

BROKER DEALER HOSTING



Independent Brokerage
Solutions LLC

MEMBER: FINRA/SIPC

INDEPENDENT BROKERAGE
SOLUTIONS INVITES YOU TO BUILD
YOUR OWN ROAD TO SUCCESS



www.indiebrokers.com | info@indiebrokers.com | (212) 751-4424

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IndieBrokers and the other entities in the DFP Partners group of companies are corporate control affiliates, share offices and personnel, and provide complementary services. The DFP Partners Group of companies provides public accounting, consulting, and regulatory compliance services to financial industry participants. Services include outsourced financial and operations principal (FINOP), CFO, PFO and POO, AML Testing, and compliance consulting services.

Check the background of this firm and its representatives on FINRA's BrokerCheck.

IndieBrokers can register your investment professionals and provide supervisory oversight and guidance as you build your business your way. Your team can operate under its own brand while leveraging the regulatory compliance, business, and accounting expertise of IndieBrokers and the DFP Partners group of companies dedicated to the financial services industry.

- IndieBrokers can facilitate Investment Banking, Capital Raising, and Wealth Management activities, whether by General Solicitation or Private Marketing
- IndieBrokers offers flexible and creative commission sharing solutions
- IndieBrokers provides the regulatory environment in which your team operates, and creates customized solutions to help your business be as efficient and effective as possible

Branch Office Supervision

Independent Brokerage Solutions LLC MEMBER: FINRA/SIPC (“IndieBrokers”) conducts regular ongoing electronic monitoring and direct dialog with your branch office, principals, and representatives in order to create and maintain a culture of compliance.

Learn More About Our Broker Dealer Hosting Services at www.IndieBrokers.com

Our Story

IndieBrokers was created within the DFP Partners (fka SDDco) group of companies as the solution to a growing need in the financial services industry for an independent broker dealer with broad institutional regulatory compliance and advisory experience. An integral piece in the DFP Partners group value chain, IndieBrokers provides the means for financial professionals to conduct registered activities while developing their business plans, applying for FINRA membership, or as a longer-term decision to associate with IndieBrokers and its branch office solutions.

IndieBrokers provides a supervised, regulated environment for seasoned professionals and cutting edge newcomers to operate under their own brands. Offices of the Firm have conducted Institutional and Generally Solicited Private Placements; Regulation A, Regulation S, and non-traded REIT offerings; Buy Side and Sell Side Mergers & Acquisitions and Corporate Advisory services; Wealth Management; and Business Consulting Services to various financial industry participants.

We support your business success by working with you and your team to help implement your regulated business plan. We will set up Branch Office Supervision on a collaborative basis with your team; guide and monitor your Sales Practices; and

help your representatives meet their Ongoing Compliance Obligations. IndieBrokers will evaluate the Regulatory Obligations of your proposed business lines and Register your team’s Representatives; facilitate Trading Activities by introducing transactions on a fully disclosed basis to one of our Clearing Agents for Wealth Management practices or New Technology investment projects. Our Supervisors regularly Review Offering and Sales Material; Personal and Covered Securities Accounts; and the Social Media and Communications with the Public activities of your Registered Representatives.

Since the Firm’s inception in 2011, Indiebrokers Investment Banking representatives have raised more than \$1,500,000,000 in the capital markets and provided advice and guidance to private corporate transactions in excess of \$300,000,000. Although past performance can never be a guarantee or indicator of future results for your transactional business, we have been there with our clients, and done that. We look forward to working with you and your team to help you build and perfect your business plans.

Let us know how we can partner with you.

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Services

Securities Business Hosting

IndieBrokers registers your investment professionals, provides supervisory oversight of conduct and sales practices, and guides your online presence, marketing efforts, and business plan. The principal goal of our experienced industry professionals is your success.

IndieBrokers:

- **Supports your brand identity** - allowing your team to conduct business as a team
- **Creates your Branch Office** - leveraging your existing organizational structure
- **Enables your team to prosper** - by inculcating from the start a culture of compliance

Supporting Your Success

IndieBrokers uses electronic compliance systems to gather required information, to monitor personal and covered securities accounts, and to monitor the communications of your business as such. We are in regular contact, constant if necessary, through phone, email, and on-site visits. IndieBrokers' professionals work with you and your team to create within your business a culture of regulatory compliance that nurtures representatives and their business success. Your team can operate as a cohesive unit at its own location with its own senior personnel taught and guided by the supervision of senior IndieBrokers management.

Challenge Us with Your Business Lines – *Supervision, Expertise, and Guidance*

Brokerage Operations and Wealth Management

If your business plan involves trading on an agency basis, whether as Wealth Managers or Discount Brokers, in public Equities, Debt, Mutual Fund, and U.S. or Sovereign Government Securities, IndieBrokers can provide the clearing and trading services, and the supervisory knowledge and oversight to get your team up and running.

Private Placement Marketing, Private Equity, and Alternative Investments

Exempt Securities Offerings – exempt from registration under federal securities laws – are an important source of corporate capital. IndieBrokers assists you and your team to engage issuers and clients, conduct due diligence, assess investors and counterparties, review, revise, or create marketing material, and to effect investments into corporate entities or pooled investment vehicles. In this new world of General Solicitation as it relates to the sale of exempt offerings, IndieBrokers can be your guide and broker dealer of record with the supervision you need to accomplish successful General Solicited Offerings.

Corporate Finance

Corporate Finance involves a number of regulated broker dealer activities, including advising companies on corporate structure; management; governance; and business practices; capital structure; corporate sales, mergers, and acquisitions. IndieBrokers professionals can work with your team to create the culture of compliance within which your team can operate your investment banking business.

Creating a Culture of Compliance

- Representative Registrations
- Representative Attestations, Disclosures, and Certifications
- Communications and Marketing Supervision
- Business and Personal Conduct Supervision
- Branch Office Supervisory Obligations and Inspections
- Sales Practice Supervision
- Client Issuer, Customer, and Investor Due Diligence
- Commission Sharing and Revenue Distribution

Let's Get Started

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