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:	Clearing Through:	Assets Under Management:	Headquarters Location:
51 U.S. States and Territories	Pershing, TD Ameritrade, and E*TRADE Advisor Services	$3,063,000,000 as of 12/2019	Towson, Maryland

Our Community of Member Partners

AVERAGE PROFESSIONAL TENURE
23 years

AVERAGE ASSETS UNDER MANAGEMENT
$50,000,000

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.

1st
IN % OF FEE-BASED BUSINESS[1]

2nd
IN % OF ADVISORS PRODUCING MORE THAN $150,000[2]

7th
HIGHEST AVERAGE GDC[3]

100%
PRIVATELY OWNED

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

JoinFounders@FoundersFinancial.com

[1]As reported by Financial Planning: IBD Elite Ranking (June 2019) | [2]As reported by Financial Planning: IBD Elite Ranking (June 2019) | [3]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

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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