

## Flexible Programs to Support Your Unique Value

Selecting how to affiliate with an independent broker/dealer can have a big impact on your business. There are always payout considerations, but **more importantly**, you should carefully consider what will make YOU the most comfortable operating your new business. Securities America can support you in the following ways:

**Join an Existing OSJ:** You may associate with an existing branch/OSJ, who will take on the responsibility of compliance supervision, account and order processing, normal operations and general office administration.

- We'll introduce you to existing branch manager, who fits your business model. You may work in his/her physical location or from a satellite location.
- We will provide you with general guidelines regarding your payout and expense allocation under an existing branch.
- We will run a pro forma P&L for your discussion with branch manager.
- We will review your Representative Agreement with you before you complete your discussions with the branch manager.

**On Your Own:** As a representative at Securities America, you may work out of your home, out of an Executive Office Suite or other location that is satisfactory to you. Your office may be in proximity of other professionals such as CPAs, attorneys, etc., and we will show you how to define your space, being properly separated from them to comply with securities regulations.

- Being "On Your Own" doesn't mean you work "alone." Our Transition Team will help you get the ball rolling will all the forms and documentation you need, and they're only a phone call away when you have questions or encounter problems. Our Practice Management team is your in-house resource for proven business building solutions and growth programs. Human Resources solutions like our "HR Advantage" program can help you with staffing issues, and our Wealth Management department can help you with planning tools and resources. From daily support to ongoing coaching and mentoring, we're here to help you.
- Our Practice Management Group can provide you with recommendations to assist you in getting your business up and running in the minimum amount of time.

We can assist you with the logistical requirements for operating your own office including items such as office management, operations processes, sales assistance, as well as requirements for equipment such as computers, printer/copier/fax/scanners, connectivity requirements etc.

**Form a Branch:** If you and other producing representatives want to join Securities America together (to create your own branch/OSJ configuration), tap into our Practice Management expertise to help you create an efficient enterprise and avoid the common pitfalls. We will assist you in creating a strategic plan that will let everyone in the group focus on their business, instead of the distractions of practice management.

Some elements might include:

- Profit Sharing concepts.
- Expense sharing: Common and Individual Expenses.
- Legal entity options.
- Personnel needs.

**Multi-Family/Wealth Management Office:** One of the true advantages of being an independent advisor at Securities America is your ability to focus on the type of clientele you want. If you plan on working with affluent clients, you can establish your *business image* as you see fit. Clients work with you, not a brokerage firm, so position your practice in the manner you want your clients to view you/it.

Here are some sample topics to discuss with Securities America:

- Business Management
- Facilities Management
- Concierge Services
- Trademarks, logos etc. = Branding your Business & Processes
- Professional Suite: Associated CPAs, Trust and Estate Planning Attorneys, and Life Insurance Specialists.
- How we provide you with access to specialty products, such as Money Management, Hedging, Option Financing, Variable Forwards and other sophisticated investment strategies.

You already know that making a change is a big step. We're here to answer any questions you may have and help you map out the road ahead. Give us a call to discuss what business model might be best for you!

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