LIVE WELL | LIVE FREE®

EXPERIENCE YOUR FUTURE

INDEPENDENT ADVISOR SERVICES

FREEDOM WEALTH ALLIANCE®

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explorefreedomwealthalliance.com

BELIEF IN **FREEDOM**

Culture is critical to the success of any organization. At Freedom Wealth Alliance, we have certain beliefs that permeate who we are, what we do, and that shape our culture. Do you share these beliefs, too?

We believe in freedom; the freedom to live the life you and your clients choose.

We believe in wealth; the wealth that comes from good intentions and serving others.

We believe in alliance, the transformative power that results from being part of a high performing community that is actively changing the lives of thousands of people.

We believe in financial advisors and in their ability to make a positive and lasting difference in people's lives.

Beliefs drive action, actions create results.
No one person has all the good ideas; therefore, the process of shared experience often results in a better outcome. When you form an alliance you strengthen everyone involved. We value process over products for our client's solutions. All long term relationships should be mutually beneficial.

Goals and dreams will remain just that, until you develop a plan to help you live them.

You Are **Invited**

We invite you to take a look and see if Freedom Wealth Alliance is the right firm for you. All it takes is one decision to change your life. One decision to start down a new path.

Kurt Rozman, *President*

We created the firm with the objective of freeing you from the burden of day-to-day business management. By bringing together the resources and horsepower of a high performing team, we offer you the freedom to spend your time doing what you enjoy the most. We put you first so you can put your clients first. We want to help you relieve stress so you and your clients can focus on the goal of living **live well** and **live free**.

FREEDOM IS WHAT WE OFFER. WHAT DOES IT LOOK LIKE FOR YOU?

- Free from a product driven corporate agenda
- Free from a large corporate bureaucracy that implements rules and procedures that cater to the lowest common denominator
- Free from being told what fees you can charge your clients
- Free from being limited to a small set of approved products
- Free from the closed architecture of a centrally managed bank or wirehouse
- Free from being an employee
- Free to finally become an entrepreneur
- Free from being told how to do your job instead of trusting that you know what you're doing

OUT OF THE ORDINARY

1993

FWA founder Kurt Rozman enters the business as a commissioned broker at nationally known firm.

2003

Kurt Rozman forms Rozman Wealth Management, an independent brokerage office, to better serve his clients with more freedom and product selection.

2012

In less than 10 years Rozman Wealth Management custom designs their Brookfield office space, quadruple's the size of its team of professionals and triples its client asset base.

Our Time
Your Progress

Freedom Wealth Alliance is not your ordinary advisory firm. You don't have to worry about marketing, operations, portfolio management, managing staff, or day-to-day operations. We do that for you.

We take the burden of running the business off your back so you can spend your time doing what you do best and love the most. If that means spending more time with your clients and prospects, you can. If that means spending more time with your family, just do it. We free up your time and then you decide what to do with your newfound freedom. We're not for everybody but, for those who fit, there's no better home than Freedom Wealth Alliance.

2014

Freedom Wealth Alliance is formed by Rozman to help advisors support their careers in a truly independent RIA while providing access to some of the largest clearing firms in America. This integrated umbrella design was the 10-year vision of Rozman who believes that, as an alliance partner you can achieve the best of both worlds.

Financial Advisors and clients enjoy an atmosphere that facilitates personal growth and great life/work balance. Clients enjoy the personal connection to their advisory team without sacrificing the comfort and security of a large scale operation.

WHY FWA?

I really enjoy the team concept in coming in to the office and sharing ideas with people of all different specializations within our industry. Additionally, the independence of owning my own practice while enjoying the benefits of a larger structure means a lot to my own business development and life balance.

- Shawn Hittman
Financial Advisor

Freedom Wealth Alliance provides a home and personalized services for financial advisors seeking business growth, operational excellence, and compliance oversight. We created the firm to relieve your stress so you and your clients can focus on the goal of living well and living free.

Grow

As a "done for you" company, Freedom Wealth Alliance's expert marketing system tees up prospects for you so you can focus on meeting with prospects, not digging them up. Growth is good and we deliver.

Manage

As a "process" company, Freedom Wealth Alliance's highly organized back office handles the operational nuts and bolts so you can stay out of the weeds. Operational excellence is critical and we have it covered.

Protect

As a "protection" company, Freedom Wealth Alliance handles all the legal, compliance, and value-zapping issues that can impact your livelihood. Protecting the value of your practice is paramount and we have your back.

Independent but **not alone**

Conceptually, being independent sounds wonderful. You're free to do what you want, when you want, and with whom you want. It's what our country was founded on. Unfortunately, independence without the right structure and resources to support you can be a nightmare.

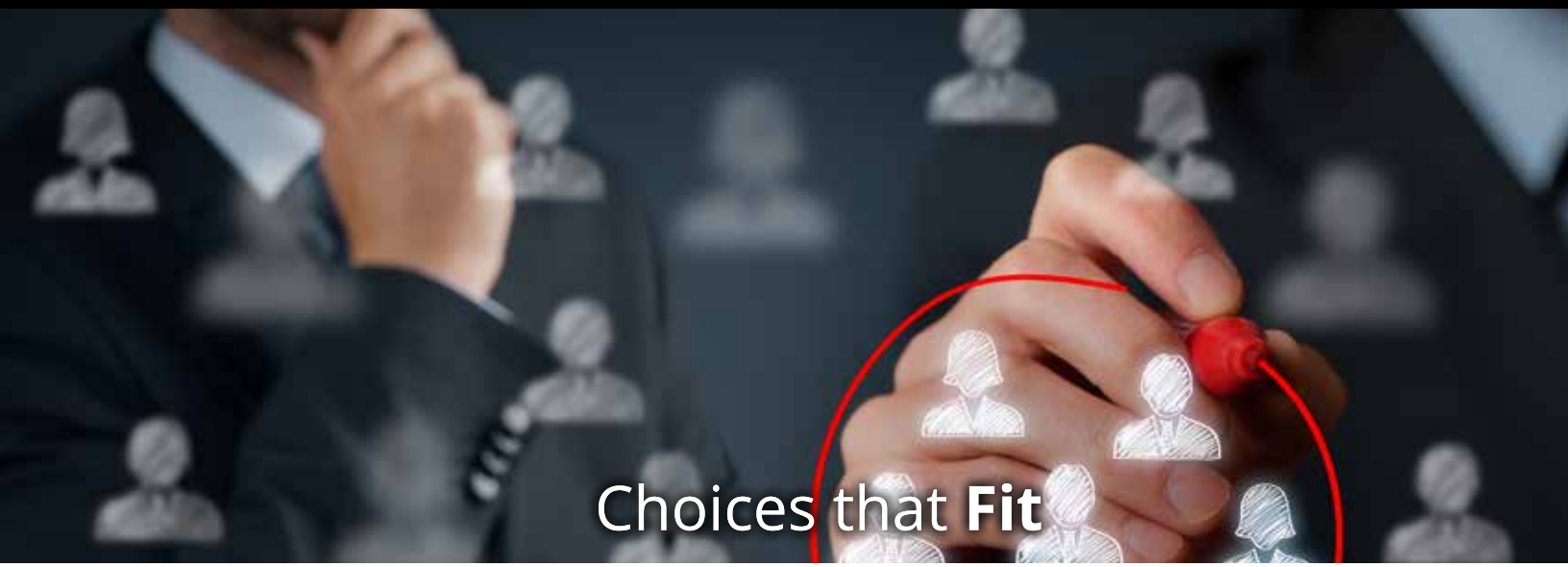
At your current firm, you may be short on marketing support to generate a healthy pipeline of new prospects. You may be mired in the muck because you don't have the right operational support. And you may be wearing too many hats, which leaves little time to meet with clients and prospects. You still love the idea of independence but long for more support.

We created Freedom Wealth Alliance to put you in control of your business and your life. You get to determine your destiny. You get to reap the rewards of your hard work.

If freedom and independence is in your future, get in touch with us now to see how we can help you make the rest of your life the best of your life.

Your Current Environment Vs. Freedom Wealth Alliance
Feeling overburdened with regulatory requirements? We take care of the required compliance duties so you can spend your time with your clients.
Wearing too many hats? You focus on being an advisor while we handle the administrative and back-office work for you.
Rising costs cutting into profit margins? Our size gives us economies of scale and helps offset this burden.
Frustrated hiring and training staff? We take care of staff training even for the team you bring over to us.
Falling behind the technology curve? We invest heavily in technology to ensure our integrated tools are designed around your need for maximum efficiency.
Marketing, branding, and online presence need an upgrade? We have talented marketers who will prepare and coordinate your marketing efforts so you look professional and approachable.
Feeling too chained to your office? Our workflow tools ensure complex tasks get completed on time every time with little input from you.
Concerned there's not much saleable value to your practice? Our platform flexibility makes your book more attractive to the end buyer.
Too busy working in the business and not on the business? With your time freed up, you can plug right into our training and business development programs, which make planning easy.

AFFILIATION OPTIONS



The key to independence isn't running your business all on your own – but running it on your own terms. Freedom Wealth Alliance offers the flexibility, ownership, and control I want with the understanding that advisors own their book of business. To Live Well~Live Free is not just reserved for clients, it embodies the culture of the firm and its commitment to the advisor's success.

- Adrian Zilvetti
Senior Vice President

Determine which affiliation type is the best fit for you and your goals.

We believe in choice and that's why we offer you three affiliation options, LPL for broker-dealer services, and Schwab and LPL for managed account custodial services. From an affiliation standpoint, you can choose to operate under our brand, under your brand, as a 1099 independent advisor, or as a W2 employee.

Our goal is to ensure you never feel stuck. You can even move from one model to another if for some reason that becomes important to you.

So, what type of advisory affiliation is right for you?
Let's find out.

Running the Numbers

Our website has a detailed Affiliation Calculator available for your convenience. This calculator will help identify the most profitable FWA affiliation option for your goals.

Simply log onto ExploreFreedomWealthAlliance.com and see the details.

Tier 3

FWA BRAND
MILWAUKEE BRANCH
W-2 ADVISOR

Ideal for the advisor who...

- Wants a predictable income stream
- Wants to focus on working with clients, not rainmaking
- Does not want the responsibility of ownership

Payout:

Fixed payout of 25% of trailing 12 months revenue to be adjusted annually for the upcoming year on Dec 31st.

No formal payout grid applies. Rep may also be eligible for a bonus on a quarterly basis for the previous quarter's activities.

Tier 2

FWA BRAND
PREFERRED LOCATION
1099 ADVISOR

Ideal for the advisor who...

- Wants to own their practice and function with total autonomy
- Wants the camaraderie of a branch and the support services that go along with it
- Is located in one of our targeted geographic areas
- Works in a targeted city including but not limited to: Milwaukee, WI, Miami-Tampa-Sarasota-Orlando, Florida, Scottsdale-Phoenix, Arizona, Chicago-Suburbs, Illinois, Houston-Dallas, Texas

Payout:

Begins at 40% for up to $249,999 in gross.
Rises to 80% at $1 million plus in production.

Payout grid adjusted annually based on the previous year's trailing 12 months revenue. Adjustment is calculated on Dec 31st for the upcoming year beginning Jan 2nd.

Tier 1

YOUR BRAND
ANY LOCATION
1099 ADVISOR

Ideal for the advisor who...

- Wants to self-brand
- Doesn't want the full responsibility of compliance, supervision and daily regulatory tasks
- Uses Freedom Wealth Advisor as their RIA

Payout:

Flat payout level of 90% on all RIA activity*

*87% for non LPL RIA activity.

*Flat payout 90% of Annuity concession activity. Payout is calculated after broker dealer concession per asset category. Advisor must consult each custodian for a detailed breakdown of related concessions. Contact us to see the list of Hybrid Fees for additional securities.

The above fees schedule is for illustration purposes only and may not include various forms of investment vehicles such as alternatives and other structured product. Please refer to the Hybrid list of fees for a more in-depth list of other products.

TRANSITION SUPPORT

Transition was never **so streamlined**

We know "time is money" when it comes to transition so we are keenly focused on making the transition as quick and smooth as possible.

Our transition team takes the lead on the nitty-gritty details and makes sure the process keeps moving, new accounts are opened, and communication keeps flowing.

Changing firms is never fun. However, our experience in helping advisors transition to true independence has taught us a few things. We have refined our process to minimize the pain for you and your clients, while reducing the cost so you can make the move and be up and running as quickly as possible.

Our 90-day Transition Plan Consists of 5 Steps.

1. **Due Diligence**

   We get to know each other, review each other's businesses, and decide if we're a match.

2. **Profile Your Existing Business**

   Start reviewing your client list, who you'd like to bring with you, and what data you can legally retain.

3. **Construct Your New Business**
   Using our Red, White, and Blue organizational system, we help prevent items from falling through the cracks during transition from an operational, compliance, and accountability standpoint.

4. **Office Setup and Training**
   Combining the best of your existing business with all the new tools and resources available at Freedom Wealth Alliance, we make sure you hit the ground running on your first day with us.

5. **Final Day**
   All the meticulous preparation leads to this day; your first day of newfound freedom. We're with you each step of the way to make your transition as smooth and efficient as possible.

Making a move is a serious decision that requires good planning and diligent research. It can feel overwhelming at times. That's natural. The good news is Freedom Wealth Alliance is with you every step of the way.

Log into our Tools & Resources section at ExploreFreedomWealthAlliance.com for more transition resources like these:

- Starting Vs. Joining an RIA
- Top 5 Reasons Why Advisors Change Broker Dealers.
- Overcoming Transition Hurdles
- 15 Questions to Ask Your Prospective Firm Before You Make the Move
- Top 10 Reasons Why Transitions Fail and How You Can Avoid Them
- Business Model Comparison Chart
- Excellent Details on the Real Costs of Switching Firms
- More articles, tools and links

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Podcast Episodes on the Road to Business Growth

Through special arrangement, we're pleased to share with you three episodes of the *Between Now and Success* podcast hosted by Steve Sanduski. Log into our website to listen.

Super coach Mark Moses on the five things every CEO should focus on, building an exponential growth company, and Singularity University.

#1 Independent Financial Advisor Steve Lockshin, a serial entrepreneur, shares his unconventional advice on how to reach the pinnacle of the industry.

Sterling Shea of Barron's details how Barron's selects its top advisors and discusses the key traits shared by these top producers.

This firm maintains high standards, constantly striving to be the best of the best without sacrificing their integrity or core beliefs.

- Paul Seerdynski, CFP®
  Financial Advisor

TECHNOLOGY PARTNERS

In one word, "progressive" describes Freedom Wealth Alliance. This is my dream firm; a cohesive unit of advisors and support team driven by high ethical standards, and access to automated procedures to ensure I remain on top of my game in a way that gives me a good quality of life balance.

- Darren Liberski
Financial Advisor

You know you mean business. We're here to make sure everyone else knows it, too. Increase your clients' confidence with technology that adapts to your needs by:

- **Optimizing workflow and investment management**
- **Enhanced Financial Advisor efficiency and automation**
- **Streamlining client contact with Web-based CRM and Social Media**
- **Securing your clients information**
- **Enhanced mobility with our "Virtual office" suite of tools**

Let us help you leverage technology that matters.

charles SCHWAB ADVISOR SERVICES

LPL Financial

ADVISORYWORLD FINANCIAL TECHNOLOGY

Constant Contact®

DocuSign®

facebook.

LinkedIn.

MoneyGuidePro™

ORION

PEAK ADVISOR ALLIANCE

riskalyze

REDTAIL

twitter

ADMINISTRATIVE SUPPORT

A supportive partner, dedicated to your success

A key component in building the business that's right for you and your clients, means having "The Big Three" areas of support — Compliance, Marketing, Administrative — working for you. Our teams of experienced professionals help you run your business while not letting your business run you:

Compliance Support Services: Our team helps you run a compliant and successful practice.
- Automating quarterly performance reporting
- Extensive product research and due diligence
- Retention and surveillance of email
- Digital record-keeping systems
- Centralized registration and continuing education

Marketing Solutions Team: A dedicated team consisting of graphic designers, top industry writers, experienced project coordinators and marketing regulatory analysts are at your fingertips.
- Business development campaigns to help grow your business
- Leading industry training programs to assist you in developing and achieving your business-planning goals
- Access to an extensive suite of customizable materials
- Fully automated client touch and prospecting campaigns

Administrative Support: Registered and experienced professionals assist your clients with the day to day requests giving you freedom to run your business around your life.
- Confidence knowing your clients are being treated to personalized service
- Efficient & Streamlined processes that keep you focused on what truly matters to you
- Freedom to work remotely or not at all
- Enhance client relationships through a team based approach to the client experience

I challenge anyone to find a better environment to grow their business, the right way, without sacrificing their freedom or quality of life.

- Shannon Smith
Vice President

WORK SMARTER
NOT HARDER
MARKETING TOOLS AT YOUR FINGERTIPS

We offer a broad range of marketing and communication tools to help you attract and retain clients. Professional marketing services and a marketing support infrastructure featuring custom and turnkey programs offer you a smart approach to your client-facing marketing materials.

- Branded professional materials
- Social media presence
- Timely client communication
- Mobile tools to allow you to run your business from anywhere in the world

Professional bio and firm introduction kit tools

Customer care tools

RETAIL WEBSITE

Built with customers in mind. Articles, videos, news, market updates and classes anytime they need.

CLIENT APP

A handy mobile app that allows customers to ask questions on-the-go and receive helpful notifications from your office.

Topic-specific tools to help communicate with clients, electronically or in print

YOUR MARKETING MATERIALS — ONLY BETTER

We understand the importance of choice and flexibility in your business. Our dedicated marketing team will work with you to develop and streamline the materials you and your clients find most valuable.

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About Freedom Wealth Alliance

Freedom Wealth Alliance has over 100 years of combined experience in Retirement Planning, Financial Planning, defensive money management and complex financial strategies. We collaborate to develop tailored strategies with the goal of accumulating, managing, and preserving wealth for families and small businesses.

Our goal is to offer you a confident approach to Living Well and Living Free, however you define it!

*As an investment advisor representative of Freedom Wealth Alliance, a Registered Investment Advisor, we are held to a fiduciary standard of care for all advisory clients and are fully committed to putting our clients' best interest first above our own.

Explore our website freedomwealthalliance.com **Connect with us on:** linkedin.com facebook.com

VISIT OUR WEBSITE

Great resources are always at your fingertips. With articles, videos, news, market updates and classes available for you anytime you need them, we've built our website with you in mind.

Visit freedomwealthalliance.com to explore.

DOWNLOAD OUR FREE APP

We've built a handy mobile app that allows you to ask us questions on-the-go and to receive helpful notifications from our office.

Visit freedomwealthalliance.com/about to download.

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