REMEMBER WHY YOU WENT INDEPENDENT?

Triad Advisors

Your business. Your way.

WE DO.

Freedom. Flexibility. Financial Success.

At Triad Advisors, we understand your desire for independence and the freedom to make your own decisions for your own clients. That is why hundreds of independent financial advisors across the country have made Triad Advisors their broker-dealer partner. With a combination of sophisticated technology and friendly, personal support, coupled with an extensive menu of wealth management solutions, we deliver the resources to help you serve your clients and grow your business more efficiently and effectively. Because, at the end of the day, we believe that real independence is about building your business, your way.

WHEN CAN YOU FEEL CONFIDENT IN YOUR BROKER-DEALER'S SUPPORT?

Not only will you believe in our services and technology, you will also believe in our people. Our home office staff is dedicated solely to your success, which means you will receive responsive, friendly customer service backed by industry-leading technology vital for the success of your business. Because we have virtually no turnover in home office staff, you will quickly develop solid, long-term working relationships with our experienced, dedicated employees. And unlike many other broker-dealers, a live person will answer every call…every time.

Triad Advisors and National Financial – Partners In Your Success

Together with National Financial Services, LLC. (NFS), a wholly-owned subsidiary of Fidelity Investments, we offer you the strength of products, resources, services and technology offered by one of the world's largest financial services firms.

As our clearing partner and yours, NFS opens the door to exceptional clearing services, capital markets expertise, and brokerage technology and investment solutions to help you deliver customized wealth management solutions to your clients.

When it comes to trading, with NFS and Fidelity Capital Markets, we are always ready to give you the instant support you deserve and if you need market updates or information regarding securities, IPOs and interest rates; we are here to assist you.

Through NFS you will have direct access to top quality research providers such as Fidelity Capital Markets, Lehman Brothers, Standard & Poor's and Morningstar Principia empowering you to deliver the right solutions to meet your clients' needs.

Technology Solutions That Drive Business

Streetscape

Streetscape, an open-architecture web-based workstation, allows you and your staff to service brokerage clients more efficiently. Through Streetscape you can review client account information, access real time quotes, place orders and access research tools and calculators at the click of a button. With 36 months of historical client account information, as well as critical tax information, Streetscape can streamline your business operations for maximum efficiency.

Investigo

Investigo is a powerful web-based account aggregation and reporting solution designed for the independent advisor. Investigo gathers all client account information, both brokerage and direct, to create customized, consolidated reports of all clients' holdings. These reports can be printed or e-mailed to clients and archived for future reviews. Investigo also provides you sophisticated contact management capabilities, NASD-compliant ledgers and integration with leading software providers such as Laser App, MoneyGuidePro and Morningstar.

WHEN IT'S BACKED BY WORLD CLASS CUSTOMER SERVICE & CUTTING-EDGE TECHNOLOGY AT EVERY STEP OF THE WAY.

Triad's INFO Site

As a gateway to information and product availability, INFO provides you and your staff with a wealth of timely and important information. Through INFO, you can locate commission schedules, access product companies, attain valuable practice management ideas, and request client checks. INFO also provides daily updates from the home office as well as the ability to complete forms and applications online.

More Technological Ingenuity

Our goal is to provide the technology you need to efficiently grow your business and serve your clients more effectively. We offer many additional technology tools such as financial planning software, portfolio management systems, client performance and analysis tools and web site design and hosting, all at discounted rates.

JUST HOW FLEXIBLE CAN ASSET MANAGEMENT SOLUTIONS BE?

We offer you the most comprehensive array of asset management solutions available today. Our advisory services and fee-based accounts are structured to be the most competitive, flexible and innovative programs in the industry. Whether you manage your client portfolios or you outsource the role, we have the structure in place to help you retain and grow your managed assets while better positioning you in an ever-growing fee-based industry.

Own Your RIA

Although Triad's corporate RIA may be available, core benefits of owning your Registered Investment Advisor (RIA) include: ability to build equity in your business and own the client assets, flexibility to manage assets using a choice of custodians, charge fixed planning fees and share fees with other professionals including CPAs and attorneys.

Triad Managed Account Platforms – TMAP

Pinnacle Account

As one of the industry's most comprehensive and cost-effective asset management accounts, Pinnacle clients enjoy a wide range of superior investment options including mutual funds, individual equities, exchange traded funds (ETFs), fixed income products and money market accounts. There are no transaction charges to your clients, no ticket charges to you and because the costs of your investment advice and product implementation are wrapped into one asset management fee, Pinnacle is easy to understand.

Summit Account

The Summit Account is a comprehensive mutual fund wrap account managed by you. Your clients will enjoy access to a broad menu of mutual funds, both no-load and load-waived, which can be purchased, sold or exchanged with no transaction charges to the client. In order to offer your clients maximum flexibility and one brokerage statement, individual securities can also be traded at discounted transaction rates.

Apex Account

The Apex account is a "fee plus transaction charge" account managed by you, with no account minimum. Clients in Apex have access to a broad menu of mutual funds, individual equities, exchange traded funds, fixed income products, options and money market funds. You determine the annual asset management fee and while there are no ticket charges to you, your clients in Apex pay a deeply discounted transaction charge.

VERY. IF YOU PUT YOUR ADVISORS FIRST.

Crown Account

The Crown account is a "fee plus transaction charge" account managed by you, with no administrative or service fee and no account minimum. Clients in Crown have access to a broad menu of mutual funds, individual equities, exchange traded funds, fixed income products, options and money market funds. There are no ticket charges to you and because Crown has no minimum account size, it may be the perfect stepping stone to the Summit and Pinnacle accounts.

Private Managed Account – PMA

The Private Managed Account (PMA) program at Triad is designed for those advisors who prefer to act as a "consultant" instead of a money manager. PMA contains a list of a select group of managers with various specialties and investment strategies available, (i.e., fixed-income, small cap, international, etc.) By utilizing this program, you will have direct access to leading separate account money managers. This type of relationship eliminates many of the costs typically associated with a managed money program, allowing you to deliver a very competitively priced account to your clients with convenient wrap fee pricing.

Multi-Manager Account – MMA

Triad's Multi-Manager Account (MMA) options combine the investment expertise of two or more globally prominent separate account managers into one single brokerage account. This investment strategy delivers the benefits of a traditional separately managed account in a single, fully-diversified portfolio for as little as $250,000.

With an MMA, your clients will have access to the knowledge and expertise of leading institutional asset managers. If accessed directly, many of these firms are only available for accounts of $25 million or more. Each MMA will have a portfolio manager that keeps the portfolio in balance with your client's asset allocation strategy, which avoids unintended overlap in styles or positions. Additionally, each portfolio is held in a single brokerage account which consolidates and simplifies the information for your clients.

WHO SHOULD SELECT THE PRODUCTS AND SERVICES YOU OFFER YOUR CLIENTS?

YOU SHOULD, OF COURSE.

Unlike many large broker-dealers, we operate without bias or preference to particular products or sponsors. Instead, we offer you a wide variety of non-proprietary securities and insurance products designed to meet the unique objectives of your clients.

Products That Work

With over 8,000 load and no-load mutual funds available from over 350 fund families and an array of other investment options, we make sure you have an excellent selection of products and services to help you meet the needs of your clients.

Insurance Solutions

Through Ash Brokerage, our strategic insurance and annuity partner, you gain access to the most competitively priced traditional and variable life, annuity, long term care, and disability products available in the industry. Ash Brokerage also offers a total back-office administration solution to ensure more time with your clients and less time on paperwork.

Trust and Estate Planning

Today's clients are looking for a financial advisor that can not only help them plan and grow their wealth, but also deliver trust and estate solutions. That is why we have partnered with Premier Trust of Nevada to offer you comprehensive estate planning solutions such as asset protection, dynasty and insurance trusts, corporate trust services, charitable giving and legal assistance.

Banking and Mortgage Solutions

Together with Everbank, a leader in net banking and mortgage solutions designed for the independent advisor, you will have the ability to offer a broad range of banking services to your clients while opening a new revenue stream for your business. Through Everbank, you will have access to competitive banking products such as checking accounts, money markets, certificates of deposit, world currencies and mortgages.

WHO CAN DELIVER THE ONGOING SUPPORT YOU DESERVE AS AN INDEPENDENT FINANCIAL ADVISOR?

Transition Services

We believe in guiding you efficiently and promptly through the transition period. Our goal is to eliminate downtime and ensure that you and your staff become intimately familiar and comfortable with our personnel, procedures and resources. Our Transition Team will customize a detailed transition plan which will outline the critical elements of the transition process and through the Laser App software program, which is provided at no charge, you can pre-populate all of your client's transfer forms at the click of a button. From the licensing process to account transfers, you can trust that a key member of our team will be there to direct you every step of the way to make your transition as effortless as possible.

Marketing Assistance

Being independent does not mean being alone. Through a comprehensive network of partners, we provide numerous resources to help you build your business and manage your practice more efficiently. Resources include access to software providers, marketing and public relations, seminars, and advisor web sites, just to name a few. In addition, we offer guides such as "How to Convert to a Fee-Based Business" as well as other practice management solutions. From customized product brochures to comprehensive web sites, we work with you to deliver the marketing tools that best fit your business.

Compensation

We view our advisors as our long term business partners. That is why when addressing compensation and costs we believe in dealing completely "above board." You pay your broker-dealer for services, and too many advisors make the mistake of assuming that most broker-dealers offer similar services and the incremental differences don't have a significant impact on their bottom line. Nothing could be further from the truth. We provide you the highest payout possible without compromising our commitment to service or adequate protection.

Costs

You'll find no hidden or administrative fees here. Our cost structure is up front, fair and easy to understand. Basic costs may include charges for errors and omissions insurance, Fidelity bonding, NASD/State Licensing fees, technology charges and ticket charges, where applicable.

Triad University

We believe the best financial advisor is an educated one. Each year, in an effort to provide you with high-level educational experiences, we offer workshops focusing on a variety of topics including asset management, marketing, compliance, practice management, financial planning and technology. These workshops are designed to introduce new strategies and concepts that will allow you to better serve your clients and build your business more efficiently. Workshops will also provide you with the opportunity to interact and exchange ideas with other financial advisors as well as provide continuing education (CE) credits.

THE ANSWER IS TRIAD ADVISORS.

A Better Practice

National Financial's corporate discount program, Practice Advantage, gives you access to industry leading products and services designed to help you attract new clients, improve profitability and create a more efficient practice. Through Practice Advantage, you can leverage Fidelity's buying power for discounted rates on a wide range of business solutions including technology systems, compliance programs, research providers and marketing tools.

It's Time For Triad

World-class products and services, innovative business building solutions and a total commitment to the success of the independent advisor. Isn't it time to find out more about what Triad Advisors has to offer you? Call us at 1-800-720-4003 and discover how you can start building your business, your way.

Triad Advisors

Your business. Your way.

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