



## REP. from Penton (formerly Registered Rep)

Registered Rep. brings you insightful and award-winning coverage of industry trends, of news about the firms, and the latest products and innovations of interest to brokers and advisors. In issue after issue, you'll benefit from Registered Rep.'s tips on how to find new clients, give them better service, and build a better investment advisory practice.

### MEDIA TYPE

**Business**



### SOURCE

Controlled circulation

### GEOGRAPHY

USA  
Canada

### SEGMENTS

|        |                                |             |
|--------|--------------------------------|-------------|
| 92,739 | Total Universe / Universe Rate | \$175.00/M  |
| 82,071 | Records with Phones            | + \$60.00/M |
| 44,187 | Email                          | \$375.00/M  |
|        | Deployment                     | + \$50.00/M |

### MAINTENANCE

|                |                   |
|----------------|-------------------|
| Market Entry   | <b>02/05/2014</b> |
| New to Manager | <b>07/29/2015</b> |
| Counts Through | <b>07/29/2015</b> |

### DATA CARD MAINTENANCE

|                  |                   |
|------------------|-------------------|
| New To System    | <b>07/29/2015</b> |
| Last Update      | <b>07/29/2015</b> |
| Next Update      | <b>10/31/2015</b> |
| Update Frequency | <b>QUARTERLY</b>  |

### DESCRIPTION

**REP.** is the most trusted digital and print source for the retail investment professional, serving brokers, financial advisors, RIA's, IBD's, insurance, financial planners, and financial product companies with award-winning insight coverage of the brokerage, wealth management, fund and financial product industry as well as breaking news, data, rankings, and profiles.

**REP.** serves more than 100,000 financial advisors, financial planners, branch managers, registered investment advisors and other retail financial professionals.

| Job Function               | Postal | Email |
|----------------------------|--------|-------|
| Stockbroker/registered Rep | 65345  | 20892 |
| Branch Manager/osj         | 6857   | 2441  |
| Chairman/ceo/president & O | 12580  | 3606  |
| Sales Assistant            | 6315   | 1781  |
| Registered Investment Advi | 27497  | 8050  |
| Financial Planning         | 34761  | 11181 |
| Bank Investment Sales      | 2828   | 629   |
| Insurance Sales            | 4401   | 1439  |
| Other (specify)            | 3329   | 1777  |

| Title Category                            | Postal | Email |
|---|--------|-------|
| Top Management                            | 50518  | 17099 |
| Middle/administrative Management          | 14362  | 4699  |
| Financial Management                      | 58773  | 19858 |
| Sales & Marketing Management              | 24512  | 7162  |
| Information Technology (it) Professionals | 389    | 118   |

|                            |       |      |
|----------------------------|-------|------|
| Production Management      | 298   | 108  |
| Engineering Management     | 507   | 135  |
| Professionals              | 22914 | 7335 |
| All Other Management       | 1904  | 646  |
| Vp-level                   | 16570 | 6504 |
| Director-level             | 7362  | 2353 |
| Manager-level              | 9671  | 3216 |
| Assistant -level           | 2811  | 770  |
| Human Resources            | 380   | 115  |
| Purchasing                 | 4     | 2    |
| Retired                    | 10    | 10   |
| Senior (c-level Or Higher) | 21017 | 6572 |
| Students                   | 20    | 11   |
| Education                  | 129   | 60   |
| Medical                    | 14    | 2    |
| Lawyers                    | 210   | 126  |

|                          |        |       |
|--------------------------|--------|-------|
| Type of Firm             | Postal | Email |
| National Wirehouse       | 38464  | 15058 |
| Regional Brokerage       | 25678  | 8177  |
| Independent Brokerage    | 47276  | 14734 |
| Discount Brokerage - Old | 2      | 0     |
| Bank Brokerage           | 14897  | 3945  |
| Financial Planning       | 1982   | 438   |
| Insurance                | 16658  | 5497  |
| Ria Firm                 | 27273  | 7614  |
| Accounting - Old         | 1      | 0     |
| Law - Old                | 4      | 0     |
| Online Brokerage - Old   | 1      | 0     |
| Other (specify)          | 3183   | 1865  |

|                        |        |       |
|------------------------|--------|-------|
| Series 7 (gs) Licensed | Postal | Email |
| No                     | 67308  | 20735 |
| Yes                    | 111425 | 38210 |

|                     |        |       |
|---------------------|--------|-------|
| Licenses/Desig Hold | Postal | Email |
| Series 3 (fr)       | 35241  | 10378 |
| Series 4 (op)       | 33865  | 9968  |
| Series 6 (ir)       | 39997  | 13449 |
| Series 8 (su)       | 11195  | 3969  |
| Series 64 (res)     | 5968   | 2059  |
| Series 65 (iar)     | 31043  | 10927 |
| Sec Reg Invest Adv  | 361    | 108   |
| C F P               | 17086  | 5676  |
| C P A               | 5976   | 1979  |

|                   |       |       |
|-------------------|-------|-------|
| Series 24 (gp)    | 15883 | 5339  |
| Series 63         | 44892 | 15843 |
| Series 66         | 26994 | 9604  |
| C H F C           | 6787  | 2250  |
| C L U             | 6600  | 2187  |
| Other             | 18877 | 6534  |
| None Of The Above | 8343  | 2597  |

|                              |        |       |
|------------------------------|--------|-------|
| Assets Under Mgt             | Postal | Email |
| \$150 Million Or More        | 23280  | 8132  |
| \$100 Million To \$149.9 Mil | 11843  | 4336  |
| \$50 Million To \$99.9 Milli | 19404  | 7068  |
| \$25 Million To \$49.9 Milli | 17881  | 6407  |
| Under \$25 Million           | 40751  | 14009 |

|                          |        |       |
|--------------------------|--------|-------|
| Gross Annual Production  | Postal | Email |
| \$2 Million Or More      | 9859   | 3209  |
| \$1 Million To \$1999999 | 11211  | 4034  |
| \$500000 To \$999999     | 30707  | 11083 |
| \$250000 To \$499999     | 15326  | 5343  |
| \$100000 To \$249999     | 15569  | 5354  |
| Under \$99999            | 15905  | 5146  |

|                         |        |       |
|-------------------------|--------|-------|
| Prim Method of Compensa | Postal | Email |
| Fee Only                | 18295  | 5682  |
| Commission Only         | 26298  | 8267  |
| Fee & Commission        | 71508  | 24273 |

|                         |        |       |
|-------------------------|--------|-------|
| Years Worked in Finance | Postal | Email |
| Less Than 5 Years       | 12060  | 3879  |
| 5 To 10 Years           | 18454  | 5774  |
| 10 Years Or More        | 93074  | 30882 |

|                      |        |       |
|----------------------|--------|-------|
| State                | Postal | Email |
| Alberta              | 56     | 22    |
| Alaska               | 277    | 86    |
| Alabama              | 1875   | 589   |
| Arkansas             | 1216   | 396   |
| Arizona              | 2933   | 900   |
| British Columbia     | 106    | 56    |
| California           | 18971  | 5758  |
| Colorado             | 3991   | 1196  |
| Connecticut          | 3868   | 1205  |
| District Of Columbia | 586    | 179   |
| Delaware             | 542    | 173   |
| Florida              | 10927  | 3644  |

|                      |       |      |
|----------------------|-------|------|
| Georgia              | 4229  | 1431 |
| Hawaii               | 467   | 179  |
| Iowa                 | 2297  | 720  |
| Idaho                | 945   | 280  |
| Illinois             | 8608  | 2865 |
| Indiana              | 3462  | 998  |
| Kansas               | 2009  | 686  |
| Kentucky             | 1624  | 488  |
| Louisiana            | 1708  | 615  |
| Massachusetts        | 4873  | 1545 |
| Manitoba             | 37    | 10   |
| Maryland             | 3305  | 1085 |
| Maine                | 611   | 212  |
| Michigan             | 5192  | 1645 |
| Minnesota            | 4516  | 1370 |
| Missouri             | 3850  | 1370 |
| Mississippi          | 820   | 246  |
| Montana              | 557   | 164  |
| New Brunswick        | 4     | 3    |
| North Carolina       | 4829  | 1612 |
| North Dakota         | 552   | 176  |
| Nebraska             | 1560  | 560  |
| New Hampshire        | 847   | 286  |
| New Jersey           | 6988  | 2419 |
| Newfoundland         | 1     | 1    |
| New Mexico           | 527   | 169  |
| Nova Scotia          | 17    | 12   |
| Nevada               | 984   | 318  |
| New York             | 15602 | 4769 |
| Ohio                 | 6609  | 2203 |
| Oklahoma             | 1553  | 500  |
| Ontario              | 576   | 269  |
| Oregon               | 2263  | 632  |
| Pennsylvania         | 8525  | 2904 |
| Prince Edward Island | 2     | 2    |
| Puerto Rico          | 214   | 89   |
| Quebec               | 212   | 92   |
| Rhode Island         | 530   | 187  |
| South Carolina       | 1731  | 605  |
| South Dakota         | 621   | 199  |
| Saskatchewan         | 4     | 4    |
| Tennessee            | 2980  | 974  |
| Texas                | 12097 | 3757 |
| Utah                 | 1424  | 408  |
| Virginia             | 3929  | 1213 |
| Virgin Islands       | 10    | 5    |

|               |      |      |
|---------------|------|------|
| Vermont       | 362  | 124  |
| Washington    | 3528 | 1066 |
| Wisconsin     | 4252 | 1348 |
| West Virginia | 558  | 182  |
| Wyoming       | 259  | 99   |

Penton reaches 16 markets, over 18MM professionals, and has touch points for virtually every industry.

**Their diverse portfolio of properties can help you reach your target audience.**

#### Advertising:

For other Advertising opportunities please

visit: <http://www.penton.com/OurMarkets/WealthManagement/tabid/90/Default.aspx>

(finance, brokers, advisers, consultant)

#### SELECTS

|                     |                   |
|---------------------|-------------------|
| Bus/Industry Type   | <b>\$15.00/M</b>  |
| Job Function        | <b>\$15.00/M</b>  |
| Job Title           | <b>\$15.00/M</b>  |
| Licenses            | <b>\$15.00/M</b>  |
| Number of Employees | <b>\$15.00/M</b>  |
| One Name Per Site   | <b>\$15.00/M</b>  |
| Phone Number        | <b>\$60.00/M</b>  |
| Recommend/Specify   | <b>\$15.00/M</b>  |
| Sales Volume        | <b>\$15.00/M</b>  |
| SCF                 | <b>\$10.00/M</b>  |
| SIC Code            | <b>\$15.00/M</b>  |
| State               | <b>\$10.00/M</b>  |
| Zip                 | <b>\$10.00/M</b>  |
| Firm Type           | <b>\$15.00/M</b>  |
| Assets              | <b>\$15.00/M</b>  |
| Annual Production   | <b>\$15.00/M</b>  |
| Years Worked        | <b>\$15.00/M</b>  |
| Recommend to Sell   | <b>\$15.00/M</b>  |
| Suppression         | <b>\$150.00/F</b> |
| Set UP              | <b>\$150.00/F</b> |

#### GENDER

|        |            |
|--------|------------|
| Male   | <b>76%</b> |
| Female | <b>16%</b> |

#### AVERAGE INCOME

|       |                      |
|-------|----------------------|
| Value | <b>not available</b> |
|-------|----------------------|

#### MINIMUM ORDER

|                  |               |
|------------------|---------------|
| Minimum Quantity | <b>5,000</b>  |
| Minimum Price    | <b>\$0.00</b> |

#### NET NAME ARRANGEMENTS

|                            |                  |
|----------------------------|------------------|
| <b>Net Name is allowed</b> |                  |
| Floor                      | <b>0%</b>        |
| Minimum Quantity           | <b>0</b>         |
| Run Charges                | <b>\$10.00/M</b> |

#### EXCHANGES

**Exchange is not allowed**

#### REUSE

**Please inquire**

#### CANCELLATION

|         |                  |
|---------|------------------|
| Charges | <b>\$50.00/F</b> |
|---------|------------------|

#### CANCELLATION INSTRUCTIONS

Sample Mailing Piece Required. Reuse or mailing with phone follow-up \$5/M off base rate, All orders are approved on a reciprocal rental. Orders cancelled prior to mail date are subject to a \$50 cancellation fee plus any applicable production and shipping charges. Orders cancelled after the mail date, will incur charges in full.

#### KEY CODING

|                                |                 |
|--------------------------------|-----------------|
| <b>Key Coding is available</b> |                 |
| Charges                        | <b>\$3.00/M</b> |

#### ADDRESSING

|       |                  |
|-------|------------------|
| FTP   | <b>\$75.00/F</b> |
| EMAIL | <b>\$75.00/F</b> |

#### SPECIAL INSTRUCTIONS