



**Founders  
Financial, Inc.**  
*Shared resources. Shared values.*



*\* Securities \**  
Founders Financial Securities, LLC

*The mission of Founders Financial is to positively impact the lives and professions of those we serve, always building a community of spirit and purpose as we grow our collective Human Quotient™*

Member FINRA/SIPC and Registered Investment Advisor

**Registration:**

51 U.S. States and Territories

**Clearing Through:**

Pershing, TD Ameritrade, and E\*TRADE Advisor Services

**Assets Under Management:**

\$3,063,000,000 as of 12/2019

**Headquarters Location:**

Towson, Maryland

**Our Community of Member Partners**



AVERAGE PROFESSIONAL TENURE

**23 years**



AVERAGE ASSETS UNDER MANAGEMENT

**\$40,000,000**



**100%**

MEMBERSHIP SERVANT-LEADING CLIENT DREAMS

ADVISORS ANNUAL PRODUCTION GREATER THAN \$100,000



**93%**

RETENTION RATE



**99%**

ADVISORS CONDUCTING FEE-BASED BUSINESS



**94%**

**Our Purpose**

**BUILT BY AND FOR**

An enterprise built by independent financial advisors, for independent financial advisors.

...

**SHARED RESOURCES. SHARED VALUES.**

An uncommon community of like-minded, values-based professionals who enjoy the fellowship, spirit, and uniqueness that is created by the sum of our parts.

...

**INTERDEPENDENT**

We are a partner, not a processor. This sort of relationship promotes true growth, achievement, and lasting purpose for your business.

*Independence, professional respect, growth, and servant leadership are not just words...they are the very heart of who we are.*



IN % OF FEE-BASED BUSINESS<sup>1</sup>



IN % OF ADVISORS PRODUCING MORE THAN \$150,000<sup>2</sup>



HIGHEST AVERAGE GDC<sup>3</sup>



**100%** PRIVATELY OWNED

1020 Cromwell Bridge Road | Towson, Maryland 21286 | (888) 523-1162 | wwwFOUNDERSFINANCIAL.com

JoinFounders@FoundersFinancial.com

<sup>1</sup>As reported by Financial Planning: IBD Elite Ranking (June 2019) | <sup>2</sup>As reported by Financial Planning: IBD Elite Ranking (June 2019) | <sup>3</sup>Investment News Broker-Dealer Data Center (May 2019)

## How We Serve



### Strategic Enterprise Program™

*Practice Management & Coaching*

*A unique discovery system designed to help you grow your enterprise through a balanced process that promotes happiness*

- Leadership and strategic vision coaching
- Enterprise development
- One-on-one personal experience



### Stakeholder Support Services

*Your Personal Advocates*

*In-house, dedicated support from people who understand your enterprise needs*

- Devoted team always working with you toward our common purpose
- Consistent communication keeps you fully informed of the status of requests
- Published service standards that drive mutual accountability



### Enterprise Management Suite

*Integrated, Intelligent Tools & Technologies*

*An integrated suite of technologies supporting the five distinct business experiences of your enterprise*

- Client Experience
- Client Management
- Business Processing
- Research & Educational Resources
- Business Development



### Marketing & Communications

*For Attracting New & Enhancing Existing Relationships*

*Branding and marketing resources to help you grow existing and develop new client relationships*

- Pre-approved marketing materials
- Website consulting and design
- Resource library of client-ready communications



### Integrated Professional Services

*An Extension of Your Enterprise*

*An innovative service that liberates your time to focus on growing client relationships*

- Your “behind the scenes” client operations support team
- Keeps your firm at the front and center of the client relationship
- Brings efficiency to client operations and gives you more time back in your day



### Wealth & Asset Management Services

*Comprehensive Planning & Investment Platforms*

*Access to the programs and tools you need to serve your fee-based clients*

- Freedom Capital Management Strategies®
- Third-party money managers
- Advisor as portfolio manager (discretionary or non-discretionary)



### Compliance & Operations

*Protecting & Serving Your Firm*

*Helping you to meet your client's goals and dreams within the ever-changing regulatory environment*

- Guide for the interpretation and application of securities regulations
- Dedicated support for new business
- Counsel for client accounts and transactions
- Objective and transparent approach to principle review process



### Member Transition & Training

*Personalized & Customized*

*Working intimately with you to turn your enterprise dream into a reality*

- Personalized discovery process and dedicated transition coordinator
- Library of educational resources
- On-boarding and training for new Member Firm employees



### Succession Planning

*Establishing Your Legacy*

*Innovative solutions and personal guidance to prepare your business for the future*

- Customized to your enterprise's unique structure and goals
- Strategic plan development and consultation
- Personalized guide for facilitating succession plan implementation

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*We conduct every aspect of our business with the intentional purpose to serve others first so they can achieve their unique dream.*

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