

# RIA Database

## PRODUCT OVERVIEW

[www.RIADatabase.com](http://www.RIADatabase.com)

Product Overview, Fact Sheet & Pricing Information

Last updated: October 2009

### **About us:**

RIA Database provides searchable, Web-based databases for the financial industry. We offer data on RIAs, Bank/Trust institutions, Registered Reps, and Broker/Dealers.

### **Our clients:**

RIA Database clients include some of the largest financial services firms in the world. We have over 200 clients, serving several markets:

- Clearing firms
- Registered Investment Advisers
- Mutual fund companies
- ETF managers
- Separate account managers
- Hedge funds
- Private investment partnerships
- Technology providers
- Compliance consultants
- Publishers
- Research firms
- Recruiters

### **RIA Database**

RIA Database maintains current contact information and profiles on over 29,000 registered investment advisers (RIAs), 100,000 contacts and 30,000 email addresses. We provide this data through an easy-to-use, Web-based interface that allows users to search based on several relevant fields.

### Fields include:

- First name, last name, title
- Firm name
- Phone number
- Fax number
- E-mail address
- Street address
- City, state, zip code (zip code radius)
- Website
- Total assets under management
- Discretionary assets under management
- Financial planning assets
- Number of accounts / number of clients
- Number of employees
- Number of financial planning clients
- Number of financial advisers at the firm
- Client type (percentages are searchable)

- High net worth individuals
- Individuals
- Banks
- Investment companies
- Pension and profit sharing plans
- Hedge funds
- Charitable organizations
- Corporations
- State or municipal entities
- Ability to select percentage of each client type
- Compensation structure
  - Percentage of assets under management
  - Hourly charges
  - Subscription fees
  - Fixed fees
  - Commissions
  - Performance-based fees
- Advisory services
  - Financial planning
  - Portfolio management for investment companies
  - Portfolio management for individuals
  - Portfolio management for institutions
  - Pension consulting services
  - Selection of other advisers
  - Publication of newsletters
  - Market timing services
- Broker/Dealer activity and/or affiliations
  - Broker / dealer
  - Bank
  - Futures advisor
  - Insurance broker or agent
  - Real estate
  - Registered representative
- Business affiliations
  - Broker / dealer
  - Bank
  - Futures advisor
  - Pension consultant
  - Other advisor
  - Insurance company
  - Real estate broker / dealer
  - Mutual fund
  - Law firm
  - Accounting firm
- Business type and product offering
  - Fee-only
  - Family office or multi-family office
  - Mutual funds
  - Separately managed accounts
  - Socially responsible investments
  - ETFs

- Alternatives
- Retirement products
- Insurance products
- Real estate
- Custodian/clearing firm
  - Schwab
  - Fidelity
  - Pershing
  - Raymond James
  - TD Ameritrade
  - LPL
  - Merrill
  - Other
- New/Terminated advisers
  - Exclude terminated, canceled or suspended RIAs
  - Search new RIAs

### **Registered Rep / Broker / Dealer Database**

We maintain current contact information and profiles on over 650,000 registered representatives (RRs), 200,000 email addresses at more than 6,500 broker/dealer firms. We provide this data through an easy-to-use, Web-based interface that allows users to search based on several relevant fields.

Fields include:

- First name, last name
- Firm
- Firm address
- Firm city, state, zip code
- Firm phone
- Firm website
- Rep email address
- Home address
- Home phone number
- Licenses held at FINRA
- Date of birth
- Test date
- Estimated assets
- Estimated production
- Estimated income

### **Bank/Trust Database**

We maintain current contact information and profiles on over 9,000 bank/trust institutions, 4,000 email addresses and 9,000 bank/trust key contacts. We provide this data through an easy-to-use, Web-based interface that allows users to search based on several relevant fields.

Fields include:

- First name, last name
- Firm
- Firm address
- Firm city, state, zip code

- Firm phone
- Firm website
- Key contact email address
- Total assets
- Trust assets
- Total accounts
- Total trust accounts
- Managed assets
- Managed accounts
- Non-managed assets
- Non-managed accounts
- Securities
- Mutual fund assets
- Interest bearing account assets
- Derivatives
- Holding company

**Service:**

We have a team of professionals that train and service our clients. We offer timely data scrubbing and list matching services including:

- Conference list matching
- Hard or soft copy list matching
- Sales data scrubbing
- Sales data analysis
- CRM integration

**Cost:**

**RIA Database**

\$5,000 for 1 user, \$500 for each additional user, annually. This is for national access, and includes unlimited access, unlimited download functionality and unlimited custom list support throughout the year.

\$750 per user, per year, per state, annually. This is for state-by-state access, and includes unlimited access for chosen states, unlimited download functionality and unlimited custom list support throughout the year.

**Registered Rep / Broker / Dealer Database**

\$12,000 for 1 user, \$500 for each additional user, annually. This is for national access, and includes unlimited access, unlimited download functionality and unlimited custom list support throughout the year.

\$1,000 per user, per year, per state annually. This is for state-by-state access, and includes unlimited access for chosen states, unlimited download functionality and unlimited custom list support throughout the year.

If the RIA Database is purchased with the RR/B/D Database, the national subscription is \$15,000 for 1 user, \$1,000 for each additional user on both systems. This is a discount of \$2,000 annually.

**Bank/Trust Database**

\$3,000 for 1 user, \$500 for each additional user, annually. This is for national access, and includes unlimited access, unlimited download functionality and unlimited custom list support throughout the year.

\$750 per user, per year, per state, annually. This is for state-by-state access, and includes unlimited access for chosen states, unlimited download functionality and unlimited custom list support throughout the year.