BrokerDealer Market
Established 1987

2180 Satellite Boulevard, Suite 400-25
Duluth, GA 30097
Website: www.bdmarket.com
Tel: 678-835-9002
Toll Free: 800-454-0629
Fax: 678-815-1524

Instructions

The following pages are in a form fill format. You can enter the information requested and print the documents for faxing or save it to your computer to use for email. Which ever you should prefer. Should you choose to, you can just print this document and hand write the information requested as well. Please be detailed in your responses as the more we know about you and your needs, the better we can match you with a potential buyer or seller.

- Where text is required to be entered, you can simply click in the appropriate box and type your response.
- If it is a Box that needs to be checked, simply click the appropriate box and hit the "X" key on your keyboard.

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REGISTERED INVESTMENT ADVISOR (RIA) FIRM PROFILE, (PLEASE PRINT OR TYPE)

Name of firm: ______________________________

Address: ______________________________

City: ____________ **State:** ____________ **Zip:** ____________

Name of owner/representative: ______________________________

Telephone: ____________ **Fax:** ____________

Email address: ______________________________

Corporation details

State: ____________ Date: ____________ Type: Select One

Number of owners / shareholders? ______________________________

Number of authorized shares? ______________________________

How many branch offices? ______________________________

Business details

1. ☐ Investment adviser SEC # ____________ Date: ____________

   ☐ Broker Dealer CRD # ____________ Date: ____________

2. Do you have a Net Capital requirement by your state? Yes ☐ No ☐

   Are you compliant? Yes ☐ No ☐

3. Are you registered with a foreign financial regulatory authority? Yes ☐ No ☐

   If yes, please specify: ______________________________

4. Approximately how many employees? ______________________________

   How many are licensed Financial Planners ____________

   How many of these perform investment advisory (including research)? ____________

   How many of these employees are registered representatives? ____________

5. Clearing arrangement: ______________________________

6. Number of client accounts: ______________________

7. Total assets under management: $ ______________________

8. What percent is fee based? %

9. What types of clients do you have? Please indicate below the percentage for each.

Individuals (other than high net worth individuals)	%
High net worth individuals	%
Banking or thrift institutions	%
Investment companies (including mutual funds)	%
Pension and profit sharing plans	%
Other pooled investments (i.e., Hedgefunds)	%
Charitable organizations	%
Corporations or other businesses not already listed	%
State or municipal government	%
Other:	%

10. Please indicate the different types(s) of advisory services you provide?

- ☐ Financial Planning
- ☐ Pension Consulting
- ☐ Publication of Periodicals or Newsletters
- ☐ Portfolio - For Individuals or Small Businesses
- ☐ Portfolio - For Businesses or Institutional Clients (Not Including Investment Companies)
- ☐ Portfolio - For Investment Companies
- ☐ Security Ratings or Pricing Services
- ☐ Market Timing
- ☐ Other (Please Specify):

11. Please describe your fees,

☐ Fixed (Other than Subscription)	$
☐ Percentage of AUM	%
☐ Hourly	$
☐ Subscription Fees	$
☐ Commissions	$
☐ Performance-Based	$
☐ Other (Please Specify):	

12. States that you are registered in?

☐ AL	☐ DC	☐ KS	☐ MS	☐ NY	☐ RI	☐ WA
☐ AK	☐ FL	☐ KY	☐ MO	☐ NC	☐ SC	☐ WV
☐ AZ	☐ GA	☐ LA	☐ MT	☐ ND	☐ SD	☐ WI
☐ AR	☐ HI	☐ ME	☐ NE	☐ OH	☐ TN	☐ WY
☐ CA	☐ ID	☐ MD	☐ NV	☐ OK	☐ TX	
☐ CO	☐ IL	☐ MA	☐ NH	☐ OR	☐ UT	
☐ CT	☐ IN	☐ MI	☐ NJ	☐ PA	☐ VT	
☐ DE	☐ IA	☐ MN	☐ NM	☐ PR	☐ VA	

13. Are you interested in selling, merging, other? (Explain): ________________________________

§§§

CONFIDENTIAL CONTACT INFORMATION FOR PRINCIPAL DECISION MAKER

Name: ________________________________ Title: ____________________

Confidential Phone: Confidential Fax:

Confidential Email: ____

Other: ____

Note: This information is to provide a means of contact that will not leak your intentions to your organization and will enable prompt communications during negotiations.

When completed, fax directly to Mark Harris at 678-815-1524 or email to Mark@BDMarket.com.
Thank you.

IF YOU ARE A BD, WHAT INSTRUMENTS ARE YOU AUTHORIZED TO SELL?

Exchange member engaged in exchange commission business other than floor Activities.	EMC	☐
Exchange member engaged in floor activities.	EMF	☐
Broker or Dealer making inter-dealer markets in corporate securities over-the-counter.	IDM	☐
Broker or Dealer retailing corporate equity securities over-the-counter.	BDR	☐
Broker or Dealer selling corporate debt securities.	BDD	☐
Underwriter or selling group participant (corporate securities other than mutual funds).	USG	☐
Mutual fund underwriter or sponsor.	MFU	☐
Mutual fund retailer.	MFR	☐
U.S. government securities dealer.	GSD	☐
U.S. government securities broker.	GSB	☐
Municipal securities dealer.	MSD	☐
Municipal securities broker.	MSB	☐
Broker or dealer selling variable life or insurance or annuities.	VLA	☐
Solicitor of time deposits in a financial institution.	SSL	☐
Real estate syndicator.	RES	☐
Broker or dealer oil and gas interests.	OGI	☐
Put and call broker or dealer or option writer.	PCB	☐
Broker or dealer selling securities of only one issuer or associate issuers (other than mutual funds)	BIA	☐
Broker or dealer selling securities of non-profit organizations (e.g., churches, hospitals).	NPB	☐
Investment advisory services.	IAD	☐
Broker or dealer selling tax shelters or limited partnerships in primary distributions.	TAP	☐
Broker or dealer selling tax shelters or limited partnerships in the secondary market.	TAS	☐
Non-exchange member arranging for transactions in listed securities by exchange member.	NEX	☐
Trading securities for own account.	TRA	☐
Private Placement of securities.	PLA	☐
Broker or dealer selling interests in mortgages or other receivables.	MRI	☐
Broker or dealer involved in a networking, kiosk, or similar arrangement with a		
1. Bank, saving banks or association or credit union	BNA	☐
2. Insurance company or agency.	INA	☐