

BROKER/DEALERS OF THE YEAR

INVESTMENT ADVISOR READER POLL ■ JUNE 2008

Voting Rules

Following are the rules in effect for the 18th annual Broker/Dealers of the Year awards.

Voting takes place only at www.investmentadvisor.com from June 1, 2008, through July 1, 2008.

Only producing reps of the 78 independent broker/dealers who responded to *Investment Advisor's* 2008 Broker/Dealer Directory are eligible to vote.

A broker/dealer becomes eligible for the award only after a minimum of 10% of its producing reps as reported in the June 2008 Broker/Dealer Directory cast valid ballots.

Each of the eligible broker/dealers will be placed into one of four divisions based on its number of producing reps as of April 1, 2008, as reported to *Investment Advisor* by the broker/dealer and listed in the annual broker/dealer directory published in the June 2008 issue of *Investment Advisor*.

Division I: up to 199 producing reps

Division II: from 200 to 499 producing reps

Division III: from 500 to 999 producing reps

Division IV: 1,000 or more producing reps

To produce a valid ballot and to help ensure the integrity of the voting process, all voters must provide on the ballots their own CRD numbers and their broker/dealer's CRD number. Also, each representative must provide his or her name and contact information on the ballot. **All personal information, including individual ratings of broker/dealers, will be kept strictly confidential by the *Investment Advisor* editorial staff**, though voters may be contacted by the editorial staff to confirm their identity and broker/dealer affiliation and to be given the opportunity to serve as sources for an article about the 2008 Broker/Dealers of the Year.

Each voter must rate their B/D in 15 different categories, including an overall rating, to produce a valid ballot. The overall rating question (section B) carries a greater weighting in determining the representative's final rating of his or her broker/dealer—30% of the total.

The broker/dealer that receives the highest average rating from its voting representatives wins Broker/Dealer of the Year in its division.

The 2008 Broker/Dealers of the Year awards will be announced in the September 2008 issue of *Investment Advisor*.