

Solicitor Affiliations

You operate an established business with a strong base of quality clientele, and you may have additional advisory agents associated with your firm— as an astute business person, you want to enjoy certain economies of scale that maximize your exposure, clientele base, and profitability. Similarly, you realize that general marketing may serve a purpose, but it doesn't necessarily generate opportunities to engage your preferred type of client.

It may be advisable to secure Solicitor Agreements with other professionals, including accountants, attorneys, CPAs, insurance agents, real estate professionals, and/or others that may deliver tangible client opportunities for your firm. These professionals typically solicit and refer qualified clients to you in exchange for some form of compensation.

Whether you are a SEC or state registered advisor, state regulations govern your agreements with, and payments to, solicitors conducting business within the state's jurisdiction. Each state has varying requirements and regulations relating to solicitors.

- NCCI can help you determine Solicitor qualifications, prepare Solicitor Agreements, client disclosure documents, and can make the necessary amendments to your Form ADV. If you choose, we can review materials already prepared.