



Transition Guide

The purpose of this guide is to assist you in your transition to Newbridge Securities Corporation. Use this guide as an aid in designing your personalized plan. A smooth transition is the foundation for a great relationship. This guide, along with the staff at Newbridge Securities will assist you in executing the smoothest changeover possible.

Our guide contains useful information about procedures, timelines and contacts. Using these tools will get you off to a great start!

Your primary contact will be the Transition Coordinator.

The Transition Coordinator will make introductions upon your joining the firm. Our goal is to assist you in all ways while moving your business to Newbridge Securities with as little disruption as possible. We also want to provide a complete understanding of all policies and procedures that apply to you and our highly regulated industry.

It is vital that we keep in constant contact with you during this crucial period. Here are some important contacts to use when questions arise.

Transition Coordinator: Jennifer Murphy (866) 789-2188 (561) 828-0626 Fax

Nick Schaeferle, Director
(866) 789-2188
(561) 828-0626 Fax
nschaeferle@newbridgeindependent.com

Personnel List

Newbridge Independent Services

Operations Department

Newbridge Securities Corporation	(877) 447-9625
1451 West Cypress Creek Rd.	(954) 334-3450
Ft. Lauderdale, FL 33309	
Chief Compliance Officer	Robin Bush, x207
Newbridge IT Dept. Direct	(954) 689-6900 or x146
IT Dept. Manager	Jimmy Acevedo , x146
Sr. Compliance Officer - Independents	Ken Brown , x155
Head Trader	Eric Vallejo , x134
Bond Desk	Derrick Shea , x102
Registration	Debbie Leathers , x174
Operations Manager	Rosanna Ruiz , x144
Operations	Georgina Sturdivant , x161
Compliance fax	(954) 202-5616
Operations fax#	(954) 229-9937
Trading Direct Line	(954) 229-7043
Trading fax#	(954) 229-9799
Payroll/Accounting	Noa Akins, x 157
Payroll fax# (Gina Buddie)	(954) 229-9793

StreetScape Help Numbers

Navigation Help	(800) 598-3311 option 1, option 1
Tech Help for Reps	(800) 544-4917 option 3
Retirement Sales Group	(800) 905-7212

BondTrader Pro Help Number

National Financial Tech	(800) 544-4917
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Syndicate Department

Craig Rabinowitz	(866) 361-8695, x110
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Newbridge Mortgage/Realty

Jim Phelps	(954) 344-3460 x202
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Operations for all Annuity/Life Insurance

Neil Greene , VP Sales & Marketing	(866) 361-8695 x119
Yvonne Casey-Ford , Agent Information	(954) 334-3450 x246

Transition Team

Jennifer Murphy , Transition Coordinator	(866) 789-2188	(561) 828-0626 Fax
Nick Schaeferle , Director Independent Division	(866) 789-2188	(561) 828-0626 Fax

Our Commitment to You

Transition Coordinator

The Transition Department is here to support you and your staff during this transition period and will be your primary contact for the first 90 days.

Training

During this transition period you will be trained on all systems, procedures, and policies. This includes review of our Newbridge Business Policies & Procedures Manual.

Follow-up

We will follow up on your transition at numerous times and spot check things such as: account transfers, insurance appointments, and any additional needs you may have.

Communication

Communication is paramount. In your first 90 days you will be personally introduced to all department heads and key personnel. We will utilize email to document the status of all transactions and processes to keep you informed on all matters throughout their completion.

Technology Support

Newbridge Securities Corporation has full time IT personnel that will assist you with your technological needs. If/when any of our systems falter, we immediately send out email(s) to all advisors notifying them of the system problem, estimated time to repair, and alternative ways of receiving service.

Licensing

After submitting the completed New Hire Package, you will be provided access to WebCRD; where you will review and update your Form U4 and then send to us for review. When we receive a copy of your letter of resignation, your U-4 will be submitted electronically to CRD registration. Upon being approved by NASD and your home state, you will be issued a rep number from our registration department. We will request your User ID and Password for the following systems and notify you when processing is complete.

- 1) NSCnet
- 2) Newbridge Securities Email system
- 3) Back-office logons to either Streetscape (NFS clearing reps)

You will be contacted with these passwords for a tutorial on each of these systems. The initial system you need to access is NSCnet.

NSCnet is the nucleus of service for your business.

To access the site, please direct your browser to our public site, www.newbridgesecurities.com. At the public site, you will notice 2 radio buttons on the left of the screen. The first is "Client Account Access", which may be used by your clients to gain internet access to their account(s). The second is titled "Advisor Login." Click the "Advisor Login" button and you will be prompted for your User ID and Password. Entering these should bring you to a screen with a golden oval at the top reading "NSCnet".

NSCnet is the nucleus of Newbridge Securities Corporation. Each department has a link on NSCnet to personnel, forms, department news, and any other system you will need. This site is updated throughout the day. You will be given a tutorial and walked through the entire site. ***It is imperative that you learn this site thoroughly in order for your business to be serviced effectively.***

Newbridge Securities Email

From NSCnet, you can access your Newbridge Securities email. This system is Microsoft Outlook Exchange and it has much of the functionality of Microsoft Outlook. The system has a built in contact list for all Newbridge Securities personnel; as well as an address book feature. Email is the preferred form of correspondence to all internal departments for matters that are not time sensitive. **Please note that all email to the public concerning any investment related topic must be sent via Newbridge Securities email. Any such email sent via any other email system is "Unapproved correspondence" and a serious violation.**

Back-Office Access

Upon your rep number being issued, a User ID and Password will be requested from the clearing firm. Typically, these passwords take between 24-48 hours to procure. When this logon is effective, we will contact you with a tutorial on the system. All the basics of the system will be reviewed. These systems are relatively intuitive and easily learned. Additional assistance on the system(s) is always a phone call away.

At this point, you will have accessed and reviewed the 3 primary technological platforms that you will need on a daily basis (NSCnet, Newbridge Securities email and Streetscape). You will be asked to forward an email from your Newbridge Securities email account affirming that you have accessed these systems.

Accessing Client Forms & Documents

Many Newbridge Securities forms, and forms from both clearing firms are accessible through NSCnet. On the left hand column you will see a link appropriately labeled, "Forms". Once in the link you will have three choices:

- 1) Newbridge Inter-office forms
- 2) National Financial clearing forms (NFS)

1) Newbridge Inter-office forms

This link will provide internal Newbridge Securities forms such as: cancel/re-bill form, outside business activity form, buy/sell ticket, mutual fund disclosure forms, etc.

2) National Financial Services clearing forms (NFS)

This link will request that you sign into another site called "Smart Source". **Please note, National Financial frequently changes these documents and the old version will not be accepted so it is recommended that you do not print a large quantity for use later but rather print these forms as you need them.** The User ID and password for all Newbridge Securities' representatives is listed on the page, but for reference they are:

User ID: nsc301 Password: nsc123 check the "I accept" box

You should now be on a screen titled, "Smart Source." Click the tab at the top of the screen labeled "Items." This screen has useful marketing material that may be of use to you and your business. You should devote some time in your transition to review the content under the different sections.

Client documents are contained in three separate sections titled Forms, Kits, or Applications. If you need help accessing a specific form, please call for assistance. Please also notice the "search" button located in the upper right hand section of Smart Source which allows you to search for a specific form by key words.

Please reach out for assistance when you need it in locating any form(s).

Opening a New Account

- 1) Fill out the new account form completely and accurately. On all forms, **PLEASE PRINT and SIGN LEGIBLY! A transmittal Form is required. Our Operations Department will open the accounts (keep a copy for your files).**
- 2) Mail original forms to Operations in Ft. Lauderdale.

If you have a trade pending on the new account:

- 1) Fill out the new account form completely and accurately. On all forms, **PLEASE PRINT and SIGN LEGIBLY! A cover page is a good idea also.**
- 2) Fax the new account form only to:
Ken Brown at (954) 267-9392 or Lloyd Kramer at (954) 489-2390
* (For offices with a designated principal, please provide new account form to the principal for review and approval)
- 3) Follow up with a phone call or **preferably an email** to the person you faxed the new account application to. Please include in the email if the account **is time sensitive and/or has a trade pending.**
- 4) Please keep an eye on your Newbridge Securities email for a return email from the approving principal notifying you that a customer identification check has been done and account has been approved and forwarded to operations. Operations will be cc'd on this same email so they are aware the account is being forwarded to them.
- 5) Lastly, keep an eye on your Newbridge Securities email for an email to you from operations notifying you with the account number. This way all parties have a record of the status of the new account over time.

Please include a buy ticket with the faxed new account form to the approving principal. Please write in large letters "**TRADE PENDING**" anywhere on the new account form. Buy/sell tickets can be printed out on the "Forms" section of NSCNET. This ticket will be signed by the approving party and forwarded to trading.

Please note that on any trade processed on the same day the account is opened is subject to the **New Account Trade Verification Procedure**, this calls for the account and trade to be verified by the approving principal. For details on this procedure, please refer to the Business policies and Procedures Manual section 9.1.1 entitled "Verifying first trade in connection with opening of a new account" or speak to your Transition Coordinator.

Please note that all documents requiring client signature(s) will be sent out from our Ft. Lauderdale headquarters to the account address for return. You will have access to reports that track all missing account documents and it is your responsibility to drive these in.

Transferring an Account (ACAT)

- 1) Obtain a signed (by both clients if it is a joint account) ACAT form and a recent statement from the client transferring the account. We must have an original signature and we must have a recent (less than 6 months old) statement for the account in question. A faxed copy of the form will not be accepted.
- 2) Forward the signed original ACAT form, along with the transmittal form, to operations in the Ft. Lauderdale headquarters. **Please make certain that the client name, rep number, and account number are clearly legible on the form.**
- 3) Keep an eye on your Newbridge Securities email for notification from operations that ACAT form has been received and submitted. Or you will receive a fax copy of your transmittal form received.
- 4) You should see the ACAT received in the new account in approximately 6 business days. In the event that the transfer is denied, you will be notified by operations immediately.

Typically, the accounts coming over will have a small debit balance from the "exit fee" on the other side. In these instances you will be contacted by operations to discuss your options for covering this debit including: funds from client, sell transactions, or write off to your payroll.

Payroll

Our payroll system is different for annuities and securities. Securities are paid once per month and insurance based products are paid every other Friday.

Securities Payroll

Typically our commission month ends 3 business days from the end of the calendar month (The exact date is available on the "Calendar" section of NSCnet). On or around the 12th of each month you will receive a fax detail of all commissions and ticket fees for the previous commission period, and a cover sheet showing all miscellaneous credits/debits. You will have approximately 3-4 days to review and identify any concerns or corrections before payroll will be called in for direct deposit. After this time period any corrections will be processed on the following month's payroll.

Your initial payroll(s) should be reviewed with Noa Akins and the Transition Coordinator in the Ft. Lauderdale office.

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