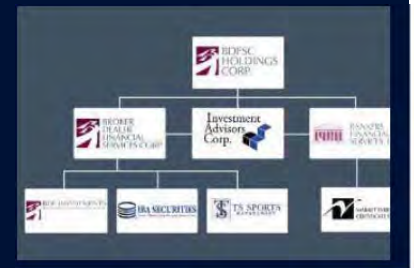




At a Glance

Fast Facts



B/D Registered with the SEC	1979
Ownership	Privately held with three majority shareholders and ESOP Plan.
Location	Home Office is in West Des Moines, Iowa.
Stability	The firm is financially sound and continues to maintain a strong commitment to providing resources and support that help our advisors. We have spent the last few decades consciously building a structure to ensure continued success.
Better Business Bureau Rating	A+ (as of March 2016)
Representatives	BDFSC/IAC serves over 245 registered representatives nationwide (as of 03/2016).
Leadership	BDFSC/IAC managing principals share over 170 years of combined experience. The firm has three majority owners and is an ESOP company. Our executive leadership team has amazing visionary leadership for the growth of our firm, our advisors and their clients. Our team takes pride in the ability to provide “concierge-level” service.
Representative to Home Office Ratio	8:1
Clearing & High Quality Technology	Fully disclosed model and clearing through First Clearing LLC. BDFSC/IAC invests in “best-of-the-breed” back office platform including Salesforce, RedTail, Morningstar, Laser App, DST Vision Pro, Smarsh, Advicent, Broadridge, Emerald Connect, Finance Logix, Marketing Pro, Mobile Assistant, and E-Money software to mention a few.
Investment Advisory	IAC is an SEC registered investment advisor and supports fee planning, third-party manager and rep driven programs. Advisory platforms include First Clearing LLC, Schwab, TD Ameritrade and Fidelity.
Insurance	BDFSC has three insurance marketing organizations with Brokers Clearing House, Western Marketing and Personalized Brokerage Services. Representatives are not obligated to use our marketing organizations but those who do, will receive top payout, underwriting assistance, advanced case support and BDFSC production credit.
Proprietary Products	There are no obligations associated with any proprietary products.

Broker Dealer Financial Services Corp. • Member FINRA & SIPC divisions: BDF Investments & IBA Securities • (515) 727-6700	140 South 68th Street, #2200, West Des Moines, IA 50266 Mailing Address: P.O. Box 71339, Clive, IA 50325-0339 Facsimile: (515) 727-6790 • Toll-Free (800) 352-5634
Investment Advisors Corp. • (515) 727-6720	

Diverse and Competitive Product Offerings

- Advisory
- Bonds
- Insurance Products
- Variable Annuities
- Mutual Funds & UITs
- Stocks & Options
- Alternative Investments

Payouts

BDFSC/IAC payouts are very flexible and highly competitive. Most independent representative payouts range from 75% to 90%.

Fees and Expenses

Annual FINRA Assessment B/D Fee: Direct pass-through

Annual SEC Assessment IA Fee: Direct pass-through

Errors and Omission Insurance: \$1,935/yr.

Fidelity Bond Fee: \$100/yr.

Firm Element CE: \$100/yr.

Representatives are responsible for individual state licensing and registration, FINRA & SIPC fees.

Social Media Fee: \$400/yr.

Technology Fee: Direct pass-through

Production

BDFSC/IAC has a \$50,000 minimum production requirement.

Significant Growth & Consistent Profits

AUM: \$ 1.6 BN Brokerage

\$ 1.1 BN Mutual Fund Directs

\$ 622 MN Assets under Advisement

Registrations and Membership

Broker Dealer Financial Services Corp.:

- State Registered in all 50 states, Puerto Rico, Virgin Islands and District of Columbia
- Insurance licensed in 47 states and District of Columbia
- Securities and Exchange Commission (SEC) - *Registered Broker Dealer*
- Commodities Futures Trade Commission (CFTC) - *Registered Introducing Broker*
- Financial Industry Regulatory Authority (FINRA) - *Member Firm*
- Securities Investor Protection Corporation (SIPC) - *Member Firm*
- National Futures Association (NFA) - *Member Firm*
- National Securities Clearing Corporation (NSCC) - *Member Firm*
- Municipal Securities Rulemaking Board (MSRB) - *Member Firm*
- Securities Industry and Financial Markets Association (SIFMA)

Investment Advisors Corp.:

- Securities and Exchange Commission (SEC) - Registered Investment Adviser
- Notice filed in 48 States and the District of Columbia

Mission

"We are committed to providing our financial advisors with an exceptional partnership to ensure they have the support and resources needed to assist their clients in achieving their financial goals."

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