

# 2017 DEALERS' REPORT CARD

## How financial advisors rated their firms

	FULL-SERVICE AND MUTUAL FUND DEALERS								INDEPENDENT DEALERS			Perform- ance average	Import- ance average
	Assante Wealth Mgmt.	Desjardins Financial Security	Hollis- Wealth	Investment Planning Counsel	Investors Group	Manulife Securities	Peak Financial Group	Worldsource Wealth Mgmt.	Global Maxfin Investments	Portfolio Strategies	Sterling Mutuals		
Firm's total compensation	8.1	7.8	7.9	8.2	7.7	7.6	8.8	8.4	7.7	8.4	8.4	8.1	8.9
Firm's reward/recognition program	7.3	7.3	6.0	6.9	7.9	7.3	7.2	6.2	N/A	N/A	N/A	7.0	5.7
Firm's support for advisors operating within a fee-based model	8.6	6.7	8.3	7.0	7.9	6.7	8.3	7.9	N/A	N/A	7.4	7.6	8.5
Technology tools & advisor desktop	7.9	7.5	7.0	7.7	8.2	7.0	8.1	7.3	6.2	6.8	8.1	7.4	8.8
Support for mobile technology & the mobile advisor	7.5	7.0	6.9	7.1	7.6	7.0	7.3	6.3	N/A	N/A	8.4	7.2	8.1
Support for using social media	N/C	6.3	6.6	N/C	8.1	7.4	N/C	N/A	N/A	4.6	N/A	6.6	6.6
Back office & administrative support	8.6	7.7	7.3	7.9	7.4	7.4	8.8	7.9	7.5	7.8	7.6	7.8	9.2
Firm's marketing support for advisor's practice	8.0	7.0	6.4	8.1	7.8	6.3	7.2	N/A	N/C	N/A	N/C	7.3	7.7
Client account statements	8.2	7.7	6.7	7.0	8.2	7.5	7.7	7.0	6.9	7.4	7.7	7.5	8.6
Online account access for clients	8.9	7.9	7.3	8.0	7.4	N/A	8.9	8.1	7.3	8.1	8.7	8.1	8.4
Ongoing training	8.0	6.9	6.6	7.4	9.1	6.8	7.2	6.9	5.1	6.3	6.6	7.0	7.6
Your branch manager	8.9	7.5	8.3	8.7	8.1	8.6	8.7	9.0	7.6	7.9	8.3	8.3	8.5
Products & support for high net-worth clients	9.1	6.9	7.7	7.5	8.4	7.1	8.5	7.2	N/A	N/C	6.5	7.7	8.4
Support for developing a financial plan for clients	8.7	7.0	7.1	6.6	9.2	6.9	N/A	N/A	N/A	N/C	N/A	7.6	8.7
Support for developing an investment plan for clients	8.6	6.4	7.2	7.8	8.5	N/C	N/A	N/A	N/A	N/C	N/A	7.7	8.1
Support for wills and estate planning	8.9	6.7	6.9	6.8	8.8	N/C	N/C	N/A	N/A	N/A	N/A	7.6	8.3
Support for tax planning	8.5	N/C	6.1	N/A	9.0	N/C	N/C	N/A	N/A	N/A	N/A	7.9	8.3
Support for insurance planning	8.8	8.0	7.9	7.7	8.9	N/C	N/C	N/A	N/A	N/A	N/A	8.2	8.3
Quality of firm's product offering	9.2	8.8	8.9	8.0	8.4	8.7	9.3	9.0	8.9	9.0	8.6	8.8	9.1
Firm's stability	9.7	9.5	8.9	9.2	9.4	9.3	9.5	8.9	7.7	8.7	8.7	9.0	9.3
Firm's strategic focus	8.8	7.5	6.9	8.2	9.0	7.6	8.9	7.3	6.9	7.6	7.9	7.9	8.3
Firm's effectiveness in keeping advisors informed	8.3	7.3	7.6	8.3	8.6	7.4	8.7	7.3	6.6	6.9	7.5	7.7	8.5
Firm's receptiveness to advisor feedback	7.9	6.9	6.3	7.9	8.0	6.5	8.6	7.6	7.0	7.3	7.6	7.4	8.6
Firm's corporate culture	8.7	7.9	7.2	8.0	8.5	7.7	8.9	7.9	7.4	8.0	7.4	8.0	8.0
Firm's reputation with clients and/or prospective clients	8.9	8.1	8.0	7.9	8.1	8.7	8.0	6.8	5.8	8.0	7.7	7.8	8.5
Firm's ethics	9.5	9.1	9.2	9.2	9.6	8.9	9.4	9.1	8.2	9.3	9.0	9.1	9.5
Support for dealing with changes in the regulatory environment	9.0	8.3	8.2	8.4	8.9	8.2	9.0	8.3	7.3	7.8	8.4	8.3	9.1
Advisor's relationship with compliance department	8.8	8.6	8.0	8.4	8.7	8.8	9.1	8.6	7.9	8.6	8.5	8.5	8.9
Freedom to make objective product choices	9.5	9.3	9.4	9.1	8.8	9.4	9.8	9.2	9.4	9.3	9.2	9.3	9.5
Firm's delivery on promises	8.4	8.1	8.4	7.9	8.7	7.8	9.3	8.2	8.5	8.5	8.2	8.4	9.1
IE rating (average of all categories)	8.6	7.6	7.5	7.9	8.4	7.7	8.5	7.8	7.4	7.8	8.0	7.9	8.0
Overall rating by advisors	8.9	7.8	8.1	8.1	8.6	7.8	9.0	8.2	7.5	8.3	8.2	8.2	8.3

ALL RATINGS ARE BASED ON A SCALE OF 0 TO 10

N/A MEANS A CATEGORY DOES NOT APPLY TO A COMPANY; N/C MEANS THE CATEGORY IS NOT CALCULABLE, AS NOT ENOUGH ADVISORS RATED IT TO PRODUCE A REASONABLE SAMPLE

NUMBERS IN GREEN INDICATE A RATING HAS INCREASED BY AT LEAST 0.5 OF A POINT FROM LAST YEAR. NUMBERS IN RED INDICATE A RATING HAS DECREASED BY AT LEAST 0.5 OF A POINT FROM LAST YEAR

THE "PERFORMANCE AVERAGE" TALLIES ALL THE RATINGS IN A GIVEN CATEGORY AND AVERAGES THEM TOGETHER. YOU CAN CHECK TO SEE IF A COMPANY IS ABOVE OR BELOW THE AVERAGE

THE "IMPORTANCE AVERAGE" TALLIES ALL THE IMPORTANCE RATINGS IN A GIVEN CATEGORY AND AVERAGES THEM TOGETHER. IT IS INTENDED TO MEASURE HOW IMPORTANT ADVISORS THINK A REPORT CARD CATEGORY IS TO THEIR BUSINESS

THE "IE RATING" IS AN AVERAGE OF ALL OF A COMPANY'S CATEGORY RATINGS, EXCLUDING THE "OVERALL RATING BY ADVISORS." THE "OVERALL RATING BY ADVISORS" IS THE RATING ADVISORS GAVE THEIR FIRM AS A WHOLE

SOURCE: INVESTMENT EXECUTIVE RESEARCH

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