

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.

Comprehensive 90-Day Framework

The 90-day framework transforms what many advisors perceive as an overwhelming process into a manageable, step-by-step plan, supported by Good Life's expert guidance throughout. This resource not only details how to leave your broker-dealer but also provides everything necessary to ensure that you move forward without any regrets.

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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.