

# Advisors stand behind their firms

Company	BOUTIQUES			REGIONAL INDEPENDENTS			NATIONAL INDEPENDENTS				BANK-OWNED INVESTMENT DEALERS						Performance average	Importance average
	GMP Private Client	Richardson Partners	Wellington West	Leede Financial	3Macs*	Odlum Brown	Blackmont Capital	Canaccord	Edward Jones	Raymond James	BMO Nesbitt Burns	CIBC Wood Gundy	National Bank Financial	RBC DS	Scotia-McLeod	TD Waterhouse PIA		
Firm's total compensation	9.7	9.2	8.9	9.2	7.8	8.5	8.7	8.5	8.6	8.8	7.7	7.8	7.5	7.7	7.8	7.0	8.3	9.0
Technology tools & advisor desktop	9.1	9.3	7.9	8.5	7.1	7.6	8.1	8.4	8.4	8.5	8.4	7.2	8.0	7.9	5.1	6.9	7.9	8.9
Back office & administrative support	9.2	8.2	8.1	9.4	8.3	9.1	8.2	8.2	8.2	8.3	7.0	6.8	6.9	8.3	7.2	7.0	8.0	8.9
Consumer website	8.4	8.5	8.3	8.0	7.2	7.4	7.8	7.6	8.0	7.5	7.2	7.7	7.1	7.7	6.9	8.2	7.7	6.8
Consumer advertising	7.6	7.9	7.7	4.6	4.6	6.7	6.2	5.2	8.2	6.4	5.0	7.2	4.7	5.7	6.0	7.8	6.3	6.8
Marketing support for advisor's practice	9.2	9.2	8.7	7.4	6.3	7.0	8.9	6.7	7.9	7.3	6.3	6.6	6.4	7.3	6.2	6.1	7.3	7.8
Client account statements	9.1	8.1	7.7	8.1	7.8	8.1	8.1	7.3	7.3	8.1	7.3	6.7	7.0	7.7	6.5	6.7	7.6	8.3
Online account access for clients	9.3	9.0	8.5	8.9	8.3	8.2	8.1	8.5	8.1	8.7	8.3	8.2	8.0	8.4	8.2	8.3	8.4	8.0
Ongoing training	9.4	9.0	8.4	7.0	6.2	7.4	7.4	7.2	9.0	8.1	8.0	7.4	7.5	8.3	7.0	7.3	7.8	7.5
Your branch manager	9.5	9.4	8.6	8.5	7.9	7.8	8.5	8.3	N/A	8.6	8.6	7.5	8.0	8.1	7.2	7.9	8.3	8.2
Products & support for HNW** clients	9.7	9.7	8.4	7.2	7.3	7.0	8.2	7.8	7.4	8.0	8.4	7.8	7.8	8.5	6.8	7.4	8.0	8.4
Support for wills and estate planning	N/A	9.8	N/A	7.7	7.3	8.0	7.5	7.3	7.3	8.1	7.6	7.5	6.1	8.7	7.7	7.2	7.7	8.0
Support for tax planning	N/A	9.7	N/A	N/A	7.5	7.6	6.9	6.7	7.1	7.0	7.3	8.0	6.7	8.0	5.5	6.8	7.3	7.8
Support for insurance planning	N/A	9.4	8.8	8.2	4.6	8.3	7.9	7.5	7.6	8.5	8.1	7.5	6.9	8.5	8.1	7.6	7.8	7.6
Support for discretionary portfolio mgmt.	9.6	9.3	8.5	N/A	8.0	6.6	8.6	N/C	N/A	7.8	8.3	N/C	8.1	8.4	N/C	6.7	8.2	8.0
Support for developing a fin'l plan for clients	9.0	9.6	7.5	7.6	4.6	7.5	6.8	6.9	8.7	8.1	8.2	7.6	7.8	8.2	6.9	7.4	7.6	8.0
Firm's succession program for advisors	9.4	8.6	8.4	N/C	7.3	7.1	9.0	8.0	7.3	8.3	7.3	8.0	8.4	8.0	6.7	7.0	7.9	8.1
IPOs & new issues	9.6	8.7	7.9	7.6	N/A	N/A	6.9	8.2	5.9	6.8	7.2	7.3	7.4	7.9	7.1	7.2	7.6	6.7
Quality of equities research	9.2	8.6	8.3	7.0	7.8	8.1	7.3	7.4	7.9	7.3	9.3	7.4	7.8	7.9	6.4	7.2	7.8	8.2
Quality of mutual fund research	N/A	8.1	7.2	N/A	N/A	N/A	6.9	5.4	7.9	7.5	7.2	6.8	6.3	7.4	6.3	7.2	7.0	6.2
Availability of fixed-income products	9.0	9.0	8.7	8.9	7.8	7.4	8.4	6.6	8.8	7.4	7.8	7.8	7.3	8.7	7.7	7.4	8.0	8.3
Pricing of fixed-income products	9.5	8.9	8.8	8.7	8.1	8.6	8.6	6.7	9.0	7.4	7.5	7.2	7.0	8.1	7.0	7.5	8.0	8.6
Quality of firm's product offering	9.7	9.4	8.9	8.7	8.0	8.1	8.2	8.1	8.7	8.2	8.7	8.1	8.1	8.9	7.7	7.7	8.5	8.9
Firm's stability	9.7	9.7	9.2	9.4	9.0	9.6	8.9	8.2	9.8	9.4	9.0	8.3	8.5	9.7	9.2	9.2	9.2	9.4
Firm's strategic focus	9.7	9.6	9.0	9.1	7.5	8.5	8.6	7.8	9.4	8.9	7.9	7.2	8.1	8.9	7.6	8.4	8.5	8.7
Firm's corporate culture	9.9	9.8	9.2	9.7	8.7	9.2	8.5	8.1	9.1	9.0	8.4	7.1	8.1	8.8	8.1	8.5	8.8	8.8
Firm's image with the public	8.9	9.5	8.3	8.7	8.5	9.3	7.9	6.7	9.1	7.8	8.2	7.3	7.2	9.1	8.4	9.2	8.4	9.0
Firm's ethics	10.0	9.9	9.3	9.8	9.5	9.7	9.1	8.7	9.8	9.4	9.2	8.7	8.8	9.4	9.1	9.1	9.4	9.6
Advisor's relationship with compliance dept.	9.7	9.5	9.0	9.2	8.7	9.1	8.9	8.9	9.4	9.1	9.0	8.7	8.2	8.5	8.8	8.3	8.9	8.9
Freedom to make objective product choices	10.0	9.8	9.9	9.8	9.5	9.3	9.6	9.5	9.0	9.6	9.6	9.4	9.3	9.6	9.4	8.8	9.5	9.6
Firm's delivery on promises	9.6	9.1	8.4	9.7	8.5	9.0	8.9	8.9	8.8	8.8	8.4	8.0	8.1	8.6	7.5	7.4	8.6	9.3
<b>IE RATING (AVERAGE OF ALL CATEGORIES)</b>	<b>9.4</b>	<b>9.1</b>	<b>8.5</b>	<b>8.4</b>	<b>7.6</b>	<b>8.1</b>	<b>8.1</b>	<b>7.6</b>	<b>8.3</b>	<b>8.2</b>	<b>7.9</b>	<b>7.6</b>	<b>7.8</b>	<b>8.3</b>	<b>7.3</b>	<b>7.6</b>	<b>8.1</b>	
Overall rating by advisors	9.8	9.5	8.9	9.4	8.3	9.1	8.6	8.4	9.0	9.0	8.6	7.8	8.0	8.9	7.9	8.1	8.7	

\*MACDOUGALL MACDOUGALL & MACTIER INC. \*\*HIGH NET-WORTH

ALL SCORES ARE BASED ON A SCALE OF 0 TO 10

A **BOLD** NUMBER INDICATES THE COMPANY PLACED FIRST IN THAT CATEGORY IN THE REPORT CARD. COMPANIES CAN BE TIED. NO EXTRA POINTS ARE AWARDED FOR A FIRST-PLACE POSITION. NUMBERS IN **GREEN** INDICATE A SCORE HAS INCREASED BY AT LEAST 0.5 OF A POINT FROM LAST YEAR. NUMBERS IN **RED** INDICATE A SCORE HAS DECREASED BY AT LEAST 0.5 OF A POINT FROM LAST YEAR.

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

THE "IE RATING" IS AN AVERAGE OF ALL OF A COMPANY'S CATEGORY SCORES, EXCLUDING THE "OVERALL RATING BY ADVISORS"

THE "OVERALL RATING BY ADVISORS" IS THE RATING ADVISORS GAVE THEIR FIRM AS A WHOLE.

THE "IMPORTANCE AVERAGE" TALLIES ALL THE IMPORTANCE SCORES 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.

N/A MEANS A CATEGORY DOES NOT APPLY TO A COMPANY.

N/C MEANS THE RATING FOR THE CATEGORY IS NOT CALCULABLE AS NOT ENOUGH ADVISORS RATED IT TO PRODUCE A REASONABLE SAMPLE.

SOURCE: INVESTMENT EXECUTIVE RESEARCH

INVESTMENT EXECUTIVE CHART