

New beginnings

David Stringer, President, Prospera Financial Services

January 2011

As the days get shorter and the temperature drops, people tend to want to curl up, slow down and take it easy - not at Prospera. You may have noticed we have revamped our website. First, we have re-formatted it with content to better reflect what we do for our business owners. We have also begun to highlight some of our business owners along with some key, timely practice management articles and tools. We did this for a variety of reasons with the most important being that we are able to provide you with an easily accessible repository of articles, profiles and best practices from our own family of owners and partners.

Growth

We have experienced a 16% growth in revenue in a turbulent market and added offices in Idaho, Nebraska, North Carolina, Virginia, Oklahoma, Kansas, New Jersey, Texas, and New York.

Expansion of Relationship Managers and Protect Team

Our record growth has led to an expansion of our Relationship Managers and Protect Team to help maintain the level of intimacy between business owners and the home office staff, which is a cornerstone of Prospera's culture. This growth is a true testament to the strength of our business model — to be the best of both worlds by combining the vast resources and support of one of the largest brokerage firms in America with the independence and freedom to build your business your way. Thank you for your strong contributions to these impressive results.

Our key objectives

The start of a New Year is the perfect time for us to reiterate our key objectives. We have spent a fair amount of time over this past year re-evaluating what inspires us- Why do we come to work every day? Why are we in this business? Here are the things we have rediscovered about ourselves at Prospera. We are able to put it all into one word: CARE.

Guiding Principle # 1: Take Responsibility – Own it, Take initiative

Guiding Principle # 2: Do the right thing – Have Integrity

Guiding Principle # 3: Work smart – Make it easy

Guiding Principle # 4: Contribute – Add value to others' situation

Guiding Principle # 5: Be grateful – Make someone feel that their contribution is valued

Guiding Principle # 6: Be reasonable – Willing to understand and be flexible

2011 President's Advisory Council

The purpose of Prospera's President's Advisory Council is to hold Prospera accountable to their stated commitment of helping advisors to "Run, Grow and Protect" their business. As members, they are to test, debunk and hold accountable the Run, Grow and Protect teams. They bring awareness to issues and opportunities as well as constructive ways to make improvements. Their active involvement is critical so that actions are taken and progress is consistently made. Each committee member has an obligation to participate in all scheduled calls and meetings to the best of their ability for the duration of their accepted term.

2011 President's Advisory Council members:

Gary Buchanan
Michael Dallas
Del Huddleston
Todd Leake
Ken Price
Keith Reagan
Ivan Sacks
Tom Whiteman

Looking forward

Finally, as we enter the brunt of winter, we begin to think about what the spring will bring. This year, as we have done for the past 14 years, we will be hosting our Director's Circle conference for our Top 25 advisors for the calendar year 2010. This year's conference will be held at The Breakers Resort in beautiful West Palm Beach, Florida on June 23-26, 2011.

Enjoy the first quarter of the New Year. Thank you for choosing Prospera as your partner.

My Best,

David Stringer

* The current projected cut off for the 2010 top 25 advisors is \$300,000 in production.