Optimize
Wealth Management

The Optimize Transition Program

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Our industry leading Transition Program ensures your move is quick and effortless. We won't stop until every last component of your Transition has been completed. We know making the leap from one firm to another can be both daunting and challenging but with Optimize, it couldn't be easier. That's why we have a full-time dedicated transition team to help you every step of the way.

This transition philosophy fully extends to your clients as well. Our transition team ensures the client experience is absolutely seamless and effortless. Extensive training, onboarding technology, and a dedicated team always at your service combine to make the onboarding experience an absolute pleasure for both you and your clients.

Our team will make your transition as smooth and seamless as possible by following the below key stages:

1. Initial Setup

2. Transition Kick-Off

3. Optimize Academy

4. Branding & Marketing

5. Streamlining your Business

6. Hosting Transition Meetings

THE RESULT: We provide the opportunity to transition clients and advisors faster and easier than any other firm in Canada. GUARANTEED.

Key Stages of The Optimize Transition Program:

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How We Ensure Smooth and Successful Advisor Transitions

Receive significant training and planning ahead of time

- Thorough planning is critical for a successful transition, and the sooner you start the better
- Robust pre-transition planning
- Transition best practices and advice
- Checklists, Scripts for phone calls, and Clear Timelines

Leverage our robust onboarding platform and technology

- Clients can sign up online or with paper, your choice
- Instantly initiate transfers, effortlessly set up and adjust ongoing payments
- Track your progress by the minute through your Optimize Dashboard
- Onboard and service new clients at the click of a button

Use our Transition SWAT Team

- A dedicated Client Service Manager guides you through every step of the onboarding process
- A full-time Internal Portfolio Manager assists you with every single transition meeting to ensure every client feels properly welcomed
- Your Relationship Manager is always available to ensure your transition is a massive success
- Our transition team of experienced financial, compliance, technology, and operations professionals literally does not stop until every last component of your Transition has been completed

Advisor Transition Program Overview

Transition Overview

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TRANSITION TIMELINE SUCCESS GUARANTEED

Initial Setup

Let us Get Everything Organized for you. Well in Advance of your Transition.

Transition Kick-Off

Get your Transition started on the Right Foot by meeting with your Onboarding Coordinator.

Optimize Academy

Get you and your team enrolled and leverage our Robust Resource and Learning Platform.

Branding & Marketing

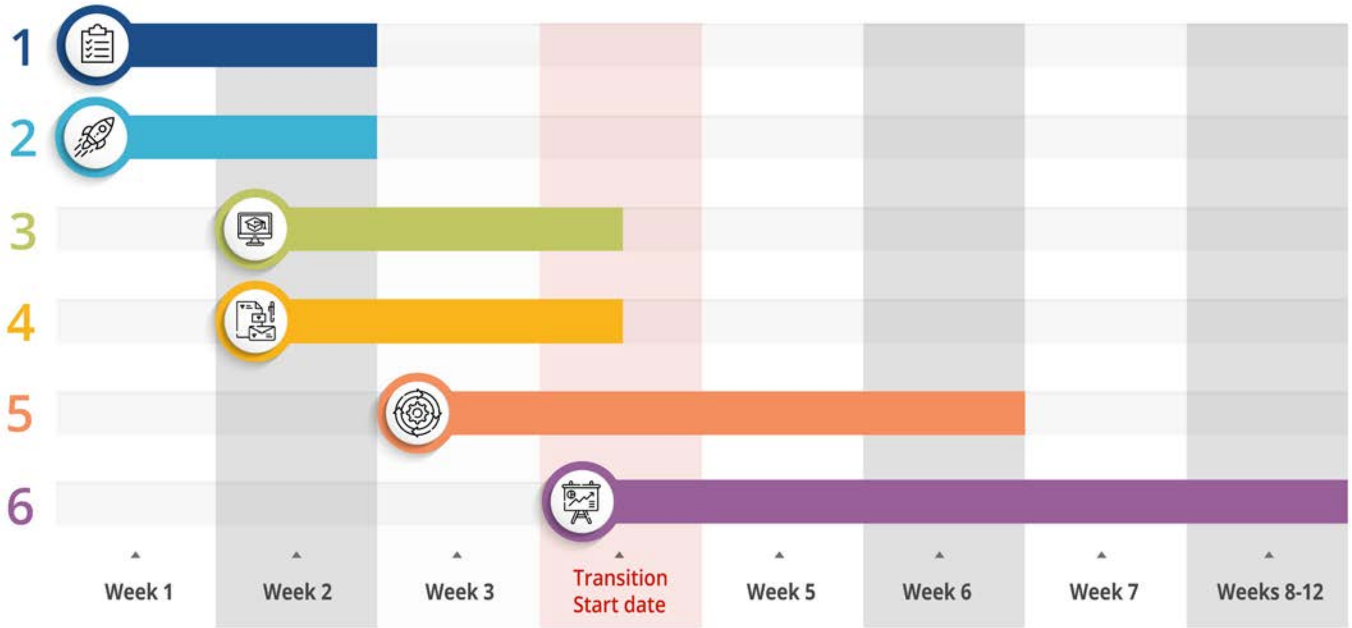
Optimize your Branding and Marketing Strategy to bring you to the Next Level and hit the ground running.

Streamlining Ops

Streamline your Business to Save Considerable Time and Unlock Signifcant Opportunities.

Transition Mtg's

Connect and work with your Assigned Portfolio Manager to Most Effectively Map out Your Transition Meetings.



Stage 1

Initial Setup

Let us Get Everything Organized for you. Well in Advance of your Transition.

- We'll allocate and assign you an entire Transition SWAT Team including your own Onboarding Coordinator, Transition Portfolio Manager, Corporate Development Specialist, Marketing & Branding Manager, Advisor Support Team, and more...
- We'll create your Transition Schedule so that you know when you can schedule your Transition Meetings
- We'll create Login Credentials for you and your Team to our CRM and our Advisor Portal
- We'll create Account Opening Documents specific to you and your Team
- We'll create your REP ID and Login Credentials for our Custodian's Portal
- We'll create Login Credentials to our Account Management Portal
- We'll ensure the necessary Resources at our Custodian have also been earmarked for your Transition

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Stage 2

Transition Kick-Off

Get your Transition Kicked-off on the Right Foot

You'll meet with your Onboarding Coordinator to:

- Go through your Key Contacts such as your Corporate Development Specialist, your Transition Portfolio Manager, your Branding & Marketing Manager, and your Advisor Support Team
- Go through your Transition's Key Milestones such as your PR Campaign, your Transition Start Date, or your Enrollment into Optimize Academy to learn our various systems
- Set up your Banking Payment Details
- Go through our Benefits Package to see if there is a fit for you and your Team

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Stage 3

Optimize Academy

Get enrolled into our Optimize Academy and leverage our Robust Resource and Learning Platform

- ✓ Learn how to use our own CRM System to schedule your Transition Meetings, Initiate Transfers, and view Auto-Logged Client Calls and Emails
- ✓ Learn how our Optimize Advisor Portal will become your ‘Go To Place’ for our Latest Research, Market Commentary, Performance Reports, Account Documents, Service Requests, and more.
- ✓ Learn how to submit and monitor Service Requests such as Address Updates, EFT Requests, and Beneficiary Changes
- ✓ Learn how to use our Account Management System to view your Clients’ Account History, Daily Values, etc...
- ✓ Learn how to access our Custodian’s Portal to view your Clients’ Account Documents such as their Statements, Tax Slips, and RSP contributions
- ✓ Learn how to download and use our CRM App to access it 24/7 from your phone

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Stage 4

Branding & Marketing

Optimize your Branding and Marketing Strategy to bring you to the Next Level

- You'll connect with your Branding and Marketing Specialist to Review and Optimize:
  - Your Indoor and Outdoor Signage
  - Your Personalized Brochure
  - Your Email Signature
  - Your Business Cards
  - Your LinkedIn Page
- Prepare your Press Release
- Implement your PR Campaign across our Social Media Channels
- Create your own Website Page fully Optimized to you and your Team
- Schedule and Implement your own Ongoing Client Communications such as Newsletters and Portfolio Commentaries

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Stage 5

Streamlining Your Business

Streamline your Business to Save Considerable Time and Unlock Significant Opportunities

- Optimize your Insurance Business
- Better organize your GIC Business
- Assess and Select the Best Licensing Option for you
- Subscribe to our Financial Planning Software, Performance Reporting Tools, or our Social Media Package.

Key Stages of The Optimize Transition Program:

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Stage 6

Hosting Transition Meetings

Connect with your Assigned Portfolio Manager to Most Effectively Map out Your Transition Meetings

- You'll meet with your Assigned Transition Portfolio Manager ahead of your Transition Start Date to:
  - Conduct a Typical Transition Meeting to ensure you are both on point
  - Sync your Schedules so that everyone's on the same page
- Your Transition Meetings will be completed quickly and efficiently following your Transition Start Date

Key Stages of The Optimize Transition Program:

How We Ensure the Smoothest Client Onboarding

1. First, Let Our Superior Client Offering Speak for Itself

- Multi-Family Office Platform
- Premium Investment Returns
- Broad array of in-house and third-party managed portfolio solutions
- Pension Style Asset Management
- Pure no-load fee structure
- Bank-level security through our firm and our custodian National Bank (NBIN)
- User-friendly statements and online account access

2. Follow Our Simple Yet Seamless Client Onboarding Process

1- The Transition Meeting is completed with You, your Client, and your assigned Transition Portfolio Manager

2- The appropriate Investment Model is assigned to your Client's Account

3- Your Client's KYC is completed by your Transition Portfolio Manager

4- Our CRM is updated with your Client's Key Contact Details

5- A Thank-you Note is sent to You and your Client welcoming them to Optimize

6- The Account Documents are uploaded to our Onboarding Portal to be DocuSigned by your clients

7- Once the Account Documents are DocuSigned, our Team initiates all your Client's transfers

8- We set your Client up for Online Account Access

9- We send your Client copies of their Account Opening Documents for their records

10- We upload your Client's Account Documents to our CRM for easy access and ongoing viewing

IMPORTANT: WE TAKE CARE OF ALL THE COMPLIANCE AND ENSURE SUITABILITY AND ALL DOCUMENTATION IS IN CHECK

How We Ensure the Smoothest Client Onboarding

3. Know That We Are Always On Call to Help You and Your Team With:

- Preparing and Executing Wills
- Preparing Personal Tax Returns
- Processing PAC Plans/EFT Requests
- Changing Statement Delivery Preferences
- Updating your Client's Email Addresses
- Updating your Client's Mailing Addresses
- Third-Party Online Access Linking
- Removing/Adding Bank Accounts
- Removing/Adding Beneficiaries
- Updating Client Names
- Resetting Online Access Passwords

Optimize Wealth Management

Smooth and Seamless Transitions Guaranteed

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