

# Independence Quiz

Are you ready to make the move to independence? Take the quiz, add up your score and see.

- 1) I want to be free to decide which investments are best for my clients including mutual funds and insurance (both fixed and variable)  
**+ 25 points**
- 2) I rely heavily on my firm's proprietary product and research when making investment recommendations to clients  
**- 25 points**
- 3) I want to be free to determine the amount of production that supports my family and lifestyle (no one is pressuring me to do more than what I consider is a good balance for me and my family)  
**+25 points**
- 4) The support staff that I utilize is stretched too thin to do those things for me that will help me be more effective  
**+ 15 points**
- 5) My branch manager does nothing to help me grow my business  
**+ 25 points**
- 6) My business success and future growth is largely dependent on my branch manager  
**- 25 points**
- 7) I want to focus on comprehensive financial planning and learn more in the area of advanced planning ideas and solutions  
**+ 15 points**
- 8) I only recommend to my clients the latest "hot stock" from my firm's research department.  
**- 15 points**
- 9) I believe that my clients are loyal to me and have a relationship with me and not the big corporate brand name I work for.  
**+ 30 points**
- 10) My clients only came to me and will only stay with me because of my corporate parent's brand name.  
**- 30 points**
- 11) I am confident that the clients that I want to work with will follow me wherever I go.  
**+ 50 points**
- 12) I have someone in mind that will be able to handle all of the office administration and paperwork necessary to support my business.  
**+ 25 points**
- 13) I like to do all the administrative work and paperwork myself  
**- 50 points**
- 14) I prefer to determine the amount of my resources that should be spent on marketing, staff, research, technology, client retention, etc...  
**+ 25 points**
- 15) I want to build equity in a business I own  
**+ 50 points**
- 16) I have the skill and the desire to run my own business  
**+ 50 points**
- 17) I don't want the hassles of determining my marketing plan, leading staff or managing my own business.  
**- 50 points**
- 18) I have a proven marketing system that does not require support from my corporate parent  
**+25 points**

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**LESS THAN 100 POINTS** – Stay where you are. You will be most successful in a wire-house or captive environment.

**100 POINTS to 200 POINTS** – strongly consider a move to an independent broker-dealer. Work with your prospective b/d to help you develop a business and marketing plan and a transition plan. Or utilize the b/d's services to help transition your business to an independent business.

**MORE THAN 200 POINTS** – You are ready! Make the move to independence now!

