



FOR ADVISORS PLANNING A MOVE

Transition Planning Guide

How to think through the move before you make it.

Move with clarity	Keep your brand and identity	Understand what changes	Choose deliberately
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USE THIS GUIDE TO CLARIFY

- What you'll want to carry with you.
- What support makes the move easier.
- What to have in place before you choose a structure.

DESIGNED FOR

Advisors considering independence, transition, partnership, or a different structure for the firm they're building.

Roughly 15 minutes to read. The worksheet is meant to be written on.

Questions before you move? Start the conversation.

Confidential, with no transition timeline attached.

Ray Gettins, Director, United Advisor Group

rgettins@uagria.com | [513.702.7211](tel:513.702.7211) | [Scheduling Link](#)

The Underlying Transition Question

Advisors rarely hesitate for lack of ambition. If they hesitate, it's most likely because a transition touches clients who trust them, staff who depend on them, and a firm built over years.

A move to independence changes how clients hear from you, where their assets sit, how you stay compliant, how you get paid, and what your team does on Monday morning. It can also change how much of the firm still feels like yours.

THE TRANSITION QUESTION

What am I ultimately looking to build while protecting what I've built?

That question changes the conversation. It moves the focus from how fast you can go to what you're both protecting and building with the move.

WHAT YOU ASK FIRST	WHAT DECIDES THE ANSWER
How hard will the move be?	What do I want to retain and carry with me?
How fast can this happen?	What needs to be in place before I move?
What technology will I use?	Will the systems support the firm I want to build?
What support is included?	Who owns each part of the work?
What will clients experience?	How do I keep trust and continuity intact?

The first question tells you what the move involves. The second tells you what it's worth.

How to Use This Guide

This is a planning framework rather than a timeline or a checklist. Use it to think clearly before you make a decision.

What a Transition Touches

A transition reaches further than most advisors expect. Some pieces show up right away. Others surface later, which is why it helps to see the whole picture early.

Depending on your model, your client base, your custodian, your technology, and your team, planning may involve:

Registration and compliance preparation	Custodial relationships
Client communication	Account opening or transfer processes
Technology and reporting setup	Revenue flow and billing
Firm branding and identity	Team roles and responsibilities
Data, documents, and records	Operating procedures
Timing and client-service continuity	Ongoing supervision and support

PLANNING PRINCIPLE

The planning stage matters because it drives the ease and speed of everything that follows.

None of this is meant to make the move sound daunting. Seeing the pieces early is what lets you plan around them with the right help.

Speed Follows Readiness

It’s natural to ask how fast a transition can happen. A long, uncertain process wears on you, your team, and your clients, and no one wants a move to drag on longer than it should.

Speed is in large part a function of readiness. With enough preparation you can move quickly and still understand the work ahead, communicate clearly, and avoid unnecessary surprises. The firms that move fastest are the ones that planned thoroughly.

WHAT YOU WANT TO KNOW	WHAT MAKES IT POSSIBLE
How quickly should I move?	What needs to be in place before I move?
How much work is involved?	Who will own each part of the work?
When should clients be notified?	What do clients need to know, and at what stage?
When will systems be live?	Will the systems support the way I serve clients?

The right timeline depends on your firm, your clients, your platform, and how much complexity is built in.

A BETTER QUESTION

What needs to be in place before I move?

What You'll Want to Retain and Carry With You

For many advisors, the question isn't whether to move. It's what comes with them when they do.

A good transition plan respects what you've already built. If you've spent years earning trust, building a reputation, and shaping how clients experience your firm, these aren't side issues.

Client trust

Clients will want to know what's changing, what isn't, and why you're making the move.

Client relationships

The relationships you've built are among the most valuable assets the firm has.

Brand identity

Your name, voice, and reputation are often central to how clients experience the business.

Service continuity

Service, communication, and access carry straight through, so clients feel the steadiness rather than the move.

Business economics

Know how revenue, payout, fees, and expenses change, so the economics work in your favor rather than surprising you.

Long-term firm direction

The move should support the firm you want to build next, not just the transition itself.

WHAT CARRIES FORWARD

A good transition carries the trust, the identity, the direction, and everything else that made the firm worth building.

Support Beyond the Move

Transition support is more than forms and a launch checklist. Help is useful across several areas before, during, and after the move.

Short-term transition support

Help thinking through the steps, timing, preparation, and practical work of the move.

Foundational support

Help establishing the structure, operating model, and basic requirements needed to function independently.

Technology and reporting

Help understanding the systems, data, reporting, and tools needed to serve clients well.

Compliance support

Help navigating regulatory requirements, documentation, supervision, and ongoing obligations.

Training

Support for you, your staff, and anyone who needs to learn new systems and processes.

Firm-focused support

Help thinking beyond the move itself, including firm growth, continuity, succession, and long-term business value.

The move is only the beginning.

How UAG Thinks About Transition

United Advisor Group is built for advisors who want independence with structure, support, and partnership around them.

UAG treats transition as a beginning rather than an event. The move is important, and so is the business you're building once it's done.

So the conversation reaches past logistics, into ownership, control, client relationships, economics, succession, and where the firm is headed.

Owned by advisors	No private equity	No broker-dealer ownership	No debt
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The organization is not owned or controlled by a broker-dealer, though advisors may still choose to affiliate with one. Structural facts stated above are defined in United Advisor Group's Operating Agreement.

If you're weighing a transition, that structure is important because of who it puts in charge. The people serving clients are the same people setting the direction.

PLAN FORWARD

It's easy to choose a new structure around the problems you're leaving. The better way is to choose around the firm you're building.

Questions to Consider Before You Move

Work through these honestly. Check the ones you can answer today. Mark the ones you can't. The unanswered ones are often the most useful agenda for the next conversation.

- ☐ What do I want to carry with me through the move?
- ☐ What will help clients feel steady during the change?
- ☐ What will my team need to understand before, during, and after?
- ☐ What technology, reporting, custody, and compliance support will I want?
- ☐ Who owns each part of the work?
- ☐ How will revenue, billing, and client service run during the transition?
- ☐ What parts of my current structure do I want to keep?
- ☐ What support would I rather not build alone?
- ☐ Does this move support the firm I want to build next?
- ☐ Am I choosing a structure for the transition, or for the long-term business?

THE QUESTION I MOST NEED ANSWERED

Where to Go Next

Bring your questions. A private conversation can help you talk through your current structure, your timing, and whether UAG's advisor-owned model is worth exploring for your firm.

SUGGESTED NEXT STEP

Begin a confidential conversation.

Confidential, with no transition timeline and no obligation attached.

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Important Disclosures

This guide is for educational and planning discussion only. It is not a prediction, guarantee, transition plan, legal opinion, compliance advice, valuation, appraisal, transition recommendation, suitability determination, or confirmation that any specific structure is appropriate for any particular advisor or firm. Actual transition steps, timelines, economics, costs, regulatory requirements, client communication obligations, custodial requirements, technology needs, and business results vary by advisor, firm, platform, custodian, client base, regulatory requirements, market conditions, and other factors. Statements regarding United Advisor Group's ownership and capital structure are current as of September 2026 and are subject to change. Advisors should review their own situation with appropriate legal, compliance, tax, valuation, and professional advisors before acting on any information in this guide.

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