

Ameriprise Financial Comparison Checklist



Changing B/Ds is one of the most important decisions you'll ever make. That's why we created the following checklist, to show you how Ameriprise compares with other firms and why it may be the right firm for you.

	Ameriprise Financial	Firm 1		Firm 2	
1. Has the firm experienced significant growth with high net revenues and major cash acquisitions over the past 5 years?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
2. Did the firm decline TARP funding?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
3. Is the firm a market leader in Advice & Wealth Management, Asset Management, Annuities and Protection? ¹	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
4. Is the firm among the top-ranked independent B/Ds in the country? ²	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
5. Is the firm's brand recognized and respected?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
6. Does the firm make significant investments annually to enhance and develop best-in-class advisor tools and integrated technology?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
7. Does the firm offer the choice of affiliation – either as a traditional advisor or independent franchisee?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
8. Does the firm provide competitive payouts and deferred compensation?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
9. Does the firm provide you with autonomy plus the support you need?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
10. Does the firm offer strong compliance support to help protect you and your clients?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
11. Does the firm provide real business development and practice management resources?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
12. Does the firm provide personal transition support?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
13. Does the firm provide “plug-in” marketing and administrative support?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
14. Does the firm provide the process to deliver a consistent client experience based on personalized advice?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
15. Does the firm provide a broad array of product solutions?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
16. Does the firm allow you to work with the clients you choose?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
17. Is the firm as passionate about “doing the right thing” for your clients as you are?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
18. Does the firm have a proven process for succession planning?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
19. Does the firm offer resources to help you sell your practice?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
20. Does the firm have a diverse business model?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
21. Does the firm have a high client and advisor satisfaction rating?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no

	Ameriprise Financial	Competitor 1		Competitor 2	
22. Does the firm have a client retention rate of 93% or higher? ¹	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
23. Does the firm have more than 10,000 employees to support you? ³	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
24. Does the firm provide practice acquisition financing?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
25. Does the firm have a nationally recognized brand supported by national advertising featuring actual advisors?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
26. Does the firm offer peer-to-peer mentoring and partnering?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
27. Does the firm provide equitable resources regardless of production levels?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
28. Is the firm America's leader in financial planning? ⁴	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
29. Does the firm have more CERTIFIED FINANCIAL PLANNER™ professionals than any other B/D? ⁴	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
30. Does the firm have a diverse, inclusive, client-centric culture?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
31. Does the firm match up to \$200 per eligible advisor charitable donations?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no
32. Will the firm show you tangible examples to help you grow your practice?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes	<input type="checkbox"/> no	<input type="checkbox"/> yes	<input type="checkbox"/> no

¹ Based on company filings as of December 31, 2009.

² InvestmentNews, April 26, 2010.

³ Company data as of May 1, 2010.

⁴ Ameriprise helped pioneer the financial planning process more than 30 years ago. Our unique *Dream > Plan > Track >®* approach is about more than just numbers, it's both science and art. We have more financial planning clients and more CERTIFIED FINANCIAL PLANNER™ professionals than any other company in the U.S., based on data filed at adviserinfo.sec.gov and documented by the Certified Financial Planner Board of Standards, Inc. as of Dec. 31, 2009.

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