

# BROKER/DEALER SCORECARD

At Securities America, we don't just "talk the talk," we also "walk the walk"! Use this Broker/Dealer scorecard to assess how your needs are (or are not?) currently being met, and see what Securities America can do for you! Take a look at the only RepCentric® Broker/Dealer.

**The Right Direction. Yours.**

<i>Does your current or future Broker/Dealer...</i>	SA	B/D #1	B/D #2	B/D #3
Have turnkey Client Acquisition Programs and Tools to help you acquire & retain ideal clients?	✓			
Offer customizable marketing materials like personal brochures, greeting cards & CD business cards?	✓			
Have a Representative Advisory Board and Sales Assistant Advisory Board?	✓			
Have specific conferences and educational opportunities for your assistants and support staff?	✓			
Offer an integrated financial planning and asset allocation tool, including online resources, calculators, client presentation materials, pre-approved newsletters, and more?	✓			
Offer "HR Advantage", a turnkey Human Resources support program for your office?	✓			
Provide a network, marketing tools, and assistance in helping you <i>recruit new reps</i> to your branch?	✓			
Offer a FREE weekly economic commentary email that can be customized and sent to your clients?	✓			
Offer a new, customizable direct mail client letter for your use each month?	✓			
Have a division that supports Registered Investment Advisors?	✓			
Have an employee-to-representative ratio of 1:5 or better?	✓			
Offer comprehensive E&O that covers securities, investment advisory, and insurance activities?	✓			
Offer discounts to independent third-party research including Morningstar® products?	✓			
Offer practice management services including on-site consulting, hiring and compensation tools, daily office and workflow guide, client survey guide, etc.?	✓			
Allow fixed insurance production credits to offset other fees?	✓			
Have experienced professional insurance and advanced markets staff support?	✓			
Clear through NFS (a division of Fidelity) and Pershing?	✓			
Offer accounts with Check Writing, Debit Card and IRA Check Writing options?	✓			
Have a "Top Rep" support service set up?	✓			
Pay your commissions <u>weekly</u> ?	✓			
Offer free Periodic Investment Plans (PIPs) and Systematic Withdrawal Plans (SWPs)?	✓			
Link variable annuities to the client's brokerage statement?	✓			
Allow Branch Managers to get a signature guarantee stamp?	✓			
Allow a split representative number with multiple representatives?	✓			
Collect and organize available online information and services on how to better run your independent business?	✓			
Offer you low cost online quotes, news, and research services?	✓			
Give you the ability to process your securities transactions and applications online?	✓			
Provide you real-time online management reports you can run as needed?	✓			
Offer low cost, unlimited, real-time dynamically updated quotes?	✓			
Offer you a fully automated online help desk to answer common questions or concerns quickly?	✓			
Deliver transactional, management and marketing information via daily e-mail?	✓			
Offer a range of common interfaces to ease data downloads to your office?	✓			
Offer online new account set-up and multiple account update functionality direct from your office?	✓			
Offer online access to your clients for their account balances, history and positions?	✓			
Offer an "action report" that gives your office a central location for managing daily office activities?	✓			
Offer transition support?	✓			
Provide special training for your staff?	✓			
Analyze your business to be certain that you comply with your new broker/dealer's requirements prior to your transition?	✓			
Help you with your transfers and change of dealer letters?	✓			

<b><i>Does your current or future Broker/Dealer...</i></b>	<b>SA</b>	<b>B/D #1</b>	<b>B/D #2</b>	<b>B/D #3</b>
Offer the flexibility to affiliate under the broker/dealer's corporate RIA or to use your own RIA?	✓			
Pay 12(b)1 fees on fee-based accounts?	✓			
Offer programs where you have the choice of managing the money yourself or picking outside money managers then splitting the fee?	✓			
Offer over 3,300 load-waived and no-load funds in managed accounts?	✓			
Allow you to charge fees on annuities you manage?	✓			
Calculate fees using average daily balance or market value?	✓			
Offer discretionary trading on no-load and load-waived funds?	✓			
Provide flexible fee schedules – Flat, Tiered, and Linear fee schedules?	✓			
Allow ticket charges to be passed through to the client or absorbed by you?	✓			
Offer over 800 No-Transaction-Fee (NTF) funds?	✓			
Provide integrated, on-demand, online performance reports for all accounts?	✓			
Prepare client agreements, disclosure brochures, and draft and amend your ADV?	✓			
Calculate and deduct fees directly from client accounts either monthly or quarterly?	✓			
Offer a monthly educational audio series?	✓			
Provide a Professional Alliance Program to share fees with CPAs and other professionals?	✓			
Provide cost basis information via the Internet and on client statements?	✓			
Offer Performance Reports using benchmark comparisons?	✓			
Provide a step-by-step guide and workshop on converting to fees?	✓			
Have an Annual National Conference and Professional Development Conference?	✓			
Provide an RIA compliance website with compliance calendar notification?	✓			
Arrange an online approved managed account client presentation?	✓			
Offer Trading and Rebalancing software?	✓			
Offer model portfolios with asset specific recommendations?	✓			
Offer a complete continuity of practice program?	✓			
Provide access to Advanced Advice Services such as Stock Option Analysis, Expert Planning Advice, and Business Valuation Analysis?	✓			
Offer Deferred Compensation to qualified representatives?	✓			
Offer over 13,000 mutual funds?	✓			
Offer over 250 variable annuities and over 50 variable life products?	✓			
Monitor your accounts to make sure they transfer over in a timely fashion to prevent losing trails?	✓			
Offer reasonable continuing education charges and flexible requirements?	✓			
Provide an online consolidated portfolio management system with contact management?	✓			

**LIST BELOW ANY ADDITIONAL QUESTIONS ABOUT PRODUCTS & SERVICES; CALL SECURITIES AMERICA FOR ALL YOUR ANSWERS!**

<b><i>Does your current or future Broker/Dealer...</i></b>	<b>SA</b>	<b>B/D #1</b>	<b>B/D #2</b>	<b>B/D #3</b>
Offer: _____ (Insert your key product/service)?				
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Securities America could be the right choice for you! Contact our Branch Office Development Department TODAY at **1-800-989-8441** or e-mail [branchofficedevelopment@saionline.com](mailto:branchofficedevelopment@saionline.com).

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