Regal SECURITIES℠

MEMBER FINRA, SIPC

Your Broker-Dealer for Financial Success

EXPERIENCE & FINANCIAL STABILITY

Founded in 1977, Regal Securities combines our years of experience with a full range of financial services providing independent and unbiased access to financial solutions and a unique scope of products and support. We take pride in our people, financial stability, and compliance record.

Regal offers financial professionals the tools to grow their business independently with in-house Customer Service, Technology, Compliance, and Marketing support. Through our clearing relationship, we provide you the resources of one of the largest brokerage and investment banking firms in the industry, yet still offer competitive payouts and the flexibility of being an independent representative.

Our registered representatives say our people are our best asset.

We have a service culture with a staff you will find to be both highly skilled as well as friendly. We can customize a transition plan specifically for you and walk you through the process step-by-step. Our services include a dedicated transition point person, on-going training and support, as well as an in-house Technology Department that can help you get up and running. Our state of the art systems and suite of technology offerings can help you establish service and grow your client relationships.

THE REGAL DIFFERENCE

Our employees make the difference, with personalized service tailored to your individual business needs. Whether you are going independent for the first time or have been an independent representative for years, we collaborate with you to maximize your business.

Regal has been an established broker-dealer for over 30 years with offices throughout the country, and offers:

- A broad spectrum of business models: traditional brokerage, fee-based advisory, and hybrid
- Independence and flexibility; choose one of our existing offices, start a new one, or work from home
- In-house Customer Service, Compliance, Technology, and Marketing departments
- Access to senior management
- A combination of competitive ticket charges, payouts, ***and*** great service
- A dedicated Conversion Team to guide you through a smooth transition
- An exceptional compliance record for over 30 years
- Strong financials, no debt, and a large amount of excess net capital
- Assistance in recruiting high performance registered representatives and branch development
- Practice Management Program
- Marketing support
- Access to world-class research
- Best in class broker desktop technology
- Solutions for high frequency traders
- Comprehensive fee-based platforms including access to nearly one hundred third party money managers

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NEW BUSINESS OPPORTUNITIES

Ongoing Business Development Support

Your support won't stop after you join Regal. We will work with you on your business plan to grow your existing practice or develop new lines of business. We are open to new ideas and strategies and will leverage our resources such as compliance, technology, and legal to help bring these ideas to fruition. Take advantage of some or all of the following:

- Marketing – Customized marketing plans, 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
- Personalized profile page at RegalSecurities.com
- Web site development
- Social media compliance support
- Marketing Rewards – Earn credits toward various marketing programs
- Practice Management – An exciting coaching program designed to increase efficiency and production
- Case development on insurance products
- Branch development and recruiting

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 the point person for:

- Complex service needs and problem resolution
- Systems training, procedures, and policies
- Acclimating wire house representatives to 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 Securities. 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

For Registered Representatives and Investment Advisor Representatives

Regal handles all licensing and compliance requirements including monitoring securities 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.

Compliance support for Investment Advisor Representatives provided by Regal Advisory Services, Inc.

Infrastructure and Back Office

A strong business infrastructure is essential to your success. Regal provides all 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 during outages or emergencies.

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 set-up, 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

RESOURCES FOR YOUR CLIENTS

Your clients all 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.

Products and services you may choose to offer:

- A full range of investment products, including stocks, options, ETFs, fixed income products, and syndicate offerings
- Thousands of mutual funds including a no transaction fee (NTF) mutual fund program
- Comprehensive fee-based platforms including access to nearly one hundred third party money managers
- Online account access for clients
- Comprehensive statements and reports
- Trust services
- Lending services: Margin and lines of credit
- Alternative investments
- Annuities and insurance
- Wealth management solutions
- 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 registered representatives; we are looking for long term business partners to prosper with us. We are known for select service and flexibility and cater to experienced independent representatives, hybrid advisors, and wire house brokers/advisors looking to make the change to independence. We have strong financials with no debt and maintain a large amount of excess net capital. Our financials, compliance, and due diligence makes Regal a partner you can count on. **We invite you to come visit us to see how our people, service, and value can make your business better! Start at RegalSecurities.com or contact us at 877-488-6534, option 4.**

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