

FROM PIONEERING PRACTICE MANAGEMENT AND WEALTH MANAGEMENT DEPARTMENTS, TO CREATING ADVISOR-DRIVEN TECHNOLOGICAL SOLUTIONS, TO PROVIDING AWARD-WINNING, INDISPENSABLE SERVICE, COMMONWEALTH FINANCIAL NETWORK® CONTINUES TO BE RECOGNIZED AS A LEADER AND AN INNOVATOR IN EVERY FACET OF THE BROKER/DEALER INDUSTRY SINCE ITS INCEPTION IN 1979.

LEGENDARY LEADERSHIP

- In 2010, we were ranked “Highest in Independent Advisor Satisfaction among Financial Investment Firms” by J.D. Power and Associates.*
- We are an unprecedented 10-time winner of *Investment Advisor* magazine’s [Broker/Dealer of the Year award](#).
- Joseph Deitch is ranked among leading CEOs in the book *Leadership Secrets of the World’s Most Successful CEOs: 100 Top Executives Reveal the Management Strategies That Made Their Companies Great* (Dearborn Publishing)—a testament to the strong leadership and dedicated senior management at Commonwealth.
- Joseph Deitch is one of the 25 most influential people in the financial planning industry (*Investment Advisor* magazine, May 2004, 2005, 2006, 2010).
- Our Wealth Management Initiative helps our investment advisors avoid the profit squeeze and gain new business by providing value-added specialization.
- Fun is in our mission statement!
- As a practice management pioneer, we understand our advisors are small business owners, not just salespeople.
- Our advisors praise our educational and incentive conferences as “world-class” and the best in the industry.
- We’ve been recognized 18 times as one of the Best Places to Work by the *Boston Globe*, *Boston Business Journal*, *San Diego Business Journal*, and *Computerworld*. This includes #1 Best Place to Work designations in the midsize category from both the *Boston Business Journal* and the *San Diego Business Journal* (2005, 2009), as well as the *Boston Globe* (2008).

- Our Retirement Plan Consulting program is the industry’s first vendor-agnostic, fee-based retirement plan platform. We provide advisors universal access to the retirement marketplace, enabling them to offer both plan sponsor and participant-level advice in alignment with fiduciary standards.
- Advisors can now receive portfolio management from Commonwealth’s in-house Research team with PPS Select, a turnkey mutual fund and exchange-traded fund wrap program.

INNOVATIVE TECHNOLOGY

- A 2008 study conducted by [Tiburon Strategic Advisors](#) ranks Commonwealth #1 in technology in eight business-critical areas: intuitiveness, integration, imaging capabilities, issue tracking capabilities, reliability, operations capabilities, value, and technology support.
- Our advisor-driven technology allows our advisors’ offices to run more efficiently, helping them to become bigger, better, and more competitive.
- Using Client360® advisors can holistically view and manage their clients’ entire financial picture. Encompassing portfolio, document, contact, and wealth management for every household, Client360° lets advisors run their businesses from any Internet connection. Noteworthy features include a way to easily upload documents for processing and storage and a customer relationship management system that’s fully integrated and synchronized with Microsoft Outlook.

- The Client Proposal Wizard generates client-centered, institutional-quality investment proposals in under two minutes, making it easier for our advisors to market services to a new client or to rebalance accounts to standard or custom model portfolios.
- With flexible templates that allow for customization, EasySite allows our advisors to easily create sophisticated websites they can use to generate awareness and build brand recognition.
- Our online Work in Progress application shows how 300 work types within 30 categories across 20 home office departments are progressing in real time, 24/7—allowing our advisors and their staff to stay informed about the work we are doing for them.
- With the Consolidated Statement, our advisors can view all of their clients' financial information, including brokerage accounts and accounts held directly with fund families, with insurance companies, and even LPs and REITs, from one central hub. Additionally, should they choose, an advisor's clients can access these statements online from their advisor's website.
- Our advisors save time and reduce errors using Commonwealth's intelligent wizards, which ensure they always have the right paperwork, and EasyFill,[™] which automatically populates forms with up to 100 percent of client data.
- Our advisors are guaranteed a callback within 24 hours on any unresolved issues.
- Direct access to the CEO and executive management is just a phone call away.
- The Advanced Topics Symposium provides extensive training to our advisors' staff.
- Any complaints received from advisors during their annual compliance audits are addressed within 24 hours.
- Advisor satisfaction scores are tied into our bonus pool.
- Our 30-member transition team guides new advisors through the smoothest transition process in the industry—we place a huge emphasis on the care our advisors receive after they've made the decision to join Commonwealth.
- Free technology assistance is available 12 hours out of every business day, and 8 hours on Saturdays, from our Technology HelpDesk. If necessary, we can even take over our advisors' computers remotely—with their permission—for virtual on-site support.

INDISPENSABLE SERVICE

- Commonwealth holds an industry-leading advisor-to-staff ratio of 2.8 to 1.
- We have an average 8-second Service Center answer time.
- We have an average 15-second IT HelpDesk answer time.

INDEPENDENCE COAST TO COAST

- Commonwealth's headquarters are located in Waltham, Massachusetts, and San Diego, California, enabling us to service our advisors 12 hours a day.
- Each office provides Commonwealth with a full disaster recovery plan so that our advisors receive uninterrupted service no matter where they're located in the United States.

**Commonwealth Financial Network[®] received the highest numerical score in the independent advisor segment in the proprietary J.D. Power and Associates 2010 Financial Advisor Satisfaction Study.SM Study based on 2,863 total responses and measures overall financial advisor satisfaction among advisors registered with the Financial Industry Regulatory Authority (FINRA) investment firms. Proprietary study results are based on experiences and perceptions of financial advisors surveyed in February–June and July–August, 2010. Your experiences may vary. Visit jdpower.com.*