Start-Up Strategies for Success

LEARN. PLAN. MARKET. GROW.

Infinity Financial Services
212 9th Street, Suite 202
Oakland, CA 94607
(510) 588-8000 | info@8financial.com

INFINITY
FINANCIAL SERVICES

Welcome to Infinity Financial Services!

Infinity Financial Services is a national, independent Investment and Wealth Management firm, founded with a vision: help enterprising financial professionals (FPs) to grow truly independent, successful practices, leveraging leading-edge technologies and firm support.

Based in Oakland, California, with branch offices around the U.S., Infinity's financial professionals offer an array of asset management, brokerage, insurance, financial planning, benefit plan, insurance, and risk management services. We also offer estate and trust planning services through a third-party provider.

Infinity continues to grow because of our commitment to our financial professionals and investors. FPs who join Infinity enjoy an open architecture work environment focused on individual responsibility, not overbearing scrutiny. We guide and collaborate with our FPs, providing the peer-to-peer support they need to succeed. We are large enough to provide a powerful, flexible virtual office technology platform, and small enough to support a personalized growth experience for each person and team.

Our FPs have a wide variety of backgrounds. Some join from wire houses, while others are already independent, but are seeking a new home. Some started in the insurance industry and progressed to financial planning. Some of our financial advisors do everything from brokerage to advisory to insurance consulting and financial planning. Whatever your preference for the growth of your business, we are here to help you achieve your professional and personal goals.

Join Infinity. Learn. Plan. Market. Grow.

Warm regards,

Greg

Greg B. Gilbert, CFP®

President and CEO

Choose Your Independent Business Model

It can be a bit overwhelming to choose the optimum business model for your practice and the best independent partner firm to support you. We are here to help ensure you learn about and consider the options you have with Infinity Financial Services and other independent firms.

Independent Financial Advisor

The most flexible and popular approach for breakaway advisors is to be a **Hybrid RIA/BD**, that is, an investment advisor representative (IAR) and registered representative (RR). You affiliate with Infinity via dual registration and dual revenue structure to conduct fee and commission business. You may also choose to do insurance business, as well.

Requirements	FINRA Series 6 or 7 and 63, 65/66 and/or other FINRA or Insurance licenses. May have one or more industry-recognized certifications, such as, CFP® and/or CIMA®, CPWA®, CFA®, CLU®, ChFC®, CDFA™, AEP®, CPA. Have several to many years of experience.
Payout	Up to 92% payout.
Technology	Infinity Virtual Office *(see page 4).*
Products and Services	Alternative investments, annuities, bonds, cash & banking, ETFs, 529 plans, mutual funds, options, REITs, stocks, managed accounts, life insurance, long term care insurance, and estate and trust services.*
Branding and Marketing	You may leverage the Infinity Financial Services, Inc. brand or establish your own “doing business as” brand. You may choose from our approved external marketing consultants.
Location & Office Space	We support your office setup and infrastructure. You may work in Oakland, CA or maintain your own office in any state. We will provide assistance in securing office space.
Compliance	Infinity (branch manager & home office) provides FINRA and SEC oversight. SEC compliance is regulated at the federal level.
Your Client Approach	Ensure clients’ interests always come first; genuinely care about clients’ success; take a holistic view of each client’s financial picture; provide a range of products and services; take reasonable care to be knowledgeable about recommended solutions; and offer clients value-added resources to help them make informed decisions.
Your Personality Traits	Personal integrity, passion, empathy, inspires confidence and trust, excellent listener, audience-centric communicator, service-oriented, self-confident, organized, natural networker, highly focused on growth.

** Offered through a third-party integrated estate planning and trust planning firm.*

Infinity Financial Services - Affiliation Process

Making the move to a new independent firm is exciting. It represents an important opportunity to do business your own way, in a flexible environment, surrounded by people who are motivated to help you to achieve significant business growth. Naturally, you want to do the right thing for your clients. You seek a firm that offers a robust suite of products and services, and a leading-edge technology platform that will enhance client relationships, while making your life easier.

The initial discovery (due diligence) and affiliation process takes approximately 30-60 days. Planning takes about 45-60 days. Pre-transition execution takes 30-60 days. Post-transition execution takes about 90 days. Let's walk through the pre-transition affiliation planning steps.

- **Review Your Goals, Objectives and Challenges**

  In our initial confidential discussions, we ask you to describe your current situation and why you are considering a change. We ask you to share your vision for the future of your practice, what you seek to achieve, and any challenges or concerns you may have. We listen carefully and reflect what we hear to ensure we have a mutual understanding of what is motivating you in your potential move. Helping to ensure that our relationship is an excellent fit is of great importance to both of us. Therefore, we will each consider how you may achieve your goals and objectives and will share on any issues, concerns or additional opportunities we envision for you.

- **Complete Pre-Transition Paperwork**

  After we have reviewed your **Confidential Questionnaire**, we will ask you to complete your **CRD Certification Form**. This gives us access to review your FINRA and SEC registration records and insurance licensing record. You will also complete a **Financial Advisor Summary Form**. Following preliminary discussions we will ask you to complete a Confidential Questionnaire that provides an overview of your professional background.

- **Review Sample Commission Payout Statement**

Infinity Financial Services - Affiliation Process

- **Review Business Operations, Technology and Marketing Services**

  Our cloud-based **Infinity Virtual Office** platform integrates Salesforce CRM, Docupace forms processing and DocuSign® eSignature programs to make tedious, time-consuming tasks far easier and compliant. The platform includes powerful tools that can support all aspects of your practice, backed by the help and guidance of your Infinity back-office team and external partners.

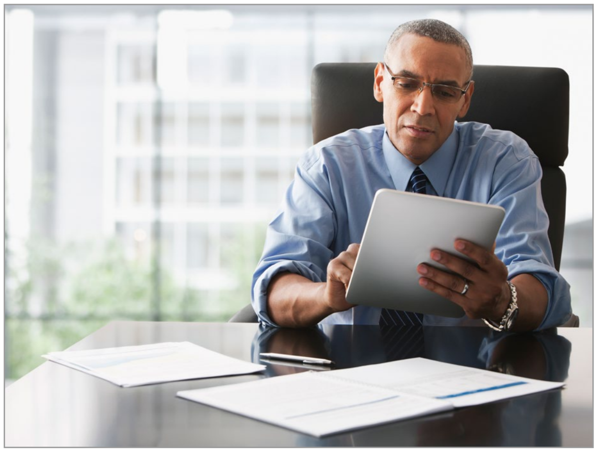
  Inspired by clients and friends employed in nearby Silicon Valley, we have learned the value of purpose-built, integrated systems that can greatly improve process efficiency and give you back valuable time. When you transition to us, we work with you to create the optimum selection of these tools for your specific practice needs.

Sample of select tools and services available on Infinity Virtual Office

Infinity Financial Services - Affiliation Process

- **Review Available Products and Services**

  Infinity is dedicated to offering financial professionals a flexible, open-architecture suite of fee- and commission-based, traditional and alternative investment and risk management products and services. You won't have to sell proprietary investment products–we don't offer them. You may affiliate with third-party insurance brokerage General Agents to facilitate implementation of your annuity, life, and long-term care insurance strategies.



- **Review Transition Expenses**

  Your transition expenses will depend upon your current business model and situation, your chosen business model, and branding. Expenses may include termination fees, attorney review costs, new technology, securing a new office and furniture (if needed), brand updating, and required registered representative, investment advisor and administrative associate fees.

  You have access to a robust selection of approved technology capabilities and marketing consultants. Your Infinity support team will assist you in learning about the technology options available to you and in securing access.

- **Review Infinity Compliance Capabilities and Policies**

  Our goal is to help you do the business you want as flexibly as possible, within the framework of our compliance policies and regulatory requirements. We provide timely reviews of content you submit for compliance approval and work with you to help ensure that your materials are both compliant and effective. The **Infinity Virtual Office** contains all the forms and documents you will need to conduct business and maintain your licenses with Infinity Financial Services.

- **Decide on the Technology Services You Will Use**

  Your Infinity support team and service providers will assist you in learning about the technology options available to you. Your support team may assist you in securing access to services. You will undergo functional training in the use of software you choose.

Infinity Financial Services - Affiliation Process continued

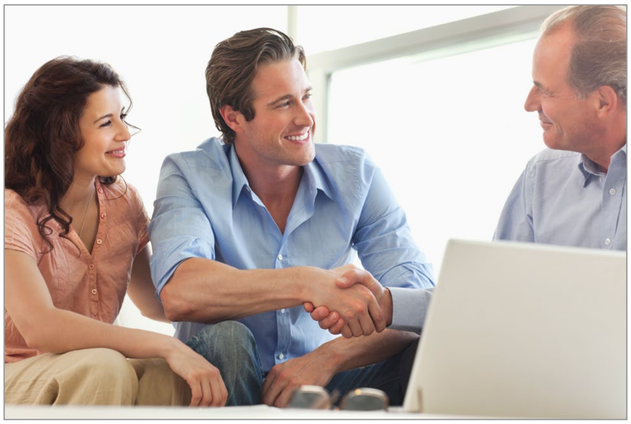
- **Finalize the Relationship Structure, Review and Sign Contract**

  We will work together to define your specific business and services model and our working relationship on a detailed level. This includes the type of business you intend to do (fee-based, commission-based, and/or insurance); the specific services we will provide to you; and any services third-party consultants will provide to you. We will provide a contract for you to review. The contract includes your Payout Agreement and Required Fee Summary.

- **Develop Your Transition Timeline**

  We will help you to tailor the timeline to your specific situation, so that you have a clear road map for each of the steps in the process.

- **Develop Your Strategic Business Plan**

  Starting a new practice typically requires the development of Strategic Business Plan, which includes a detailed sales, digital marketing and client communications strategy. You may use an Infinity-provided Business Plan template, your own document, or engage a third-party consultant to develop your plan with you. Tapping the expertise of an external business consultant may help jump start your efforts in a cost-effective way. We have selected and developed strong ongoing working relationships with third-party consultants who may be able to help you in developing and executing your plan.

The Infinity Team is dedicated to your success. We look forward to helping you to affiliate effectively and seamlessly, to grow the type of independent practice you have dreamed about.

Join Infinity

To discuss your professional goals and aspirations for building your new independent practice, please contact Greg Gilbert, President and CEO, at (888) 888-5321 or Greg@8financial.com.

INFINITY
FINANCIAL SERVICES

INFINITY FINANCIAL SERVICES
212 9th Street, Suite 2020
Oakland, CA 94607
(888) 888-5321
(510) 588-8000
info@infinitysecurities.com
www.infinitysecurities.com