

The 90-Day Playbook for Financial Independence

This tactical guide provides advisors with a week-by-week blueprint for executing a smooth, successful transition to independence. Unlike theoretical advice, this field-tested action plan covers every phase of breaking free—from confidential preparation to final celebration—with specific tasks, templates, and timelines for each step of the journey.

The guide includes critical resources like the Freedom Readiness Checklist, Client Segmentation Matrix, Professional Departure Scripts, and Technology Transfer Plan. Advisors receive practical tools for managing the entire process, including handling broker-dealer resistance and maintaining client confidence throughout the transition. The 90-day framework transforms what many advisors fear as an overwhelming process into a manageable, sequential plan with Good Life's expert guidance at every step. This resource doesn't just explain how to leave your broker-dealer – **it gives you everything needed to ensure you never look back with regret.**

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Good Life Companies is a stand-alone entity providing real estate, infrastructure, technology, training, marketing, and support to independent professionals throughout the United States. Securities offered through LPL Financial Member FINRA/SIPC. Investment advice offered through Good Life Advisors, LLC, a registered investment advisor. Good Life Companies and Good Life Advisors, LLC, are separate entities from LPL Financial.

PHASE 1: CONFIDENTIAL PREPARATION (DAYS 1-30)

Week 1-2: Assessment & Planning

- ☐ Complete Freedom Readiness Assessment with your dedicated Good Life transition specialist
- ☐ Review and sign confidentiality agreements before detailed discussions begin
- ☐ Analyze current broker-dealer contract for restrictive covenants, non-solicitation clauses, and notice requirements
- ☐ Begin documenting client relationships (AUM, revenue, service level, contact frequency)
- ☐ Secure personal records of your client relationships that you've developed
- ☐ Identify key COIs and strategic partners to notify at appropriate time

Week 3-4: Strategic Foundation

- ☐ Create detailed Client Segmentation Matrix (A/B/C clients by loyalty, complexity, and revenue)
- ☐ Draft tailored communication plans for each client segment with talking points
- ☐ Prepare Form U4, investment advisor registrations, and insurance appointments
- ☐ Develop protocol for securely gathering essential client information before departure
- ☐ Begin drafting your professional narrative explaining the transition benefits
- ☐ Catalog all critical systems and client data you currently rely on daily

PHASE 2: PRE-LAUNCH EXECUTION (DAYS 31-60)

Week 5-6: Infrastructure Building

- ☐ Select and configure CRM, financial planning, and portfolio management systems
- ☐ Complete ADV filings and registration paperwork with Good Life compliance team
- ☐ Develop detailed transition calendar with daily milestones for the critical period
- ☐ Create client-facing materials (letters, emails, FAQs, transfer paperwork)
- ☐ Begin preparation of your new office location and business entity if applicable
- ☐ Identify priority accounts requiring special handling (trustee accounts, complex holdings)

Week 7-8: Final Preparations

- ☐ Practice Professional Departure Scripts for clients, staff, and broker-dealer management
- ☐ Finalize all client communication materials with compliance review and approval
- ☐ Complete comprehensive Technology Transfer Plan for client data, documents, and systems
- ☐ Prepare "Day One" kit (new business cards, letterhead, account transfer forms, welcome packets)
- ☐ Arrange secure communications channels for transition period (private email, phone)
- ☐ Conduct final strategy session with Good Life transition team for any adjustments

PHASE 3: TRANSITION & STABILIZATION (DAYS 61-90)

Week 9-10: The Transition

- ☐ Execute formal departure following Good Life's legal guidance to minimize risk
- ☐ Implement phased client outreach starting with A-tier clients within hours of departure
- ☐ Begin systematic account transfer process with ACAT-eligible accounts first
- ☐ Conduct initial client meetings focusing on enhanced service and capabilities
- ☐ Set up daily debriefs with Good Life transition team to address emerging issues
- ☐ Document any broker-dealer responses or challenges for appropriate handling

Week 11-12: Consolidation & Growth

- ☐ Address complex account transfers requiring special handling (direct business, alternatives)
- ☐ Implement enhanced service model with initial review meetings and technology introductions
- ☐ Fully deploy new technology platform for CRM, planning, portfolio management
- ☐ Conduct team training on new systems and processes to ensure consistency
- ☐ Track client transfer completion rates and address any stragglers
- ☐ Host client appreciation event celebrating your new independence

Good Life Support Resources: Transition Command Center activated during critical week with extended hours. Dedicated teams for account transfers, technology migration, compliance guidance, and client communication support. Your team includes a Senior Transition Director (assigned at kickoff), Account Transfer Team (available 8am-8pm), Technology Team (24/7 during transition week), and Compliance Guidance specialists.