

2024 BROKERAGE REPORT CARD

How investment advisers rated their firms' support offerings

	INDEPENDENT BROKERS								BANK-BASED INVESTMENT DEALERS					2024 performance average	Category importance average
	UB Wealth Management	Edward Jones	UB Private Wealth	Leah's Jones Suble	Edward Jones	Edward Jones	Richardson Wealth	Wellington Advisor Private Wealth	BBK Wealth Services	UB Wealth Equity	National Bank Financial	BBK US	Scotiabank Wealth		
Number of advisers increased per firm	40	0	0	0	0	0	0	0	0	0	0	0	0	0	
Adviser pay¹															
Compensation structure															
Bonus structure															
Technology tools															
Client onboarding tools															
Client relationship tools															
Client account statements & reports															
Systems for fee-based advisers															
Technology training & internal IT support															
Support for remote system access & transactions															
Adviser's experience with back office tools & services															
Business & sales development															
Business development & marketing support															
Social media training, content & compliance															
Adviser education & development															
Branch manager															
Succession planning support for advisers															
Wealth management tools															
Products & support for high-net-worth clients															
Financial planning support & technology															
Support for tax planning, wills & estates															
Support for insurance planning															
Support for discretionary portfolio management															
Product²															
Quality of firm's product shelf															
Flexibility to make product choices															
Firm's culture															
Leadership team															
Strategic focus															
Efficiency in keeping advisers informed															
Responsiveness to adviser feedback															
Flexibility, equity & inclusive practices ³															
Compliance relationships & support ⁴															
IF rating (average of all categories)															
Net Promoter Score (range: 100 to 500)															

All ratings are based on a scale of one to 10.

Numbers in **green** indicate a rating has increased by at least 0.5 of a point from last year. Numbers in **red** indicate a rating has decreased by at least 0.5 of a point from last year.

The "performance average" below of the ratings by advisers in a given category and averages those together. You can check for one if a category is above or below the average.

The "importance average" below of the importance ratings by advisers in a given category and averages them together. It is intended to measure how important advisers think a given card category is to their business. It is separate from the performance ratings.

The "IF rating" is an average of all of a company's category ratings by advisers, excluding Net Promoter Score. It measures how advisers feel about their own firm overall and isn't used as a ranking tool.

The Net Promoter Score ranges from 100 to 500. A score of one or more is considered good, of 10 or more is considered excellent and of 20 or more is considered exceptional. Net Promoter® and NPS® are registered trademarks of Bain & Company Inc., Schwab's Technology Inc. and First Research. Net Promoter® Score is a service mark of

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N/C denotes a category that does not apply to a company. **N/E** means the category is not applicable as not enough advisers rated it to be a reasonable sample.

- The adviser pay and product categories do not focus on adviser earnings, growth or sales activity, or on their revenues. For pay, the focus is on compensation (salary) for products, the focus is on quality and variety of the shelf.
- The category or category has changed materially over time, year.

Notes that some category names have been edited for clarity, while other categories have been removed compared with past years based on industry change unlike their relevance.

The Report Card scores aren't an overall progress or control, and it isn't a ranking exercise. Historical data ratings are not based on year activity, removal or growth.

Source: Investment Executive research. 11

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