

2013 BROKERAGE REPORT CARD

How advisors rated their firms

	BOUTIQUE Richardson GMP	REGIONAL INDIES Leede FinancialOdium Brown	NATIONAL INDEPENDENTS Canaccord Wealth Mgmt.Edward JonesMacquarie Private WealthRaymond James	BANK-OWNED INVESTMENT DEALERS BMO Nesbitt BurnsCIBC Wood GundyNational Bank FinancialRBC DS Scotia- McLeodTD Wealth PIA	Perform- ance average	Import- ance average
Firm's total compensation	9.2	9.38.9	8.18.78.58.1	7.38.46.98.78.17.6	8.3	9.0
Technology tools & advisor desktop	8.8	8.17.9	8.68.38.18.2	8.08.17.28.45.06.2	7.8	9.0
Support for mobile technology & the mobile advisor	9.3	8.88.1	8.17.67.88.0	7.28.07.18.36.05.8	7.7	7.8
Firm's focus on social media	9.4	7.47.0	5.34.99.07.4	4.75.86.76.35.44.5	6.4	5.8
Back office & administrative support	8.9	9.49.3	7.28.58.68.7	6.77.76.48.47.27.0	8.0	9.1
Consumer website	8.8	8.48.6	7.37.78.28.0	7.47.87.48.57.37.7	7.9	7.7
Firm's consumer advertising	8.1	7.07.5	4.36.68.45.8	5.66.74.97.95.57.5	6.6	7.0
Firm's marketing support for advisor's practice	9.0	7.98.6	7.07.69.47.9	6.67.17.18.08.86.8	7.8	7.9
Client account statements	8.1	8.47.9	7.88.17.88.4	7.47.57.27.87.26.4	7.7	8.5
Online account access for clients	9.1	9.09.0	8.38.57.68.8	8.28.57.68.98.28.4	8.5	8.6
Ongoing training	8.7	8.17.9	8.18.68.27.4	7.38.07.08.76.57.9	7.9	7.8
Your sales assistant	9.5	9.19.5	8.29.09.08.7	8.89.28.79.39.09.0	9.0	9.3
Your branch manager	8.8	8.48.4	7.6N/A8.28.6	7.67.67.48.67.68.0	8.1	8.3
Firm's succession program for advisors	9.0	N/C7.7	7.57.67.88.4	7.68.58.38.87.86.7	8.0	8.4
Products & support for high net-worth clients	9.4	8.08.0	7.47.58.47.8	7.98.17.79.37.27.4	8.0	8.6
Support for developing a financial plan for clients	9.2	7.98.5	7.19.07.67.6	7.78.57.79.07.77.9	8.1	8.3
Support for developing an investment plan for clients	8.9	8.17.9	6.98.58.38.0	7.97.87.18.87.37.7	7.9	8.0
Support for wills and estate planning	9.4	N/A7.9	7.17.07.76.7	7.78.17.49.27.87.8	7.8	7.9
Support for tax planning	9.1	N/A8.2	6.96.88.06.3	7.37.96.68.56.36.9	7.4	7.9
Support for insurance planning	8.9	6.88.2	7.28.98.28.1	7.88.57.39.08.48.1	8.1	7.7
Support for helping clients accumulate assets for retirement	9.2	8.68.8	7.18.78.37.7	7.78.27.18.87.48.2	8.1	8.1
Support for helping clients plan for post-retirement income	9.3	8.88.9	7.48.78.87.9	7.58.17.18.87.38.0	8.2	8.2
Support for portfolio management	9.1	N/A8.0	8.48.58.28.0	8.08.17.69.07.87.1	8.1	8.0
Support for overall wealth-management process	9.3	N/A8.5	7.68.18.78.0	7.88.37.49.17.67.8	8.2	8.6
Quality of equities research	N/A	N/A9.3	8.18.68.68.0	8.07.57.98.37.47.3	8.1	8.5
Firm's due diligence process for new products	9.1	9.39.1	7.79.38.78.3	7.88.07.78.67.68.1	8.4	8.3
Quality of firm's product offering	9.3	8.79.0	8.48.58.78.9	8.68.88.29.28.38.3	8.7	8.9
Firm's stability	9.2	9.59.8	7.19.79.59.4	8.89.19.19.89.89.6	9.3	9.5
Firm's strategic focus	9.3	8.98.6	7.59.29.38.3	7.68.37.19.37.88.3	8.4	8.8
Firm's effectiveness in keeping advisors informed	9.2	8.88.3	7.18.89.08.2	7.78.36.88.87.67.9	8.2	8.6
Firm's receptiveness to advisor feedback	9.4	9.38.7	7.28.69.07.4	6.98.06.48.67.47.2	8.0	8.8
Firm's corporate culture	9.3	9.59.3	7.09.29.38.7	8.18.17.09.18.58.4	8.6	8.8
Firm's diversity & inclusion strategy	9.3	9.29.0	8.49.59.28.6	8.88.58.28.88.69.2	8.9	7.8
Firm's image with the public	8.7	8.49.3	6.48.78.78.1	8.18.56.69.48.79.3	8.4	9.1
Firm's ethics	9.7	9.69.6	8.49.79.59.2	8.79.08.79.79.09.2	9.2	9.6
Advisor's relationship with compliance department	9.6	9.69.1	8.79.19.19.1	8.68.88.59.19.08.8	9.0	9.1
Freedom to make objective product choices	9.8	9.99.7	9.28.79.79.7	9.39.49.09.79.59.0	9.4	9.6
Firm's delivery on promises	8.6	9.49.2	8.18.98.98.5	8.28.56.99.27.67.4	8.4	9.2
IE RATING (AVERAGE OF ALL CATEGORIES)	9.1	8.78.6	7.58.48.68.1	7.78.17.48.87.77.8	8.2	
Overall rating by advisors	9.2	9.49.2	8.08.99.08.8	8.08.67.49.27.98.2	8.6	

ALL RATINGS ARE BASED ON A SCALE OF 0 TO 10  
NUMBERS IN GREEN INDICATE A RATING HAS INCREASED BY AT LEAST 0.5 OF A POINT FROM LAST YEAR. NUMBERS IN RED INDICATE A RATING HAS DECREASED BY AT LEAST 0.5 OF A POINT FROM LAST YEAR  
THE "PERFORMANCE AVERAGE" TALLIES ALL THE RATINGS IN A GIVEN CATEGORY AND AVERAGES THEM TOGETHER. YOU CAN CHECK TO SEE IF A COMPANY IS ABOVE OR BELOW THE AVERAGE  
THE "IMPORTANCE AVERAGE" TALLIES ALL THE IMPORTANCE RATINGS IN A GIVEN CATEGORY AND AVERAGES THEM TOGETHER. IT IS INTENDED TO MEASURE HOW IMPORTANT ADVISORS THINK A REPORT CARD CATEGORY IS TO THEIR BUSINESSES  
THE "IE RATING" IS AN AVERAGE OF ALL OF A COMPANY'S CATEGORY RATINGS, EXCLUDING THE "OVERALL RATING BY ADVISORS." THE "OVERALL RATING BY ADVISORS" IS THE RATING ADVISORS GAVE THEIR FIRM AS A WHOLE  
N/A MEANS A CATEGORY DOES NOT APPLY TO A COMPANY; N/C MEANS THE CATEGORY IS NOT CALCULABLE, AS NOT ENOUGH ADVISORS RATED IT TO BE A REASONABLE SAMPLE  
SOURCE: INVESTMENT EXECUTIVE RESEARCH

INVESTMENT EXECUTIVE CHART