SOWELL MANAGEMENT

Journey Roadmap

THERE FOR THE **ADVISORS** THERE FOR THE **JOURNEY**

Sowell is committed to helping advisors see an independent and prosperous future. We meet you where you are and take you where you want to go — this is the Sowell Way. Start your journey today.

1

Discovery

We understand how hard you work to navigate the complexities of this industry. Our experienced team is dedicated to understanding your business goals and overall practice — answering the questions you might not even know to ask. This consultative approach helps ensure that our guidance is aligned with your future business path. We are committed to building lasting relationships that start with transparency.

2

Virtual or In-Person Boot Camp

2-4 hour session

This is your opportunity to explore our services and solutions and meet the people who will work behind the scenes as an extension of your team. Whether in-person visit at our Sowell home offices or a virtual event, your customized Sowell Bootcamp will provide an introduction to our platform of services including live technology demonstrations, dialogue with the advisor support and transitions teams, our proven marketing "road map" process, and an overview of Sowell FLEX — our investment management platform. You'll learn how leveraging a team of specialists who manage your day-to-day tasks can fuel your firm's future growth.

3

Business Analysis & Proposal

2 weeks or less

Now that your interest in working with Sowell is established, we will gather data on your business, investment management style, office set-up and other details to develop a customized proposal to support your business and begin planning for your transition.

4

Contract Signing & Exhibit A

3-5 business days

You're now ready to start planning for your transition! At this point, the Sowell Contract is being executed and you've received and signed our Exhibit A outlining the costs of services/solutions that you will leverage.

5

Registration & Onboarding

3 days-2 weeks

Our Compliance Department will guide you through the next steps of completing and submitting Form U-4 and registration with Sowell. Once registration is approved, a Form ADV Part 2B will be created for you.

A pre-transition call will be scheduled with Business Transitions, Billing, and Data & Technology to review business needs, discuss types of accounts, custodian choice, and ensure that you're on track for a smooth transition.

Marketing will schedule a call with the advisor to prepare letters to clients and determine any branding and marketing needs (logo, business cards/letterhead, and/or website), as appropriate.

6

Transition & Training

4-12 weeks

Our Business Transitions team will work to define, coordinate, and implement the steps required to successfully transition your business. These specialists will help you plan and execute a customized plan based on the information gathered during discovery meetings — this includes managing and monitoring your conversion from beginning to end. We'll help prepare and organize paperwork and create firm-branded (your logo) onboarding folders or e-signature envelopes for your clients to sign. You'll have access to one-on-one technology training and support. Our ultimate goal is to provide you with the highest level of clarity, efficiency, and accuracy throughout the onboarding process, so your business continues to run smoothly.

7

Service Relationship

An Advisor Relationship Manager will be assigned to you to process and assist with any post-conversion questions or issues. This relationship manager will serve as your dedicated service contact providing ongoing service/support for you and your clients. A customized orientation session will be designed to provide you with best practices and an overview of our advisor resources to ensure that you're getting the most of your Sowell experience. We are here for your journey. Welcome to Sowell Management.

 sowellmanagement.com