

Switching Broker-Dealers: 10 Questions to Help Guide Your Decision

As you consider transitioning your business, it can be a challenge to know how to find a partner that can not only support your business's growth but will also align with your values and expectations.

Use the following questions as thought starters to reflect on what you need and want from your new firm—and your future:

1. Would I like to grow my organization through M&As, organically, or both?
2. Do I need help developing a continuity or succession plan with either an internal or external advisor?
3. How do I monetize what I built when I choose to retire?
4. What level of flexibility do I want for portfolio management?
5. Do I prefer an all-in-one technology platform or multiple systems for my clients?
6. Do I need a broker-dealer that integrates with multiple custodians?
7. How much legal and compliance support do I want or expect?
8. What kind of culture do I prefer, and is peer support important to me?
9. How does an onboarding process move forward and what do I need in terms of support during onboarding?
10. What kind of support do I need from a broker-dealer as I grow: marketing, educational resources, leadership development, etc.?



Don't wait to find the right fit—secure it.

Set up a confidential call with a Cetera Business Development Specialist to pinpoint the right platform, tools, and transition support for your goals.

Let's talk: cetera.com/join-us

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