REGAL
ADVISORY
SERVICES, INC.
A Registered Investment Advisor

Your Advisory Partner for Financial Success

The Regal Difference

Our employees make the difference, with personalized service tailored to your individual business needs

Independence and flexibility; fee-based advisory, retail brokerage, or a hybrid of both

Comprehensive solutions including a fee-based platform with nearly 100 third party money managers

Best in class advisor desktop technology with financial planning capabilities

In-house Customer Service, Compliance, Technology, and Marketing departments

Access to senior management

*A combination of competitive pricing, payouts, **and** great service*

A dedicated Conversion Team to guide you through a smooth transition

Practice Management — An exciting coaching program designed to increase efficiency and production

Marketing support

Access to world-class research

A broad spectrum of business models: traditional, fee-based advisory, or hybrid

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Experience and Financial Stability

Regal Advisory Services, an affiliated company of Regal Securities, Inc., combines our years of experience with a full range of financial services providing independent and unbiased access to an open architecture fee based platform.

Through our relationship with Regal Securities, Inc., we offer Advisors the tools to independently grow their business with in-house Customer Service, Technology, Compliance, and Marketing support. In partnership with our clearing firm RBC Correspondent Services, a division of RBC Capital Markets, LLC, Member NYSE/FINRA/SIPC, we offer the resources of one of the largest brokerage and investment banking firms in the industry and give you the tools to not only service your clients but also grow your business.

Comprehensive Fee-Based Solutions

Whether you are managing your clients' assets independently, using third party money managers, or a combination of both, we offer a broad range of advisory programs and tools to help you meet the needs of your clients.

- Regal Advisory Services gives you access to nearly 100 third-party money managers in a turnkey solution, complete with initial and ongoing due diligence of managers, asset allocation, portfolio construction, rebalancing, and performance reporting.
- If you prefer to manage client assets yourself, you can take advantage of our Unbundled Managed Account Services (uMAS) which allows you to offer a la carte trading, client billing, and performance reporting.
- Support of hybrid advisors; in addition to fee-based advisory solutions, you can offer commission based products through our broker-dealer, Regal Securities, Inc.

Growing and Marketing Your Business

Regal will assist you in designing a customized marketing plan including campaigns, letters, fact sheets and marketing materials.

- Forefield Advisor™ — A sales, education, and client communication tool that enables you to deliver current, concise, and compliant resources to your clients.
- Financial Advisor resume introduces you to prospects, clients, and centers of influence
- Individual profile page at RegalSecurities.com
- Web site development
- Social media compliance support
- Marketing Rewards — Earn credits toward various marketing programs

Resources & Support for You

Relationship Management

Focused on the Needs of Your Business

Your relationship manager will ensure that you have an experience met with personalized service tailored to your individual business needs.

Your relationship manager is your point person for:

- Complex service needs and problem resolution
- Systems training, procedures, and policies
- Acclimating wire house advisors for success in the independent model

Transition Team

Making Your Transition Simple

Regal's transition team gives you a single point of contact to ensure a smooth and personalized move to Regal Advisory Services. With concierge service, we get you what you need, when you need it. At Regal, we focus on the details of your transition so you can focus on your clients.

Compliance Support

Regal handles all licensing and compliance requirements including monitoring license renewal, continuing education requirements, and state registrations. Compliance works with our Business Development Team to help support your business in areas such as individual web sites and social media plans.

Infrastructure and Back Office

A strong business infrastructure is essential to your success. Regal provides all of our representatives with superior customer service and access to highly qualified and experienced investment professionals. Our comprehensive array of back office services includes access to Technology, Trading, Marketing, and Compliance support as well as other business development services. Additionally, numerous branch office locations ensure that business continues to run uninterrupted.

In-House Technology

Whether your office is at home or in a branch, the goal of our in-house IT Department is to assist you in finding the technology solutions that increase your efficiency and ultimately, your success.

- Leverage our corporate buying power to save on hardware and software including complete PC setup, software installation, and shipping
- Virtual PC hosting available on our servers
- Smart phone support
- Telecom solutions for branch offices
- Electronic Fax – Send and receive faxes via email

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Resources for Your Clients

Your clients have ideas, thoughts, and plans – things they want to create...

Whether it is building their dream home, helping their children go to college, or planning for retirement — they seek you out for your professional guidance to help them achieve their goals.

Through Regal Advisory Services, you can offer your clients:

- Flexibility through either the fee-based or hybrid models
- A full range of investment services and products, including stocks, options, ETFs, and fixed income products
- Open architecture fee based platform that allows you to choose from a wide range of investment solutions
- Thousands of mutual funds including a no transaction fee (NTF) mutual fund program
- Online account access for clients
- Comprehensive statements and reports
- Trust services
- Lending services: Line of credit and margin
- Financial planning
- And much, much more…

People, Service and Value

Relationships are the cornerstone of your business and ours. We are not just looking for investment advisors; we are looking for long term business partners to prosper with us. We are known for our select service and flexibility and cater to experienced independent advisor representatives as well as wire house brokers/advisors looking to make the change to independence. **We invite you to come visit us to see how our people, service and value can make your business better! Start at www.regalsecurities.com/IARs.htm or contact us at 1-877-488-6534, option 4.**

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