Schwab can help make your move successful

Take charge of your future

Whether you are starting your own firm or joining an existing one, Schwab Advisor Transition Services™ simplifies the process of moving your business to the RIA model.
Your Schwab business development officer (BDO) will be your main point of contact throughout the move, consulting with you to develop a plan and connect you to the resources you need. Here's an overview of how Schwab helps throughout the process:

Making a move? Capitalize on Schwab's proven knowledge and resources.

- Transitioned more than 1,781 advisors to the RIA model in the past nine years*
- Moved more than 338,346 client accounts*
- Transferred $145 billion in AUM*

Planning your move

A smooth transition starts with a good transition team. Work with your Schwab BDO to help define your goals and create a customized plan.

- Determine whether the best path is to start your own firm or join an existing one
- Decide which products and services to offer
- Assess start-up costs, forecast expenses and revenues using cost calculators and modeling tools
- Identify technology and back-office needs
- Develop a personalized transition blueprint with key milestones and timeline
- Provide introductions to third-party legal and compliance experts
- Connect with existing RIAs who've made the move

Launching your own firm

If you are starting your own firm, Schwab Business Start-Up Solutions can provide support in four core areas backed by Schwab services and introductions to third-party resources.

Strategic planning

- Business plan and roadmap, including timeline, task list and financial forecasts
- Information on start-up financing
- Introductions to regional and national firms specializing in RIA transition services for advisors, including legal and compliance professionals

Technology and reporting

- Outsourced portfolio management, reconciliation and performance reporting platform from PortfolioServices™ (a Schwab Performance Technologies offering)—a turnkey solution includes support to integrate the system into your practice

*AST&O ACS Dashboard Metrics: January 2005 -June 2014

Business setup

- Office setup—lease-finding guidance, fully furnished office space, furniture rental and space planning, and discounts on computers, copiers and office supplies
- Errors & omissions insurance
- Healthcare and benefits via comprehensive HR outsourcing platform or à la carte insurance choices
- Retirement plan options from Schwab

Marketing

- Customized marketing packages - logo, business cards, letters, brochure and online presence offered by marketing firms.

Extra help with your move

If you have a large practice, you may want to outsource the planning and implementation of your move. Schwab can introduce you to third-party consultants specializing in helping advisors switch to the RIA model to handle essential details, including:

- Strategic business plan development
- P&L models
- Due diligence in locating real estate, employee benefit programs, and more
- IT/technology vendor resources

Joining an existing RIA firm

If you want more control over important aspects of your business—but not sole responsibility—you might consider joining an existing RIA firm. Schwab can introduce you to RIAs looking to grow their firms, as well as third-party experts to serve as legal counsel or assist with analyzing the economics of joining a firm.

Transferring client assets

A pivotal step, client assets/account transfer must be orchestrated with exacting precision. We know that downtime directly impacts your ability to serve clients—and that accurate and timely account conversion is one of the first, key steps for building client trust. The sole focus of our Advisor Conversion Team is to ensure your assets transfer quickly and seamlessly to Schwab. With an average tenure of 12 years at Schwab, our expert team members have helped hundreds of advisors transfer their client accounts. Our team has developed a highly efficient and personalized process, including oversight of completing time-consuming new account paperwork and training your staff on the Schwab platform.

Build your practice

Schwab continues to work with you and your team post-launch, supporting your operations and growth. You'll benefit from access to Schwab's industry-leading platform, the know-how of our dedicated service team, tips on efficient workflow and processes, networking and practice management events, as well as a wealth of Schwab and third-party resources. All accessible to you, day one of your new operation.

For more information...

Contact your Schwab representative or call 1-877-314-7821.

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