



Broker Dealer Set-Up Guide

BDFinder.com will help your firm and your message, get in front of representatives that are looking for a new affiliation...and to some extent...will be pre-qualified before they call you.

Upon completion, your profile information and questionnaire answers are uploaded automatically into the BDFinder.com database. Your profile and questionnaire answers can be updated at any time. Note that only your profile will display on the site. Answers to our questionnaire are kept confidentially within our database and are used only to match and score.

Multiple listings can be developed, uploaded and updated individually, should your BD have additional growing offices in other areas of the country that just want to grow and/or provide a unique support structure. Any additional listings are available at group level discounts. Contact us to learn more.

PROFILE

Firm Name: _____

Firm Description: _____

Web Address: _____

Recruiting Contact: _____

E-mail Address: _____

Firm Address: _____

City _____

State _____ Zip _____

Phone Number: _____



Number of Reps _____
Annual Gross Revenue _____
Number of Series 7 Reps _____
Number of Home Office Staff _____
E and O Costs _____
Firm Founded Date _____

Detail Firm's product mix (*total to 100%*)

Mutual Fund _____ %
Variable Annuity _____ %
Advisory/Fee-Based _____ %
VUL _____ %
Equity _____ %
Fixed Income _____ %
Fixed Annuity _____ %
EIA _____ %
Life Insurance _____ %
IPO _____ %
Municipal _____ %
LP / DPP _____ %
REIT _____ %

QUESTIONNAIRE

Select your BD Category (Select only 1)

- Independent BD
- Wirehouse BD
- Agency System BD



Is the Broker Dealer both insurance and securities licensed in all states?

Yes No

Where is the Broker Dealer headquartered? (Select 1 Region and 1 State)

Region: Northeast / Southeast / Midwest / Southwest / Northwest

State: *(Select from list of states)*

Where are the majority of your representatives located? (Select up to 3 regions)

Region(s): Northeast / Southeast / Midwest / Southwest / Northwest

Is your firm or branch located in a specific city that you are trying to grow?

Zip Code: _____

What clearing firm(s) do you make available?

- | | |
|------------------|----------------------|
| Pershing | National Financial |
| Bear Sterns | Southwest Securities |
| Goldman Sachs | Penson |
| First Clearing | RBC Dain |
| Broadcort | Wedbush Morgan |
| ADP Clearing | Sterne Agee & Leach |
| First Southwest | Mesirow |
| Self Clearing BD | Other: _____ |

How often do you pay commissions?

Daily Weekly Bi-Monthly Monthly

Do you offer up-front transition money or loans?

Yes No Maybe

What is your minimum production level? (Use \$5000 increments)

Do you allow a representative to affiliate if that representative has a 'yes' answer on their U-4 / CRD Report?

Yes No Maybe



Do you allow representatives to utilize 3rd party vendor financial planning software?

Yes No Maybe

Do you allow representatives to utilize with their prospects and clients the following? *(Assuming stipulations and pre-approval apply)*

Yes No Maybe

Their own company/firm name

Their own business card and stationary

Their own website

Their own email account

Do you make office space available to your representatives?

(Assuming some cost and/or reduction in payout)

Yes No Maybe

Do you offer a group health insurance option for representatives?

Yes No Maybe

Do you offer any individual retirement plan benefits for your representatives? (i.e. Deferred Compensation, Stock Options, etc...)

(Assuming eligibility requirements and/or vesting schedules)

Yes No Maybe

Do you have resources readily available to representatives for the following?

Yes No Maybe

Practice Development

Client Case Development

Insurance Product Sales

Marketing Development

Website Development

Logo *(file specifications and upload instructions will be shown here)*



PREVIEW: You will be able to preview your profile listing and make any necessary edits prior to uploading your data.

PURCHASE: Select an introductory listing option below. Your start date will begin immediately.

1-Year Listing (unlimited updates)	\$699.00
2-Year Listing (unlimited updates)	\$1,099.00

Your listing may be updated or removed at any time. Your full and one-time payment is required prior to uploading your listing and it is non-refundable. A renewal notice will be sent to you 60-days prior to your listing expiration date. Prices are likely to change.