



Services & Fees

COMPANY	AFFILIATION FEES \$	E&O INSURANCE	STD. REP DEDUCT. \$	MAX. IND. COV. \$000s	TICKET CHARGE \$	B-SHARE LIMIT \$	B-D EQUITY	FORGIV. LOANS	TRUST SVCS.
American Portfolio Fin. Services	475	Third Party	5,000	1,000,000/2,000,000 ¹	5-50		● ● ●		
Ameritas Investment Corp.	0-2,500	Third Party	5,000	3,000,000	0-30	50,000 ²	● ● ●		
AXA Advisors		Third Party			13-50		● ● ●		
Cadaret, Grant & Co.	300	Third Party	5,000	2,000,000	15.65 ³	100,000	● ● ●		
Cambridge Investment Research		Third Party	7,500	2/10 + 1/1,000,000	0-22	50,000	● ● ●		
Centaurus Financial	0	Third Party	5,000		0-50		● ● ●		
CFG/H. Beck	0	Third Party	5,000	3,000,000	⁴	100,000	● ● ●		
Commonwealth Fin. Network	0	Third Party	10,000	1,000,000/10,000,000 ¹	0-19.50	99,999	● ● ●		
Financial Ntwk. Investment Corp.	1,200	Third Party	10,000	\$4,000,000/\$20,000,000 ¹	0-30	50,000	● ● ●		
First Allied Securities		Third Party	5,000-22,500	2,000,000	0-35	250,000	● ● ●		
FSC Securities Corp.		Third Party			0-40	250,000	● ● ●		
Geneos Wealth Management		Third Party	5,000	3,000,000	14	50,000	● ● ●		
Genworth Fin. Securities Corp.	0	Third Party	5,000	1,000,000	0-50		● ● ●		
H.D. Vest Financial Services	850-1,380	Third Party	1,000-5,000	500,000-1,000,000	0-15+	100,000	● ● ●		
ING Financial Partners	1,200	Third Party	10,000	4,000,000/20,000,000 ¹	0-30	50,000	● ● ●		
INVEST Financial Corp.	260/month	Third Party	5,000 ⁵	2,000,000/15,000,000 ¹	0-35	50,000 ⁶	● ● ●		
Investors Capital Corp.	0	Third Party			0-50	50,000	● ● ●		
LPL Financial	600-1,500	Third Party	5,000	5,000,000-20,000,000	0-50	50,000	● ● ●		
M Holdings Securities	0	Third Party	5,000	8,000,000			● ● ●		
Mass Mutual Investor Services		Third Party			10	50,000	● ● ●		
MetLife Securities	1,200	Third Party	500 ⁷	5,000,000	⁸	49,999	● ● ●		
Multi-Financial Securities Corp.	1,200	Third Party	10,000	4,000,000/20,000,000 ¹	0-30	50,000	● ● ●		
Mutual Service Corp.	0	Third Party	5,000	2,000,000	0-30	50,000	● ● ●		
National Planning Corp.	3,120	Third Party	⁹	2,000,000/15,000,000 ¹	15-35	50,000	● ● ●		
National Securities Corp.		Third Party			⁸		● ● ●		
New England Securities	1,200	Third Party	¹⁰	5,000,000	⁸	49,999	● ● ●		
NEXT Financial Group	258	Third Party	5,000	2,000,000	16	100,000	● ● ●		
NFP Securities	⁸	Third Party	5,000	2,000,000/15,000,000 ¹	⁸	50,000	● ● ●		
Northwestern Mutual ¹¹	0	Third Party	1,000	10,000,000	0-30	49,999	● ● ●		
NYLIFE Securities	0				0	50,000	● ● ●		
Park Avenue Securities	900	Third Party	2,500-5,000	4,000,000/5,000,000 ¹	0-21	50,000	● ● ●		
PRIMEVEST Financial Services	300-1,500	Third Party	10,000	4,000,000/20,000,000 ¹	0-30	50,000	● ● ●		
Princor Financial Services	0	Third Party	500	3,000,000	0-30	100,000	● ● ●		
ProEquities	1,440	Third Party	2,500	2,000,000	18	100,000	● ● ●		
Raymond James Fin. Services	3,180	Self	¹²	2,000,000 ¹	0-49	50,000 ²	● ● ●		
Royal Alliance Associates		Third Party			0-25	250,000	● ● ●		
SagePoint Financial ¹³		Third Party			0-40	250,000	● ● ●		
Securian Financial Services	0	Third Party	500-2,000		20-50	50,000	● ● ●		
Securities America	4,200 ¹⁴	Third Party	15,000	15,000,000	0-35	100,000	● ● ●		
Securities Service Network	4,200	Third Party	10,000	1,000,000 ⁵	0-35	100,000	● ● ●		
Sigma Financial Corp.	900	Third Party	10,000	1,000,000	15-27	45,000	● ● ●		
Signator Investors	0	Third Party				100,000	● ● ●		
SII Investments	0	Third Party	5,000	2,000,000/15,000,000 ¹	¹⁵	50,000 ⁶	● ● ●		
UVEST	0	Third Party	5,000	5,000,000-20,000,000	0-23	50,000	● ● ●		
VSR Financial Services	0	Third Party	5,000	1,000,000	4-30	100,000	● ● ●		
Wachovia Securities Fin. Network	1,500-3,900	Third Party	40,000 ¹⁶	1,000,000 ¹⁶	27	50,000	● ● ●		
Waddell & Reed	0	Self	5,000	1,000,000	2-7	100,000	● ● ●		
Walnut Street Securities	1,200		¹⁷	2,000,000	⁸	49,999	● ● ●		
Waterstone Financial Group	0	Third Party	5,000	3,000,000	0-20	50,000	● ● ●		
Woodbury Financial Services		Third Party	500	2,000,000	0-40	100,000	● ● ●		

● Yes ● No ¹ Per claim/aggregate ² Per household ³ None on mutual funds/annuities directed by firm ⁴ 20-Stock, 10-Mutual Fund, 4.50-Exchanges ⁵ Per claim ⁶ Per fund, family, household ⁷ App. to damages, not defense costs ⁸ Varies ⁹ Incl. in monthly fee ¹⁰ \$500-enterprise prods.; \$2,500-non-enterprise; separate deductibles for supervisory cov. for managing partners, trade errors, prior acts (deduct. for enterprise/non-enterprise/trade errors app. to damages, not defense costs) ¹¹ Assets represent programs of Northwestern Mutual Wealth Management Co. and Investment Services ¹² \$5,000-10%-30,000/wrongful act ¹³ Formerly AIG Financial Advisors ¹⁴ (includes E&O) ¹⁵ \$15-mutual funds; \$24-stocks ¹⁶ Per event ¹⁷ \$500-registered rep. prof. liability and sale of enterprise insurance/annuity prods.; \$2,500-sale of non-enterprise insurance/annuity prods.; sep. deductible for trade errors