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Securities America's Professional Associate University Draws Large Attendance

'Office of the Future' Preview, New Technology Get Big Nods

OMAHA, NE – November 2, 2009 — Securities America's 11th Annual Professional Associate University, held Oct. 15-16, in La Vista, Nebraska, attracted a large number of attendees, in spite of tighter budgets.

“Our advisors recognize that good sales assistants and support staff can mean the difference between a good practice and a great practice,” said Kirk Hulett, senior vice president of strategy and practice management. “Investing in their professional development is a good business decision.”

As in years past, the program included tracks for both novice and experienced associates, as well as a dedicated compliance track. In addition, there was a session on “Staying Up in a Down Economy,” and a strong focus on Securities America's forward-thinking technology tools and solutions.

“We have some of the best technology resources in the industry,” said CIO Doreen Griffith, “and our associates are first-line adopters in their offices. This year, we introduced our Office of the Future, which we will achieve by the end of the year.”

Technology tools presented to attendees included an online account set-up system, a “smart” digital pen, and a new secure vault, all of which were well received. New this year, and extremely popular, was a 90-minute Round Table Forum. Attendees could choose from among 10 topics, including time management, compliance management, marketing, fee-based business, current technology, future technology and others. Associates appreciated the opportunity to share experiences and compare notes with colleagues in a facilitated discussion format.

“We want to be sure that the professional associates are equipped to understand the advisors’ goals, understand the particular business model, and know how to take the initiative when it comes to office systems, client service, technology adoption and compliance implementation,” Hulett said.

The first day of the two-day program was divided into three tracks: Novice, Experienced/Office Manager and Compliance. The Novice track offered an orientation for Securities America’s e*Office System, as well as an overview of investment products and an introduction to the home office staff. The program for more experienced associates covered such topics as “Dealing with Difficult Clients,” “Building Your Referral System,” and “Advanced Account Manager.” The Compliance track included “Compliance Basics,” “Policies and Procedures,” “The State of Supervision,” and “Compliance and Technology.”

On Day Two, the Novice offerings included time management, business communication, teamwork and event planning. The Advanced track focused on audits, workflow management, supporting the marketing campaigns and the Albridge wealth reporting system.

About Securities America

Headquartered in Omaha, Nebraska, Securities America, Inc. has more than 1,900 financial professionals nationwide with more than \$42 billion in client assets under their supervision. Securities America Advisors, Inc. is an SEC-Registered Investment Advisory firm with more than \$13 billion in assets under management and administration that offers investment management, financial advice and financial planning through financial advisors. As your business growth expert, Securities America’s mission is to foster the success of financial professionals so they can provide quality, objective counsel and services to their clients. Additional information is available at www.securitiesamerica.com.

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