WELCOME TO ADVISOR GROUP

Advisor Group
IN YOUR CORNER

INTRODUCTIONS

Please share with us:

1. Your name
2. Your role at Advisor Group
3. Two things about yourself that we probably don't know about you

Advisor Group
IN YOUR CORNER

ADVISOR GROUP 2018 STRATEGY AND GOALS

Our 2018 investments and goals align with our vision and mission, and contribute toward achievement of four key 5 year planning metrics:

Assets Under Administration (AUA) Growth, Same Store Sales Growth, Service Improvements**, and **Margin Expansion.

Our Vision

Creating a world in which financial advisors are supported and esteemed as heroes.

Our Mission

To inspire and equip the hero in every financial advisor and acknowledge their profound importance in people's lives.

Our Values… the way we work

Outcomes	*Goals*
Thrive in the Fiduciary Era	• Broaden skills & solutions to support holistic planning across the spectrum of client needs • Strengthen Fiduciary processes/procedures
Improve the Advisor & Service Experience	• Maximize ease of doing business with significant advances in the digital/mobile/self-service experience and workflow enhancements • Instill customer service fundamentals & metrics throughout all interactions (internal & external)
Invest in our People	• Develop our team to better support Advisors and each other • Align goals and performance management strategies to create accountability, and to inspire and reward high-performing teams • Build the Advisor Group reputation as a great place to work through engaged and empowered employees
Gain Efficiency & Innovation	• Optimize processes & systems to increase organizational effectiveness and support growth
Reinforce Risk Management	• Strengthen regulatory compliance & overall risk management (operational risk, financial risk, etc.)

WHAT DO WE DO?

NEW HIRE WELCOME PACKAGE

Branded Folder
Branded Padfolio & Pen
Values Poster 8.5 x 11
Values Cube Post Its
Values Badge Card
Help Desk Mouse Pad
Lanyard
New Hire Orientation Invitation
Coffee Mug

Advisor Group
IN YOUR CORNER

Our Vision	Our Mission
Creating a world in which financial advisors are supported and esteemed as heroes.	To inspire and equip the hero in every financial advisor and acknowledge their profound importance in people's lives.

Our Values

INTEGRITY

We conduct ourselves with honesty and transparency.

We put the company's mission before our own.

RESULTS

We appreciate effort, reward results.

We have fun while achieving success.

Everyone matters.

CUSTOMER FOCUSED

We provide extraordinary levels of service and care.

We hold ourselves accountable and take ownership.

TEAMWORK

We collaborate and make each other better.

We respect each other and have constructive conversations.

INNOVATION

We challenge the status quo and embrace continuous improvement

AG Advisor Group
IN YOUR CORNER

VALERIE BROWN VIDEO

- What surprised you the most about what Valerie shared regarding Advisor Group?
- Based off Valerie's overview of our business, what do you think makes us different from our competitors in this space?

WHAT MAKES US DIFFERENT?

Independent broker-dealer rankings

Advisor Group is one of the nation's largest broker-dealer networks by revenue

Ranked 4th among independent broker-dealers by revenue ($MM)	
LPL Financial	$3,977
Ameriprise Financial	$3,945
Raymond James	$1,790
Advisor Group	$1,308
Commonwealth Financial Network	$1,069
Wells Fargo Advisors Financial Network	$911
Lincoln Financial Network	$826
AXA Advisors LLC	$728
Cambridge Investment Research Inc.	$711
Securities America Inc.	$536

Source: Investment News 12/2016 Rankings

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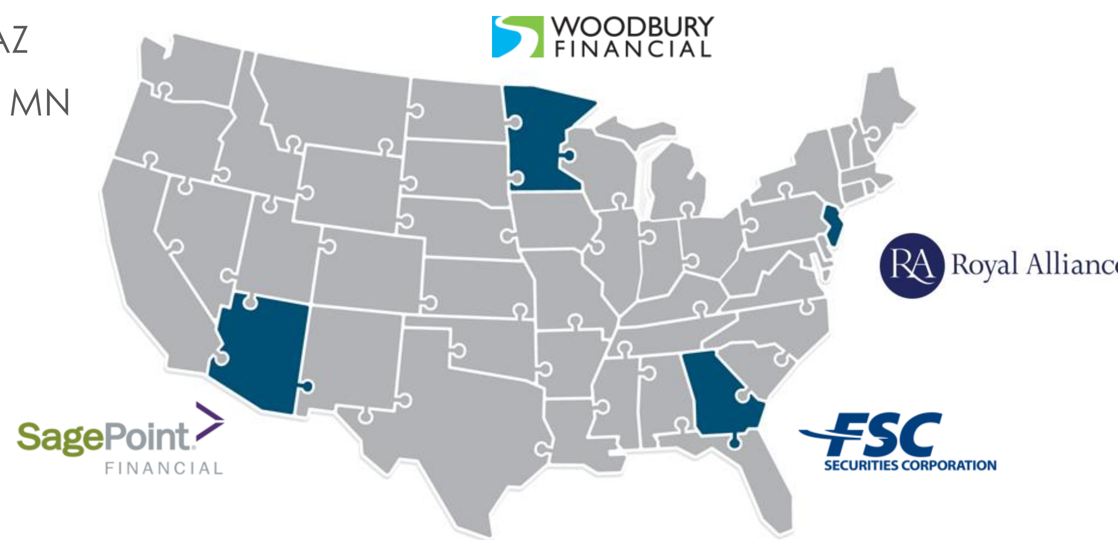
OUR FIRMS

Each of Advisor Group's four firms has its own history, culture, branding, and position in the marketplace. Right-sized firms with the services, support, and scale equal to the largest financial services organizations in the industry.

- FSC Securities – Atlanta, GA
- Royal Alliance – Jersey City, NJ
- SagePoint Financial – Phoenix, AZ
- Woodbury Financial – Oakdale, MN



Advisor Group
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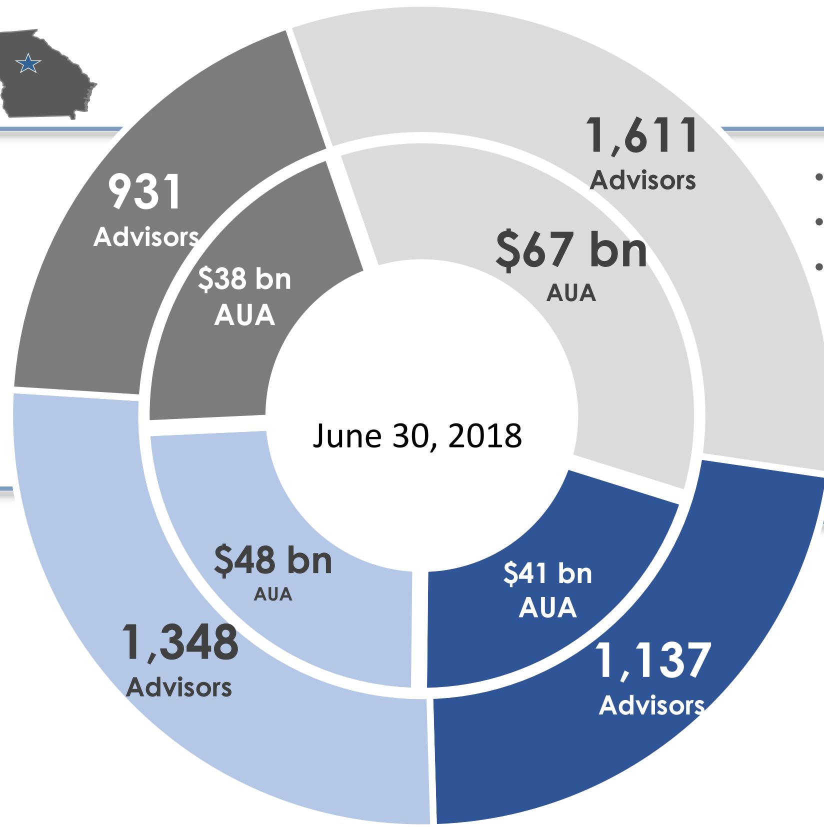
OUR FIRMS

FSC SECURITIES CORPORATION

- Headquarters: Atlanta, GA
- Established: 1958
- Acquired: 1996

SagePoint FINANCIAL

- Headquarters: Phoenix, AZ
- Established: 1970
- Acquired: 2005



Royal Alliance

- Headquarters: Jersey City, NJ
- Established: 1969
- Acquired: 1990

WOODBURY FINANCIAL

- Headquarters: Oakdale, MN
- Established: 1968
- Acquired: 2012

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ATLANTA OFFICE

Address:
2300 Windy Ridge Pkwy
Suite 1100
Atlanta, GA 30339

Phone: (800) 547-2382

Employees: 183 Current Employees

Functional Areas:

- Compliance & Risk
- Finance
- FSC Securities Corporation
- Human Resources
- Information Technology
- Marketing
- National Sales
- Strategic Initiatives & Operations
- Wealth Management Solutions

Key Contacts

Najet Palmateer
770-858-6831
Npalmateer@fscorp
.com

Location Facts

Time Zone: Eastern Standard Time

Travel time to ATL Airport: 35 minutes

Amenities

- Free On-site Parking
- On-Site Café
- On-Site Car Detailing
- On-Site Workout Facilities

Advisor Group
IN YOUR CORNER

Home of Financial Service Corporation (FSC) Securities Corporation

President & CEO: Derek Burke

Established: 1958

JERSEY CITY OFFICE

Address:
10 Exchange Place
Suite 1410
Jersey City, NJ 07302

Phone: (800) 821-5100

Employees: 87 Current Employees

Functional Areas:

- Compliance & Risk
- Information Technology
- Legal
- Marketing
- Royal Alliance Associates
- Strategic Initiatives & Operations
- Wealth Management Solutions

Key Contacts

Mayra Ferrer
212-551-5235
Mferrer@advisorgro
up.com

Location Facts

Time Zone: Eastern Standard Time

Amenities

- On-Site Café
- PATH train access on-site
- Light Rail Access
- Ferry Access

Advisor Group
IN YOUR CORNER

Home of Royal Alliance Associates, Inc.

President & CEO: Dmitry Goldin

Established: 1969

PHOENIX OFFICE

Address:
20 E Thomas Rd
Suite 2000
Phoenix, AZ 85012

Phone: (800) 552-3319

Employees: 251 Current Employees

Functional Areas:

- Compliance & Risk
- Finance
- Human Resources
- Information Technology
- Legal
- Marketing
- National Sales
- Strategic Initiatives & Operations
- SagePoint Financial
- Strategic Initiatives & Operations
- Wealth Management Solutions

Key Contacts

Simone Paz
602-262-3355
Simone.Paz@advisorgroup.com

Location Facts

Time Zone: Mountain Standard Time

Travel time to PHX Airport: 20 minutes

Amenities

- Free On-site Parking
- On-Site Café
- On-Site Car Detailing
- On-Site Workout Facility
- Centrally located to Valley Metro

Advisor Group
IN YOUR CORNER

Home of Advisor Group

President & CEO: Jamie Price

Established: 2016

Phoenix Home Office

Home of SagePoint Financial

President & CEO: Jeff Auld

Established: 1970

OAKDALE OFFICE

Address:
7755 3rd Street North
Oakdale, MN 55128

Phone: (800) 800-2638

Employees: 124 Current Employees

Functional Areas:

- Compliance & Risk
- Finance
- Human Resources
- Information Technology
- Marketing
- National Sales
- Strategic Initiatives & Operations
- Wealth Management Solutions
- Woodbury Financial Services

Key Contacts

Julie Hinz
651-702-1901
Julie.hinz@woodburyfinancial.com

Location Facts

Time Zone: Central Time Zone

Travel time to MSP Airport: 30 minutes

Amenities

- Free On-site Parking
- Free coffee, tea and seasonal beverages
- Central to freeways and restaurants

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Home of Woodbury Financial

President & CEO: Rick Fergesen

Established: 1968

ACTIVITY 1 – DISCUSSION QUESTIONS

1. What is our oldest broker-dealer firm? When was it established and where is it located?

2. Which sites have “Legal” as a Functional Area?

3. Who is the president of our firm based in the Midwest?

Advisor Group
IN YOUR CORNER

Executive Leadership Team

ACTIVITY 2 – DISCUSSION QUESTIONS

1. **Scenario:** You are working with a vendor to implement a new tool that will make life easier for AG employees. Which department(s) should you engage with to help you with this project? Who leads these functions?
2. **Scenario:** You have growing concerns that a business process may not be in compliance with a newly passed government regulation. Which department(s) might be able to help you address the concern? Who leads these functions?
3. **Scenario:** An old friend is a long-time financial advisor and mentions that she is considering switching her affiliation to another broker-dealer firm. Who might you connect her with to help? Who leads these functions?

HR PROGRAMS

BENEFITS OVERVIEW

Medical Plan Choices

Three medical plan options administered by UnitedHealthcare (UHC) & One Kaiser Permanente HMO for our CA & GA associates.

- **UHC PPO Middle Plan** – Offers in- network coverage and out-of-network coverage with co-pays.
- **UHC PPO High Plan** – Offers in- network and out-of-network coverage with deductibles and coinsurance.
- **Consumer Driven Health Plan (CDHP)** – A consumer-driven health plan option with a Health Savings Account (HSA) feature that lets you save money on a before-tax basis, and features a Company contribution for current or future medical expenses.
- **Kaiser Health Maintenance Organization (HMO)** For our CA and GA associates

Pharmacy

- **Optum Rx** – Prescription drug benefits automatically received with your EPO, PPO or CDHP Plan election.
- **Kaiser Permanente**– For California and Georgia associates with Kaiser HMO medical coverage.

Dental Plan

Two Cigna Dental plan options:

- **Dental PPO Plan** – PPO option offers a high level of in-network benefits and reduced out of network benefits. There is a deductible and an annual benefit maximum.
- **Dental DMO Plan** – DMO option offers a high level in-network only co-payment benefit. There is no deductible and an unlimited benefit maximum. Employees must select a (PCD) Primary Care Dentist through Cigna. In-network offered in most states.

Vision Plan

The vision plan is offered through EyeMed – Plan includes coverage for eye exams, contacts, frames and lenses.

401K

A company match of 100% on the first 3%, and 50% on the next 2%, fully vested with no waiting period. Both pre-tax and after tax contribution options offered. Vanguard administers the 401(k) plan for Advisor Group.

- New associates will be automatically enrolled in the Traditional 401(k) plan at 5% contribution rate.

The Advisor Group, Inc Summary Plan Description (SPD) can be found on our Vanguard website.

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BENEFITS OVERVIEW

Flexible Spending Accounts (FSA)

Set aside money on a before-tax basis with:

- **Health Care FSA** – for eligible health care expenses.
- **Limited Purpose FSA** – for qualifying dental and vision expenses if you enroll in the CDHP.
- **Dependent Care** – for dependent care expenses.

Commuter Expense Reimbursement Account (CERA) Save money on commuting costs to work by having before-tax dollars deducted from pay.

Employee Assistance Program (EAP) – A confidential assistance program to help address the personal issues you and your dependents are facing.

Other Insurance Options

- **Employee Life Insurance** – Company paid coverage pay to a maximum of $250,000.
- **Employee Supplemental Life Insurance** – Additional coverage up to 8x base pay to a maximum of $2.0 million, may be subject to Evidence of Insurability.
- **Dependent Life Insurance** – Spouse coverage of $20,000 and /or child(ren) coverage of $4,000.
- **Personal Accident Insurance** – Coverage for you and/or covered dependents between $20,000 and $1,000,000.
- **Short-Term Disability Coverage (STD)** – Employer paid coverage which replaces a percentage of your salary for up to 26 weeks of a non-work related disability.
- **Long-Term Disability Coverage (LTD)** – Employer paid coverage which replaces a percentage of your monthly earnings up to a specified amount. Employees may purchase additional coverage.
- **Critical Illness Insurance** – Coverage rates are age based with a maximum benefit of $20,000.

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BENEFITS OVERVIEW - ENROLL

- **Benefits coverage effective date:** Your hire date
- **Deadline to elect benefits:** Within 30 days of your hire date

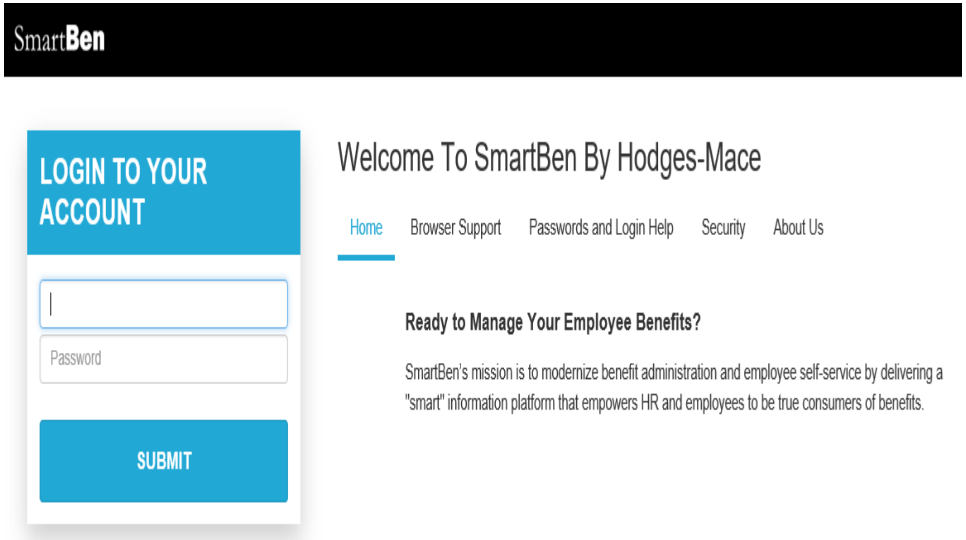
How to enroll in benefits:

1. Login to SmartBen, AG benefits system: https://www.smartben.com/Home

2. Click on "Begin Enrollment" and follow enrollment instructions.

Username: AG + your Workday Employee ID number – Example: AG123456

Your temporary password: Your date of birth: MMDDCCYY – Example: 10121980



For help, contact:
SmartBen Assist 877-487-1287
Monday through Friday 8:00 am -8:00 pm EST
Email: smartbenassist@advisorgroup.com

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TIME OFF

Paid Time Off (PTO): 20 days

Paid Sick Time (PST): 5 days

Volunteer Time Off (VTO): 2 days

Paid Holidays: 9 days

See Employee Handbook and Intranet for Details

Advisor Group
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PAYROLL

Payday: Biweekly, every other Friday, and paid current.

- Overtime is paid two weeks in arrears.

Two types of employees:

- Non-Exempt: Eligible for overtime pay and required to log hours worked in Workday
- Exempt: Not entitled to overtime and only required to log exception pay, i.e. PTO, PST.

Your Profile in Workday:

- View your paycheck
- Direct Deposit: Fastest and safest way to get paid. Set up through Workday.
- Withholding taxes: Review your federal and state tax withholding set up

Payroll Calendar: https://advisorgroup--c.na43.content.force.com/servlet/servlet.FileDownload?file=00P0G00000tBNVJUA4

For questions about your paycheck, contact:
Ivon Dominguez 602-744-3075
Email: ivon.Dominguez@advisorgroup.com

Advisor Group
IN YOUR CORNER

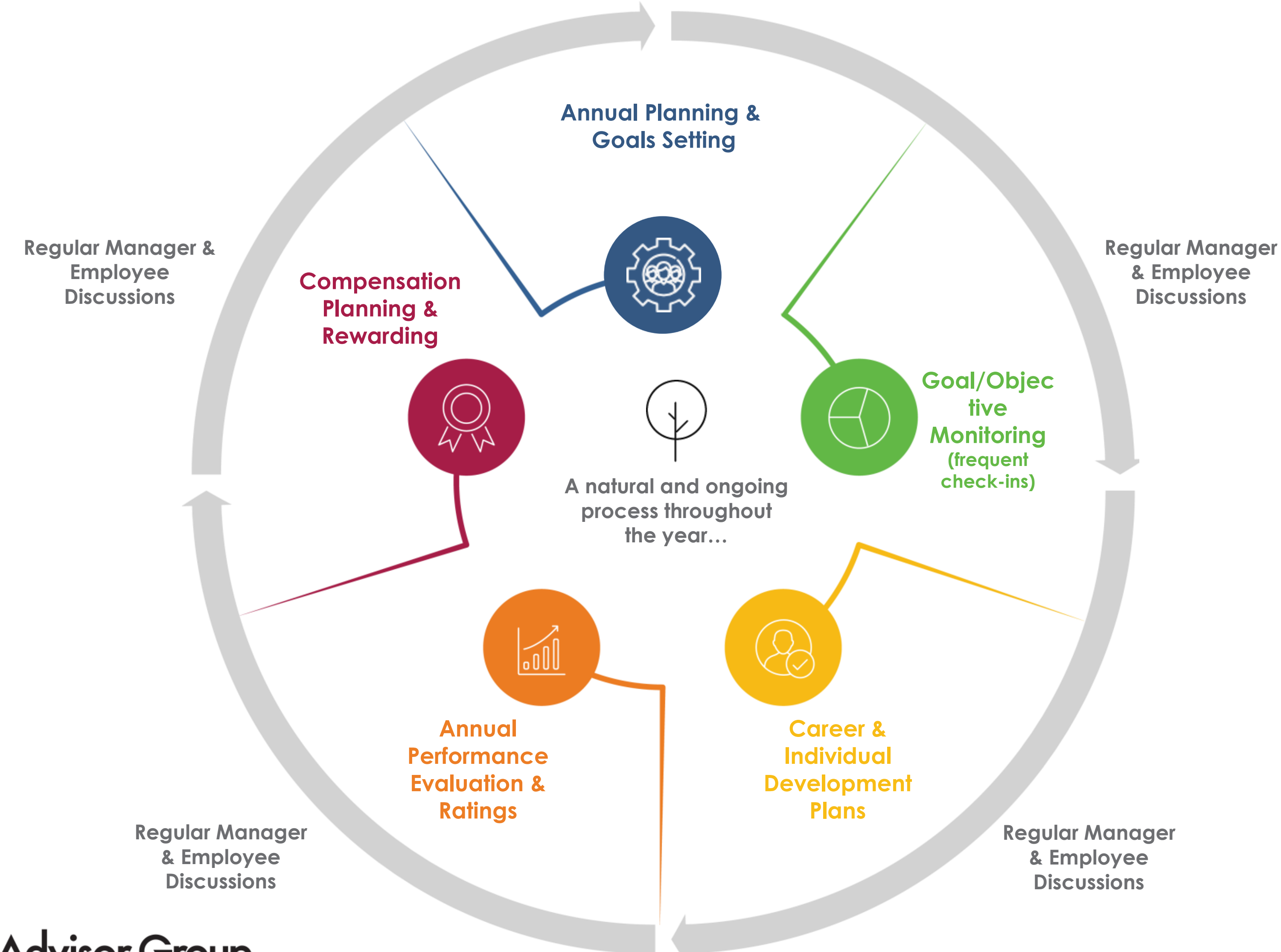
Workday Home Screen Worklets

Workday smart phone app can be downloaded for added convenience. Please see the Appendix section for instructions.

WORKDAY

Career	Search for open jobs and apply for them and/or refer outside candidates
Celebrate Moments	Recognize and reward colleagues with e-cards and performance awards
Employee Directory	Search by first or last name to find contact information
Expense Reporting	Process your travel reimbursements
Inbox	Notifications of your Workday-related reports and transactions requiring action
Organization Charts	View official organization charts up-down-sideways across the business
Payroll	Check pay slips, timesheets, withholding elections and more
Performance	Set your annual goals and review progress during the year
Personal Profile	The company's official record of your employment, including contact information, photo, and other details
The Learning Corner	Access hundreds of self-paced professional training courses and videos
Time Off	Place requests for taking time off and view your PTO balance
Reports	Summary of your Workday system reports (eligible employees and managers)

PERFORMANCE MANAGEMENT CYCLE



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S.M.A.R.T. GOALS

Specific — Goals must be clear and unambiguous so you can easily measure your progress toward their completion.

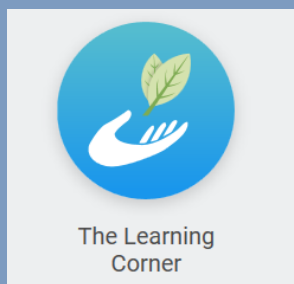
Measurable — Measurable goals, when achieved, can be confirmed or verified. Identify the metrics for measuring the attainment of each goal.

Achievable — Any goal should be something that can be realistically achieved but should still be a stretch.

Relevant — All development goals need to match the goals and values of the business.

Time-bound — Identify the date or timeframe for completion.

The Learning Corner



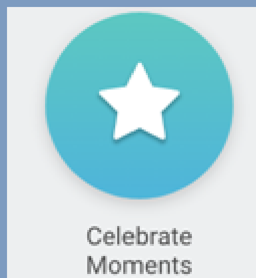
EMPLOYEE LEARNING

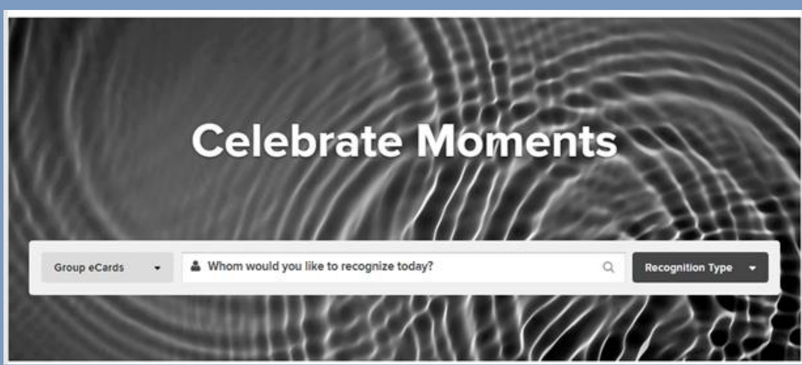
Self-service learning available On-Demand and accessible from your Workday home screen. The Learning Corner seeks to provide learning under various topics and areas of focus.

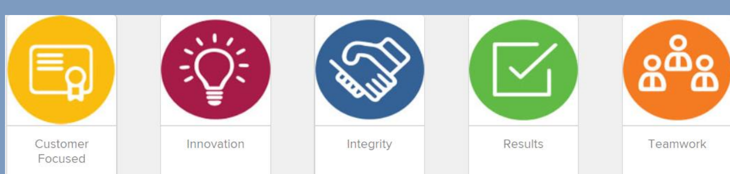
Areas of Focus

- Strategic Planning & Organizing
- Service & Collaboration
- Communication
- Problem Solving & Decision Making
- Leadership
- Talent Development
- Manager Skills
- Customer Focus
- Desktop Skills

Celebrate Moments







Celebrate Moments smart phone app can be downloaded for added convenience. Please see the Appendix section for instructions.

EMPLOYEE RECOGNITION

Celebrate Moments is the Employee Recognition Website that employees and leadership use to recognize direct reports as well as peers for a job well done.

Career Service Awards

- Recognition of employment anniversaries in five year intervals
- Colorful certificates
- Team celebration

Peer to Peer /General Awards

- Recognize peers for a job well done
- Managers recognize employees for a job well done
- Large variety of e-cards for every occasion

Performance Awards

- Bronze, Silver, Gold and Platinum service awards
- Each level has a point value and can be redeemed for free gifts from a catalog

Culture Cards

- E-cards focusing on Advisor Group Values: Customer Focus, Innovation, Integrity, Results and Teamwork
- Recognize peers and leaders for living the Advisor Group culture and promoting our values

EMPLOYEE REFERRALS

Award Amount

$3,000

Paid 1-2 Payrolls After 90 Days Post Hire Date

Award is Taxable Income

Who Can Refer for Bonus?

All Employees*

*ELT, HR, Hiring Managers, Immediate Family Members Are NOT Eligible

Contractors, Interns, Consultants Are NOT Eligible

Referral Info

First & Last Name

Email Address

Refer to a Specific Job Posting

Requirements

Referral is Hired & Active at Time of Payout

Referral in Workday Prior to Candidate Application

Referral (New Hire) Conditions

Referrals Excluded from Bonus Eligibility: Former or Active: Intern, Employee, or Contingent Worker; Immediate Family Member; Positions in Downline Reporting Structure; Agency Submission

Program Notes

The first employee to refer an individual to a position is credited with the referral.

Referral Bonuses are not split between individuals.

Referrals are subject to leadership review, approval and discretion.

Celebrate Moment e-cards used to notify bonus recipients of awards. Celebrate Moments <u>POINTS should NOT be issued for any referrals</u>.

Referrals Made in Workday After July 1, 2018 are Eligible for New Awards Amount.

Advisor Group
IN YOUR CORNER

EMPLOYEE REFERRALS

1

Advisor Group | Find Jobs

Type "Find Jobs"

2

42 Results

Trade Suitability Analyst

R0000559 | Posting Date: 06/14/2018 | Phoenix

Select The Job You Wish to Refer Into

3

Apply | Refer

Click Refer Button

Refer A Candidate From Internal Career

To refer a candidate, you must submit against a specific job posting.

Referred by Leigh McCluskey (5267197)

Job R0000559 Trade Suitability Analyst

Enter First Name
Enter Last Name
Enter Email
Select Relationship from Drop Down

Referral Details

Please provide details for the person being referred.

Country * × United States of America

First Name *

Last Name *

Contact Information (Choose at least one)

Phone

Email *

Relationship Details

How do you know this person?

Relationship *

- Family Member
- Friend / Colleague
- Other

Submit | Cancel

IN YOUR CORNER

New Hire Check List

	Description	Owner	Contacts	Status
DAY ONE	Accept / attend invites for 1st week meetings	You	Leader, Team Members	
	Corporate card application	You	Leader, Procurement	
	Download Airwatch app to mobile phone (exempt employees only)	You	Information Technology	
	Log into Workday https://www.myworkday.com/advisorgroup Complete all 1st day tasks (payroll, taxes, handbook, guidelines)	You	Leader	
	Log into Workday, complete Project Management time entry instructions	You	Leader	
	Log into Workday, review Time Entry instructions	You	Leader	
	Preview Valerie Brown's Business Overview video (30m) prior to attending New Hire Orientation: need URL from Patrick	You	Leader	
	Printer mapping / set up, where to shred, how to scan, etc.	You	Leader, Admins	
	Receive Week 1 & 2 schedule in AG email (may receive prior to day 1 from leader to personal email also)	You	Leader	
	Receive laptop, login, test email, test VPN and all equipment	You	Information Technology	
	Reminder to lock laptop up at night in desk if you don't take home (insure you have keys)	You	Leader, Facilities	
	Review all software to insure all that is required for job is loaded and working	You	Leader, IT	
	Review telephone and printer instructions for site	You	IT, Admins	
	Test shared drives, shared email box access	You	Leader, IT	
	"Walk about" introduction to team members on day 1	Leader		
	1st Day 1:1 with Leader	Leader		
	Office Tour (bathroom, coffee pot, café's, break room, etc.)	Leader	Team Members	
	Parking	Leader	Reception, Facilities	
	Receive userid, email address, phone number	Leader	Information Technology	
	Review job expectations (30,60,90 days) with Leader	Leader		
	Review safety instructions for site including Security numbers	Leader	Facilities	
	Review work schedule, dress code, team guidelines, time entry, time off	Leader	Team Members	
	Badge	Reception	Facilities	

NEW HIRE CHECK LIST

This employee check list should be used to guide your first month at Advisor Group and help you work towards completing required and suggested deliverables within the correct timelines. This should be completed with the help of your hiring leader.

First 30+ Days at AG

- New Hire Check List seeks to guide your first 30+ days at the firm
- Work closely with your manager to carry these items to completion
- Use the resources from this presentation and the intranet to answer Check List questions
- Must be completed and submitted to your manager within your first 30 days

ACTIVITY 3 – DISCUSSION QUESTIONS

1. When, where should you register for your **health benefits**?
2. How much will AG contribute towards your **401k retirement**? When, where can you register for your account?
3. You have a friend who think would be a great employee at Advisor Group. How would you go about **referring** them for a role at the company? What do you get if they're hired?

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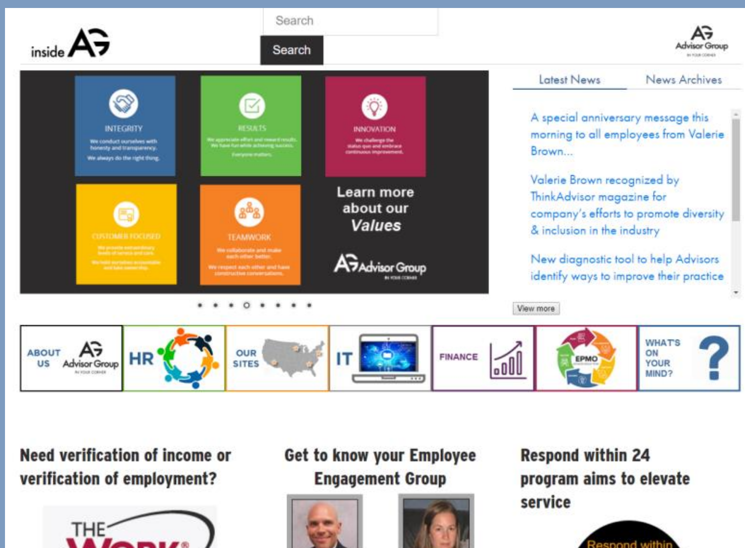
Advisor Group Intranet



INSIDEAG

OUR BUSINESS INTRANET

The intranet site for Advisor Group is called *InsideAG*, and it is designed to help employees locate helpful information regarding a large range of topics. It Includes key contact information, commonly-needed resources, and both current company news and archives

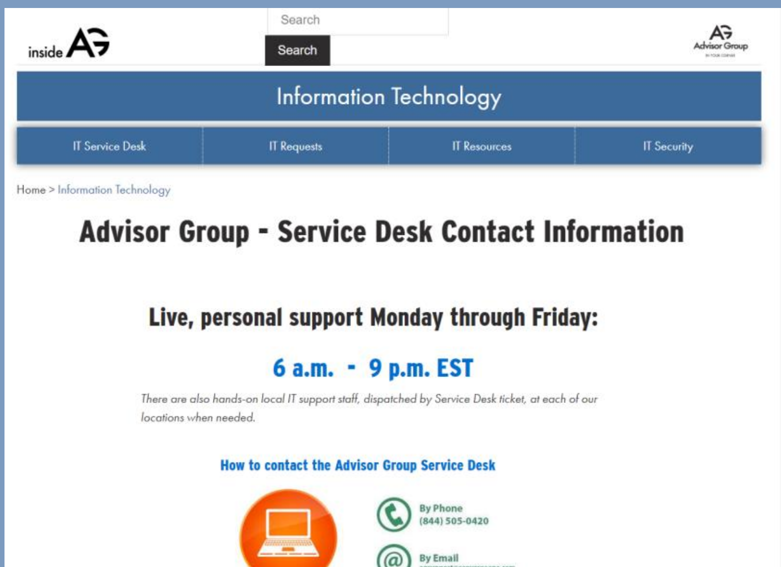
Content

- About Us
- Human Resources
- Our Sites
- IT
- Dollars & Sense
- Latest News
- News Archives
- The Work Number

INSIDEAG

OUR BUSINESS INTRANET

IT Department



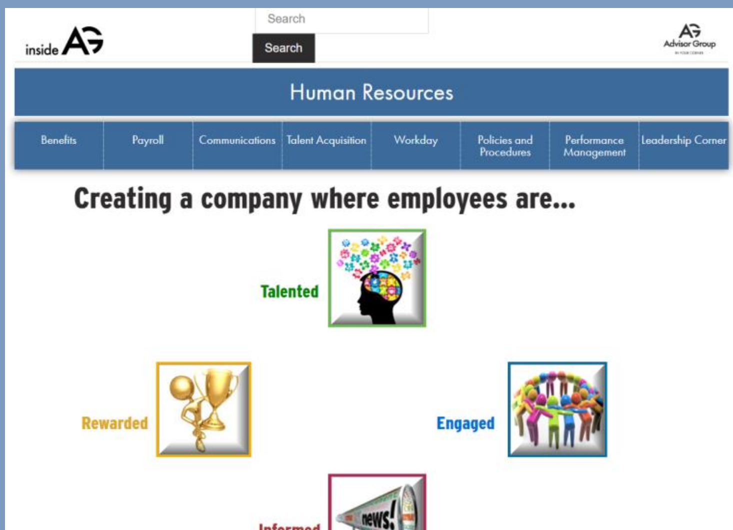
Content

- Service Desk Contact Information
- IT Service Desk News
- IT Requests
- IT Resources
- IT Security

INSIDEAG

OUR BUSINESS INTRANET

HR Department



Content

- Benefits Resources
- Payroll Information
- Communications
- Talent Acquisition
- Workday Information
- Policies and Procedures
- Performance Management
- Leadership Corner
- HR Contact Information

WELCOME TO ADVISOR GROUP

https://www.surveymonkey.com/r/RFNYBLT

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