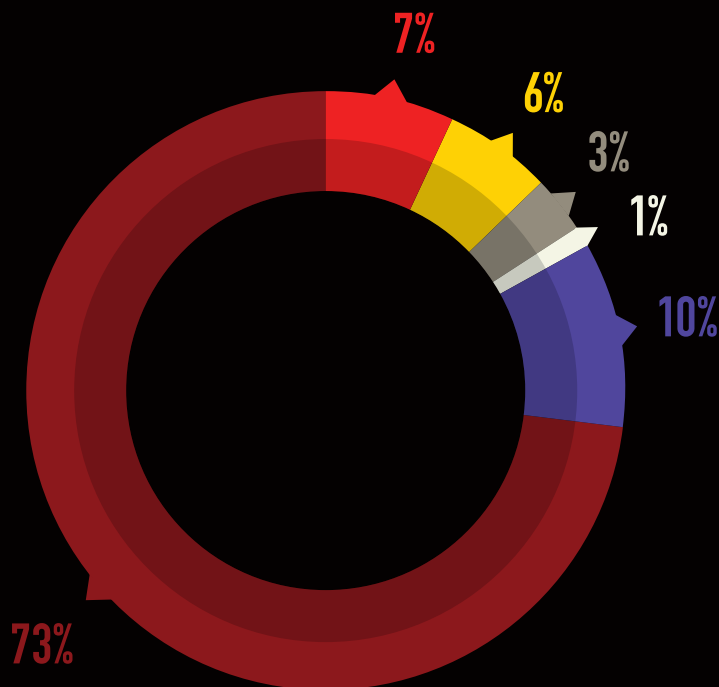


GRADIENT SECURITIES

#67 FINANCIAL ADVISOR MAGAZINE'S
2015 BROKER-DEALER RANKING*

PRODUCT DISTRIBUTION

- Asset Management Fees
- Fixed Annuities
- Individual Securities
- Insurance
- Mutual Funds
- Variable Annuities



NUMBER OF PRODUCING REPS 2014	GROSS REVENUE (\$MM) 2014	GROSS REVENUE PER REP 2014	PAYOUT PERCENTAGE 2014	EMPLOYEES TO REPS	AUM (\$MM) 2014
87	8.4	96,192	85	1:6.2	934,848.6

Does your firm operate a corporate RIA? Yes.

Can reps operate their own RIA? Yes.

Specialization: Offers marketing and branding services. Also offers case design and product expertise in wealth management, financial planning, securities, insurance and taxes. Reps have access to a diverse portfolio of financial products and services through our relationship with the Gradient family of companies—including insurance, asset management, CPA services and mortgage banking.

Compliance Support: The compliance team offers “Common Sense Compliance”. There are dozens of pre-approved sales systems and marketing pieces that can be customized for our producers. Compliance officers are experienced and accessible. Monthly training webinars and alert emails are offered to help producers understand compliance rules and regulatory issues.

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* As seen in the April 2015 edition of Financial Advisor Magazine.



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