THE FINANCIAL SERVICES NETWORK

A COMMON BOND OF EXCELLENCE. BOUNDLESS OPPORTUNITY.

The Financial Services Network comprises a highly specialized group of business, investment and compliance professionals dedicated to serving the needs of an elite community of independent financial advisors. United by a common bond of excellence and sharing the desire to elevate their practices, our advisors partner with us in the pursuit of growth, efficiency, acquisition strategies and seamless succession plans.

JOIN A NATIONAL NETWORK BUILT AND SUSTAINED BY INDEPENDENT ADVISORS LIKE YOU.

The Financial Services Network supports multiple ways to join LPL Financial: as an independent advisor through LPL Financial's corporate RIA, as an existing RIA/hybrid RIA or as a hybrid advisor on The Network's hybrid RIA, Strategic Wealth Advisors Group (SWAG). Whatever affiliation option you select, we will guide you as you implement the best model for you, your practice and your financial institution.

INDIVIDUAL PAYOUT GRID FOR RIA ONLY AFFILIATION

SWAG RIA ONLY ADVISOR

Annual Gross Production	LPL, Schwab, TD, & Fidelity
$2,000,000 +	97%
$1,500,000 - $2,000,000	96%
$1,000,000 - $1,500,000	95%
$750,000 - $1,000,000	94%
$500,000 - $750,000	93%
$250,000 - $500,000	92%
$150,000 - $250,000	91%

No BD affiliation. If clearing through Schwab, TD and/or Fidelity, custom technology solutions are required and customized pricing through portfolio consulting to include compliance, billing and performance reporting. The above payout grids are tiered, so all revenue is paid at the highest qualified tier per agreement. The Network has a $2,500 annual alliance fee per affiliated advisor. Financial planning fees are paid at qualifying LPL Advisory tier. Additional costs may apply including E & O insurance, technology, billing, platform fees associated with custodial requirements, etc.

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DISCOVER SERVICE EXCELLENCE

Our service model includes six areas of focus to help you effectively build and support your thriving independent practice.

BUSINESS TRANSITIONS

- Independent, corporate and hybrid affiliations with competitive compensation
- Financial transition assistance and resources to grow your business
- Six-step process for a successful transition
- Technology consultation, infrastructure, procurement and in-office setup
- Staff onboarding and new hire support
- Consulting and oversight for practice acquisition, mergers and succession

COMPLIANCE & OPERATIONS

- Dedicated OSJ delegate assigned to your office
- Comprehensive support to maintain compliant office and files
- Advisor advocacy, escalation assistance and problem resolution
- Approval of paperwork and new business
- In-house Chief Compliance Officer to resolve escalated or urgent matters
- Monitoring of OSJ tasks and assistance with branch exam

BUSINESS CONSULTING

- 100% of your business is owned, branded and operated by you
- Business continuity, succession and sale/acquisition planning
- Practice management and business consulting by Kolbe Certified™ Consultants
- Options for revenue sharing with CPAs and attorneys, and partnerships with local banks and credit unions
- Software consulting, selection, implementation and data integration
- Access to services, resources and events through broker-dealer and custodial partners

TECHNOLOGY CONSULTING

- Comprehensive in-house service, technology and business support
- In-house Chief Technology Officer Disaster recovery service and support
- Access to approved paperless office system
- New office build out and training on new equipment and software
- Dedicated technology training throughout the year

VIRTUAL ADMINISTRATION

- Account opening and maintenance and data entry
- Client relationship management and scheduling
- Email, fax and phone support
- Daily compliance tasks and audit preparation
- Implementation and ongoing maintenance of online presence
- Event coordination and special project support

PORTFOLIO CONSULTING

- Thought leadership on portfolio construction and investment selection
- Portfolio implementation, rebalancing, analytics and reporting
- Trade execution and tax harvesting Investment committee meetings
- Custom stock portfolios and mutual fund/ETF models
- Relationship management of high-net-worth clients

READY TO JOIN? CONTACT US TODAY TO LEARN MORE.

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