WHERE FIRST ALLIED FITS IN THE FINANCIAL SERVICES INDUSTRY

Financial Industry Regulatory Authority (FINRA)

Securities and Exchange Commission (SEC)

Insurance
Products and
Services

Retirement Products and Services

Alternative Investments

First Allied

Broker/Dealer and Registered Investment Adviser



Stocks, Bonds and Mutual Funds

Advisory Services and Fee-Based Programs

Other Investment Products

Financial Advisor



Client



Brokerage Accounts Custodied at Pershing, LLC or J.P. Morgan Clearing Corp.

WHAT IT MEANS TO BE AN INDEPENDENT FINANCIAL SERVICES PROVIDER

Broker/dealers and Registered Investment Advisers buy and sell investment products on behalf of investors who are clients of financial advisors affiliated with the firm. Because we are an independent financial services provider, financial advisors affiliated with us work for themselves out of their own offices across the country and are free to help clients choose the best investment products to meet their financial goals. Because we provide advisors with access to a wide range of investment choices, they can choose which products they believe are best for their clients. We function as the unseen back office that processes client transactions and supports advisors as they provide financial assistance to clients.

