UNITED PLANNERS
FINANCIAL SERVICES

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TEL: 800-966-8737 / FAX: 480-503-8173 / UNITEDPLANNERS.COM



# Transition Specialist

## Job Description

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|---|---|
| Employee Type: | Full Time Exempt |
| Department: | Partner Development |
| Job Title: | Transition Specialist |
| Reports To: | Sara Vogelsanger |
| Manages Others: | No |
| Industry Experience: | 3+ years Financial Services Experience |
| Date: | April 11, 2025 |

## Nature and Scope

The Transition Specialist is a key facilitator in onboarding financial advisors to United Planners, guiding them from initial affiliation through early post-approval support. This role manages multiple advisor transitions simultaneously, ensuring all documentation, technology setup, and transition steps are completed accurately and on time. The specialist collaborates closely with the Advisor Experience Manager and reports directly to the Transition Manager, serving as a central point of contact between advisors and internal departments. Strong communication, organization, and technical proficiency—especially with platforms like Laser App Enterprise, DocuSign, and Salesforce (AIMS) are essential. The ideal candidate is service-oriented, proactive, and dedicated to creating a smooth, professional onboarding experience.

## Essential Duties and Responsibilities

- Display exceptional customer service by responding promptly, professionally, and empathetically to advisor inquiries and concerns.
- Build strong relationships through active listening, clear communication, and a solutions-oriented mindset, ensuring each advisor feels supported and valued throughout the transition process.
- Facilitate technology demonstrations and walkthroughs for prospective advisors to showcase digital tools, resources, and platforms available at United Planners, highlighting the firm's technology-driven support and onboarding capabilities.
- Serve as support for transitioning advisors in coordination with the Advisor Experience Manager from pre-affiliation through their first 90 days post-UP/FINRA approval.
- Facilitate training and support for essential software and tools such as Laser App Enterprise, DocuSign, and the UP connectUP portal.
- Set up and troubleshoot advisor access to Laser App Enterprise, including uploading contacts, batching, and saving fillable PDFs.
- Coordinate with Advisor Team Support to create and activate website access for newly affiliating advisors and their teams.
- Leverage Salesforce (AIMS) as the primary system of record for all advisor interactions. Maintain detailed and timely notes, call logs, email summaries, and task updates to ensure transparency, continuity, and team collaboration throughout the transition process.
- Distribute affiliation agreements and ensure accurate communication of "special agreements" to appropriate departments.
- Request, prepare, and send pertinent forms and onboarding materials including the Pershing Rep ID, CARES form samples, FINRA 2273 info, etc.

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- Collaborate with the Advisor Experience Manager to provide seamless coverage and support; fill in during PTO as needed.
- Track the advisor's progress and transition timeline, including account transfers and the submission of documents to Advisor Front Office (AFO). Monitor AFO activity to ensure the advisor's business is moving over in a timely manner and proactively follow up as needed.
- Maintain detailed notes and communications in internal systems and coordinate with internal departments to resolve advisor needs.
- Assist in preparing and updating advisor bios for public display via ConnectUP.
- Participate in weekly team calls and ongoing training to stay current on compliance, operations, and technology updates.
- Perform additional duties as assigned by the Transition Manager.

## Required Qualifications

- Bachelor's degree or equivalent work-related business experience
- 3+ years of industry experience
- Strong attention to detail and follow-through
- Excellent interpersonal and written/verbal communication skills
- High proficiency with Microsoft Office, Excel, PowerPoint, Outlook, Salesforce, Redtail, Orion, Albridge, etc.
- Skilled in navigating, understanding, and troubleshooting technology tools and web platforms essential to the transition process
- Self-started who thrives in a team-oriented, collaborative environment

## Ideal Candidate Profile

The ideal Transition Specialist is a detail-oriented, tech-savvy professional with a proactive and client-first mindset. They demonstrate a strong ability to manage multiple advisor transitions concurrently while maintaining accuracy, organization, and professionalism. Proficiency in key platforms such as Laser App Enterprise, DocuSign, Salesforce (AIMS), and Microsoft Office is essential, along with the ability to learn and adapt to new technologies quickly.

This individual excels in both independent work and team collaboration, working closely with the Advisor Experience Manager and reporting to the Transition Manager to ensure seamless support across the transition process. They are confident communicator who remains calm under pressure, responds empathetically to advisor needs, and navigates challenges with a solutions-oriented approach. Most importantly, they take pride in delivering a smooth, personalized, and high-touch onboarding experience that reflects United Planners' commitment to excellence, partnership, and service.

## Desired Qualifications

- FINRA Series 7 and Series 63 preferred.
- Excellent written and verbal communications skills
- Demonstrated knowledge of industry trends, compliance, supervision, operations, transition, marketing & advisory services
- Proven skills in the areas of problem solving and relationship management.
- Ability to effectively manage and prioritize multiple tasks.
- Possess a high level of professionalism and integrity, with great organizational skills.
- Self-starter with the ability identify challenges and work with limited guidance to provide solutions.
- Strong strategic and tactical planning focus with internal and external clients

## Job Expectations

- Ability to travel as needed.
- This position currently offers a hybrid work schedule and is based solely on the needs of the business.
- Must be available to work in the office as business needs change.

## Partnership Integrity

- United Planners Financial Services has a long, proud history of conducting business with the highest ethical standards and full compliance with all applicable laws. We also expect our people to uphold our values with the highest level of integrity and behave in a manner that fosters an honest and respectful workplace.
- Understand and abide by all Firm and departmental policies and procedures as well as the Firm’s code of ethics.
- Develop and maintain the Firm’s transition methodology, process, and procedures.
- Participate actively in ensuring that all state and industry rules and regulations are followed as they apply to this position.
- Attend any required regulatory and/or firm educational meetings.