

Advisor Transition Hub | Prospect / Advisor Facing Experience

The screenshot displays the 'RAYMOND JAMES | Advisor Onboarding' interface. It features a user profile for Victor Irym, a 'Start Transition Form' button, and a 'Tasks' section with a table of 25 tasks. A 'Task: Obtain U4 from Firm' is highlighted, showing details like status, priority, due date, and assigned to. The interface also includes a 'What's Trending' section with social media content and a 'Links & Resources / Training Related Content' section.

Status	Suggested Due Date	Task Title	Assigned To	Owner	Category
Overdue	06/01/2025	Review & Approve U4	Tommy Marsh	Transition Consultant	Initial Engagement
Due Today	07/09/2025	Review & Approve U4	Tommy Marsh	Transition Consultant	Initial Engagement
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Status	Priority	Task ID	Due Date	Assigned To	Category	Task Owner	Transition Type	Phase
Not Started	High	123456789	10/01/2025	Tommy Marsh	Person Set Up	HO Team	RJFS - New Branch	Pre-Job

Task: Obtain U4 from Firm

Task Description

This task requires you to obtain a U4 form as part of the advisor transition process. The form is regulatory document used to register individuals with FINRA and other regulatory bodies. It collects personal, employment, and disciplinary history information for financial professionals. Completing this form is a critical step in the advisor transition process to ensure compliance and proper registration with the firm and relevant authorities.

Instructions

- 1) Download the required form using the link below.
- 2) Fill out the form with necessary information.
- 3) Attach the form and send by pressing "Send Form"
- 4) Wait for the advisor to sign and send the form back.

Send form to Advisor

Form Name:

Form U4 - Uniform Application for Securities Industry Registration or Transfer [View Form](#) [Attach File](#)

[Send Form](#)

Task History and Notes

[Add](#)

Reminders & Alerts [View All](#)

- Follow up with Advisor - Transition #1 07/09 [X](#)
- Follow up with Advisor - Transition #1 07/09 [X](#)
- Follow up with Advisor - Transition #1 07/09 [X](#)

Links and Resources [View All](#)

After committing, the prospect's landing page will evolve into the transitions experience.

- Focus Actions**
The prospect will quickly be able to see what's needed from them to continue progressing throughout the transition (e.g., approve the preliminary U4).
- Status Tracking**
The prospect can see where they are in the recruitment process and what's needed from them to complete.
- Training & Content**
Proactively surface marketing materials, product overviews, or other resources to help the prospect make the decision to join Raymond James.
- Trending Content**
A feed will display Raymond James social content, news articles, and potentially testimonials for the prospect to see what's the latest at the firm.
- Collaborate Task Management**
Tasks will be collaborative between the Home Office and advisor. Task templates will dictate how they're completed (i.e., uploading a document, signing a form, etc.)