

A GUIDE FOR ADVISORS



go independent



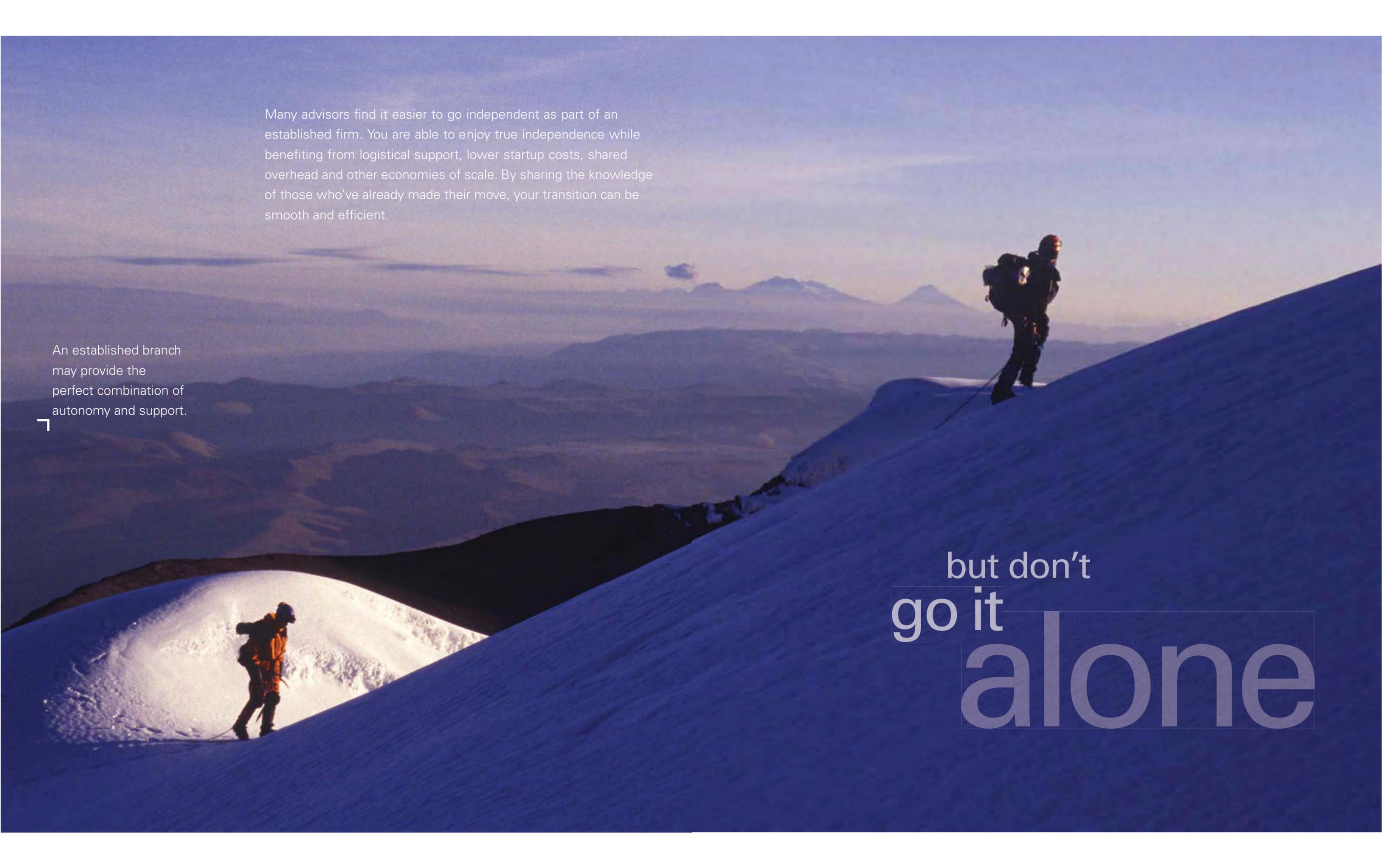
FLAGSHIP HARBOR
ADVISORS

 LPL Financial

Many advisors find it easier to go independent as part of an established firm. You are able to enjoy true independence while benefiting from logistical support, lower startup costs, shared overhead and other economies of scale. By sharing the knowledge of those who've already made their move, your transition can be smooth and efficient.

An established branch may provide the perfect combination of autonomy and support.

but don't
go it
alone



free to choose your business model
to decide spending priorities
to recommend the best solutions
to create your future

As an independent
small business owner,
you'll take charge of
your own future.

set yourself free

It's time to control your destiny. As an independent advisor and small business owner, you'll be in charge of your own future. Your success will depend on your own hard work and the quality of the guidance and service you provide to your clients. You're free to pursue the type of client you wish to pursue, determine the work/life balance you prefer and even develop a specialized niche market for yourself. Best of all, you'll have the chance to build something of lasting value that you can pass on or sell when you're ready to retire.

put clients first

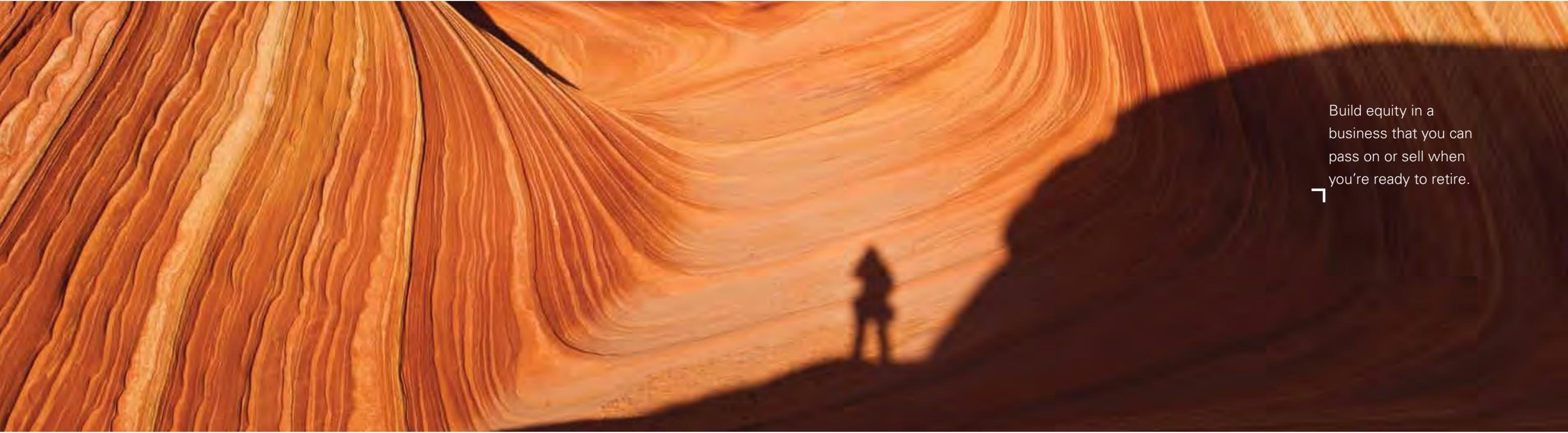
When you're an independent advisor, you're free to recommend investment solutions that meet your clients' needs. There's no pressure to push proprietary products or meet "informal" cross-selling goals. You won't have to worry about client relationships being compromised by senior management's agenda or bad press. Putting clients first leads to better relationships, and that translates into long-term retention, increased referrals and higher income.

There's no pressure to recommend proprietary products or meet cross-selling goals.



first for unbiased guidance
for meeting client needs
for better service
for building stronger relationships

own your client relationships
equity in your business
the quality of your retirement
your future



Build equity in a
business that you can
pass on or sell when
you're ready to retire.

As an independent advisor, the client relationships you develop belong to you and you alone.

You'll be free to build a substantial future for yourself and your family. With each new client relationship, you'll be building equity in your own business — creating a tangible asset that you own and can pass along or sell when you're ready to retire.

OWN
your
book

When you choose a firm that partners with LPL Financial, you'll be backed by the nation's number one independent broker/dealer.¹ LPL Financial serves more than 12,000 independent financial advisors and has over \$330 billion in Advisory & Brokerage assets.²

You'll benefit from unparalleled support and service. You'll have access to a broad range of competitive and customizable fee-based asset management programs, and unbiased research that includes asset allocation strategies and model portfolios. You'll have the ability to run a more efficient practice using innovative technology, and software tools including WealthVisionSM and BranchNet. You'll also increase your profit potential with industry-high payouts and greater control over business expenses.

leverage our strength

You'll be backed by the resources of the nation's number one independent broker/dealer.

strength of unbiased research
of technology and tools
of advisor support
of products and platforms

¹ As reported by *Financial Planning* magazine, June 1996–2011, based on total revenue.
² As of March 31, 2011.

success via cost control
via lead generation
via shared knowledge
via quick-start transition

The name recognition
of an established firm
provides assurance
to new clients.



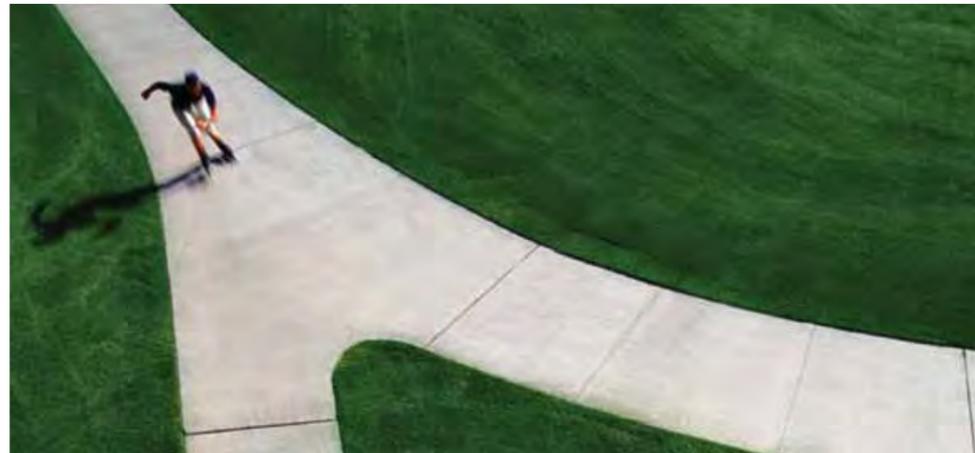
be part of a
successful
group

For many advisors, joining an established firm offers the perfect combination of autonomy and support. Strength in numbers can significantly reduce the costs and risks of independence. Many firms provide a turnkey transition and setup program. You can focus instead on serving your clients.

The name recognition of an established firm provides assurance to new clients, and you can benefit from local or regional advertising. Other potential advantages may include lead generation through client events and seminars or complete OSJ services for a minimal fee. An established firm may provide a collegial atmosphere and enable you to exchange ideas with knowledgeable and experienced independent colleagues.

it's up to you

If you're ready to make your move and take control of your future, it's time to investigate an established, independent LPL Financial firm in your area. Each firm operates according to its own individual business model, so it's a good idea to do some research before choosing the firm that's right for you. You can start with the sponsor firm described in the attached insert. Remember, the first rule of independence is also its first reward: It's up to you.



Ready to make your move?

The choice is yours.

Choose the path that's right for you.

Securities and asset management offered through LPL Financial
LPL Financial Member FINRA/SIPC
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