AdvisorBridge

WHERE POSSIBILITY AND OPPORTUNITY MEET

PARTNERSHIP/SUCCESSOR OPPORTUNITY

YYZ10300

Independent, Discretionary Portfolio Manager interested in partnering with an Eventual Successor.

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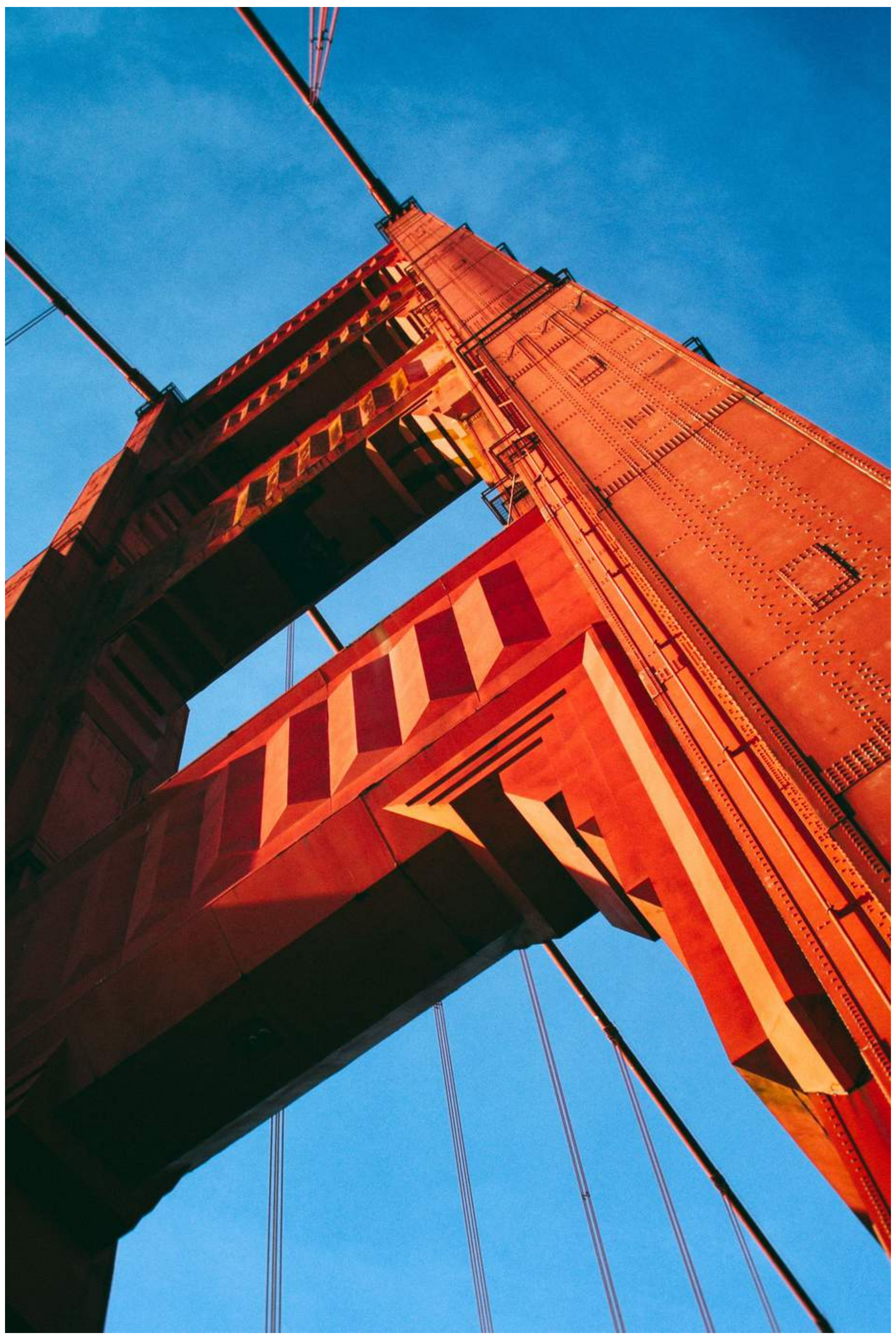
ABOUT OUR CLIENT



Our client continues to grow his thriving practice located in the Hamilton-Toronto corridor after having spent the majority of his career with the same dealer.

While he continues to build his business he is prudently looking to partner with someone who will be the eventual successor to his practice.

Our client has been registered as a Portfolio Manager since 1999, he has an MBA and is a CFA® charter holder and holds several other recognized designations.

It is clear to us that our client is a man of integrity. As a PM he takes his fiduciary responsibilities very seriously. His commitment to a high level of client service and acting in his clients best interests are put into action every day - they are not just words on paper.

He recognizes that part of his responsibility to his clients is to plan for his succession sooner rather than later. A successful practice transition where 100% client retention is the goal, is a process and not an event. The integration of a partner into his practice is a professional and personal priority for him.

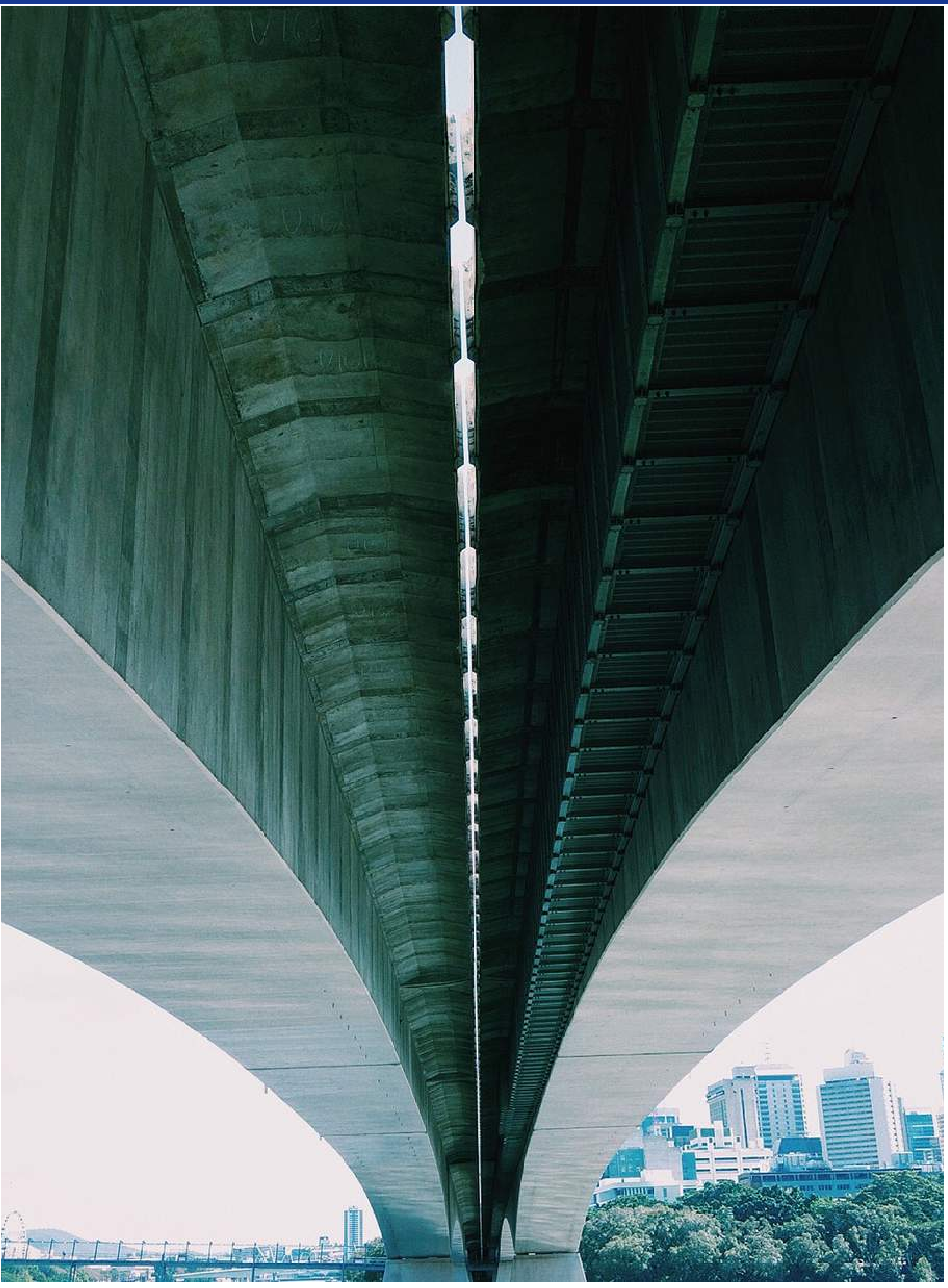
OUR CLIENT'S PRACTICE PROFILE

Our client works under the banner of a large national independent IIROC dealer. As an independent agent he is responsible for his own operating expenses in exchange for a higher grid payout. Under this entreprenurial model he has been able to build his practice to meet his own professional standards.

The practice currently has approximately $200M AUM, servicing 400 households. He leads a team consisting of two associate advisors and two administrative support staff. As a registered Portfolio Manager the majority of his households are managed on a discretionary basis under a fee based compensation model. His mandates could be summarized as conservative and prudent.

The office is located in a very attractive, newly built business complex with direct outside access and abundant free parking with quick access to a 400 series highway. The office occupies two floors and is well appointed with a mix of open plan work space and office space sufficient to accommodate 3-4 additional people.

Our client is keen to identify a partner or team member with strong industry skills and qualifications who will bring strength to the practice with advanced investment and/or financial planning and tax qualifications.



CANDIDATE PROFILE

Our client is primarily interested in identifying a partner who is a strong fit, both professionally and personally with complementary skills.

The ideal candidate:

- is approaching or in mid career and not in need of mentoring.

- holds at least one professional designation CFP®, CFA, CA, etc.

- is registered as a Portfolio Manager or working towards obtaining registration.

- has a pristine compliance/regulatory record.

- has the capacity to scale.

The candidate may be a sole proprietor or be a small team of professionals. There is no special consideration being given to large or small practices. The priority is to find the 'best match' in a partner and eventual successor.

Our client is particularly keen to identify a partner who either themselves or with a team member will bring strong financial planning and/or tax planning credentials and experience. The goal of which is to create a mutually beneficial partnership with an enhanced client experience.

OFFER

Transition: The candidate will be transitioning to our clients firm - there are no exceptions. The transition of the candidates practice and systems training will be well supported.

Transition Loan: Transition financing may be available if the candidates book exceeds certain AUM/AUA thresholds. If the candidate does not meet these thresholds other arrangements can be discussed/negotiated with our client.

Succession: The succession process will take place over several years - no firm exit date has been established.

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