

# GWN



A Broker/Dealer Built for You.



**GWN Securities, Inc.**

*Where Independence is Valued<sup>SM</sup>*

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## A B R O K E R / D E A L E R B U I L T F O R Y O U

Today, your broker/dealer selection needs to be among a small group of financial organizations that understand your needs, can support and understand the complexities of your business and who are not afraid to support your non-broker/dealer activities - either internally or externally.

This is why we at GWN are committed to remaining flexible in our approach to technology, business processes, marketing and compliance. We know that it takes more than a long list of products and services to help you obtain and maintain your goals. The successful advisor utilizes crucial traits – drive, dedication and, most importantly, an entrepreneurial spirit. Our commitment to you is to continue to embrace that philosophy. An entrepreneurial spirit is the cornerstone of your success – and it's also the cornerstone of ours.

GWN Financial Group's mission is to provide you with all the tools necessary to compete successfully in an increasingly complex and ever-changing investment arena. We accomplish this by providing you with a broad range of financial planning instruments and specialized services, complimented by full-service clearing and brokerage support.

- **Independent Broker/Dealer**
- **Committed to Independent Producers**
- **User Friendly Systems and Technology**
- **Multiple Investment Advisory Programs**
- **Online Continuing Education and Training**
- **Thorough Compliance Oversight & Support**
- **Client Account Access Via the Internet**
- **Common Remitter**
- **Self Directed Internal Custodian**
- **Specialized 403(b)7 and 457 Services**
- **Practice Management**
- **Online File Management**
- **Consolidated Statements**
- **Robust Data Mining Capabilities**
  - *Interactive Reporting*
  - *Interactive Downloads*

# FREEDOM OF CHOICE



## FREEDOM OF CHOICE

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Do you have the freedom necessary to market your choice of products to your client base?

The GWN concept was born through years of feedback from proven, independent financial professionals. All of our services, capabilities and commitments are designed for one thing only - providing independent professionals with an environment that assists them in increasing their business and providing the tools necessary to support their clients effectively.

Our commission rates aren't driven by proprietary products, or management programs. At GWN, we are completely independent and enjoy tremendous relationships with virtually every major as well as boutique investment program. GWN financial advisors are perceived as friends of the product managers - not commodities.

In addition, GWN provides professional, fee-based advisory services. Advisers appreciate the flexibility and competitive payouts of GWN's fee-based asset management programs. Many investors prefer this method of compensation, since both the adviser and investor are seeking the same goal - to grow the value of their assets.

## BE PART OF A TEAM

GWN will never treat you as a number because we are only seeking proven, experienced professionals who enjoy personal one-on-one relationships. Our trained, experienced staff is completely available to you to assist in every aspect of your business.

GWN is a company that understands the need to be independent from product - pushing parent companies. GWN believes that every advisor's needs are unique and that every client's needs are different - the freedom to provide the right product is invaluable.

Traditionally, most independent professionals only looked at broker/dealer services. However, with the vast array of products and services that are available to you today, you need more to get ahead. You need a broker/dealer that will treat you as part of its team.

# BUILD ON SUCCESS



## SPECIALIZED SERVICES

GWN also specializes in TSA and 403(b) services through our Tax Sheltered Division. Our TSA Services Group has more than 100 years of practical hands-on experience in the servicing of not just the TSA marketplace, but also the employer payroll reduction/deduction marketplace. Additional markets include IRA, 457 and 401(a) employer-sponsored plans, as well as self-directed custodial plans. By joining GWN, you can provide direct payroll reduction/deduction access for your schools, colleges, hospitals, non-profits, municipalities and nearly any employer groups across the United States. Through GWN, you can also provide your employer groups with one of the largest portfolios of investments and insurance products available. We provide these services to you at no cost as a GWN associate.

## BUILDING YOUR BUSINESS

As an independent advisor, you've set business goals and objectives. Now you need a firm that will help you achieve them.

If you're building a sales organization, then GWN's recruiters will work with you to develop quality candidate leads. Whether you're searching for experienced or rookie representatives, we'll cater to your preferences.

In addition, our business group will assist you in enhancing your practice by providing fresh insights into such areas as public relations, education and client seminars. In addition, educational articles offering selling tips and means to increase revenues through cross-selling will be sent to you on a regular basis.

Today's consumer is better informed, has access to more information and is more demanding than ever. By utilizing Next Generation technology, we work to deliver Web-based solutions that allow you to operate with greater efficiency and maximize your client relationships through a diverse universe of product and information services.

# ADVANCED TECHNOLOGY



## ADVANCED TECHNOLOGY – INCREASED EFFICIENCY

GWN provides each advisor with complete access to their data. This includes all commission information and client information – all of their transactions, values and prices.

Our information is available to you anywhere, anytime and, most importantly, at your time and leisure. GWN's comprehensive Web site will provide you with the information that is vital to your practice. You'll have complete freedom and flexibility, as well as the foundation to view this information your way. After all, you've worked hard to acquire it, it is our job to maintain it and provide you with the access.

## THE VALUE OF INFORMATION

*Interactive Consolidated Statements*

*Robust Client Data Mining*

*Client Reporting and Tracking*

*Automated Data Downloads*

*Commission on Demand (All Levels)*

*Interactive Business Tracking*

*On-line Employer Management*

*Commission Research and Tracking*

*Client Management Tools*

*Marketing & Educational Seminars*

*Interactive Industry Education*

*Interactive Firm Element*

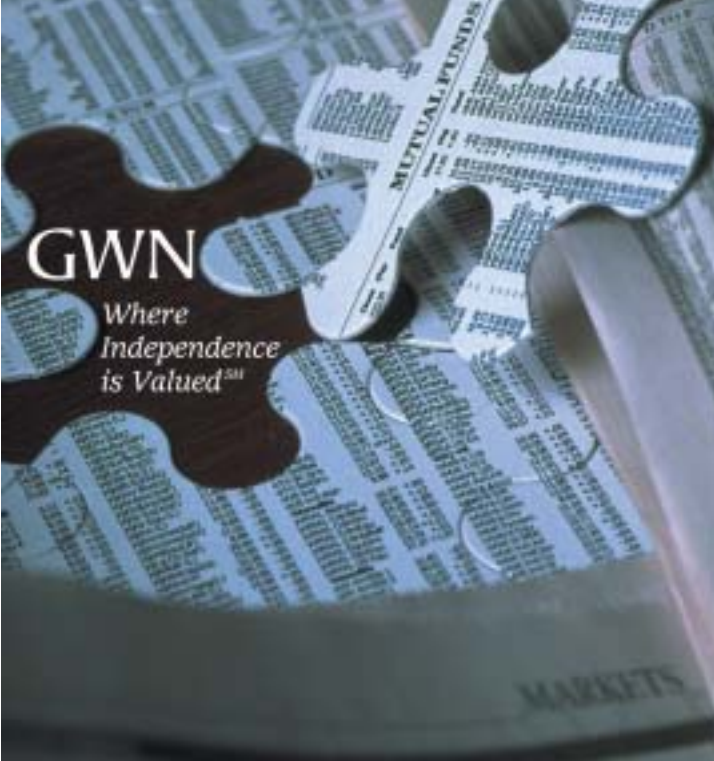
# WORKING FOR YOU 24/7



## VIRTUAL ASSISTANT – WORKING FOR YOU 24/7

Each advisor seeks different views. We have provided you with the interactive tools to accomplish this with an easy-to-use selection process that is available for real-time viewing and downloading (this information will easily import into many of today's contact or client management software). GWN believes that you are the best information source for your clients. All of the views are available to your clients via a private label approach from your Web site or simply by attaching your logo. This insures that you, and not us, are being promoted to your clients. Simply let your clients know how to access the information and the system will walk them through the easy, one-step sign up procedures.

Another feature of our innovation is the ability to see your commissions as they are posted and to pay yourself daily, if you would like. With our simple, one-step "pay me now" button, you can automatically pay yourself directly to your checking account (provided there is a minimum of \$500 of accrued commissions). This feature is available for your personal commissions, as well as for the sales organization, including virtually any management structure. Semi-monthly, GWN will provide a complete reconciliation of your commissions. Commissions are processed daily as we receive them and are available instantly.



# RIGHT CHOICE

## THE RIGHT CHOICE FOR YOUR FUTURE

The decision to change broker/dealers is not an easy one. In fact, it may be one of the most important business decisions you'll ever make. However, if you are seriously considering a change, then you need to consider GWN.

GWN offers an experienced and dedicated transition team ready to make your switch as smooth as possible. In most cases, transitioning can occur without the loss of a single business day. In fact, by working with our transition team in advance, you can establish a timetable that best works for your practice.

Once your license has been transferred, GWN's transition team will handle the rest, from obtaining your block transfer authorization to making sure

that your accounts are switched at the various mutual fund and variable insurance companies. Our team will assist in the completion of the ACAT forms necessary to move your clearing firm accounts. In the unlikely event that your current broker/dealer will not provide you with a block transfer of your business, we will assist you in the steps necessary to capture your client data and prepare and mail the necessary forms to complete this task. By choosing GWN, you will have someone who will be assigned to your needs and will answer any and all questions to guide you through this process and ensure that your business continues smoothly. After all, our success is based on your success.

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