

Ameriprise Financial Comparison Checklist

Changing firms is one of the most important decisions you'll ever make. 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?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
2. Did the firm decline TARP funding?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
3. Is the firm a market leader in Advice & Wealth Management, Asset Management, Annuities and Protection? ¹	<input checked="" type="checkbox"/> yes	yes	no	yes	no
4. Does the firm offer the choice of affiliation — either as a traditional advisor or independent franchisee?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
5. Does the firm provide competitive payouts and deferred compensation programs?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
6. Does the firm allow you to work with the clients you choose?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
7. Is the firm's brand recognized and respected?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
8. Is the firm ranked among the most trusted investment firms by consumers? ²	<input checked="" type="checkbox"/> yes	yes	no	yes	no
9. Does the firm have a fully integrated technology platform that makes it easier for advisors to support a first-rate client experience designed to work across multiple channels and drive efficiencies?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
10. Is the firm among the top-ranked independent B/Ds in the country? ³	<input checked="" type="checkbox"/> yes	yes	no	yes	no
11. Does the firm provide access to in-house financing to help advisors acquire external practices?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
12. Does the firm provide you with autonomy plus the support you need?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
13. Does the firm offer strong compliance support to help protect you?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
14. Does the firm provide resources to help you manage every facet of your business — with tools and support for every stage of your practice lifecycle? ⁴	<input checked="" type="checkbox"/> yes	yes	no	yes	no

	Ameriprise Financial	Firm 1		Firm 2	
15. Does the firm provide personal transition support?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
16. Does the firm provide resources to help you unlock the equity you've built in your practice when you're ready to sell?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
17. Does the firm provide professional turnkey marketing tools that help strengthen existing client relationships and attract new clients?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
18. Does the firm provide the process to deliver a consistent client experience based on personalized advice?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
19. Does the firm provide advisors access to thousands of product solutions from hundreds of providers — many of which are non-proprietary?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
20. Is the firm as passionate about “doing the right thing” for clients as you are?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
21. Does the firm have a proven process for succession planning?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
22. Does the firm have a high advisor retention rate?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
23. Does the firm have a nationally recognized brand supported by a multi-million dollar ad campaign?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
24. Does the firm offer peer-to-peer coaching, training and local business development resources?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
25. Does the firm provide equitable resources regardless of production levels?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
26. Does the firm promote online collaboration, including eBox, eSignature and remote check scanning?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
27. Does the firm have more CERTIFIED FINANCIAL PLANNER™ professionals than any other firm? ⁵	<input checked="" type="checkbox"/> yes	yes	no	yes	no
28. Does the firm have a diverse, inclusive, client-centric culture?	<input checked="" type="checkbox"/> yes	yes	no	yes	no
29. Will the firm show you tangible examples to help you grow your practice?	<input checked="" type="checkbox"/> yes	yes	no	yes	no

* Opportunities may differ depending upon choice of affiliation with Ameriprise Financial.

¹ No.1 financial planning firm in the U.S.: “Ameriprise helped pioneer the financial planning process more than 30 years ago. We have more CERTIFIED FINANCIAL PLANNER™ professionals than any other company as documented by the CFP Board of Standards, Inc., as of Dec. 31, 2014. No. 2 mutual fund advisory program in assets: Cerulli Edge – data as of 4Q 2014. No. 5 branded advisor force in the U.S.: Company reports as of 4Q 2014. No. 8 variable universal life insurance provider (total assets): LIMRA International, 4Q 2014. No. 11 long-term mutual fund assets in the U.S.: ICI Complex Assets, 4Q 2014. No. 10 variable annuity provider: LIMRA International, 2Q 2014.

² Ameriprise was rated 5th out of 13 investment firms in the 2015 Temkin Trust Ratings.

³ *InvestmentNews*, April 27, 2015.

⁴ Some support and resources are provided to franchise advisors for a fee.

⁵ Source: Certified Financial Planner Board of Standards, Inc. and based on the number of financial planning clients SEC-registered investment advisers disclosed annually.

Ameriprise Financial Services, Inc. is an Equal Opportunity Employer.

This information is not intended as an offer to sell, or the solicitation of an offer to buy, a franchise. It is for information purposes only. MN Permit #F-3872. Not for use with clients. 1491 Ameriprise Financial Center, Minneapolis, MN 55474.

Investment advisory products and services are made available through Ameriprise Financial Services, Inc., a registered investment adviser.

Ameriprise Financial Services, Inc. Member FINRA and SIPC.

© 2015 Ameriprise Financial, Inc. All rights reserved.

244480 D (6/15)