



TRANSITION TIPS

Communicating With Clients

We're excited to have you join LPL Financial! We will do everything we can to make your transition as smooth as possible.

You may be tempted to contact your clients immediately to let them know that you've recently made a move. While communicating with your clients is important, **you must first consult with outside counsel to ensure that doing so won't violate any agreements you've made with your previous broker-dealer.**

Your LPL Onboarding Partner will provide some sample templates that you can use when drafting your announcement letter. These best practices can help.

TOPICS YOU MAY WANT TO INCLUDE

- Positive reasons for affiliating with LPL, such as technology capabilities, research capabilities, and a greater degree of independence
- Language from FINRA rule 2273
- Your new contact information, including your email address, phone number, and physical mailing address

TOPICS TO USE WITH CAUTION OR AVOID

- References made to your previous broker-dealer
- Using any AUM numbers that cannot be substantiated
- Mentioning firm-specific awards received at your previous broker-dealer

In addition to sending an announcement letter to your clients, you can also share your news on social media. Just be sure to follow all policies and guidelines.

For any questions, please contact your Onboarding Partner.