

small is the new big



AUSDAL
FINANCIAL PARTNERS



Since 1979, Ausdal Financial Partners has been serving independent financial professionals and their clients throughout the Midwest and the nation. In Ausdal you will find a confluence of small town, Midwestern values, and industry leading financial products, services and technology. Ausdal is a small firm that values quality over quantity, relationships over revenue. It is a place where we still answer our own phones, know our representatives by name and pride ourselves in straightforward, responsive service. We are accessible, accountable, and understand that we can succeed only when you do. Yet our size belies a breadth of capabilities that will satisfy even the most demanding financial professional. Registered representatives that are affiliated with Ausdal enjoy:

-  **TRUE INDEPENDENCE**
At Ausdal you can expect the freedom to run your practice as you like. We have no interest in controlling the products, vendors or custodians you work with. As long as you are working in your clients best interest, we are behind you all the way. We respect you and your practice. You own your business, your clients and your data. If the time comes for you to leave us, we will help out. **That is the strength of our commitment**
-  **FLEXIBILITY**
We recognize that everyone's practice is different and it is our responsibility to accommodate you. When it comes to a unique business niche, marketing approach or just the day-to-day exception, consider us partners. We will work with you. In taking an open minded, consultative approach we know that we can develop solutions to satisfy you all. **Our goal is to get to the yes.**
-  **PARTNERSHIP**
We call ourselves Ausdal Financial Partners for a reason. We realize that we cannot succeed unless you do. When you call Ausdal, you won't have to fight through layers of bureaucracy to reach a decision maker. One phone call should do it. Your business is important to us and we know that the best ideas originate in the field. You don't need to be a million dollar producer for your voice to be heard. **Your opinion matters to us.**
-  **COMMITMENT**
We value our independence as much as you do and we are committed to building a firm that will sustain our representatives and employees while remaining independent for years to come. Safeguards are in place to preserve our independence via capital and ownership structure and Ausdal's commitment to embrace new opportunities, strategies and technology will help us remain competitive in the future. We truly believe that once you join Ausdal, you may never feel the need to move again. **Ausdal will be home.**

OVER>>

FAST FACTS

FOUNDED	Founded in 1979 by Robert B. Ausdal in Davenport Iowa
REGISTRATIONS	Ausdal is registered in all states.
LOCATIONS	Home Office in Davenport, Iowa—Chicagoland Office in Downers Grove, IL
REPRESENTATIVES	Ausdal serves over 250 registered representatives Nationwide.
OWNERSHIP	9 owners with no individual holding a share in excess of 25%
CLEARING	Ausdal clears trades through Pershing LLC, an affiliate of Bank of New York Mellon
INVESTMENT ADVISORY	AFP is a registered investment advisor and supports fee planning, third party managers and rep driven programs. Advisory platforms include Pershing, Schwab and TD Ameritrade. Ausdal also embraces the hybrid advisor working with an independent investment advisory practice and registered products.
INSURANCE	Ausdal's primary insurance relationships are with MVP Financial in Geneva, IL and InSource. Representatives are not obligated to use these providers but those who do will receive top payouts, underwriting assistance, advanced case support and Ausdal production credit
PRIVATE PLACEMENTS	Ausdal has an in-house private placement department that identifies and develops private offerings. Ausdal will also act as a placement agent in some instances.
STAFFING	Typical ratio of representatives to home office employees is less than 10/1
PROPRIETARY PRODUCTS	Ausdal Portfolio Rehabilitation is available to investment advisors. There are no obligations or incentives associated with the program.
PAYOUTS	AFP payouts are very flexible and highly competitive. Most representative payouts range from 80% to 92%
FEES AND EXPENSES	Annual B/D Fee: \$400/yr + \$50/mo. Errors and Omissions Insurance: \$1,950/yr. Representatives are responsible for individual state licensing and registration, FINRA & SIPC fees.
PRODUCTION REQUIREMENTS	Ausdal has no formal production requirement and will be flexible depending upon the type of business, geographical and supervisory issues and market climate.
MISSION	"To become the premier independent broker-dealer in the Midwest by offering experienced financial professionals a true partnership that recognizes their value, protects their independence and contributes to their success."

ESTABLISHED IN 1979, OVER 140 YEARS OF COMBINED EXPERIENCE...

ROBERT B. AUSDAL JR., CFA—*President and CEO*
Since 1979 with Robert B. Ausdal & Co. Inc.

TOM HOPKINS—*Special Consultant to the Board of Directors*
Since 1967, founded Long Grove Trading Co./Waterstone Financial Group

DAVID B. ROBERTS—*Executive Vice President, Business Development*
Since 1974 with Lincoln National, Equitable, LGTC/Waterstone

JOHN B. HICKS—*Chief Marketing Officer*
Since 1986 with AIG, Prudential, Manulife & LGTC/Waterstone

JEFF SIMPSON—*Executive Vice President, Private Investing*
Since 1991 with First Trust Portfolios, Robert B. Ausdal & Co.

AUSDAL
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