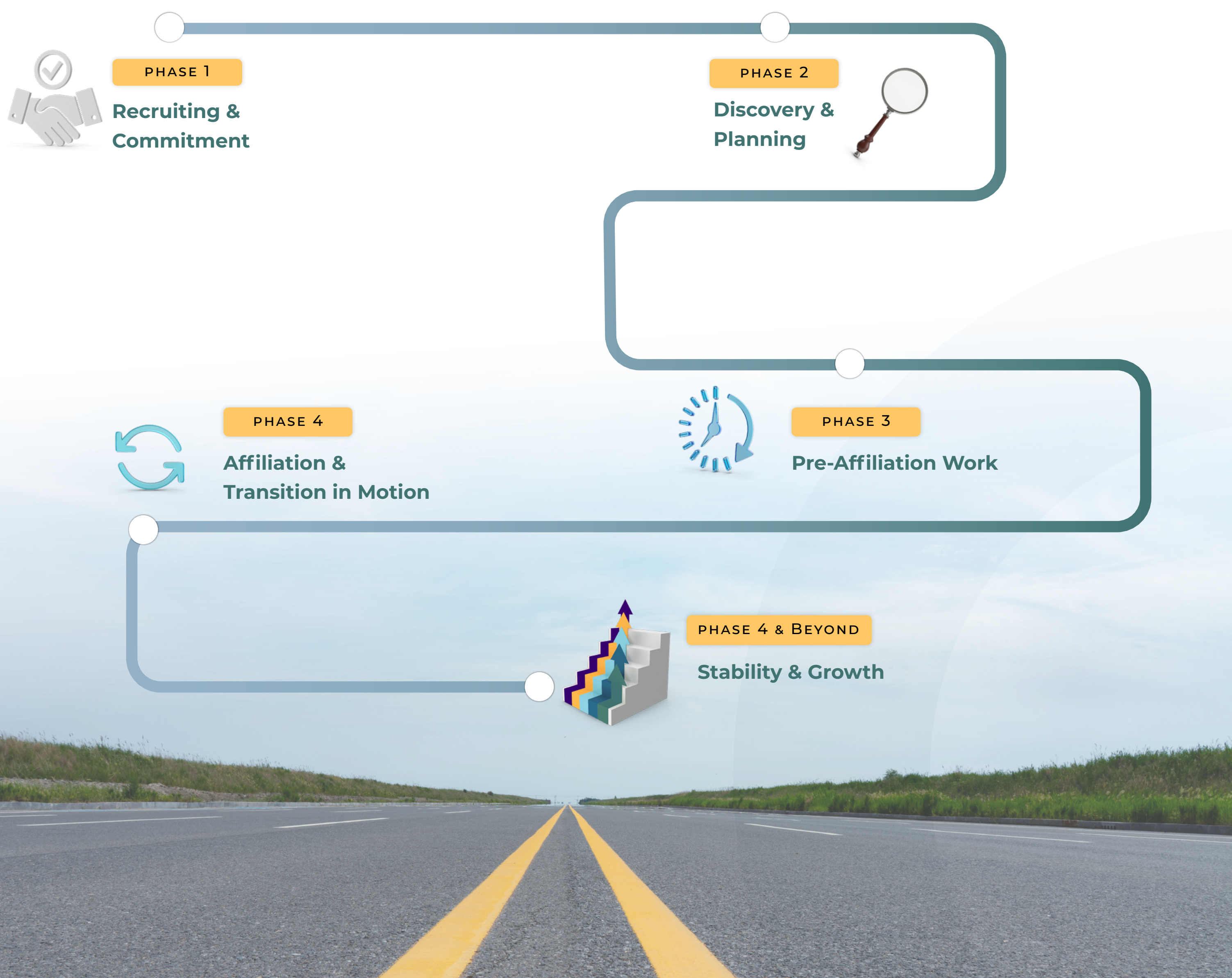
Our Affiliation Journey

Switching broker-dealers is one of the biggest decisions you'll make in your career. At Cetera, we've built a proven process to make your transition as smooth as possible, and a lot of that work happens before your affiliation date. The more prepared you come in, the faster your practice gets back to full speed.

Phase 1: Recruiting & Commitment

This is where it begins. You'll have a series of conversations with your Senior Recruiter to review your business and your goals, walk through what Cetera offers, and discuss the right solutions for you.

Once you're ready to move forward, you'll sign your offer letter and provide basic registration information for everyone on your team who are affiliating. Then, your Onboarding Partner and Transition Partner will reach out to get things rolling.



Phase 2: Discovery & Planning

With your Onboarding and Transition Partners now in your corner, this phase is about laying the groundwork. You'll have a formal kickoff call to align on your office setup, staffing, and transition timeline.

From there, you'll work through licensing and registration requirements, start gathering and prepping your client data, and identify any marketing materials that need compliance review. Cetera handles the coordination across teams: Compliance, Licensing, and Operations, so you're not chasing anyone down.

Pro Tip: Do one thing to set yourself up for success before you arrive: make sure your client data is accurate and complete. That single investment will pay off faster than anything else you do.

Phase 3: Pre-Affiliation Work

This phase is where preparation turns into execution. You'll finalize your client data, complete required training in AdviceWorks, and submit advisory models and marketing materials for review.

Your Onboarding and Transition Partners are actively working in parallel building your repapering strategy, planning resignation timing, and making sure every system and approval is ready to go on affiliation day.

Phase 4: Affiliation Day & Beyond

On affiliation day, you officially join Cetera. Your systems go live, your approved client announcement goes out, and account opening begins. Your Transition Partner stays with you as assets move over, with regular check-ins to keep things on track. Once your book is substantially transitioned, and your Regional Growth Team takes the handoff, focused entirely on your practice going forward.

Cetera: Your Forever Partner

Affiliating with Cetera isn't a transaction. You'll always have people who know your business, not a call center that starts from scratch every time you need something. It's the start of a relationship built to last the rest of your career.

Ready to learn more about affiliating with Cetera?
Reach out today: https://cetera.com/join-us.

Cetera®