



Transition Timeline to KSI

Our Branch Development & Transition teams has prepared a general timeline for you to refer to during your transition. Because your transfer time will vary depending on your circumstances, please read through this timeline carefully so you can appropriately allocate more or less time to each particular item. Note that we did not include information starting up an office from scratch (i.e., getting office equipment, leasing office space, supplies, etc.). If you need assistance with this information, please contact your Branch Development or Transition consultant. Remember, we are here for you **every step** of the way, so call on your Branch Development Consultant to help at any time during this process.

THREE WEEKS OR MORE BEFORE TRANSFER

- Submit your licensing documents to KSI/KAI at least three weeks prior to joining us, so we can make sure everything is in good order. Please refer to the KSI/KAI Licensing Worksheet for the items to include in the licensing file.
- Let our Branch Development/Transition team know which insurance and variable annuity companies you wish to do business with, so they can properly license you with these companies.
- Call your transition coordinator and let us know what type of business you do primarily so we can start preparing you for your transition. At this time, we will also supply you with the appropriate KSI forms and Operations Manual and answer any questions you may have regarding the forms you need to submit (KSI account forms, transfer forms, change of broker/dealer forms, block transfer form, etc.). We can walk you through how to complete each form.
- Compose your client notification letter and fax it to our Compliance department for approval. We have sample client notification letters that you might want to use or utilize for this step of your transition.
- If you are deciding on new stationary, please see our stationary approval program on our website.
- If your stationary and business cards are being designed by anyone other than KSI, please fax them to our Compliance department for approval before printing.
- If you would like us to help you create your own Web site, please let your Branch Development consultant or transition coordinator know.



TWO WEEKS BEFORE TRANSFER

- Have your approved stationary, business cards, and envelopes printed locally.
- Call your transition coordinator to discuss your options for getting online with KSI and our Clearing firms to obtain account and market information.
- Put together a “Transition client log” for your client accounts to monitor who has mailed their transfer forms back to you.
- Familiarize yourself with our KSI Procedures Manual. Once you have completely read the Operations Manual, please sign the Acknowledgement Form and return it to the Compliance department via fax at (954) 943-7331.
- Start to organize your new client files as indicated in the KSI Procedures Manual.
- Start to prepare your initial client mailing. This should include:
 - Compliance Approved Business Card
 - Client notification letter
 - KSI/KAI account forms and any additional required forms
 - Return envelope
- Other forms to include will vary depending on where your client accounts are currently held.

Please note that all of these documents require your KSI representative number on them, so do not seal the envelope until it is included on the appropriate forms (after clearance).

ONE WEEK BEFORE TRANSFER

- Compose your letter of resignation. We have a sample resignation letter that can be very helpful at this time. Please ask our Branch Development consultant or transition coordinator to assist you with that particular item.
- Continue to organize client mailing.

DAY OF RESIGNATION

- Contact your Branch Development consultant and inform them of your actual resignation from your current Broker Dealer.
- A copy of your formal resignation letter should also be sent via fax or Email to our Transition or licensing department for your formal representative file. The fax numbers are (954) 400-7402 (954) 943-7331.
- Our Branch Development Consultant will contact you to ensure your licensing goes smoothly and without delay.



ONCE YOU ARE LICENSED

- Once you are cleared by the NASD & each state in which you requested to become securities registered, you will receive a call from our Licensing department letting you know that you are officially on board with KSI! At this time, Licensing will issue your KSI Representative number and other important information clearing firm ID (if necessary).
- Start putting your representative number on KSI Account forms, Individual Change of Broker/Dealer Forms, Block Transfer Forms and clearing firm ACAT forms that you will be sending off to clients in your mailings.
- Start calling clients to let them know about your new broker/dealer affiliation.
- Instruct your clients to mail all forms back to you. Log the received forms on your client log. This way you can monitor which clients have responded.
- As clients start to receive your mailing, they will be calling your office. Prepare your staff to be able to handle their immediate questions and concerns.
- Send thank-you letters and notes to clients who have returned their transfer forms and other appropriate forms. We have a pre-approved thank-you letter you can access in your Transition documents.
- Prepare a friendly follow-up note to clients who are slow in mailing back transfer forms and other important forms.
- Make a note to call those clients who have not returned their forms and attempt to schedule a meet with them in person to expedite this process.