



# UP&COMERS

COMPANY	REVENUE		COMMISSION REVENUE		FEE REVENUE		OTHER REVENUE	
	\$000s	% CHANGE	\$000s	% CHANGE	\$000s	% CHANGE	\$000s	% CHANGE
Investment Centers of America	65,395	17.6	55,208	14.5	5,536	50.4	4,651	25.3
Associated Securities Corp.	64,532	(6.0)	43,949	2.4	16,793	(19.5)	3,790	(21.9)
Triad Advisors	59,404	51.9	35,333	42.6	21,666	67.8	2,405	69.5
Transamerica Financial Advisors	58,353	8.9	47,434	7.7	8,747	5.4	2,172	71.3
Pacific West Financial Group	56,853	20.5	45,116	17.7	8,754	37.2	2,983	19.8
Berthel Fisher & Company Financial Services	56,235	8.0	45,081	6.9	5,071	2.3	6,083	23.4
O.N. Equity Sales Co.	55,654	20.8	53,598	21.0	1,825	14.9	231	10.0
WFG Investments	51,702		31,702		15,000		5,000	
Sammons Securities Co.	49,985	30.7	47,435	24.1			2,550	
Prime Capital Services	44,949	9.9	34,846	11.2	10,103	5.5		
LaSalle St. Securities	43,400	1.8	38,000	7.0	5,400			
Great American Advisors	42,862	13.5	40,525	11.8	1,657	55.9	680	49.8
Breck & Young Advisors	42,369	66.2	29,083	14.1	13,286			
The Investment Center	40,498	19.2	30,646	11.9	7,750	46.4	2,102	61.7
Summit Brokerage Services	38,500	28.3	32,000	25.5	5,000	42.9	1,500	50.0
PlanMember Securities	36,365	21.2	12,465	27.2	23,900	18.3		
Independent Financial Group	32,195	37.7	24,390	36.8	4,884	38.0	2,921	45.8
Kovack Securities	26,340	70.9	19,055	126.6	7,285	4.1		
Wall Street Financial Group	25,411	16.2	18,157	6.2	6,133	28.6	1,121	
Harbour Investments	25,240	2.9	22,745	(0.9)	2,495	58.9		
Sterne Agee Financial Services	19,800		16,000		3,800			
Pension Planners Securities	19,735	27.9	17,972	30.0	1,763	10.2		
ePLANNING Securities	18,042	13.4	14,282	10.0	3,400	29.3	360	19.2
First Midwest Securities	16,269	27.3	15,867	29.2	402	(19.6)	0	(100)
Medallion Investment Services	15,899	13.6	11,283	18.3	4,616	16.8		
Synergy Investment Group	15,584	46.3	11,723	32.8	2,428	33.0	1,433	
Ensemble Financial Services	15,505	22.3	8,043	14.6	7,462	31.8		
Broker Dealer Financial Services Corp.	13,663	16.8 <sup>2</sup>	13,000	24.3 <sup>2</sup>	548	28.9 <sup>2</sup>	115	71.6 <sup>2</sup>
Eagle One Investments	9,174	30.3	8,967	24.3	199	10.6	8	
Coordinated Capital Securities	7,628	24.7	5,615	25.5	1,412	31.2	601	5.8
COMPANY	PRODUCING REPS		TOTAL REPS	PAYOUT \$000s	AVERAGE PAYOUT		PRODUCTION \$	
	TOTAL	% CHANGE			TOTAL \$	% CHANGE	AVG. TOP 20%	QUOTA
O.N. Equity Sales Co.	802	(5.3)	1,114	47,126	59	28.3	161,481	10,000
Transamerica Financial Advisors	700	(13.7)	726	48,682	70	24.3	235,656	12,000
Great American Advisors	605	(6.2)	702	37,473	62	21.8	203,493	
Sammons Securities Company	589	(3.0)	629	40,347	69	14.7	260,476	25,000
PlanMember Securities	375	5.6	375	21,500	57	16.3	237,000	25,000
Triad Advisors	360	19.2	485	48,558	135	27.4	600,000	100,000
Pacific West Financial Group	336	12.4	382	45,330	135	8.0	510,275	100,000
Berthel Fisher & Company Financial Services	327	7.2	370	41,700	128	1.6	492,012	25,000
Medallion Investment Services	327	6.5	333	15,899	49	28.9	165,000	
Investment Centers of America	314	7.2	317	48,244	154	16.7	502,136	
Broker Dealer Financial Services Corp.	301	24.9	320	9,333	30	3.5		100,000
Breck & Young Advisors	307	2.3	373	34,534	112	17.9	344,726	50,000
The Investment Center	300	0.0	300	31,693	106	27.5		100,000
LaSalle St. Securities	290	0.0	310	34,921	120	.8	350,000	80,000
Associated Securities Corp.	248	7.4	248	55,232	223	(10.0)	830,307	250,000
Kovack Securities	245	8.9	285		122	7.9	182,500	50,000
Prime Capital Services	232	(3.3)	250	28,224	84	21.7	279,000	25,000
Pension Planners Securities	203	9.7	220	17,134	135	4.8	544,800	100,000
Independent Financial Group	199	30.1	235	26,832	119	1.7	305,000	45,000
Harbour Investments	194	5.4	221	23,140				
Summit Brokerage Services	185	8.8	220	33,300	180	17.7	650,000	150,000
WFG Investments	175		193	25,000	143		700,000	150,000
Wall Street Financial Group	175 <sup>1</sup>	(2.8)	189	24,290	139	26.4	384,000	50,000
ePLANNING Securities	131	13.9	154	14,365	110	(0.9)	424,000	0
Synergy Investment Group	121	4.3	179	10,136	84	2.5	338,760	—
First Midwest Securities	102	(1.9)	114	11,000	108	3.8	250,000	100,000
Sterne Agee Financial Services	100		140	19,000	190		450,000	150,000
Ensemble Financial Services	92	4.5	120	15,617	170	32.8	549,378	0
Coordinated Capital Securities	78	(13.3)	78	7,488	96	65.6	284,112	25,000
GBS Financial Corp.	62	0.0	66	5,000	81	11.0	254,000	25,000

<sup>1</sup> Estimation <sup>2</sup> % change reflects revised 2006 figures ( ) indicates negative number