

2018 ADVISORS' REPORT CARD

How advisors rated their firms

	Performance					Importance				
	Brokerages	Dealers	Banks	Insurance agencies	Average	Brokerages	Dealers	Banks	Insurance agencies	Average
Firm's total compensation	8.2	8.2	7.8	8.2	8.1	9.1	8.9	9.2	9.0	9.0
Firm's reward/recognition program	7.6	6.9	7.7	7.5	7.4	7.4	5.2	8.2	7.0	6.9
Firm's support for advisors operating within a fee-based model	8.3	7.6	N/A	N/A	7.9	9.0	8.2	N/A	N/A	8.6
Technology tools & advisor desktop	7.5	7.0	7.3	7.7	7.4	9.1	8.8	9.4	9.0	9.1
Support for mobile technology & the mobile advisor	7.7	6.7	7.8	7.4	7.4	8.4	7.6	8.4	8.3	8.2
Support for using social media	7.0	6.7	7.9	6.6	7.0	7.1	6.4	7.6	7.2	7.1
Back office & administrative support	7.6	7.5	7.1	7.9	7.5	9.1	9.3	9.4	9.2	9.3
Firm's marketing support for advisor's practice	7.3	6.5	7.7	7.7	7.3	8.0	6.4	8.5	8.4	7.8
Client account statements	7.5	7.1	8.1	7.2	7.5	8.4	8.5	9.0	8.7	8.7
Online account access for clients	8.0	7.6	8.9	6.9	7.9	8.6	8.4	9.2	8.5	8.7
Ongoing training	7.7	6.8	8.0	8.4	7.7	7.8	7.4	9.0	8.9	8.3
Your branch manager	8.1	8.2	8.9	8.6	8.5	8.5	8.6	9.2	8.7	8.8
Firm's succession program for advisors	7.9	7.6	7.9	7.9	7.8	8.5	7.9	9.3	9.2	8.7
Products & support for high net-worth clients	8.1	7.7	8.5	8.2	8.1	8.9	8.1	9.3	9.0	8.8
Support for developing a financial plan for clients	8.2	7.6	8.5	7.7	8.0	8.7	8.2	9.3	8.8	8.8
Support for developing an investment plan for clients	7.7	7.9	8.5	7.7	8.0	8.3	8.3	9.3	8.5	8.6
Support for wills and estate planning	8.0	7.9	7.7	7.9	7.9	8.4	8.3	8.9	8.6	8.5
Support for tax planning	7.4	7.8	7.7	7.9	7.7	8.0	8.0	8.8	8.7	8.4
Support for insurance planning	8.3	8.0	N/A	8.7	8.3	8.3	8.3	N/A	9.1	8.6
Bringing new investment products to market	N/A	N/A	8.2	6.5	7.4	N/A	N/A	9.0	8.2	8.5
Quality of firm's product offering	8.7	8.8	8.6	8.7	8.7	8.9	9.1	9.5	9.4	9.2
Firm's stability	9.0	8.6	9.0	9.1	8.9	9.4	9.2	9.4	9.4	9.4
Firm's strategic focus	8.1	7.6	8.5	8.2	8.1	8.8	8.3	9.0	8.9	8.7
Firm's effectiveness in keeping advisors informed	7.8	7.4	8.5	8.2	8.0	8.5	8.4	9.1	9.0	8.8
Firm's receptiveness to advisor feedback	7.5	7.4	7.9	7.9	7.7	8.8	8.6	9.2	8.9	8.9
Firm's corporate culture	8.1	7.8	8.3	7.1	7.8	8.7	8.0	9.0	8.2	8.5
Firm's reputation with clients and/or prospective clients	8.5	7.5	8.6	8.5	8.3	9.2	8.2	9.5	9.3	9.1
Firm's ethics	9.1	9.0	9.3	9.3	9.1	9.5	9.5	9.7	9.7	9.6
Support for dealing with changes in the regulatory environment	8.6	8.2	8.8	8.5	8.6	8.9	9.0	9.3	9.3	9.1
Advisor's relationship with compliance department	8.8	8.5	8.6	8.7	8.6	8.9	8.9	9.1	9.2	9.0
Freedom to make objective product choices	9.4	9.3	8.8	9.2	9.1	9.6	9.6	9.5	9.7	9.6
Firm's delivery on promises	8.1	8.1	8.6	8.5	8.3	9.2	9.1	9.6	9.4	9.3

ALL RATINGS ARE BASED ON A SCALE OF 0 TO 10

N/A MEANS THE CATEGORY IS NOT APPLICABLE TO THAT REPORT CARD

NUMBERS IN GREEN INDICATE A RATING HAS INCREASED BY AT LEAST HALF A POINT FROM LAST YEAR. NUMBERS IN RED INDICATE A RATING HAS DECREASED BY AT LEAST HALF A POINT

THE INDIVIDUAL PERFORMANCE AND IMPORTANCE RATINGS ARE THE OVERALL AVERAGE RATINGS FOR THE CATEGORIES IN THE RELEVANT REPORT CARDS. CUMULATIVE OVERALL AVERAGES WERE THEN CALCULATED FOR THIS TABLE. IMPORTANCE RATINGS INDICATE HOW ADVISORS RATED THE IMPORTANCE OF EACH CATEGORY TO THEIR BUSINESS ON AVERAGE IN EACH REPORT CARD

SOURCE: INVESTMENT EXECUTIVE RESEARCH

INVESTMENT EXECUTIVE CHART