MAKE YOUR MOVE

NATIONAL
FINANCIAL ALLIANCE

WE ARE READY

We treat every advisor as if they were part of our family, linking our success to theirs and putting their needs ahead of our own.

WHO WE ARE

Reagan Wagner
President, CEO

Robert Wagner
Founder

Joel Swinehart
Founder

Founded in 1981, in San Antonio Texas, the firm has evolved from a group of insurance and mutual fund representatives to a full service wealth management company. In 2007, Reagan Wagner, Bob Wagner and Joel Swineheart joined forces to form what is now National Financial Alliance, LLC.

NFA provides comprehensive and integrated financial services in a high-engagement, client-centric service model. We focus on long-term client relationships, employing a philosophy of planning iteration and evolution to address needs and objectives as they change over time.

The NFA advantage is a built-in system of collaboration, expertise, leverage and support. The Alliance consists of over 190 affiliates and associates, each committed to the idea that success is most readily achieved through genuine and in-depth engagement - with our clients, among our team and throughout the ongoing planning process.

WHY NFA?

- We are your advocate
- We have the size & scope to assist you in the corporate game
- We have processes in place to continue your professional growth
- We have a community of support for you
- Your voice will be heard

EXECUTIVE TEAM

Reagan Wagner

President, CEO & Managing Principal

Reagan graduated from St. Mary's University in San Antonio, Texas with a Bachelor of Science in Biology and a minor in Chemistry. In 2007, he partnered with his father, Bob Wagner, and their lifelong friend, Joel Swinehart, to create National Financial Alliance, LLC.

Reagan is also CEO and managing principal of Strategic Financial Concepts, LLC, a registered investment advisory firm, where he holds his 65 along with his Life and Health Insurance licenses. He holds his Series 7, 63 and 24 licenses with LPL Financial. Reagan's financial practice is a goals-based practice, focused on estate and wealth planning for clients with a net worth of $5 million or more.

Bob Wagner

Vice President of Insurance, Founder

Robert graduated from Texas A&I with a Bachelor's degree in Education. He then attended Our Lady of the Lake University, where he obtained a Master of Education.

Robert is a managing principal and Vice President of insurance operations at National Financial Alliance, LLC. During his 27 years in the financial services industry, his firm has achieved numerous awards. Robert focuses on the development of new advisors by leading from the front and knowing when to push from behind. He helps clients determine their financial goals and educates them on programs they can use to help pursue them.

POWERED BY THE FIVE

F'S

Faith
Family
Finance
Fitness
Fun

Kristen Wagner

COO, Partner

Kristen graduated from Southwest Texas State University in 2003 with a Bachelor of Business Administration degree in Finance, Magna Cum Laude. She holds her Life and Health Insurance license with National Financial Alliance (NFA) and her Series 65 registration with Strategic Financial Concepts, LLC (SFC). She also holds her Series 6, 7, 63, and 24 licenses with LPL Financial.

Kristen joined the firm in 2004 where she worked as an advisor. In 2007, she was named Director of Operations for Strategic Financial Concepts, LLC - our RIA firm. In 2010, she accepted the role of Chief Operating Officer where she currently oversees all four operational divisions. In 2016 Kristen became partner of NFA and SFC. Kristen is constantly providing education and knowledge to help all staff members excel within our firm. Her goal is to continue growing our NFA Wealth Management, NFA Institutional Services and Strategic Financial Concepts divisions.

CORE BELIEFS

CULTURE OF TRUST

We believe trust is the core of every successful relationship. It's been our mission for over thirty years to cultivate a climate of trust that inspires us to do our best work possible.

DOING IT RIGHT

We believe there is no more powerful motto in this business than "doing it right". This means treating others with respect, courtesy, honesty, fidelity and sincerity.

POSITION OF STRENGTH

In making financial decisions, we maintain a position of strength by proactively seeking new approaches to financial planning and investing.

ATTITUDE OF TEAMWORK

We believe everything is more productive when it is done in colaboration with other like-minded individuals. We seek to leverage expertise and resources so we can provide comprehensive and integrated strategies for our clients.

CLIENT-DRIVEN COMMITMENT

Our success is directly linked to that of our clients. We believe that we will only achieve our goals by helping others pursue theirs. Our high - engagement service model treats every client as a part of our NFA family.

PHILOSOPHY OF INDEPENDENCE

Through our independence - freedom from single sourced investment plans/options - we can provide our clients with access to a stronger, more well rounded program.

We are driven to help each advisor work toward their unique definition of financial success.

THE KEYS AVAILABLE TO YOU

National Financial Alliance

Affiliation Programing

Compliance Services

- Annual Audits & External Audits Assistance
- Document, Trade & Marketing Review
- Business Submission Review
- Office Setup & Administrative Training

Business Planning & Development

- Succession & Disaster Planning
- Mentoring/Coaching Program
- Joint Work Opportunities
- Agency/Firm Recruit
- Business Continuity Program
- Mergers & Acquisitions
- Administrative & Advisor Training
- Monthly Build Your Business Calls
- Quarterly Investment Calls
- Annual Kick-Off Conferences
- Mid-Year Business Builder Workshop

Technology & Service Options

- Redtail, Morningstar, EMoney
- Black Diamond & Administrative Services
- Financial Planning & Case Design Services

LPL Financial

Broker Dealer

- Multiple Affliation Options
    - Corporate, Hybrid & RIA
- Access to Production Based Symposiums
- Custodial Liaison
- Access to Dedicated LPL 360 Teams
- Annuity Due Diligence Trips
- Alternative Investments
- LPL Move Money

NFA Insurance

Life, Health, Disability, LTC

- Over 50 carriers in the Alliance
- Contracting and Appointment Assistance
- Underwriting and Product Support
- Carrier and Web Training
- Access to Production Based Reward Trips

Strategic Financial Concepts

Registered Investment Advisor

- Client Invoicing & Billing
- Planning & Consulting Agreements
- State Registration Assistance
- Custodial Liaison
    - LPL Financial
    - Charles Schwab
    - TD Ameritrade
- Internal Money Management
    - Dividend Income Portfolios
    - Tactical Investments
    - Retirement Income
    - Covered Call Program
- Alternative Investments
- LPL Move Money (OMP, MWP, PWP, MANS)

SYNERGY CIRCLE

* Some of the services listed above will be provided by a third party which is not affiliated with nor endorsed by LPL Financial

MULTIPLE ADVISOR COLLABORATION PROGRAM

How frequently do all of your advisors discuss your financial program together? We have designed a program that brings your CPA, attorney and other advisors to the table. Together, we discuss your financial case design. This process helps everyone working on your financial life to be on the same page so that our efforts are collaborative and cohesive.

CONSULTING SERVICES

Insurance Consulting
-Life & Health, Disability
-Long-Term Care

Business Planning

CONNECTING THE BUSINESS & PERSONAL PROGRAM

Many financial programs are fractured. There is a business plan and a personal plan, but they do not work together. Our Connecting the Business & Personal Program helps bridge the business and the personal plans together, efficiently utilizing the business to help build your personal plan in the most tax efficient and cohesive way possible. This includes business continuity and succession planning, in addition to cash flow and retirement planning.

PRIVATE CLIENT GROUP

Our Private Wealth Program was built for the person, or business, who is too busy to deal with the day-to-day aspects of their financial life. These clients are typically used to a Ritz Carlton or Disney service experience. We try to replicate that elite service model and provide concierge services for these clients. Taking our cues from a family office structure, we provide complete A-to-Z financial services as a CFO would for these members.

PLANNING SERVICES

Financial Planning
Tax Planning
Retirement Planning
College Planning
Income Planning
Social Security Planning

MANAGEMENT SERVICES

Investment Management
Family Financial Coordination
Money Management
Business Financial Coordination

ADVISOR COMPENSATION

Setup Fees

Setup fees vary depending on the complexity of each financial program.

- One time fee
- Paid prior to implementation or during the engagement process

Setup Fees are paid to Strategic Financial Concepts, LLC - our registered investment advisory firm.

Retainer

Retainer fees are ~ .2% of the Gross Estate or Gross Business Value.

- Paid quarterly in arrears (beginning the quarter after implementation and engagement begins)

Retainer fees may be drafted from investment accounts at Charles Schwab & Co., Inc. and TD Ameritrade | Retainer fees are paid to SFC.

Assets Under Management (AUM)

Management fees range from 1% to 2.5%, depending on the amount of assets being managed.

- Paid quarterly in arrears

AUM fees are automatically drafted from the investment account.

Commissions

Some parts of a client's program pay the advisor commissions. These are typically paid on brokerage and insurance products.

Clients have the right to request a waiver of commission-based products.

NFA blends the use of fee based and commission based programs to provide clients with a fair and agreeable fee solution.

Hybrid Advisors

Hybrid advisors are dually registered with registered investment advisors and broker dealers. This dual registration enables them to offer a diverse range of investment options for their clients

These fees are billed, by Hybrid advisors, to SFC. To find out if this page applies to you, call our office at 210.737.7800

National Financial Alliance offers the following programs:

- **Premier Admin Program**
- **Premier Marketing Program**
- **Premier Planning Program**

If you would like additional information on any of the above programs just ask! We are happy to provide you with the details of any program you are interested in as well as the team you would be working with. We are here to help advisors with anything they may need to better their practice and provide exceptional service to their clientele.

CHART YOUR COURSE

Focused On Your Success

At NFA, you will find fellow advisors who are more than a career path, they are on a journey. You will find a support team that is passionate, agile and engaging. You will find partners who view your success as their own success. Take the first step. Change your business today.

"Just as the Son of Man did not come to be served,
but to serve, and to give his life as a ransom for many."

Matthew 20:28

WELCOME TO THE ALLIANCE

Securities offered through LPL Financial, Member FINRA/SIPC. Investment advice offered through Strategic Financial Concepts, LLC, a registered investment advisor. Strategic Financial Concepts LLC, NFA Wealth Management, National Financial Alliance, NFA Institutional Serviced and NFA Insurance are separate entities from LPL Financial.

NFA INSTITUTIONAL SERVICES

STRATEGIC FINANCIAL CONCEPTS

NFA WEALTH MANAGEMENT

NFA INSURANCE

210.737.7800

www.tnfa.net