

Independent broker-dealers

Independent broker-dealers ranked by fee revenue

Firm	Fee revenue
1. Ameriprise Financial Services Inc.	\$808.8M
2. LPL Investment Holdings Inc.	\$695.51M
• LPL Financial	\$688.78M
• Uvest	\$6.73M
3. Raymond James Financial Services Inc.	\$251.99M
4. Advisor Group	\$236.61M
• FSC Securities Corp.	\$75.47M
• Royal Alliance Associates Inc.	\$110.28M
• SagePoint Financial Inc.	\$50.85M
5. Commonwealth Financial Network	\$225.79M
6. Cetera Financial Group	\$145.26M
• Financial Network Investment Corp.	\$101.12M
• Multi-Financial Securities Corp.	\$38.07M
• Primevest Financial Services Inc.	\$6.07M
7. Cambridge Investment Research Inc.	\$136.73M
8. Securities America Inc.	\$134.75M
9. Wells Fargo Advisors Financial Network	\$109M
10. Lincoln Financial Network	\$102.15M

Firm	Fee revenue
11. National Planning Holdings Inc.	\$101.32M
• Invest Financial Corp.	\$22.18M
• Investment Centers of America Inc.	\$7.07M
• National Planning Corp.	\$49.18M
• SII Investments Inc.	\$22.89M
12. NFP Securities	\$62.87M
13. H.D. Vest Financial Services	\$58.49M
14. Axa Advisors LLC	\$58.1M
15. MetLife Broker-Dealer Group	\$55.16M
• MetLife Securities Inc.	\$32.06M
• Tower Square Securities Inc.	\$4.94M
• Walnut Street Securities Inc.	\$18.17M
16. First Allied Securities Inc.	\$44.93M
17. Securian Financial Services Inc.	\$39.59M
18. Genworth Financial Securities Corp.	\$36.01M
19. Waddell & Reed Inc.	\$35.45M
20. ING Financial Partners	\$35.38M

Source: InvestmentNews

As America's leader in financial planning – with more CFP® professionals and more financial planning clients than any other firm¹ – it's no wonder we're ranked #1 among IBDs for fee-based revenue. Our success as a broker-dealer reflects the success of our advisors who've transformed their practices from transactional to fee-based by leveraging our industry-leading financial planning and advice tools, processes and capabilities. If you're looking for an independent platform that truly offers more, then it's time to call Ameriprise.

George Fekete, Divisional Vice President - East (561) 531-4564
Matt Kelley, Divisional Vice President - Central (859) 391-7026
Mike DeLorenzo, Divisional Vice President - West (949) 939-4380



The Publisher's sale of this reprint does not constitute or imply any endorsement or sponsorship of any product, service or organization. #2280
 Crain Communications 732.723.0569. DO NOT EDIT OR ALTER REPRINTS. REPRODUCTIONS ARE NOT PERMITTED.

Independent broker-dealers ranked by gross revenue

Broker-dealer	Gross revenue
1. LPL Investment Holdings Inc.	\$2.8B
• LPL Financial	\$2.6B
• Uvest	\$195.2M
2. Ameriprise Financial Services Inc.	\$2B
3. Raymond James Financial Services Inc.	\$834.9M
4. Advisor Group	\$773.9M
• Royal Alliance Associates Inc.	\$317.5M
• FSC Securities Corp.	\$229.1M
• SagePoint Financial Inc.	\$227.3M
5. Lincoln Financial Network	\$738.3M
6. MetLife Broker-Dealer Group	\$724.7M
• MetLife Securities Inc.	\$377.1M
• New England Securities Inc.	\$194.3M
• Walnut Street Securities Inc.	\$107.4M
• Tower Square Securities Inc.	\$45.9M
7. Cetera Financial Group	\$616.8M
• Financial Network Investment Corp.	\$309.8M
• Primevest Financial Services Inc.	\$180.8M
• Multi-Financial Securities Corp.	\$126.2M
8. National Planning Holdings Inc.	\$610.8M
• National Planning Corp.	\$258.2M
• Invest Financial Corp.	\$175.1M
• SII Investments Inc.	\$116.8M
• Investment Centers of America Inc.	\$60.7M
9. Axa Advisors LLC	\$490.6M
10. Commonwealth Financial Network	\$488.5M

Broker-dealers ranked by reps producing over \$100,000

Broker-dealer	# of reps
1. LPL Investment Holdings Inc.	5,658
• LPL Financial	5,223
• Uvest	435
2. Ameriprise Financial Services Inc.	4,524
3. Raymond James Financial Services Inc.	2,138
4. Axa Advisors LLC	1,904
5. Advisor Group	1,704
• FSC Securities Corp.	500
• Royal Alliance Associates Inc.	689
• SagePoint Financial Inc.	515
6. Cetera Financial Group.	1,574
• Financial Network Investment Corp.	747
• Multi-Financial Securities Corp.	293
• Primevest Financial Services Inc.	534
7. National Planning Holdings Inc.	1,377
• Invest Financial Corp.	404
• Investment Centers of America Inc.	173
• National Planning Corp.	543
• SII Investments Inc.	257
8. Commonwealth Financial Network	1,149
9. Securities America Inc.	1,063
10. Wells Fargo Advisors Financial Network	745

Source: *InvestmentNews* survey

© Entire Contents copyright by Grain Communications Inc. All rights reserved.



Ameriprise Financial
1491 Ameriprise Financial Center
Minneapolis, MN 55474
(800) 990-5286
joinameriprise.com/5286

¹Ameriprise helped pioneer the financial planning process. Our unique approach is about more than just numbers, it's both science and art. We have more financial planning clients and more CFP® professionals than any other company in the U.S. based on data filed at adviserinfo.sec.gov and documented by the CFP Board of Standards, as of Dec. 31, 2009.

Brokerage, investments and financial advisory services are made available through Ameriprise Financial Services, Inc., Member FINRA and SIPC. Some products and services may not be available in all jurisdictions or to all clients. Ameriprise Financial is an Equal Opportunity Employer.