

Ameriprise Financial Checklist

Choosing a firm that suits your professional standards and unique business style requires diligent information gathering and careful evaluation. The following checklist can help you compare Ameriprise Financial with other Broker/Dealers you may be considering as you contemplate taking your business to the next level.

	Ameriprise Financial	Broker/Dealer	Broker/Dealer
Support of a Fortune 500 company?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Choice of business models?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Choice of payout plans?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Products & Services	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Full access to non-proprietary products?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Internal & External Equity Research?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Internal Mutual Fund Research?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Asset Management Programs?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Fee-Based Programs?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
No-Load Mutual Funds?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Insurance General Agency?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Bank Services?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Trust Services?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Investment Banking Services?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Rule 144 & 145 Stock Program?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Cashless Stock Option Program?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Transfer on Death (TOD) Accounts?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Alternative Investments for High-Net-Worth Clients?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Technology:			
Real-Time Quote Service?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Windows-Based System?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Private Network?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no

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Real-Time Client Account Access?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Cost Basis Shown on Statements?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Annuities Shown on Statements?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Document Management System?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Information Systems Consulting?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Technical Support Center on a Toll-Free Number?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Financial Planning Software?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Asset Allocation Software?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Clients Access Personal Account Online?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Clients Access Statements Online?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Marketing Programs and Support:			
Award-Winning National TV & Advertising?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Strong National Brand Awareness?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Marketing Materials Provided?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Client Brochures?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Client Newsletter?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Award-Winning Client Magazine?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Ad Slicks, Press Releases, White Papers, Collateral & Article Reprints?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Seminar Kits for Financial Planning?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Turnkey Client & Prospecting Letters?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Ghostwritten News Articles?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Advisor intranet?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Client Loyalty Program?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Professional Referral Program?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Charitable Partners Program?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Advisor Web Pages?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Private Wealth Advisor Program?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no

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Transition Services:			
Transition Consultant for Orientation & Questions?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Dedicated Transition Team?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Toll-Free Number for Questions?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Full Orientation (Operational, Technology, Advisor Services)?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Registration Orientation?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Marketing Orientation?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Compliance Orientation?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Account Transfer Software?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Education:			
National Education Conference?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Continuing Education Credits for FINRA Firm Element, Insurance, CPA, CFP®?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Specialized Education Courses?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Trust & Estate Planning?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Operations Seminar?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Online Education?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
Marketing support local and corporate?	<input checked="" type="checkbox"/> yes	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no

