

Employment Termination Checklist

Complete the items in this checklist immediately following notifying the associate of the termination of their employment.

Collect security key and name tag

Collect any other company-owned materials (e.g., laptop, iPad, etc.)

Remove network access/login name

Remove access to email (including webmail)

Remove access to broker/dealer subscription

Remove access to CRM

Remove access to financial planning software

Remove any other credentials that allow access to client information (e.g., mass email system, custodian, etc.)

Change username on any other non-network company software on computer (project management software, conference call software, etc.)

Communicate departure to team

- » As soon as is feasible, gather team together:
 - State who has departed and address next steps:
 - » Redistributing job duties
 - » Any plans to hire replacement
 - » Message to convey to clients
 - Close with encouragement and optimism.
 - Expect “hallway chatter,” so monitor and address as needed.

Determine communication strategy to clients (if needed)

Notify broker/dealer of termination

Forward incoming phone calls to another team member

Remove phone extension from group mailbox

Remove from employee phone directory

Redirect incoming emails to another team member

Remove email from distribution list and user groups

Remove from email distribution lists

Move pending calendar items to another team member

Remove birthday and anniversary announcements from calendars

Notify payroll service of termination and any PTO payout for unused time or deduction for unearned time used needed for final pay check

Notify 401(k) custodian of termination

Notify health insurance provider of termination (if applicable)

Remove individual from company website



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