



Your Evolution

Explore Your Options

For Advisors Currently
with a Wirehouse

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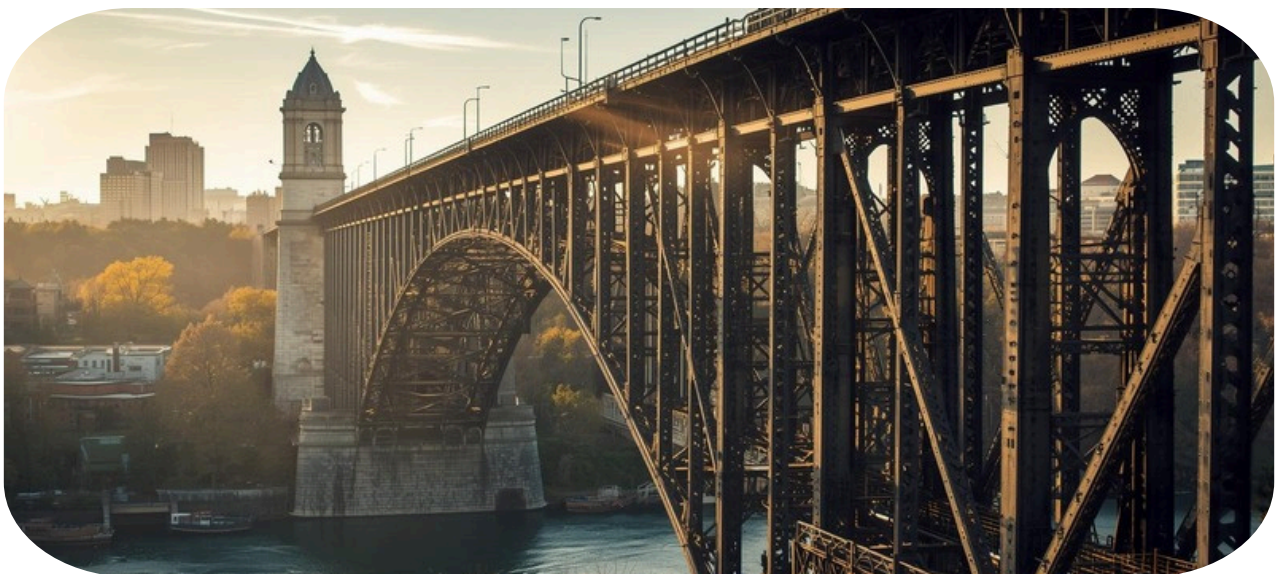
Introduction

The idea of independence can feel exciting—and a little daunting. On one hand, you gain control of your brand, your client relationships, and your future. On the other, you're leaving behind the built-in infrastructure of a large firm. This guide is designed to help you weigh the tradeoffs, ask the right questions, and think through what independence could look like for you.

What to Consider When Thinking About Independence

Advisors exploring independence often ask themselves:

- What happens to my client relationships if I make the move?
- How will I generate leads without the firm's pipeline or marketing machine?
- Can I match the technology and research resources I've been used to?
- Will I feel isolated without the brand and peer network of a large institution?
- Do I have a long-term plan for succession or continuity once I'm independent?



Options to Explore

If you're weighing independence, here are the main routes to consider:

- **Stay with Your Current Firm:** For some advisors, the stability and infrastructure of a wirehouse or insurance company still outweigh the benefits of independence.
- **Join an IBD Directly:** Partnering directly with an independent broker-dealer gives you control over your brand and clients, while relying on the BD for compliance and platform support.
- **Join an IBD Through an OSJ:** Working with an Office of Supervisory Jurisdiction adds another layer of support—compliance, operations, technology, and peer community—while still preserving your independence. A non-producing OSJ can be especially valuable, since its principals aren't competing for the same opportunities.
- **Join an Existing Independent Practice:** For some, aligning with an established independent team can ease the transition by sharing infrastructure and client support responsibilities while you build your footing.



Questions to Ask Yourself

These prompts can help clarify whether independence is right for you:

1. How important is brand ownership to my long-term goals?
2. Do I have confidence that clients will follow me if I make the move?
3. What support structures (compliance, technology, marketing) do I need most?
4. How comfortable am I with the financial risks of setting up a practice?
5. What do I want my practice to look like 5–10 years from now?

Self-Assessment Scorecard

How to Use This Scorecard

Sometimes it's hard to step back and see the full picture of how your practice is supported. This scorecard gives you a simple way to translate what you're feeling day to day into something more concrete. Take a few minutes to rate each area and see where the numbers point you. It won't make the decision for you, but it can highlight whether your current structure is carrying its weight or whether it's time to explore new options.

Use this scorecard to rate how well your current structure supports your practice. Rate each area on a scale of 1–5 (1 = needs significant improvement, 5 = fully supports me).

Area	Questions to Ask	Score (1-5)
Client Relationships	Do I have strong enough ties to bring clients with me?	
Lead Generation	Am I prepared to build my own pipeline without firm support?	
Technology & Research	Can I access comparable tools outside the wirehouse environment?	
Operational Confidence	Am I ready to manage staffing, workflows, and compliance?	
Community & Support	Do I have peers or a network to avoid feeling isolated?	
Long-Term Vision	Do I have clarity on how independence fits into my 5–10 year plan?	

How to interpret your scores:

- **24–30:** You may be ready for independence now.
- **15–23:** Some pieces are in place, but you'll need to build additional support before moving.
- **Below 15:** Independence may be a longer-term goal; focus on strengthening relationships, confidence, and resources first.



Finding the Best Fit for Your Practice

Choosing independence is one of the biggest career decisions you'll ever make. It's not about rushing the process. It's about asking the right questions, weighing the tradeoffs, and building a vision of the practice you want to lead. With the right preparation and support, independence can give you both the freedom and the foundation to build something lasting.



If this guide sparked questions, scan the code and schedule a quick call. We'll help you sort the next move.



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