

## ABOUT THE FIRM

- Founded in 1996
- 20+ branch locations nationwide
- Business Model: Traditional Retail (W-2) Independent (1099)
- Multiple Custodial Platforms: First Clearing, Charles Schwab

## BUSINESS LINES

- Broker-Dealer/SEC RIA
- Asset Manager
- Retirement and 403(b) Platform
- Professional Employer Organization (PEO)
- Estate Planning, Life Insurance, Long-Term Care
- ROBO Advisor

## TARGET ADVISOR (MINIMUMS)

- Production: \$250K+ T12, \$25M AUM, 3+ years experience

## THE BENEFITS ARE ENDLESS

In 2015, Pinnacle started its own Professional Employer Organization (PEO) called Pinnacle Employee Services (PES). A PEO is principally a payroll, Human Resources, and benefits provider that is a way for businesses to comply with ever increasing and burdensome regulations that are constantly changing. By streamlining these processes, PES is able to provide services not readily available to small businesses ultimately saving them money and time. The perfect union between our Broker-Dealer/RIA and PEO are energized by one another and, as any good team, is unstoppable. They grow organically and provide guidance and opportunities that couldn't happen without each other.

## FIRM OVERVIEW

Founded by two financial advisors searching for a better way than their experience at a global wirehouse, Pinnacle Investments has grown to become one of the largest dually registered Broker-Dealers and Registered Investment Advisors in our region with 22 registered branches. Pinnacle offers a full range of products and services to support Advisors including rep managed discretionary accounts (fee-based), third-party advisory accounts, employer-sponsored retirement plans, financial planning, lending, and insurance in addition to traditional securities brokerage products (stocks, bonds, mutual funds, UITs).

As an employee-owned company, the Pinnacle management team is comprised of practicing Financial Advisors who understand the hard work you've put into building your brand. That's why we give you the option to keep your identity or share in our branding. We are happy to support your brand in the same way we'd be proud to have you share our name.

Since our inception, Pinnacle has repeatedly delivered on our commitment to be a supportive partner for our advisors, along with our clearing firm First Clearing and Charles Schwab. Whether you're moving from a small firm or a major wirehouse, our experienced and efficient transition team will ensure your business hits the ground running.

## WHY PINNACLE IS RIGHT FOR YOU

### MULTI-COMPANY OWNERSHIP OPPORTUNITY

- Equity in the parent company
- An added benefit on top of your book of clients

### ONE-OF-A-KIND BUSINESS MODEL

- Broker-Dealer / RIA / Insurance / PEO / Marketing
- Multiple business lines give you more opportunities to make money while reducing competition
- Enables you to provide more services to your clients all under one roof

### ADVISOR RUN FIRM

- Founded by advisors, for advisors
- Management are still advisors themselves and "walk in your shoes" every day
- Clients first, advisors second, firm third
- Flexibility to invest and run your practice your way



## CURRENT FINANCIAL ADVISOR PAYOUT GRID

### EMPLOYEE ADVISOR WITH BENEFITS (W-2)

Gross Annual Commissions	Incentive Period		Year 3+ Grid <sup>†</sup>
	Year 1 <sup>†</sup>	Year 2 <sup>†</sup>	
\$0 – \$200,000	80%	40%	35%
\$200,000 – \$300,000	80%	45%	40%
\$300,000 – \$500,000	80%	55%	50%
\$500,000 – \$1,000,000	80%	65%	55%
\$1,000,000 – \$2,500,000	80%	70%	58%
\$2,500,000+	80%	75%	60%

### INDEPENDENT ADVISOR (1099)

Gross Annual Commissions	Incentive Period		Year 2+ Grid <sup>†</sup>
	Year 1 <sup>†</sup>		
\$0 – \$100,000	90%		50%
\$100,000 – \$250,000	90%		75%
\$250,000 – \$500,000	90%		80%
\$500,000 – \$750,000	90%		85%
\$750,000 - \$1,000,000	90%		87%
\$1,000,000 +	90%		90%

<sup>†</sup>After the application of trade and platform charges.