

The Ultimate Advisor Pre-Transition Checklist



**"Preparation
is not about
leaving.

It is about
gaining
clarity for
what comes
next."**

*The calm-before-the-move
roadmap every advisor
wishes they'd had..*

The Moment Before the Moment

Every advisor who has ever transitioned can recall the strange phase before the paperwork starts. The limbo between knowing something needs to change and actually making the change.

It's quiet. It's internal.

And it's filled with the kind of questions you don't ask out loud: *What can I do now? What shouldn't I do yet? Am I even allowed to prepare? Where do I start?*

This checklist isn't about hinting, signaling, or breaking compliance.

It's about getting your world organized so when the transition begins, you feel prepared, steady, and confident. Not scrambled.

Let's walk through it, step by step.

1. Get Clear on Your Why

Before you think about logistics, get brutally clear on your motivations.

Ask yourself:

- What do I want more of?
- What do I want less of?
- What would my ideal practice look like?
- Am I growing... or just producing?
- What kind of advisor, and person, do I want to be five years from now?

Clarity is the fuel that makes everything else smoother.

2. Clean Up Your Client Data

This is 100% compliant and unbelievably helpful.

Update:

- client emails
- phone numbers
- mailing addresses
- preferred contact methods

Review:

- household structures
- recurring tasks
- upcoming life events
- segmentation categories

This isn't moving client info. It's simply improving accuracy.

Later, you'll be very glad you did.

3. Know the Shape of Your Business

This is purely internal. You're not taking anything.

Understand your:

- AUM breakdown
- advisory vs. commission mix
- planning revenue
- product/platform usage
- upcoming renewals
- high-complexity client cases

This helps your transition team build a clean, precise plan when the time comes.

4. Refresh Relationships (Without Saying Why)

Client loyalty comes from connection, not from announcements.

Increase:

- review frequency
- proactive calls
- personal check-ins
- financial plan updates

You're not preparing clients for anything.

You're simply serving them better.

And that's always compliant.



Top 5 Things Advisors Forget Before a Transition

- **Clean up their CRM fields**
- **Update household contact info**
- **Note recurring client tasks (RMDs, payouts, reviews)**
- **Organize desktop folders and bookmarks**
- **Review specialty cases or vulnerable households**

5. Organize Your Tech Life

No downloads. No exports.

Just structure.

Clean up:

- your desktop
- your folder systems
- browser bookmarks
- passwords (for your own access only)
- local documents

You'll thank yourself later when it's time to move platforms.

6. Make "Business as Usual" Look Better Than Usual

- Meet.
- Serve.
- Review.
- Plan.
- Recommend.

Operate normally.

This keeps everything feeling stable for you and your clients.

7. Stay 100% Compliant

No hints.

No winks.

No breadcrumb language like "changes are coming."

Stay clean.

Stay calm.

Stay focused.

8. Prepare Emotionally for Growth

Every advisor hits a point where their environment no longer matches their potential.

This checklist helps you prepare practically.

But don't forget the mindset piece:

- You don't need to be 100% ready
- You just need to be aligned
- You don't need certainty
- You just need clarity

The rest comes with support.

The Bottom Line

Pre-transition readiness isn't about breaking rules or tipping off clients. It's about staying organized, grounded, and professionally prepared.

When the moment comes to make the leap, the advisors who feel calm and confident are the ones who laid the groundwork quietly.

Your future practice starts long before your transition does. It starts with how you prepare today.

The Invitation

If you're in this quiet in-between stage, you don't have to navigate it alone.

A simple, confidential conversation can help you understand what your transition would look like, clean, compliant, and completely supported.

Let's talk about your timing, your concerns, and your goals at your pace.

**Start Your Path to
Supported
Independence!**



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