



# Legacy Financial Services

**Home of the Complete Financial Advisor**  
**Independent / Insightful / Innovative**

*Although EIAs are a hot button issue on the regulatory frontier, LFS is not looking at the NASD's Notice to Members 05-50 as an opportunity to earn commissions on the sale of EIAs. The sale of EIAs will be considered an Outside Business Activity.*

| <b>Who We Are</b>                       | Independent Broker/Dealer offering an array of non-proprietary investment products and services. Began operations in 1996.  |            |                          |              |     |                   |     |           |  |
|---|---|------------|--------------------------|--------------|-----|-------------------|-----|-----------|--|
| <b>Transition Team</b>                  | This team, headed up by our Relationship Managers, is focused on helping you make a smooth transition to our Broker/Dealer. Our goal is to build a strong foundation for a mutually beneficial long-term relationship.  |            |                          |              |     |                   |     |           |  |
| <b>Non-Proprietary Products</b>         | <ul style="list-style-type: none"> <li>○ Mutual funds.</li> <li>○ Variable annuities and variable life insurance.</li> <li>○ Stocks: exchange-listed and OTC.</li> <li>○ Bonds: corporate, municipal, and government.</li> <li>○ Unit Investment Trust and Real Estate Investment Trusts.</li> <li>○ Limited Partnership Programs.</li> <li>○ CDs and money market accounts.</li> <li>○ Fee-based asset management (through Legacy Advisory Services, an SEC Registered Investment Advisor).</li> </ul> |            |                          |              |     |                   |     |           |  |
| <b>Clearing Firm</b>                    | Pershing, LLC (division of Bank of New York).   |            |                          |              |     |                   |     |           |  |
| <b>Comprehensive Technology Package</b> | <ul style="list-style-type: none"> <li>○ Online access to client accounts, balances, positions, and activity.</li> <li>○ Online research and trading platform (through Pershing and NetExchangePro).</li> <li>○ Consolidated statements (through Investigo).</li> <li>○ TurnKey financial planning software.</li> <li>○ LaserApp.</li> <li>○ LFS website.</li> </ul>  |            |                          |              |     |                   |     |           |  |
| <b>Annual Builders Conference</b>       | <ul style="list-style-type: none"> <li>○ Meetings attract exemplary speakers.</li> <li>○ Industry leaders offer selling advice and concepts.</li> <li>○ Analysts give market prognoses.</li> <li>○ Legal experts offer instruction on compliance matters.</li> </ul>  |            |                          |              |     |                   |     |           |  |
| <b>Other Services</b>                   | <ul style="list-style-type: none"> <li>○ Online compliance and continuing education.</li> <li>○ Commissions paid weekly.</li> </ul>   |            |                          |              |     |                   |     |           |  |
| <b>Exclusive to Legacy</b>              | <ul style="list-style-type: none"> <li>○ Tiered Practice Management Program to meet your individual needs.</li> <li>○ Sales and marketing tools to expand your business.</li> <li>○ Asset Transfer Service to facilitate timely account transfers.</li> </ul>   |            |                          |              |     |                   |     |           |  |
| <b>Payout Grid</b>                      | <table border="0"> <thead> <tr> <th><i>GDC</i></th> <th><i>Payout Percentage</i></th> </tr> </thead> <tbody> <tr> <td>\$0–\$25,000</td> <td>70%</td> </tr> <tr> <td>\$25,001–\$50,000</td> <td>75%</td> </tr> <tr> <td>\$50,001+</td> <td>80% or greater (call LFS for details).</td> </tr> </tbody> </table> <p>OSJ contracts available, payouts up to 90%. Potential for enhanced compensation on variable products.</p>  | <i>GDC</i> | <i>Payout Percentage</i> | \$0–\$25,000 | 70% | \$25,001–\$50,000 | 75% | \$50,001+ | 80% or greater (call LFS for details). |
| <i>GDC</i>                              | <i>Payout Percentage</i>  |            |                          |              |     |                   |     |           |  |
| \$0–\$25,000                            | 70%   |            |                          |              |     |                   |     |           |  |
| \$25,001–\$50,000                       | 75%   |            |                          |              |     |                   |     |           |  |
| \$50,001+                               | 80% or greater (call LFS for details).  |            |                          |              |     |                   |     |           |  |

**For a complete kit call 800-496-4330, Ext. 4603**

**Legacy Financial Services ♦ Member NASD/SIPC**

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