

6C Discovery Intake

Three-page fillable intake for confidential advisor discovery. Complete what you can and save the PDF before sending it to your Continuum contact.

PRIVATE Complete only what you are comfortable sharing. Save the finished PDF and return it to your Continuum contact.

PRACTICE OVERVIEW

Full name *	<input type="text"/>	Email *	<input type="text"/>
Phone	<input type="text"/>	Primary office location	<input type="text"/>
Current firm/platform *	<input type="text"/>	Current firm other	<input type="text"/>
Years at current firm	<input type="text"/>	Total years in industry	<input type="text"/>
T12 revenue	<input type="text"/>	AUM	<input type="text"/>
Client households	<input type="text"/>	Recurring revenue %	<input type="text"/>
3-year revenue trend	<input type="text"/>	Top-10 concentration	<input type="text"/>
Top new-client sources	<input type="text"/>		
<input type="checkbox"/> Client referrals <input type="checkbox"/> COI referrals <input type="checkbox"/> Firm leads <input type="checkbox"/> Digital marketing <input type="checkbox"/> Seminars/events <input type="checkbox"/> Networking <input type="checkbox"/> Acquisitions			
Practice type	<input type="text"/>	Staff count	<input type="text"/>
	<input type="text"/>	Partnership structure	<input type="text"/>

REGULATORY & COMPLIANCE

Series licenses

Series 7 Series 65 Series 66 Series 24 Series 63 None

Designations

CFP CFA ChFC CLU CIMA CPA CPWA RICP None

Previous transition experience

Regulatory disclosures

Disclosure details

Currently under regulatory investigation?

Ever terminated from a firm?

CULTURE

Leadership style

Stability vs. growth

Business model philosophy

Autonomy vs. structure

Brand importance

Culture priorities

Collaborative Entrepreneurial Client-centric

Fiduciary-first Strong compliance Diversity

Ownership

COMMUNITY & SUPPORT

Mentorship importance

Peer advisor groups

Training/development

Planning Practice mgmt Marketing Investments

Technology Leadership Niche expertise

Conference frequency

COMPENSATION & CAPITAL

Current payout

Valuation range

Transition package

Comp factors

Grid enhancement Back-end bonus Equity

Recruiting rev share Acquisition financing Fee transparency

Benefits Need options

Retirement/exit timeline

Succession status

Succession support

Enterprise value

Equity interest

Practice formally valued?

PRACTICE COMPATIBILITY

Primary service model

Tech-forward practice

Serve a niche?

Niche markets

Medical Business owners Tech/startup Retirees

Women LGBTQ+ Cultural Athletes

Educators Military Widows/divorcees Other

Niche other

Client portability

Digital service %

Portability factors

Product capabilities

MF/ETFs SMAs Alternatives Annuities

Life insurance DI/LTC Banking/lending Trust

CAPABILITY

Tech stack note

Team handles tech / I'm not sure

Critical tech capabilities

CRM Planning Portfolio mgmt Trading

Client portal Documents Reporting Risk

Tax Marketing

CRM

Portfolio

Portal

Reporting

Tax

Planning

Trading

Documents

Risk

Marketing

Tech roadmap

Supervision structure

Ops capabilities

Account opening Money movement Responsive service

Reporting Compliance Marketing Custodians

Integration

Product breadth

Emerging products

TRANSITION READINESS

Current mindset [dropdown]

What's prompting exploration?

- Comp concerns, Tech limits, Lack of support, Culture issues, Instability, Succession, Better client tools, Autonomy, Proactive

Biggest transition concern [dropdown]

Current agreements/obligations

- Non-compete, Non-solicit, Promissory note, Retention loan, Partnership/equity, Deferred comp, None aware, Unsure

CURRENT FIRM RATINGS

Rating scales for Culture, Community, Compatibility, Capability, Compensation, Capital, Overall satisfaction, Likely to recommend

GROWTH & SCALE

Growth ambition [dropdown]

Scale capabilities

- Junior advisor, Client service, Marketing/lead gen, Automation, Acquisition financing, Strategic planning, None

Current firm scalability [rating scale]

FINAL THOUGHTS

Practice in your own words

Large text area for practicing in own words

Anything else we should know?

Large text area for anything else we should know

How did you hear about us? [dropdown]

Referral other

Best time to reach you

- Weekday AM, Weekday PM, Weekday evening, Weekends, Flexible

Preferred contact method [dropdown]