



## 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 HYBRID AFFILIATION SWAG HYBRID ADVISOR

Annual Gross Production	LPL, Schwab, TD, & Fidelity	LPL Brokerage
\$2,000,000 +	97%	93%
\$1,500,000 - \$2,000,000	96%	93%
\$1,000,000 - \$1,500,000	95%	93%
\$750,000 - \$1,000,000	94%	92%
\$500,000 - \$750,000	93%	91%
All Network advisors receive a 100% payout on insurance through LPL Insurance Associates.		

\$50m fee-based AUM minimum, LPL BD affiliation only.

The above payout grids are tiered; all revenue is paid at the highest qualified tier per agreement.

If internal transfer, brokerage payout is a flat 90% at all production level and subject to LPL underwriting.

Platform fees associated with assets not custodied with LPL Financial and below custodial requirements.

The Network has a \$2,500 annual alliance fee per affiliated advisor. Financial planning fees are paid at qualifying LPL Advisory tier.

[www.fsnweb.com](http://www.fsnweb.com)

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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.**

Christopher Mercado, MBA, CFP®, CIMA®, AIF®

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