

2010 BROKER/DEALERS OF THE YEAR

INVESTMENT ADVISOR ■ SEPTEMBER 2010

Ratings Summary for Prospera Financial Services

How would you rate your broker/dealer in the following categories?

1= The best; 5= The Worst

	Rates #1	Rates #2	Rates #3	Rates #4	Rates #5
Compliance	98.9%	1.1%	0.0%	0.0%	0.0%
Due Diligence	100.0%	0.0%	0.0%	0.0%	0.0%
Back Office Support	100.0%	0.0%	0.0%	0.0%	0.0%
Training	100.0%	0.0%	0.0%	0.0%	0.0%
Marketing Support	100.0%	0.0%	0.0%	0.0%	0.0%
Trading	100.0%	0.0%	0.0%	0.0%	0.0%
Clearing Services	100.0%	0.0%	0.0%	0.0%	0.0%
Product List	100.0%	0.0%	0.0%	0.0%	0.0%
Management	100.0%	0.0%	0.0%	0.0%	0.0%
Payout	100.0%	0.0%	0.0%	0.0%	0.0%
Timely Commission Payment	100.0%	0.0%	0.0%	0.0%	0.0%
Technology Support	100.0%	0.0%	0.0%	0.0%	0.0%
Communication with Home Office	100.0%	0.0%	0.0%	0.0%	0.0%
Fee-Based Programs	100.0%	0.0%	0.0%	0.0%	0.0%

How would you rate your broker/dealer for its overall performance and service?

(1= The best; 5= The Worst)

Rates #1	Rates #2	Rates #3	Rates #4	Rates #5
100.0%	0.0%	0.0%	0.0%	0.0%

This year there were seven companies in Division I (0-199 reps) that crossed the entry threshold of having at least 10% of producing reps cast valid ballots. Prospera Financial Services reps' ratings placed it in 1st overall in its division.

Total valid votes: 94

Total invalid votes: 1 (1 duplicate vote, 0 invalide CRD number)