ELEVATE Your Business

Concorde

WHO is Concorde

Concorde was founded by entrepreneurs with extensive experience as officers, directors and professionals in the finance industry—with the goal of providing better services for financial advisors.

The company's demonstrated ability to marry outstanding services, superior products and a robust platform of tech infrastructure and back-end support has firmly established itself as a unique and respected presence in a competitive industry.

At a time when regulatory changes and an evolving industry landscape have led to growing uncertainty and instability, the strength and flexibility of Concorde's holistic service model stands out.

Today, Concorde offers a full spectrum of services and support for financial professionals through its three lines of business: Investment Services, Asset Management and Insurance Agency.

With Concorde's holistic suite of services, tightly integrated cutting-edge financial technology platform, extensive support infrastructure, and a uniquely dynamic, close-knit and service-driven professional culture, our representatives have everything they need to provide financial solutions that help meet the goals and objectives of their clients.

Concorde's core values represent our fundamental beliefs regarding both internal conduct and external interactions with financial professionals, business partners and consumers.

The Concorde team aims to:

- Deliver an amazing experience.
- Nurture long-term relationships.
- Maximize potential.
- Encourage forward thinking.

Concorde INVESTMENT SERVICES

Concorde is a nationally registered FINRA and SEC broker/dealer, licensed in all 50 states to provide a full range of financial services. Those services are provided on an independent basis, ensuring that—in contrast with bank-owned, insurance-owned or wire house operators—Concorde is not beholden to any outside entities. Concorde takes an agnostic approach to a wide range of financial solutions, providing independent representatives with the resources they need to provide financial solutions that meet the financial goals and objectives of their clients.

As a Concorde representative, you'll have access to a multitude of web-based resources needed to help operate and monitor your practice smoothly and accurately. Those tools include:

- Secured and compliant email
- Transition and training videos
- Recent/previous statements
- Online commissions
- Product inventory
- Online trading
- Industry news
- B/D forms

With our "Flexible Advisor Model," you determine the structure of your fee-based practice:

- Rep as Manager
- Utilize Third-Party Managers
- Hybrid Practice

empowering financial professionals

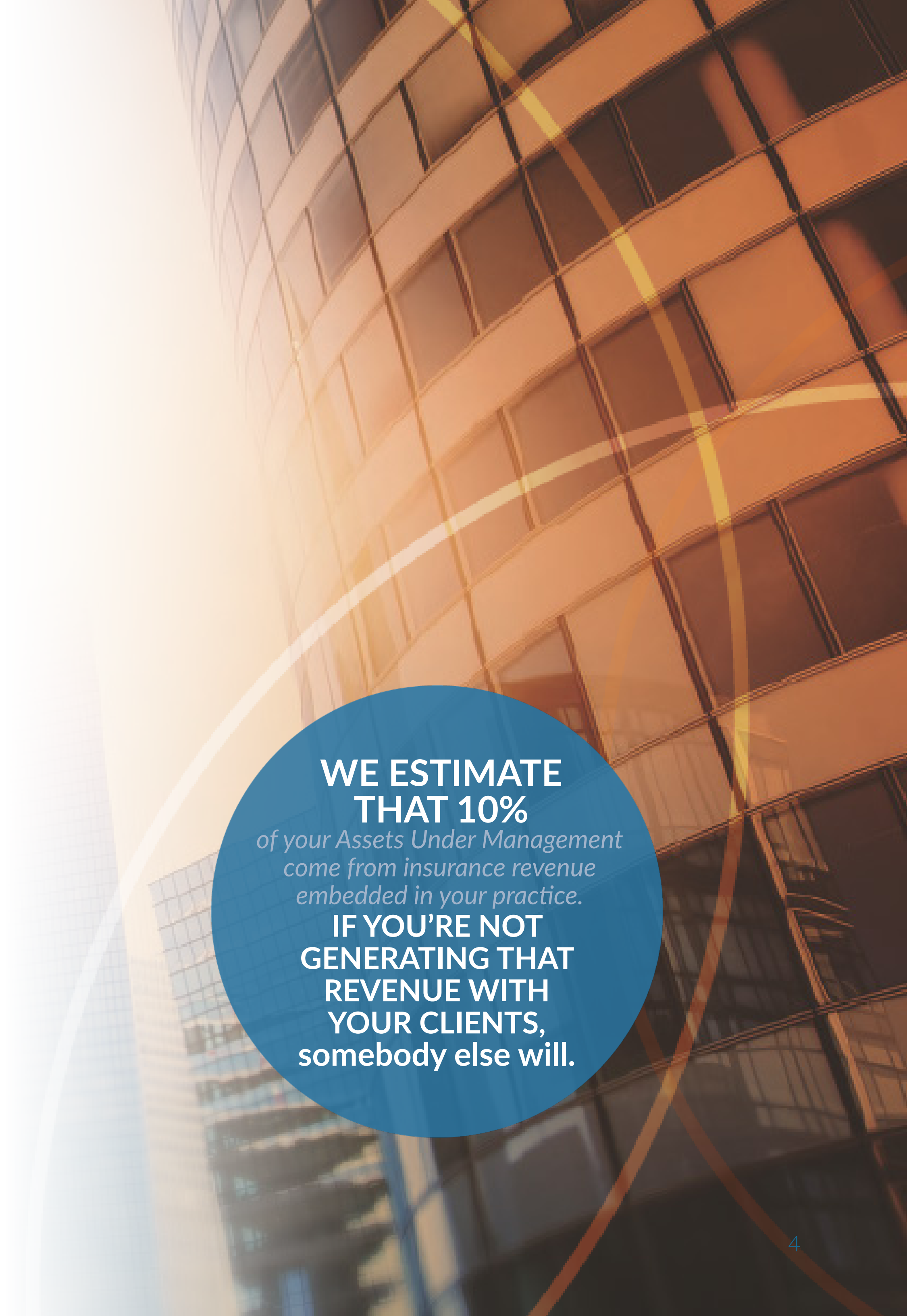
Concorde INSURANCE AGENCY

At a time when far too many ignore the risk management side of the business, Concorde's efficient platform of insurance solutions is a clear differentiator. Whether it's geared toward broker/dealer, investment advisory or independent agent operations, we have the resources to provide case design and seamless implementation.

Our holistic insurance solution includes:

- Life insurance
- Fixed or indexed annuities
- Long-term care insurance
- Disability insurance
- Advanced sales concepts (premium financing/captive insurance agencies)

Concorde's full package of platform, process, and support—from beginner to advanced sales—includes weekly updates, concept training, and point-of-sale assistance, with Concorde's insurance experts helping you to find new and unique ways to use different products. Concorde is committed to capturing insurance as an asset class for our producers. You have the clients, we have the process and solutions.



Concorde ASSET MANAGEMENT

Concorde Asset Management offers a flexible, multi-custodian model that ensures that financial professionals are not locked into a single, captive custody group. As an independent financial advisor partnered with Concorde, you have the freedom to choose the products and services you offer to your clients. And with over 500 different strategies available, Concorde's platform is also extremely flexible in terms of an advisor's ability to create and customize portfolios based on individual client needs.

Representatives of Concorde Asset Management have access to industry-leading technology infrastructure and solutions to help improve efficiencies and provide enhanced value to clients. From financial/succession planning stages, to asset portfolio and practice management, to ongoing performance reporting on the back end—Concorde Asset Management will help you get your time back, without the need to spend more.

EXPERTISE TO SERVE YOUR CLIENTS – Advisory Solutions

SCALABILITY TO MANAGE YOUR BUSINESS – Technology & Operational Support

SOLUTIONS TO DRIVE GROWTH – Practice Management & Coaching

RESOURCES TO SECURE YOUR LEGACY – Succession Planning & Practice Acquisition

WHY Concorde?

So, why are top financial professionals choosing Concorde when they can transfer to any other financial services firm in the country? There are a number of compelling reasons to partner with Concorde, but financial advisors frequently cite the following:

SCALABLE SERVICES

Concorde representatives are granted the freedom and provided with the capacity to better serve their clients and scale their financial practice. A Concorde partnership instantly equips you with all the necessary tools needed to effectively manage your business and strengthen your client relationships.

OPERATIONAL SUPPORT

Concorde's ability to streamline operational responsibilities means that you no longer have to be burdened with time-consuming administrative tasks, such as:

- Compliance management
- New business processing
- Account maintenance
- Automatic billing
- Trading

CULTURE

Arguably the most important differentiator for Concorde is its defining professional culture. Concorde's founding identity as *entrepreneurs serving other entrepreneurs* infuses every aspect of its operation. That mindset extends to a rare quality of personal engagement. Representatives have full access to Concorde's management team, and receive around-the-clock support from a dedicated team on call to handle emergent issues. When representatives call in, they can count on speaking with an actual human being—a virtually unheard of level of access. Concorde empowers its partners to make decisions, make mistakes, and learn from those mistakes, encouraging forward thinking and fostering an entrepreneurial mindset.

To make this model work, we are necessarily selective. Why? It needs to be a win-win for all parties. To maintain a 1:3 ratio of home office employees supporting every three financial professionals in the field, the firm seeks to partner and support those who fit our culture.

ENTREPRENEURIAL SPIRIT

Concorde's approach is not about hand-holding or quotas—it's about opportunity and entrepreneurship. We are entrepreneurs serving entrepreneurs. We live it. We love it. And we know how to make it work in a competitive industry. Concorde treats SEC- and FINRA-licensed financial professionals not only as clients, but as entrepreneurs. Our clients and partners are builders, networkers, and experienced professionals that understand the challenges and rewards of working for themselves.

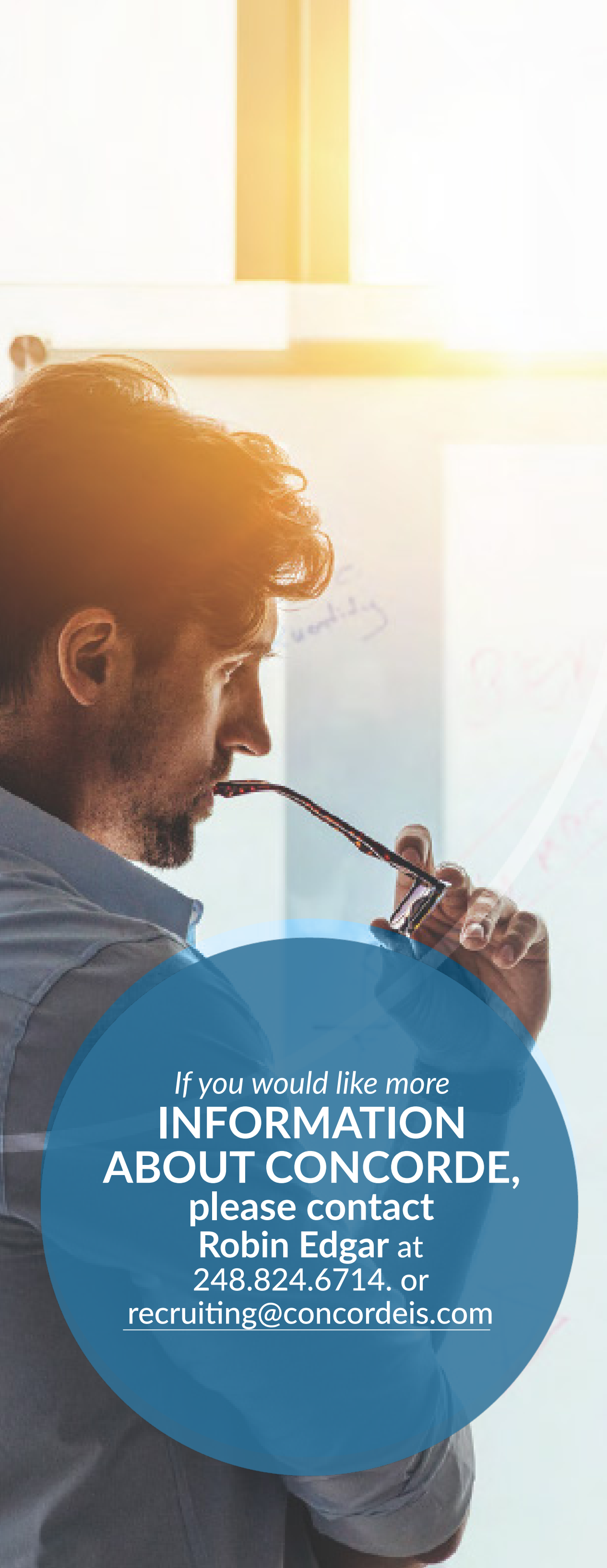
FLEXIBILITY

This is not a one-size fits all industry. Concorde is uniquely flexible when working with our fellow entrepreneurs, helping them find new ways to provide value to their clients. Concorde has developed a wide range of customized solutions and value-added proposals for our financial professionals.

ALTERNATIVE PRODUCTS

Most financial firms offer a fairly standard catalog of products (mutual funds, fee-based services, variable annuities, stock, bonds, etc.). Concorde, however, offers alternative investments that set Concorde professionals apart from competitors vying for affluent investors' wallet share. Once a relationship is formed and a transaction takes place, it is much easier for the Concorde professional to transfer the more typical portfolio assets (especially fee-based assets) under their purview.

entrepreneurs serving entrepreneurs



Due Diligence

At Concorde, we believe in substance over style. We encourage our advisors not to get too caught up in glossy marketing materials and sales pitches—which often minimize a product's risk or actual performance—and dive deep into the investments themselves: the people, the assumptions behind the financial projections, the adherence to the stated strategy, understanding the distribution coverage, etc. In an increasingly complex regulatory environment, it's essential to be thorough and selective—and to practice rigorous due diligence to ensure that you and your clients fully understand what may be very complex products.

Substance matters in other ways, too. While Concorde's diverse offerings are a point of pride, we are very selective about what we allow on our platform. Concorde works with product sponsors whose principals we have found to have integrity, a commitment to putting investors first, positive past performance, and solid financial backing.

Technology

Concorde wants its advisors to be producers, not technicians. And our technology platform supports that philosophy. Cloud-based technology and paperless back office systems create new operational and service efficiencies that make it much easier to scale up. Representatives have access to anytime/anywhere web-based resources—from any device—where they can access tools such as online commissions, online trading, recent/previous statements, B/D Forms, product inventory, transition and training videos, industry news, and secured and compliant email services. All programs and platforms are fully encrypted for complete security.

Our flexible and fully-integrated industry-leading technology solutions include:

- Contact relationship management
- Data aggregation and reporting
- Wealth and portfolio management solutions
- Compliant paperless process system
- Document management and workflow solutions
- Form filling
- E-signatures
- Research tools
- Web-based file sharing storage

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