

## Four steps toward a better future. Fill in the blanks.

### 1. Step One: Compare Payouts and Expenses

| Payouts   | LaSalle St. Securities | Current B/D | Other B/D |
|---|------------------------|-------------|-----------|
| Succession Planning                                   | Yes                    | Y/N         | Y/N       |
| Average Total Overall Payout                          | 90%                    | %           | %         |
| Mutual Fund   | 90%                    | %           | %         |
| Annuities   | 90%                    | %           | %         |
| Stocks  | 90%                    | %           | %         |
| Bonds   | 90%                    | %           | %         |
| Insurance-Life, Health, Indexed Annuities             | 100%                   | %           | %         |
| Does payout get reduced based on lack of production?  | No                     | Y/N         | Y/N       |
| Fees  |                        |             |           |
| FINRA renewal & FINRA personnel assessment            | \$180/yr               | \$          | \$        |
| Continuing Education                                  | \$100/yr               | \$          | \$        |
| State registration fees                               | Varies                 | \$          | \$        |
| Bonding Fees  | \$165/yr               | \$          | \$        |
| E/O Insurance   | \$695 to \$1250/yr     | \$          | \$        |
| Is E/O Insurance optional?                            | Yes                    | Y/N         | Y/N       |
| Does your broker Dealer mark up E/O Ins for a profit? | No                     | Y/N         | Y/N       |
| Streetscape Basic or Streetscape Select?              | \$45/\$120/month       | \$          | \$        |
| Investigo Package - Optional                          | \$120/month            | \$          | \$        |
| Separate Stand Alone Branch Fee                       | \$95/yr                | \$          | \$        |
| Affiliation/Technology Fee                            | \$0                    | \$          | \$        |
| FSI Membership Required?                              | No                     | Y/N         | Y/N       |
| Direct Costs/Ticket Charges                           |                        |             |           |
| Equities, Options, Corporate Bonds                    | \$18                   | \$          | \$        |
| Government & Municipal Bonds                          | \$30                   | \$          | \$        |
| Principal Transactions                                | \$7                    | \$          | \$        |
| International Equities                                | \$75                   | \$          | \$        |
| CD's/UIT's/Zero Coupon Bonds                          | \$30                   | \$          | \$        |
| Limited Partnerships                                  | \$35                   | \$          | \$        |
| Precious Metals                                       | \$40                   | \$          | \$        |
| Mutual Funds (purchases, liquidations and exchanges)  | \$18                   | \$          | \$        |
| Execution & Exchange Fees                             |                        |             |           |
| Listed Equities                                       | \$0.015/share          |             |           |
| Options   | \$1.50/contract        |             |           |
| Listed Bonds  | .75/Bond               |             |           |

## 2. Step Two: Compare Structure

| Independence  | LaSalle St. Securities | Current B/D | Other B/D |
|---|------------------------|-------------|-----------|
| Allow you to own your own book  | Yes                    | Y/N         | Y/N       |
| Operate under your own DBA or B/D's                                     | Yes                    | Y/N         | Y/N       |
| Product offerings limited in anyway                                     | No                     | Y/N         | Y/N       |
| Are there any proprietary product requirements?                         | No                     | Y/N         | Y/N       |
| Allow for Outside Business Activities?*                                 | Yes                    | Y/N         | Y/N       |
| Allow Social Media?   | Yes                    | Y/N         | Y/N       |
| Stability   |                        |             |           |
| Possess solid financial history and balance sheet without losses?       | Yes                    | Y/N         | Y/N       |
| Supported by a nationally recognized branded firm?                      | Yes                    | Y/N         | Y/N       |
| What is the retention ratio of the B/D's brokers?                       | 98%                    | %           | %         |
| How long has the B/D been in operation?                                 | 37 Years               |             |           |
| Service   |                        |             |           |
| Is staff compensation linked to broker satisfaction?                    | Yes                    | Y/N         | Y/N       |
| What is the average tenure of staff personnel?                          | 13 Years               |             |           |
| Allow for direct access to top ownership, management, department heads? | Yes                    | Y/N         | Y/N       |
| Allow broker input on customer service issues?                          | Yes                    | Y/N         | Y/N       |
| Financial Support   |                        |             |           |
| Transition funding  | Yes                    | Y/N         | Y/N       |
| Forgivable loan assistance  | Yes                    | Y/N         | Y/N       |
| ACAT and transfer fee support   | Yes                    | Y/N         | Y/N       |
| Technology tutorials and training support                               | Yes                    | Y/N         | Y/N       |
| Branch recruiting and development assistance                            | Yes                    | Y/N         | Y/N       |
| Products  |                        |             |           |
| Allow you to gain access to load and no load mutual funds?              | Yes                    | Y/N         | Y/N       |
| Access to REITs, private placements, UIT's, CD's, Municipal Bonds       | Yes                    | Y/N         | Y/N       |
| Offer direct access to fixed income department?                         | Yes                    | Y/N         | Y/N       |
| Insurance, Fixed, Fixed Index, Variable Annuities                       | Yes                    | Y/N         | Y/N       |
| Brokerage services, checking accounts, IRA, Trust Accounts, 401(k)s     | Yes                    | Y/N         | Y/N       |
| Investment Advisor  |                        |             |           |
| Allow for both RIA and Series 7 business?                               | Yes                    | Y/N         | Y/N       |
| Allow for both outside or internal RIA platforms?*                      | Yes                    | Y/N         | Y/N       |
| Payment for direct consulting services?                                 | Yes                    | Y/N         | Y/N       |
| Technology  |                        |             |           |
| Electronic order entry and document support                             | Yes                    | Y/N         | Y/N       |
| Ability for client to access accounts online                            | Yes                    | Y/N         | Y/N       |
| Access to all client info at any location                               | Yes                    | Y/N         | Y/N       |
| Supported by robust platform of National Firm                           | Yes                    | Y/N         | Y/N       |
| Access to all commission, trade info online                             | Yes                    | Y/N         | Y/N       |
| Which firm do you clear through?  | NFS - Fidelity         |             |           |

\*Compliance Approval Required

\*\*Minimum GDC required

| Marketing   | LaSalle St. Securities | Current B/D | Other B/D |
|---|------------------------|-------------|-----------|
| Can you market your own brand?                                  | Yes                    | Y/N         | Y/N       |
| In-house tutorials and marketing tools?                         | Yes                    | Y/N         | Y/N       |
| Access to variety of CRM systems for client/prospect management | Yes                    | Y/N         | Y/N       |
| Branch development and recruiting support                       | Yes                    | Y/N         | Y/N       |
| Transition  |                        |             |           |
| Provide transition funding, FINRA, ACAT, and Licensing costs    | Yes                    | Y/N         | Y/N       |
| Dedicated transition team                                       | Yes                    | Y/N         | Y/N       |
| Step-by-step dated transition timeline for transition process?  | Yes                    | Y/N         | Y/N       |
| Efficient account transfer from previous B/D                    | Yes                    | Y/N         | Y/N       |
| Facilitate all licenses for transfer                            | Yes                    | Y/N         | Y/N       |
| Support material announcing your transition                     | Yes                    | Y/N         | Y/N       |
| Education   |                        |             |           |
| Full tutorial on all technology                                 | Yes                    | Y/N         | Y/N       |
| Support for all data access and brokerage account management    | Yes                    | Y/N         | Y/N       |
| Coordination of staff with department heads and operations      | Yes                    | Y/N         | Y/N       |

### 3. Step Three: Do the Math on this Worksheet

| Estimate Your Yearly Earnings                  | LaSalle St. Securities | Current B/D | Other B/D |
|--|------------------------|-------------|-----------|
| Assets Under Management                        | \$45,000,000           | \$          | \$        |
| Gross Commission                               | \$450,000              | \$          | \$        |
| Payout %                                       | 90%                    | %           | %         |
| Total Payout to You                            | \$405,000              | \$          | \$        |
| Office Space                                   | \$15,000               | \$          | \$        |
| Staff Support                                  | \$35,000               | \$          | \$        |
| Technology Cost                                | \$540 to \$1,440       | \$          | \$        |
| Optional Technology or Research expense        | Varies                 | \$          | \$        |
| Marketing Expense                              | \$5,000                | \$          | \$        |
| FINRA Fees, Continuing Education & Branch Fees | \$600                  | \$          | \$        |
| State Fees                                     | Varies                 | \$          | \$        |
| E/O Insurance                                  | Under \$1,250          | \$          | \$        |
| Health Insurance Costs                         | \$12,000               | \$          | \$        |
| Other  | \$                     | \$          | \$        |
| Total Expenses                                 | \$70,290               |             |           |
| <b>Total Taxable Income</b>                    | <b>\$334,710</b>       |             |           |

### 4. Step Four: Decide. Which Broker/Dealer is Better?

**A conversation is all it takes to learn more. Pick up the phone and call LaSalle St. Securities. Ask for Jason Walsh at 800-777-7865 ext. 0416**