

Advisor Services Group

A division of Sloan Securities Corp. | Member FINRA, SIPC

The Custody Solution for Registered Investment Advisors



Industry Leading Technology
Expert Trade Execution
Flexible Service Agent Solutions

A partner you can grow with

Advisor Services From A Provider You Can Trust

Now more than ever, your fiduciary responsibilities are under a microscope. Your selection of service providers to serve the needs of your clients requires extreme due diligence with safety, security and value at the forefront of the decision process. The failures and risk of failure in the financial community have shined a particularly bright light on operations integrity. That is why Advisor Services Group (ASG) has selected Ridge Clearing & Outsourcing Solutions as our clearing firm. We chose them because they are a technology leader, stable, and financially sound. They are solely a processor of transactions and do not expose customer assets to undue risk from other parts of the securities business.

Ridge, considered a technology expert and trade processing leader, does not engage in proprietary trading or derivative activities and they are not an investment bank or market maker. Most important, they do not compete with the RIAs we are seeking to serve. They monitor margin risk exposure in real time and use prudent policies for extending credit to our customers. Ridge maintains SIPC and excess SIPC insurance to protect client assets.

Solutions for Registered Investment Advisors

By utilizing an exceptional clearing firm and providing customized solutions for you and your clients, ASG will be your trusted partner and allow you to focus on the business of managing customer assets and growing your practice.

Operational Support

With one of the most stable clearing firms on the street, we provide secure custody services for both domestic and international assets. We efficiently clear and settle trades in all major currencies and markets and our billing services allow you to streamline your record keeping and fee collection. Our unique Direct Contact Service Model provides immediate access to subject matter experts from all operational areas. We understand you need specific support for specific inquiries. You do not want to speak to a generalist or wait for your call to be routed, hopefully, to the right department. With ASG, you and your staff will have direct access to specific operational departments, such as New Accounts, ACATs, Reorg, Margin, etc.

Trading Services

As an agency broker, our mission is to provide competent representation of customer orders in multiple market places accessing liquidity and providing best execution while minimizing undesirable market impact. We do not compete with our client's orders. Access to our trading services is customized to advisors needs through voice or electronic means including FIX connectivity to major buy-side Order Management Systems or the deployment of one of our many state-of-the-art trading systems. Whether you trade equities, ETF's, options, fixed income or mutual funds, our experienced institutional traders will guide you through the often treacherous waters of today's markets.



Technology Platform

In partnership with industry leading technology providers, we offer a sophisticated, full function technology platform designed to provide information to support client acquisition, proposal generation, customer service, and decision making needs. A custom branded web platform for electronic client access to account information is also available.

Investment Solutions

With a complete offering of investment products, you and your clients have access to advanced cash management solutions, including bill pay, direct deposit, and debit card, a diverse mutual fund platform, sophisticated lending solutions, a full spectrum of retirement accounts and an array of alternative investment products.

Flexible Pricing Models

We do not believe in "one size fits all". When it comes to pricing, many factors such as your firm's structure, investment style, transaction volume and type will guide us to mutual agreement on a structure and schedule that provides value to both you and your clients.

ASG provides the stability, service, flexibility, technology and resources, that allows you to focus on the core mission of managing client assets and growing your business. Our offering includes:

- ▶ Unique Direct Service Model
- ▶ Flexible transition assistance
- ▶ Direct Access trading systems
- ▶ Prime Brokerage services
- ▶ Cash management solutions
- ▶ Strategic partnerships for ancillary services
- ▶ Industry leading technology
- ▶ Advanced portfolio management system
- ▶ Equities, options, mutual funds, fixed income, annuities, alternative investments
- ▶ Ability to hold individual licenses
- ▶ Institutional agency order representation
- ▶ ETF liquidity creation
- ▶ Special handling of block orders

About Sloan Securities



Established in 1987, Sloan Securities Corp. is a privately owned investment bank and brokerage firm providing high quality financial services to institutions, individuals, and corporations. Utilizing today's latest technologies and our goal of exceeding client expectations, we empower our personnel to serve the needs of each client with an eye towards differentiating the firm by being sensitive to the varying needs of our diverse client base.

About Ridge Clearing & Outsourcing

With deep expertise and a singular business focus, Ridge Clearing & Outsourcing Solutions offers a breadth clearing, custody, settlement, operations outsourcing and business expansion services to institutional broker dealers, discount and full service broker dealers, and wealth managers around the world. Our integrated capabilities, best-of-breed technology, and seasoned operations staff help your firm reduce costs, mitigate risk and improve your bottom line.

Please contact us to find out how ASG can provide the strong, service oriented foundation you can rely upon.

