

Switching Broker-Dealers:

10 Questions to Help Guide Your Decision

As you consider transitioning your business, it can be a challenge knowing what to ask yourself to ensure you find a partner who 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 or entity?
3. How do I monetize what I built when I retire?
4. What level of flexibility does my team want for portfolio management?
5. Do I prefer an all-in-one technology platform or multiple systems for my advisors and clients?
6. Do I need a broker-dealer who integrates with multiple custodians?
7. How much legal and compliance support does my team want or expect?
8. What kind of culture would be best for the team?
9. Is peer support important to me and my advisors?
10. What kind of support do I need from my new firm as I grow: marketing, educational resources, leadership development, etc.?



Have more questions? Ready to have a confidential conversation to help you find the right fit?

Connect with **Gary N. Bender**, Regional Business Development Manager, Large Firms, at gary.bender@cetera.com. He'll draw on over 40 years of experience to help you talk through your concerns and show that no matter how you answered the above questions, **it takes a partner like Cetera to dial in exactly the experience you want.**

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