Delivering A Prudent Process From A Wirehouse

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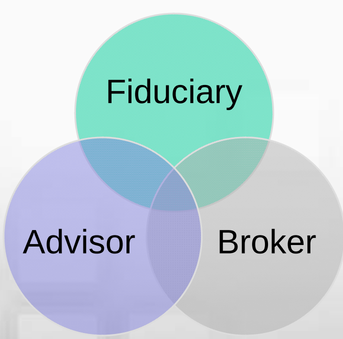
Topics of Discussion

Broker vs. Advisor
Commissions vs. Fees
What is an Investment Advisor?

Where do we live?



Broker vs. Advisor

How should you deliver your message
No conflicts of interest
“I work for you”

Roles of a Broker

- One who acts as an intermediary
- An agent who negotiates contracts of purchase and sale
- One who sells or distributes something

Roles of an Advisor

- An expert who gives advice
- A person or company responsible for making investments on behalf of or providing advice to investors

Roles of a Fiduciary

- Manages Property for the benefit of another
- Exercises discretionary authority over assets
- Acts in a professional capacity of trust, and renders comprehensive and continuous investment advice.

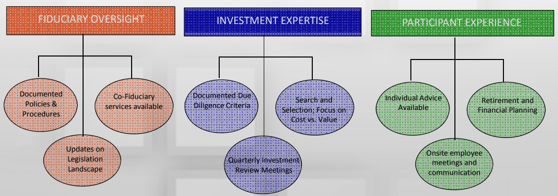
Commissions vs. Fees

Perception
% of assets vs. flat fee
How do you show your value?

What is an Investment Advisor?

1. Prudently generate advice
2. Charge a level fee (offset method)

What are Client's looking for?



Questions and comments

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