TradePMR

TradePMR Use Only	Advisor Code:

RIA Firm Profile

1 Registration Type

Full Name:	RIA Business Name:

How long have you been providing advisory services to the general public? ☐None ☐< 5 years ☐6-10 years ☐11+ years

Does the firm or any associated individual(s) have ANY reportable disclosures? (e.g. Arbitration, Judgement, Civil, Criminal) ☐Yes ☐No

Are all of your clients' either U.S. Citizens and/or Permanent Residents of the USA? ☐Yes ☐No

Has anyone associated in your firm ever invested in a Financial Advisor coaching/practice management program? ☐Yes ☐No

Is your advisory firm active on social media (e.g. LinkedIn)? ☐Yes ☐No

Does your firm have a formal succession plan? ☐Yes ☐No

Which do you prefer? ☐Construct/Manage my own Advisor built model portfolio(s) ☐Outsource to a Third Party Money Manager

Are you interested in offering Robo Advisory solutions? ☐Yes ☐No ☐Maybe

Are you leaving a Broker-Dealer? ☐Yes ☐No If yes, name of Broker-Dealer:

Do you currently use other Custodians? ☐Yes ☐No If yes, please list:

How did you hear about TradePMR?

Number of advisors:	Do you plan to add IARs? ☐ Yes ☐ No	Ticket charges will be paid by: ☐ Client ☐ Advisor

List the Professional Designations & Affiliations for the Principals of the firm (*check all that apply*):

☐AICPA ☐Attorney ☐CFA ☐CFP ☐ChFC ☐CLU ☐CPA ☐CPA/PFS ☐FPA ☐Insurance Broker ☐NAPFA

☐Other:

Which E&O carrier do you use?

Client Information		
# of clients:	# of accounts:	# of domestic clients: (USA Citizens/Resident Aliens)

2 Assets Under Management (AUM)

Current Total AUM:	Current Fee-Based AUM:	Average Account Size:

Accounts and AUM to be moved to TradePMR within three months: Accounts: AUM:	One year goal for accounts and AUM at TradePMR: Accounts: AUM:

AUM percentage investment in the following securities:

Stocks: % ETF's: % Fixed Income: % Mutual Funds: % Options: % Others:

# of cash accounts:	Money market fund balance:
# of IRA accounts:	Total balance of IRA accounts:
# of margin accounts:	Total balance of margin debt:

Trade-PMR, Inc.
PO Box 358230, Gainesville, FL 32635-8230
Member of FINRA/SIPC

3 Variable Annuities (VA)

Do you wish to have TradePMR become the Broker-Dealer of record for your annuity policies? ☐ Yes ☐ No	
Total VA Income:	VA carriers:
State(s) where you have VA policies:	

4 Current Custodian

Current custodian name:	Time with current custodian:
What do you like most about your current custodian?	
What do you like least about your current custodian?	
Current Custodian Ticket Charges: Equities: Options: Fixed Income: Mutual Funds: UITs: Other:	
Is a minimum annual trading volume required to maintain these rates? ☐Yes ☐No	
Are electronic statements and confirms required to maintain these ticket prices? ☐Yes ☐No	
Does your current custodian have a per share surcharge after a certain number of shares purchased? ☐Yes ☐No If yes, please describe:	
Do you have any concentrated positions? ☐Yes ☐No If yes, please describe:	

5 Trade Activity

Please list the average number of agency trades currently placed **per month**.

Listed Equities:	OTC:	Mutual Funds:	Bonds:	Options:	UITs:
Do you intend to transfer in (or purchase) any securities valued less than $5 per share? ☐ Yes ☐ No					

6 Current Software Vendors

CRM Software Vendor:	Annual Expense:	
Financial Planning Software Vendor:	Annual Expense:	
Performance Reporting Software Vendor:	Annual Expense:	
Portfolio Rebalancing Software Vendor:	Annual Expense:	
Streaming Quotes Software Vendor:	Annual Expense:	☐ Delayed ☐ Real-Time

7 Additional Information

Do you have any additional information you would like us to consider when reviewing your firm?

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