

# THE WILLIAMS CONSULTING GROUP

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The Williams Consulting Group specializes in the successful management of transitioning financial advisors. We are dedicated to providing the support, guidance, and service that is required when moving your book of business, while minimizing any business disruptions. We have identified that advanced planning can create a seamless transition process. We have what it takes to direct the process and produce expected results.

## OUR SERVICES

- **Client Data Collection, Manipulation & Preparation**
- **Customize a Transition Game Plan**
- **Client Profile and New Account Document Generation for Advisory and Broker Dealer**
- **Provide on-site/off-site(virtual) transition support throughout the re-papering process**

**EMAIL TO SCHEDULE A FREE  
CONSULTATION**



713-398-2003

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[www.thewilliamsconsultinggroup.com](http://www.thewilliamsconsultinggroup.com)

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The Williams Consulting Group's pricing is based on how many accounts are estimated to move over from the current custodian. We do account for any breakage in movement by 20%. We will develop a customized a transition re-papering plan that caters to an advisor's unique book of business while minimizing business disruptions. We are compensated through the transition package offered, so an advisor's payouts are not negatively affected by our involvement.

## PRICING DETAILS

- **\$35.00 per Account to be included in the transition. This includes Advisory, Brokerage, and Directly Held Accounts (Annuities, TPMM, etc.).**
- **50% of the total contract amount is due prior to the beginning of Services. The remaining balance is due 7 days after the advisor affiliates with their new firm**
- **For on-site assistance, travel expenses are included in consulting costs. No on-site assistance provided for an Advisor's book of business totaling 250 accounts or less (unless local or determined by consultant)**
- **Services are customizable based on Advisor's needs.**



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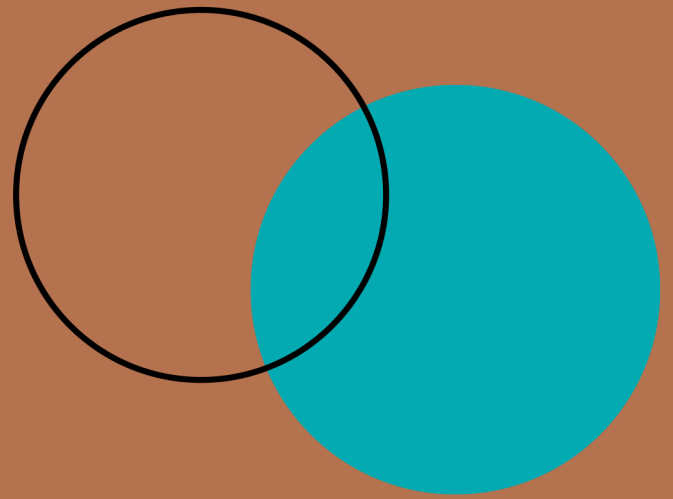
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# TRANSITIONING WITH THE WILLIAMS CONSULTING GROUP

The following outlines what to expect during transition as you work with us on your move to your new firm. We will customize and tailor a transition plan around your specific needs, ensuring minimal disruption to your day-to-day operations.



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# ABOUT COMPANY

The Williams Consulting Group was developed as a go to resource for transitioning advisors. We are dedicated to providing the support, guidance, and service that is required when moving your book of business, while minimizing any business disruptions.

While we understand the challenges that come along with transitions, The Williams Consulting Group has identified that advanced planning can create a seamless transition process. We have what it takes to direct the process and produce expected results. The Williams Consulting Group is that much needed liason between the advisor, the recruiting broker dealer, and their teams.



Transitions are complex and unique to each advisor. With almost 20 years of experience in the Financial Industry, I have learned the right questions to ask, things to consider, and best practices to help you execute a seamless transition. Transitions can be a scary and unsettling time for an advisor. Let us help you get on the right path to success!

# MEET YOUR TRANSITION CONSULTANT

My name is Tamara Williams, your Principal Transition Consultant. I assist advisors by managing the process of transitioning their current business to another broker dealer. With almost 20 years in the Financial Industry, I have gained an extensive knowledge of the ins and outs of this complex and multifaceted processes in this business. One mainly being the mammoth task of an advisor transferring his book of business to another broker dealer.

I received my formal education from Oakwood University in Huntsville, AL, graduating in 2003 with a Bachelor's in Finance with a minor in Accounting. After a couple of years of searching for that perfect job, I finally landed a job with Merrill Lynch as a Cashier. That launched my career in Finance.

After multiple horizontal moves within the wirehouse space, I started my next career move with an independent RIA. I was unfamiliar with this territory, but I quickly adjusted and learned the dynamics of this area of the industry.

After becoming the Director of Transitions for an independent broker dealer, I learned the process of transitioning a book of business, but also the emotional process of an advisor deciding to move their business. Transitions can be a scary and unsettling time for an advisor. This is their livelihood

The last 7 years of my career has been dedicated to learning the transition process, streamlining procedures, identifying challenges, and improving advisor pain points. Transitions are complex and unique to each advisor. I have learned the right questions to ask, things to consider, and best practices to help you execute a seamless transition.



# TRANSITION PLAN & TIMELINE

## PRE-PLANNING

(30 - 45 DAYS PRIOR TO AFFILIATION DAY)

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- Initial Discovery Call to gather details for the transition game plan
- Defining your target transition dates and the ideal number of accounts you wish to move
- Client Data Gathering and Review/Account Mapping
- Organize the necessary client information and determine the timing, priority, and method of repapering your accounts.
- Create a custom workflow for gathering client signatures and submitting client-signed paperwork
- Review New Firm's Advisory Agreements and Custodian paperwork requirements
- Review supplemental document requirements such as, statements, trust documents, death certificates, POAs, voided checks for systematic instructions, and corporate documents.
- Determine which accounts will use discretion and finalize advisory fee schedule
- Create your client announcement letter or email and submit content to your new firm's Advertising Review team

## AFFILIATION

(DAY 1 OF AFFILIATION)

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- Set-up email(s) and technology access with new firm
- Execute Transition Plan
- Review NIGOs and systematic instructions

# KEYS TO A SUCCESSFUL TRANSITION

- Make sure all current client information is as organized as possible before starting the transition. Garbage in, garbage out.
- Evaluate and segment current client relationships. Transition is always a great time to discontinue client relationships that no longer align with your vision.
- Review all new and existing contracts and agreements. Engage legal counsel to ensure you are compliant as you make this move.
- Familiarize yourself with the new firm's new account paperwork requirements.
- Develop a gameplan for the repapering of your accounts.
- Request demonstrations for any new technology, tools, and systems.
- Hire additional transition support, such as a consultant who is specialized in ensuring your transition is planned out efficiently and executed seamlessly.



# LET'S GET STARTED!

**Contact us:**

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