

AUSDAL
FINANCIAL PARTNERS



TRANSITION PLANNING GUIDE



TABLE OF CONTENTS

| | |
|---|-------|
| INTRODUCTION | 3 |
| PRE TRANSITION FACT FINDER | 4-7 |
| UNDERSTANDING THE TRANSITION PROCESS | 8-10 |
| TRANSITION CHECKLIST | 11-13 |
| APPENDIX I: REFERENCE <ul style="list-style-type: none"> • TRANSFERRING DIRECT BUSINESS • TRANSFERRING VARIABLE LIFE AND VARIABLE ANNUITIES • TRANSFERRING BROKERAGE ACCOUNTS • TRANSFERRING INVESTMENT ADVISORY BUSINESS • TRANSFERRING YOUR TECHNOLOGY | 12 |
| APPENDIX II: SAMPLE FORMS AND LETTERS <ul style="list-style-type: none"> • LETTER OF RESIGNATION • PERMISSION TO SHARE INFORMATION • RECORD OF VERBAL PERMISSION TO SHARE • CLIENT LETTER CHANGE OF B/D LETTER • CLIENT LETTER OF INSTRUCTION | 19 |
| | |

Congratulations on your decision to join Ausdal Financial Partners and welcome to our community. We appreciate the faith you have placed in us and we are confident that Ausdal will deliver the broker-dealer experience that you are expecting.

Changing broker-dealers can seem like a daunting task at times and certainly, in today's environment, it does require a fair amount of focus and effort. That is where we can help. At Ausdal, we have had extensive experience helping people like yourself transition their business smoothly and efficiently. Our common goal is to help you to transfer your book of business as quickly as possible with minimal disruption of your day to day business.. To this end, Ausdal commits our team to you in an interactive, cooperative effort.. Remember, you are independent, not alone.

A successful transition begins with thorough planning and preparation and ends with attention to detail and consistent follow-up. This guide will provide you and your staff with a reference for transition procedures, timeliness, paperwork, checklists and contact persons. While we have attempted to address most of the common transition issues and protocols, situations unique to your practice will arise. We will collaborate to produce plans to address those special needs.

Thank you for joining Ausdal Financial Partners. We look forward to serving you and your clients during your transition and for many years to come.

REGISTERED REPRESENTATIVE (CONT'D...)

| BUSINESS PROFILE | | | |
|---|---|-------------------------------|------------------------------------|
| Who is your current broker/dealer? | | | |
| Annual Production: | 2007 | 2006 | 2005 AUM |
| Broker Dealer Payout: | | | |
| How many clients do you have? | | | |
| What clearing firm does your current b/d use? | | | |
| How many brokerage accounts will need to be transferred to Ausdal: | | | |
| Of your brokerage accounts, how many involve qualified plans or IRA's: | | | |
| Business Mix: <i>please estimate the percent of your book that falls into each category</i> | | | |
| Mutual Funds (direct): | Variable Annuities (direct): | Managed Accounts: | |
| Mutual Funds (brokerage): | Variable Annuities (brokerage): | Brokerage: Stocks/Bonds/ETFs: | |
| Variable Annuities: | Variable Life: | Retirement Plans (401k): | |
| Fixed Annuities: b/d? | Fixed Life: b/d? | EIA's | b/d? |
| Alternative Investments: | Private Placements: | Other: | |
| DATA AND CONTACT MANAGEMENT | | | |
| Do you use a client database or contact management program? (please specify) | | | |
| Outlook | Access | ACT! | Goldmine EZ Data Other: |
| Do you use a consolidated statement program? (please specify) | | | |
| Albridge | DST Fanmail | Advent | dbCams Centerpiece Other |
| What other software applications do you use? | | | |

| CLIENT INFO | |
|--|--------------------|
| How many clients do you have? | How many accounts? |
| How many clients are inactive? | |
| What % of AUM is represented by your top 20% of clients? | |
| How many clients represent 80% of your income? | |
| Other: | |

REGISTERED REPRESENTATIVE (CONT'D...)

| PRODUCT COMPANIES | | |
|---|--|--|
| Please indicate the companies that represent most of your book of business | | |
| Mutual Funds | | |
| | | |
| | | |
| | | |
| Variable Annuities | | |
| | | |
| | | |
| | | |
| Variable Life | | |
| | | |
| | | |
| | | |
| Managed Accounts | | |
| | | |
| | | |
| | | |
| Fixed Life, Disability, Long Term Care, Fixed Annuities | | |
| | | |
| | | |
| | | |
| Other | | |
| | | |

INVESTMENT ADVISOR

| ADVISOR INFORMATION | |
|---|-------------|
| RIA Firm Name: | Phone: |
| Primary Contact: | Fax: |
| Administrative Contact: | Email: |
| Address: | Web: |
| City: | State: Zip: |
| How Many Total Employees? | |
| How Many In Advisory/Portfolio Management Role? | |
| How Many In Asset Gathering Roles (sales) | |
| How Many In Back Office Support? | |

| INVESTMENT MANAGEMENT | | | |
|---|----------------------|----------------|--------------------------------|
| What Were Your Total Assets Under Management ? | | | |
| 2007: | 2006: | 2005: | 2004: |
| How Many Accounts Do You Manage? | | | |
| 2007: | 2006: | 2005: | 2004: |
| What Is Your Minimum Account Size? | | | |
| What Asset Management Programs Do You Use? | | | |
| Self Managed % | 3rd Party Managers % | MF Wrap % | TAMPS (i.e. Lockwood) % |
| Manager Names: | | | |
| What Custodians Do You Use? | | | |
| Fiserv % | Fidelity % | Pershing % | Schwab % |
| TD Ameritrade % | DST % | Other (name) % | Other (name) % |
| Do You Run Any Models? If So, How Many? | | | |
| How Often Do You Re-balance? | | | |
| Approximate Portfolio Turnover % (Annually): | | | |
| On Average, How Many Positions Do You Hold In Each Portfolio? | | | |
| On Average, How Many Trades Do You Make Each Month Per Account? | | | |
| What Portfolio Management Tools Do You Use? | | | |
| Advent | Cap Tools | Centerpiece | Albridge DB Cams TechFi Other: |
| What Do You Typically Charge Clients ? | | | |
| Asset Range | Fees | Asset Range | Fees |
| \$ | % | \$ | % |
| \$ | % | \$ | % |
| \$ | % | \$ | % |

UNDERSTANDING THE TRANSITION PROCESS

Changing broker dealers usually isn't as difficult as most people fear it will be. The key to a seamless transition is planning. The more time you take to understand your business and the transition process, the better your results. Also remember, you are not alone the Ausdal transition staff will be with you every step of the way.

Step One: Take Inventory

Before you do anything, take some time to inventory your practice. The clearer your understanding of your practice, the easier it will be to plan your transition. If you haven't completed the Ausdal Pre-Transition Fact Finder, do it now. Then take some time to consider your business:

- Does your current registered representative agreement restrict you in any way?
- How many clients accounts and households do you have?
- Do you have clients or customers? How many clients do you maintain contact with? How many are inactive? Are there some you would like to part with?
- How does the 80/20 rule apply to your book of business
- What products do you have on the books? Were they placed directly or via brokerage?
- What states do you practice in? In what states do you have variable life or annuity business?

Step Two: Begin to Think Strategically

While Ausdal will guide you through the transition process, you know your business better than anyone else. Give some thought to how you should approach the challenge ahead. Consider:

- Do you have enough information stored electronically to help automate the form-fill process?
- Do you have any administrative staff that can be allocated to the project?
- What is the best way to communicate with your clients? Who do you need to meet with in person, who should you reach via mail, email etc.
- Which clients should take priority to avoid any loss of income? Who are your neediest clients?

Step Three: Organize Your Business

The more organized and complete your client files are, the smoother the transition will be. Take some time to review your client account files, contact management system and data files. Once you are confident that your information is accurate and accessible, you should be ready to move forward.

Step Four: Meet With Your Ausdal Transition Team

Once you have decided to join Ausdal Financial Partners, you will be assigned a "Transition Quarterback". Your quarterback will be your primary contact throughout the transition process. Your quarterback will guide you through the transition planning process and coordinate all home office resources. At this point you will be introduced to the Ausdal transition team and we will begin to set target dates for key tasks to be accomplished.

Step Five: Complete the Ausdal New Hire Kit

Complete the U-4 form, administrative documents and obtain 3 fingerprint cards.

Step Six: Lay The Groundwork

This is "where the rubber hits the road" in effecting your transition. It's the time to sweat the details...Identify the states that you will need to obtain licenses in, make sure selling agreements are in place, Are there any technology issues? Will data feeds be uninterrupted? are all the applications you need available? Your Ausdal Transition Team

Step Seven: Prepare Your Paperwork

The SEC's Regulation S-P was written to safeguard the privacy of consumer financial information. Consequently, we must be very careful to protect our clients and their privacy during the course of your transition. Until your client has specifically authorized the sharing of his private account information, you are limited to using only public information (that which could be accessed by the general public) to transfer accounts. By definition, this means that the only information that may populate client forms is:

- Client Name
- Address
- Phone number
- E-mail address
- General Account and Product Information (not including account numbers, specific holdings or values)

If at all possible, you should create a database containing the public information that will be used during your transition. It will help you to populate client forms electronically and create follow up lists.

Note: If you prefer, you can obtain verbal authorization to share information from your clients. This can be done prior to terminating from your current broker-dealer. However, should you choose to do this, you will need to keep very specific records of every client contacted to validate the authorizations obtained (see appendix)

To prepare your paperwork:

1. Prepare the client database (use public information only!)
2. Ausdal will provide you with LaserApp transition software to help you populate forms electronically. Remember, you will need:
 - New Account Form: one for each registration (individual, joint, trust, ira)
 - Change of B/D Form—tends to work best with one vendor/acct per form
 - Brokerage Forms—ACAT's & Brokerage Account Applications (remember additional IRA disclosures, check writing, margin, credit cards etc)
3. Include a self addressed, stamped envelope to facilitate prompt responses.
4. Make it easy on your clients, highlight required signatures!
5. Include a letter explaining your change of broker-dealer and a letter of instruction for each household.
6. Prepare an "Authorization To Share Information" form to allow you to work with specific client account information.
7. Sort the forms to be mailed to each household. Create a log for tracking forms that are returned.

Step Eight: Pre-Launch Meeting

Meet with your Ausdal transition team. Confirm that both you and Ausdal are prepared for transition. Double check any outstanding issues that may still require resolution and identify your termination date.

Step Nine: Termination

Submit a letter of resignation to your current broker-dealer. Make sure that you date the letter and record the specific time and date that the letter is received at your current b/d.

1. Forward licensing kit to Ausdal for appointment. You should be approved within 48 hours.
2. Once you have resigned at your current b/d, forward the forms packages (including letter of instruction, authorization to share information, new account form and change of b/d forms) to your client for signature.

Step Ten: Client Follow Up

Once you have terminated from your prior b/d you may begin contacting your clients and informing them of the move. You might want to schedule face to face meetings with more important or delicate clients. Once the forms packets are signed and returned:

Make Sure You Have Received The Signed Authorization To Share Information for all clients.

Once you have that:

1. Complete the missing suitability and client account information on all forms.
2. Sign the forms yourself. Record them in your follow up log.
3. Make a copy of each form and file accordingly.
4. Send the original forms to Ausdal. Ausdal will immediately sign off and forward to the vendors.

TRANSITION CHECKLIST

I. Pre-Approval (45-30 Days)

- Establish a target “start date”.
- Submit Ausdal Pre-Hire form for compliance review.
- Complete Ausdal Pre-Transition Fact Finder
- Review your contract with your current B/D (check for any restrictions)
- Review your current b/d’s Privacy Policy

II. Preparing for the Transition (30-15 Days)

A. Complete Registration Paperwork

- Complete a new U-4
- Attain fingerprint cards and have them completed
- Read and sign Ausdal Registered Representative Agreement
- Identify all outside business activities and obtain approval
- Sign ACH Form

B. Organize and Review Client and Account Files

- Inventory all client accounts (brokerage, direct, etc.)
- Determine whether all clients will be making the move
- Verify if account termination or transfer fees exist.
- Develop a client database (include only public information: name, address, phone, email, general acct. info)
- Plan client notification and forms completion strategy.
(Note: clients cannot be formally contacted until your transfer to Ausdal has been approved)
- Rank Clients by AUM and/or prioritize clients into groups (A, B, C, etc.)
- Where possible, prepare database for clients and account information

C. Licensing and Appointments

- Identify all states where you do securities business
- Identify all states where you do insurance business
- Identify which insurance carriers you use by state (you will need to be re-appointed with each vendor)

D. Product and Vendor Inventory

- develop a list of direct Mutual Fund vendors by Assets Under Management
- develop a list of direct Annuity and Insurance vendors by Assets Under Management
- Check Ausdal selling agreements to assure that the products you use are approved.
If necessary, Ausdal will investigate new selling agreements.
- Check payment dates for 12b-1’s for each vendor
(this will help reduce any loss of trails due to transition)

- Identify a process for obtaining specific account info from clients
(to be used after Waiver of Privacy Policy Rights is signed)
- Develop database or identify all Brokerage Accounts and sort by type (IRA, SEP etc)
- Identify all Brokerage Accounts with special needs
(margin, checking, debit cards, electronic funds transfer, trusts, distributions etc...)
- Order all appropriate brokerage forms
- If an RIA, submit all documents to RIA compliance for review.
- Complete Ausdal Financial Partners RIA paperwork.

E. Electronic Data Transfer

- If using data feeds (DST, Dazl etc) prepare to notify change of b/d
- Check with software vendors for any necessary changes
- If changing software applications, back up and export any relevant data files

F. Marketing

- Review compliance approved guidelines for business cards, signage, letterhead, DBA's, websites, etc.
- Notify compliance of all advertising and marketing materials. Send copies for review.
- Draft client announcement/instruction letter, submit to Ausdal compliance for approval.

G. Preparing Client Kits for Mailing

- Prepare client announcement/instruction letter
- Prepare a client "AUTHORIZATION TO SHARE INFORMATION" document
- Prepare Ausdal New Account Form
- Prepare Change of Broker-Dealer forms for direct business
- Prepare appropriate Brokerage Account Transfer (ACAT) forms
(along with all requisite brokerage account forms)
- Prepare self addressed stamped envelopes
- Sort and stuff envelopes - prepare for mailing.
- Determine follow up strategy to assure that documents are processed quickly
- Prepare client & account listing (from Client Inventory) to track transferred accounts.
- Discuss trading procedures and method with trading department.
- Review Ausdal's new business submission procedures, forms and disclosures

III. Resignation

- Send resignation letter to current broker/dealer
- Notify Ausdal Financial Partners and forward registration documents (rep agreement, U-4 etc.) and appropriate fees.

IMPORTANT!!!

NASD regulations state that you may not represent Ausdal Financial Partners in any way until your registration is effective.

This means you may not send any Ausdal documents to your clients (including transfer forms, correspondence mentioning Ausdal and business cards/letterhead) prior to your effective date of registration.

IV. Post-Resignation (Ausdal approval required)

A. Transfer Accounts

- Send out client announcements and all forms to be signed
- Begin calling clients to notify them of the packet they are about to receive
- Once Authorization To Share Information is received, complete forms, sign and forward to Ausdal
- Order stationary, business cards, signage.
- If applicable, notify DST Fanmail and appropriate fund companies of your B/D change
- Prepare and complete variable life insurance and annuity appointments.
(These appointments must be completed before variable insurance and annuity clients can be transferred)

B. Follow Up

- Keep a log of accounts transferred. Update and check it regularly
- Visit those clients critical to your practice, hand deliver paperwork for signature when necessary
- Implement a telephone follow up procedure to expedite transfers
- Send follow-up letters to clients slow in returning paperwork
- Check to assure that Brokerage Account requests are established
(systematic withdrawals, direct deposits, etc.)

C. Administration

- Obtain new rep numbers from Ausdal Financial Partners
- Change voice mail, email, website disclosure to reflect Ausdal Financial Partners
- Set up files correctly to reflect new broker/dealer.
- Set up new NASD files (complaint, advertising, etc.).
- Implement new trading system
- Set up logs and blotter system.

V. Relax

- Pat yourself on the back, you've made it!



Appendix I

Reference

TRANSFERRING DIRECT BUSINESS

To transfer business held directly you will need the following:

AUSDAL NEW ACCOUNT FORM

In moving to Ausdal, you will need to update suitability documents for all of your clients. As you are already approaching the client for signatures to move their accounts, this is the ideal time to update your client New Account Forms. While you will be provided with software to automate some of the form filling process, it is important to remember that this is an NASD required suitability document. Care must be taken to assure that client information is current and accurate.

CHANGE OF BROKER-DEALER FORM

The change of broker-dealer form is used to move each client account, one by one to Ausdal . While this process seems cumbersome, it is actually the most reliable way to transfer accounts from one b/d to another. Your clients need to sign one change of b/d form for every investment account they would like to transfer. Once the signed forms are returned to Ausdal, they are forwarded on to the product vendor (often by fax) and the accounts are transferred.

Timing: The gathering of client signatures is the most time consuming component of this process. Please be careful to insure that the forms have the original client signatures (many vendors will check the signatures). Once the vendor receives the change of b/d request, they are obligated to process it in a timely basis. Typically these requests are processed within a matter of days.

Caution:Remember that the success of this process depends upon your ability to obtain client signatures quickly and efficiently. If at all possible, you may want to consider hand delivering the forms whenever you can. A telephone call prior to the letter and a self addressed, stamped return envelope will help immensely. Finally, **you will need to develop a system for following up with each document to insure that all accounts transfer on a timely basis.**

TRANSFERRING VARIABLE INSURANCE PRODUCTS

VARIABLE ANNUITIES AND VARIABLE LIFE

Transferring Variable Annuities and Variable Life product require the same “Change of B/D” form used for other direct business (see above) but there is an additional step that is required. Special care must be taken when transferring insurance products from your old b/d to Ausdal. While Change of B/D forms will work, they are only part of the process. **Before any account transfers can be accepted by Ausdal, you must be re-appointed as a Ausdal rep with each individual insurance Company.** Remember, to receive the transferred commissions, you need to get appointed with every carrier, in every state that you have done business.

To get re-appointed with the insurance companies, follow these steps:

1. Identify the insurance companies where you have placed business.
2. Determine the States that you have placed business in for each insurance company
3. Request Insurance appointment documents from Ausdal licensing department.
4. Complete the forms and forward them back to Ausdal for processing
5. Ausdal will send the paperwork to the carriers, who will in turn forward to the various states.

Timing: Typically, insurance appointments take about 48 hours. However, they can take up to 2 weeks depending on the State. In Illinois, appointments are nearly immediate. Other States can be much more difficult. Submit appointment requests 2 weeks prior to your transition to help prevent any lapses in the transfer of your accounts. Change of Broker/Dealer requests are typically effected within 48 hours.

Caution: As a rule of thumb, insurance companies will only pay for your re-appointment in the states that you are most active in. Depending on your level of production, they will probably pay for the states where you have placed business. To avoid unnecessary costs or delays, take care to accurately indicate the states that you will need to be re-appointed in for each insurance company.

NOTE: Variable Life contracts are handled differently than annuities. Due to the contractual nature of the initial sales process, you may find that some accounts will not transfer to another firm. Ultimately you may be able to service some policies but they may not always transfer renewal commission to Ausdal.

TRANSFERRING BROKERAGE ACCOUNTS

If you have a Series 7 license and need to transfer brokerage accounts to Ausdal's clearing firm, Pershing Correspondent Services, you must take special care to assure that you are using the proper forms. Please contact the Ausdal Trading Department for assistance. Remember, all brokerage accounts must be transferred via the Pershing Customer Account Transfer Form (ACAT) and New Account Application (even if they are presently held at Pershing). These forms can be obtained via our trading department. To process Brokerage Accounts:

Non Qualified Brokerage Accounts

1. Identify all non-qualified brokerage accounts and create a brokerage transfer log
2. Gather all necessary Pershing forms including:
 - Pershing Customer Account Transfer Form (ACAT*)
 - Ausdal New Account Form
 - Other applicable forms such as checking, ACH, transfer on death, etc.
 - IRA adoption agreement if needed
 - For trust accounts, a certificate of investment power
 - Most recent brokerage account statement?
3. Send or deliver forms package to your client
4. When the package returned to you, mark it in your log
5. Forward to Ausdal Trading Department along with a Brokerage Account Statement

Qualified Brokerage Accounts

1. Identify all qualified accounts by specific plan (IRA, SEP, Money Purchase etc.)
2. Contact the Ausdal Trading Department for the appropriate forms
3. Follow the same steps as outlined above.

Timing:

As a rule of thumb, transfers to Pershing from other clearing firms usually take no more than 10 business days. Transfers from Pershing to Pershing can typically be executed within a couple days.

Caution:

Until the ACAT is processed by Ausdal's clearing firm (Pershing) account instructions (trades etc.) can only be requested by the account holder via the prior clearing firm.

**An ACAT is a transfer of all assets, in kind, from another brokerage firm. (Note: - In general, Money Market funds will be liquidated when effecting an ACAT transfer. Proprietary Funds should be liquidated prior to submitting the form.) Non ACAT transfers apply to partial transfers of assets from a non-brokerage firm (i.e. Bank, Credit Union, Mutual Fund Company) into a brokerage account.*

TRANSFERRING INVESTMENT ADVISORY BUSINESS

To operate as an Investment Advisor and/or “Fee for Service” Financial Planner, you must have additional registration. Typically you must be series 65 or 66 licensed or hold an acceptable professional designation (CFP, ChFC, CFA etc.) and be in good standing. Whether or not you use a third party manager, your accounts must all be “repapered” to Ausdal’s Registered Investment Advisory (RIA). Prior to your transition, you should arrange to meet with Ausdal’s compliance department to generate a list of specific actions you need to take. The list that follows is only a starting point.

Prior to Appointment with Ausdal

1. If using a third party manager, contact Ausdal to determine whether contracts are already established with the manager.
2. If you are acting as your own money manager, forward information to Ausdal regarding your methodology, research used, reporting, promotional materials etc.
3. Establish a suitable method of account monitoring and supervision via Ausdal.

After Appointment with Ausdal

1. Identify Advisory clients and create a client log
2. Contact Ausdal compliance department to determine registration fees (they will vary by state) and forward a check payable to Ausdal Financial Partners.
3. Prepare new advisory contracts for each client.
4. Prepare a forms package to be forwarded to your client including:
 - Letter of instruction (where to sign etc.)
 - Advisory Agreement (contract)
 - Ausdal ADV Part II and Schedule F
 - Ausdal New Account Form
 - Ausdal Investment Advisory Account Profile
 - Account transfer documents (will vary depending on type of account)
 - Return Envelope
5. Once you receive the original signed documents, forward them to Ausdal

IMPORTANT NOTE:

If you have your own Registered Investment Advisory please notify the compliance department to determine how to proceed with your transition.

Timing:

Once the signed transfer documents are received by Ausdal, most accounts can be transferred within a matter of days.

TRANSITIONING YOUR TECHNOLOGY

Ausdal Financial Partners is committed to delivering the technology that you need to maximize your practice. We view this as an ongoing process and we hope to continue to offer enhanced services well into the future. At present, Ausdal's technology platform offers:

- **www.ausdal.com**
Ausdal's website acts as the primary portal to technological services. Most of the applications you will need can be found inside Ausdal's password protected "REP CENTER". Inside the Rep Center you will find commission statements, forms, news and a host of other resources. To access the Rep Center, contact Ausdal's marketing department to obtain a password.
- **Pershing NetExchange Pro**
NetX Pro is Pershing's online trading portal. If you wish to use this, contact Ausdal once your U4 is submitted and we will establish an account on your behalf. Typically this will take less than 48 hours.
- **Albridge Solutions**
The speed with which client data is transferred into Albridge Solutions is dependent upon how quickly your accounts are transferred to Ausdal. Once your accounts have been transferred to Ausdal, data will begin to flow into the Albridge Solutions immediately. However, it can take up to 30 days for the information to be viewable. If you have used Albridge Solutions at your last firm, you can expect all of your account history to transfer to Ausdal.

Managing Electronic Data Feeds (DST Fanmail)

Ausdal Financial Partners has endorsed Albridge Solutions as our consolidated statement program. **Ausdal Financial Partners does not support other programs like Centerpiece, dbCams, Advent and Datamax.**

If you are using one of these systems, you need to take special care when switching broker-dealers.

The files that you populate your program with most likely come from DST Fanmail or similar services. In these cases, a service like DST Fanmail requests data feeds from each product company and then consolidates the data and makes it available to your software program.

Because the Fund Companies tie their feeds to broker/dealers, you must notify DST Fanmail and the Fund Companies of your change of b/d. Otherwise, when the account transfers move to Ausdal, your personal data feed could be interrupted.

To request updated data from DST Fanmail take the following steps:

1. Go to the internet site: www.dstfanmail.com
2. Look in the toolbar in the upper right hand portion of the screen and click "Existing User Sign In"
3. Follow the steps to request updated data feeds. (see illustration below)

Timing:

DST suggests that it may take as much as two weeks to request new data files from the Fund Companies. However, if the process is started in advance, you may be able to minimize data loss or even orchestrate a seamless transition.

Caution:

You need to contact your software vendor for instruction on how to change broker/dealers. You should begin your transition well in advance of changing broker/dealers to avoid or minimize any potential loss of data transmission.



Appendix II

Sample Letters and Forms

SAMPLE LETTER OF RESIGNATION

Note: make sure you document the date and time the letter is received at your prior b/d

<Date>

<Old B/D Name>

<Old B/D Address>

Dear Sirs;

Please accept this letter as notification of my resignation from <prior firm> effective immediately.

I would appreciate your forwarding a copy of my U5 form at your earliest convenience. Please email the form to <registered representatives email address> or mail it directly to <registered representatives address>. Thank you for your cooperation.

Sincerely

<Registered Rep Name>

SAMPLE PERMISSION TO SHARE INFORMATION

Permission to Share Private Information

I hereby grant permission for my registered representative, <name> to share my personal and financial information pursuant to the transfer of my accounts.

This permission pertains solely to personal and financial information that can be used to facilitate the transfer of my accounts to my registered representative's current broker-dealer, Ausdal Financial Partners and their affiliated organizations.

This permission is granted notwithstanding any language that may be included in the privacy policy of the broker-dealer currently holding my accounts.

Signed

Date

Signed

Date

SAMPLE CLIENT CHANGE OF B/D NOTIFICATION

<Client Name>

<Address>

<City>, <State> <Zip>

Dear <Salutation>;

This letter is to inform you that I have recently terminated my affiliation with my current broker-dealer, <Old Firm Name> and have become affiliated with a new organization.

I have determined that it is in my best interest, and the interest of my clients to move to a firm whose values and business practices are more consistent with my own. To that end, I have decided to affiliate with Ausdal Financial Partners. Ausdal is a small, Midwestern boutique firm with a long history of independence, accessibility and genuine concern for the investors' best interests. They offer all of the capabilities of a larger firm along with the personalized service of a smaller company. I am confident that this environment will best support my efforts to serve you.

While this change is important to me, it does not indicate any material change in my practice or the way I hope to work with you in the future. In fact, the only change that you should expect to see is that of the logo on a few of your account statements.

I do however, need your help. For me to continue serving you, we will need to transfer your accounts to Ausdal as well. Please find the enclosed letter of instruction, authorization to share information and account transfer forms. All are highlighted for your signature and a self addressed stamped return envelope is included. I would greatly appreciate your signing and returning these forms at your earliest convenience. In the meantime, should you have any questions, please feel free to call me at <phone>. Thank you for your cooperation and support. I look forward to serving you.

Sincerely,

<Registered Rep Name>

SAMPLE CLIENT LETTER OF INSTRUCTION

As I explained, in order for me to continue servicing your accounts, we will need for you to authorize the transfer of the accounts. At present, you needn't complete the enclosed forms in their entirety. In fact, until you authorize the sharing of your account information, it could be considered a violation of your privacy. **Simply sign the forms and return them in the enclosed self addressed return envelope.**

Also, if you hold joint accounts, please make sure that both owners sign the documents. Once we receive the signed documents we will complete the forms and I will contact you should we require anything else. For your reference, at the bottom of this page, I have included a brief description of each of the types of forms you will find in your packet. Should you have any questions, please do not hesitate to call. Thanks,

<Registered Representative Name>

INCLUDED FORMS:

PERMISSION TO SHARE INFORMATION

As you might imagine, protecting the privacy of client information has become a big concern in the financial services industry these days. Consequently, I am unable to share any of your personal information with Ausdal Financial Partners until you authorize me to do so. Your signature on the "Permission to Share Information" form authorizes me to share the information necessary to transfer your accounts..

NEW ACCOUNT FORM

This is the document that helps the broker-dealer understand your financial position and investment objectives. Once you have returned this along with the "Permission to Share Information" form, I will complete the document to the best of my knowledge. If your financial situation has changed measurably from the last time we met, please let me know and I will update your file accordingly.

CHANGE OF BROKER-DEALER FORM

This form specifically requests the transfer of an account to the new broker-dealer. As this form is sent to every financial institution that you have investments with, you may find several identical forms attached (one for each investment account). Again, once you authorize the sharing of your information, we will fill in account information and forward to the investment company.

BROKERAGE ACCOUNT TRANSFER FORMS

These are the forms required to transfer your brokerage account to Ausdal's custodial firm, <Custodian Name>. Depending on the services you require in your account (margin, checking etc...) you may find that a few additional forms are included.