadsheet thus far. We'll discuss estimates of your total number of households as well as how many of those will be sent via mail vs. DocuSign.



TYPES OF ACCOUNTS

We want to dig deeper into every type of account your clients have focusing on any account types that are not the norm. We will also discuss if client statements are needed and help you determine the best way to obtain them.

THIRD TRANSITION MEETING



ADVISOR FEES

Choose how you would like advisory clients billed – Monthly or Quarterly? In Advance or Arrears? Breakpoints of a flat fee? We will also discuss how any chargebacks or initial fees should be paid.



TECHNOLOGY

Review our progress on preparing to update your emails, website, social media and account accesses for transition day. If we're using DocuSign, we'll make sure you have an account, and we have access to it to send client envelopes.



STATIONARY APPROVALS

At this point, stationary should be approved by Harbour and the advisor. We will determine how you would like your move to Harbour announced to clients (via e-mail or included in the client letter within their packets).



TIMELINE REVIEW

We'll make sure we're still on track for transition day and review how our actual transition day and the next days after will be.

FOURTH TRANSITION MEETING



Q&A

We're quickly approaching transition day, and we're all ears. Let us know any questions or items of concern so we can put your mind at ease.



ALERTING CLIENTS

Will we be doing an e-mail blast on transition day or stick to the client letters in packets?

- If we're sending an e-mail, would you like Harbour to send it on your behalf?
- Any additional information you'd like added to client packets?
- Will you be emailing client disclosures for DocuSign clients or would you like us to?



FINAL TIMELINE REVIEW

A final team discussion on how we expect transition day and the following week to progress. If we're doing a signing party, final plans will be discussed at this time too.

FINAL TRANSITION MEETING

Typically, this occurs the day before transition day. This will be a final check in via email, a phone call or video call to make sure we're ready for the big day and answer any questions you may have so we can put your mind at ease.