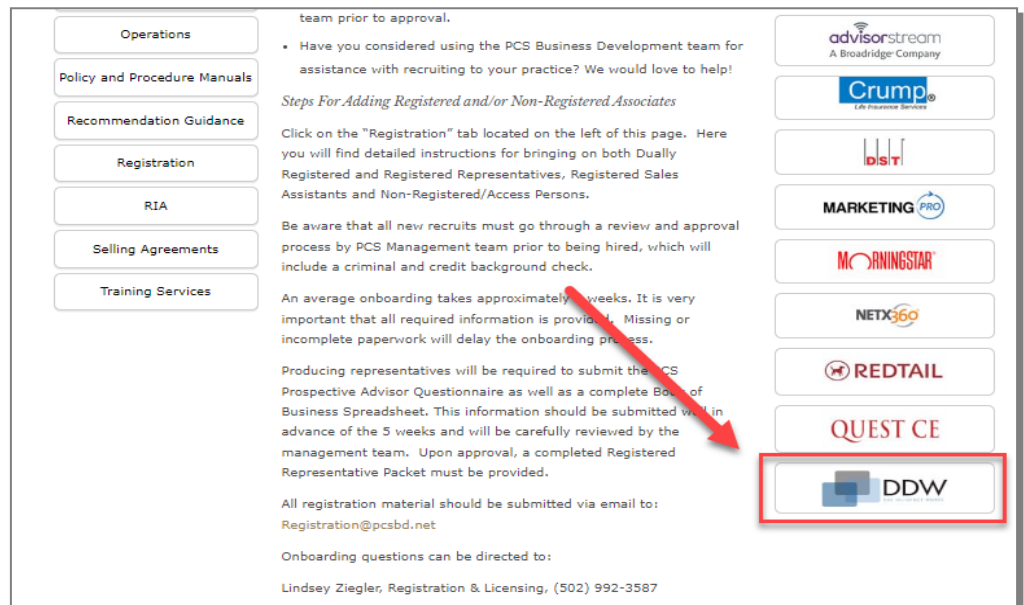


Steps to Complete the PTE 2020

ERISA Plan Rollovers and Non-ERISA Plan Rollovers

1. On the Advisor Resource Center go to DDW in the bottom right-hand corner.



team prior to approval.

- Have you considered using the PCS Business Development team for assistance with recruiting to your practice? We would love to help!

Steps For Adding Registered and/or Non-Registered Associates

Click on the "Registration" tab located on the left of this page. Here you will find detailed instructions for bringing on both Dually Registered and Registered Representatives, Registered Sales Assistants and Non-Registered/Access Persons.

Be aware that all new recruits must go through a review and approval process by PCS Management team prior to being hired, which will include a criminal and credit background check.

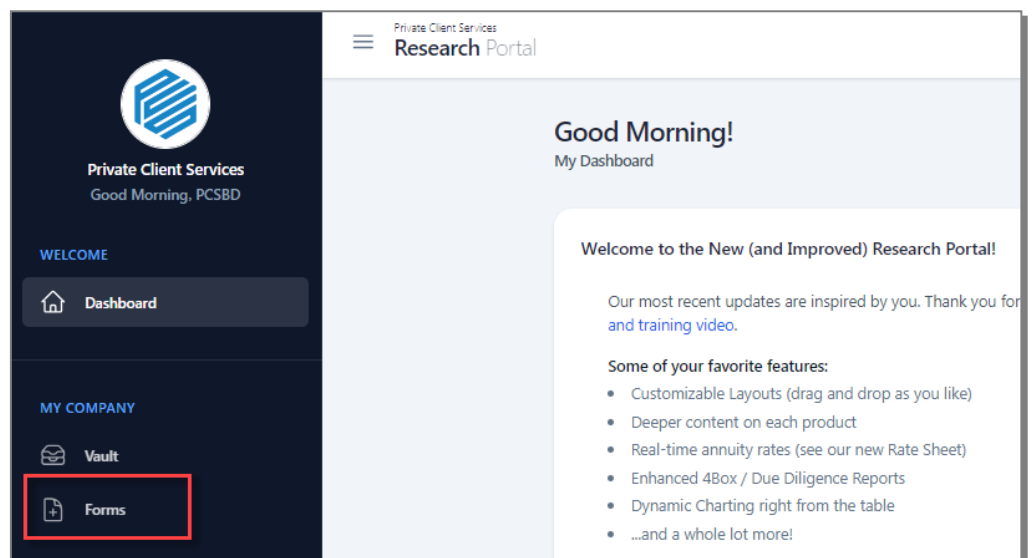
An average onboarding takes approximately 5 weeks. It is very important that all required information is provided. Missing or incomplete paperwork will delay the onboarding process.

Producing representatives will be required to submit the PCS Prospective Advisor Questionnaire as well as a complete Box of Business Spreadsheet. This information should be submitted well in advance of the 5 weeks and will be carefully reviewed by the management team. Upon approval, a completed Registered Representative Packet must be provided.

All registration material should be submitted via email to: Registration@pcsb.net

Onboarding questions can be directed to:
Lindsey Ziegler, Registration & Licensing, (502) 992-3587

2. Click on Forms.



Private Client Services
Research Portal

Good Morning!
My Dashboard

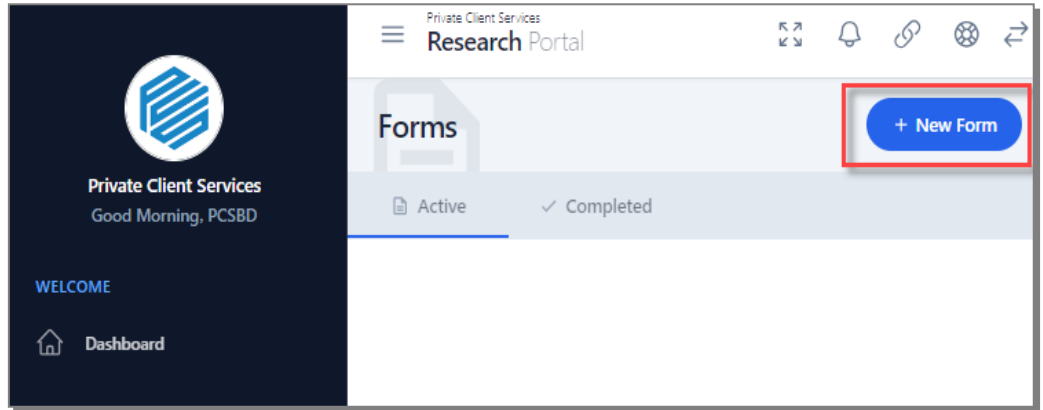
Welcome to the New (and Improved) Research Portal!

Our most recent updates are inspired by you. Thank you for and training video.

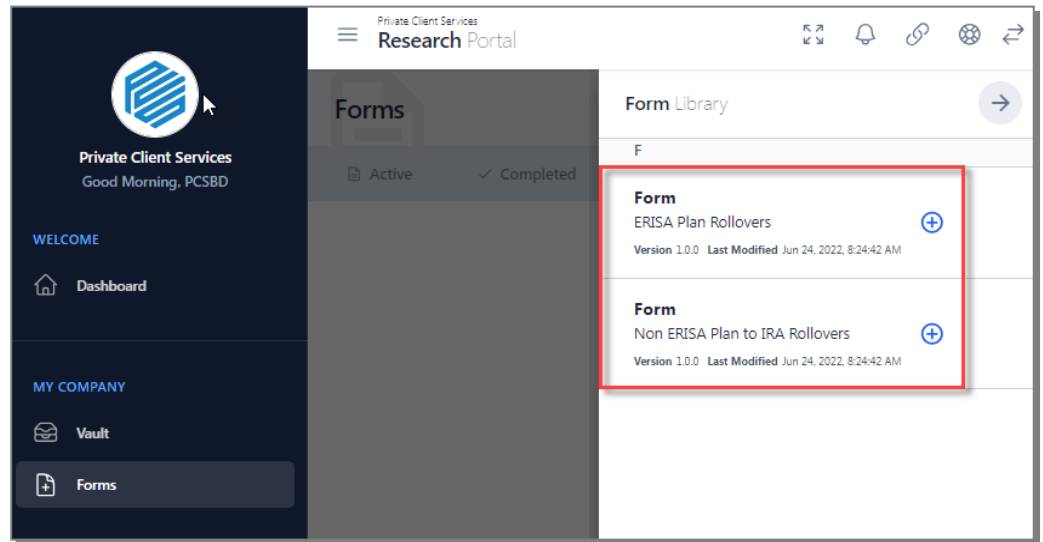
Some of your favorite features:

- Customizable Layouts (drag and drop as you like)
- Deeper content on each product
- Real-time annuity rates (see our new Rate Sheet)
- Enhanced 4Box / Due Diligence Reports
- Dynamic Charting right from the table
- ...and a whole lot more!

3. Click on New Form.



4. Choose either ERISA Plan Rollover or Non-ERISA Plan to IRA Rollover.



5. Answer client questions according to product type and download the document.

ERISA Plan Rollovers

1 Financial Professional Information

Financial Professional First Name * Financial Professional Last Name *

2 Investor Information

3 Current ERISA Plan

4 Proposed Products and Fees

5 Workplace Plan/IRA Rollover—Investment and Services Comparison

Non-ERISA Plan to IRA Rollovers

1 Financial Professional Information

First Name * Last Name *

2 Investor Information

3 Current Non-ERISA Workplace Plan or IRA Registration

4 Non-ERISA Workplace Plan/IRA Rollover - Levels of Service and Investments

5 Financial Professional's Recommendation