

ADVISOR TYPES		
ADVISOR	"HYBRID BROKER/ADVISOR"	BROKER
Advice	Advice AND/OR Sales	Sales
Relational	Relational AND/OR Transactional	Transactional
Relationship Retainer	Account Contract AND/OR Security Transactions	Security Transactions
COMPENSATION		
Fees	Fees AND/OR Commissions	Commissions
Fee-Only	Fee-Based	Commission-Based
Fee-Only Advice	Fee-Based Products AND/OR Commission-Based Products	Commission-Based Products
REGULATION AND STANDARD OF CARE		
Firms Registered with Securities and Exchange Commission (SEC)	Firms Dually Registered with the SEC AND Also Affiliated with a Broker-Dealer	Banks, Brokerage Firms and Insurance Companies Selling Investment Securities
Investment Advisor Representatives (IAR)	Investment Advisor Representatives (IAR) AND Registered Representatives (RR)	Registered Representatives (RR)
Website Disclosure: "SEC-Registered Investment Adviser..."	Website Disclosure: "SEC-Registered Investment Advisor..." AND "Securities Offered by..."	Website Disclosure: "Securities Offered by..."
Fiduciary Standard	Fiduciary Standard AND/OR Suitability Standard	Suitability Standard

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