Eagle One Investments, LLC

Turning Relationships Into Results

Member FINRA & SIPC

Freedom to Soar

– Your Guide to Independence

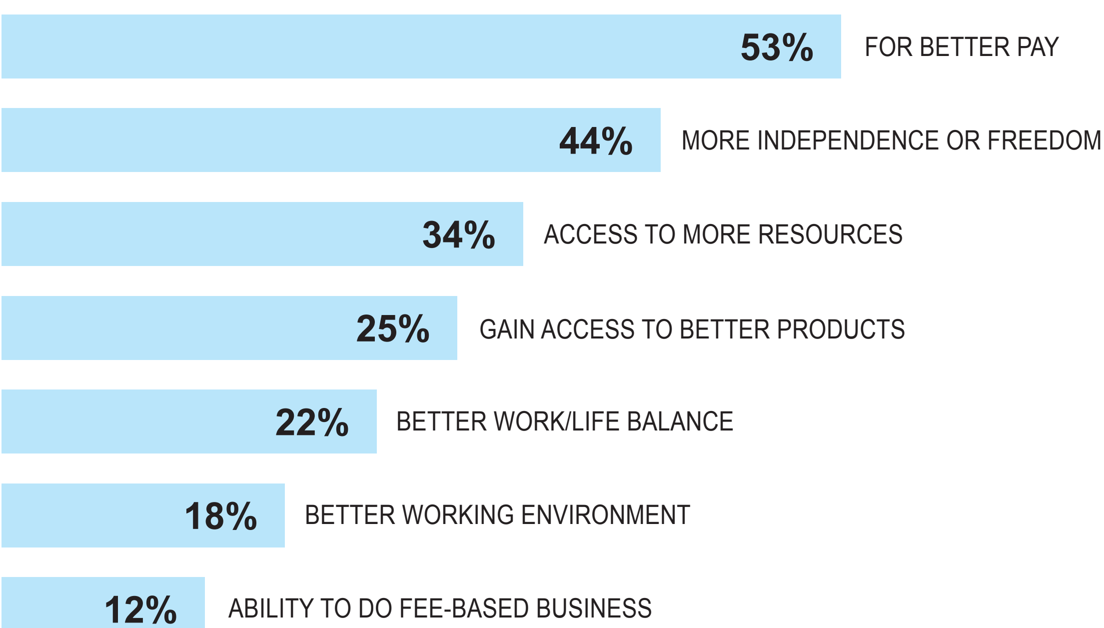
As the industry shifts towards independence, should you?

“The migration of advisors is a one way street,” said Phillip Palaveev of Moss Adams, referring to his realization that when advisors make a shift, it’s a shift towards independence. Palaveev notes that he’s never known of an independent advisor who returns to a wirehouse[1].

Why do advisors make the shift? The National Financial Broker and Advisor Sentiment Index for 2007 shows that 44% of advisors wishing to switch firms were in search of more independence or freedom, 53% were seeking higher pay. According to Cerulli data, nearly two-thirds of the advisors wishing to make a change, wanted to switch to a new type of firm, with 38% of them seeking a move to an independent broker/dealer, 16% to a regional firm, and 15% to RIAs[2].

[1]“One Way Street to Independence,” *Investment Advisor*. June 6, 2006
[2]“Can’t Get No…,” *Investment Advisor,* March 2008

The reasons brokers cited for why they were considering changing firms



Source: National Financial Broker and Advisor Sentiment Index

Independence – it's all about having a choice.

When you choose the products and services you sell, you choose your clients, and you choose how to build equity in your business, you are choosing to make more money and enjoy the freedom of being an independent.

With increased freedom comes increased responsibility. This paper has been prepared to help you understand what it looks like to become an independent financial advisor and inform you of the trials and triumphs that accompany the transition to independence.

Choose to release the Entrepreneur in You

If you dream of running your own business and you're invigorated by the challenge of being a business owner, independence may be your next step.

Freedom to choose:

- Business Structure
- Niche Market
- Expenses
- Carpet color
- Copy machine

Choose to offer better service to your clients

Your clients want sound, unbiased financial advice. When you are bound to proprietary products, are you able to provide them the best solutions?

Freedom to serve:

- Spend more time face to face with your clients
- Offer your clients the very best solutions
- Enjoy better back office support so you can retain your clients
- Build a loyal client base

Choose to enjoy your work

When you make the rules, you have the opportunity to create a business structure that matches your lifestyle. Don't let work interfere with your personal goals any longer.

Freedom to live life:

- Make your own schedule
- Choose your own office staff
- Work in the environment of your choice
- Enjoy improved quality of life

Is Independence for me?

Becoming independent is not the best solution for all financial advisors. The checklist below is designed to help you consider whether choosing independence is the right choice for you. A great deal of research and thought is required before making a decision. Use this checklist as a starting point.

- [ ] My current business model is preventing me from achieving higher levels of production
- [ ] I want higher payouts
- [ ] My work has taken control of my life
- [ ] I am not able to provide the best solutions to my clients
- [ ] I would be more successful if I were able to market myself separate from the company I work for
- [ ] I want to pursue a niche market of my choice
- [ ] I'm ready to own my own business
- [ ] I would feel comfortable managing my own staff
- [ ] I want to build equity in my business
- [ ] I'm ready for the challenges of entrepreneurship and managing a business
- [ ] I'm tired of being tied down by quotas, incentives, and proprietary products

How do I choose an Independent broker/dealer?

When you become independent, the support you receive from your back office is more important than ever. You need a group you can trust to work for you, so you can work for your clients. Use the questions below when considering broker/dealers.

Compliance

- ☐ How is compliance managed for advisors?
- ☐ How quickly will my compliance issues be addressed?
- ☐ Who works in compliance and what is their background?

Transition

- ☐ What is the broker/dealers process for transition?
- ☐ How will I be supported through the transition process?
- ☐ How quickly can I be back in business?

Support

- ☐ What is the ratio of back office personnel to advisors?
- ☐ How many layers do I have to go through to get my questions answered?
- ☐ Will I be able to reach the same person on the phone every time I call?

Ownership & Management

- ☐ Who owns the broker/dealer?
- ☐ Do I have an opportunity for ownership in the firm?
- ☐ Is management accessible to the advisors?

Independence

- ☐ How much freedom will I have to build and market my own brand?
- ☐ Does the broker/dealer provide access to a broad range of products and services?
- ☐ Does the firm have any proprietary products that I must sell?

For more information on becoming an independent financial advisor, visit www.joineagle1.com or speak with an Eagle One representative at 877-653-4860.