THERE FOR THE **ADVISORS** THERE FOR THE **JOURNEY**

SOWELL MANAGEMENT

FIELD GUIDE

to Independence

WE ARE THE BRIDGE BUILDERS

We help advisors see an independent and prosperous future and guide them through the entire journey.

THERE FOR THE
ADVISORS
THERE FOR THE
JOURNEY

Bill Sowell [bil · sAH-wehl]

noun

1. advisor, entrepreneur, founder and chief executive officer
2. pronounced like Howell or Powell or Sowell

a message from Bill Sowell

I started Sowell Management with my wife Cindy, as the destination of choice for advisors looking to partner with an RIA built specifically for independent fee-based advisors, by an independent fee-based advisor.

In fact, I was the firm's first advisor-client when I moved my personal advisory business underneath the Sowell umbrella in 2001.

Fast forward a couple of decades and Sowell Management has over $4 Billion[†] in advisor assets flowing through our platform. Not bad for a family-run RIA out of North Little Rock, Arkansas!

Our secret to success is simple— financial advisors are our clients. And if you follow our lead and focus on your clients and their needs before your own, we can help you build an advisory business that is both scalable and saleable.

Thank you for taking time to hear our story.
I can't wait to hear yours.

Bill

† $4 Billion as of Dec 2022. Regulatory assets under management (AUM) are assets where Sowell provides continuous and regular supervisory or management services to client portfolios. Assets under administration (AUA) is a measure of the total assets for which Sowell provides administrative services.

Just like True North

OUR GUIDING PRINCIPLES NEVER CHANGE

Our **High Five Core Values** are central to everything we do.

Relationships Rule
We are a family. We have each other's back.

Mindset Matters
Attitude is everything. Enthusiasm is contagious and positivity flows both ways.

Passion Prospers
We have a drive for excellence. No half-hearted efforts.

Commitments Count
We own our commitments — first time, every time.

Teamwork Triumphs
We go above and beyond. Teamwork always wins!

AT SOWELL MANAGEMENT *we love technology*

Sowell's FLEX Connect Platform is a purpose-built end-to-end solution designed to empower advisors through every stage of the wealth management life cycle: prospect and client engagement, account opening and administration, portfolio management and analytics, investment monitoring, trading and rebalancing, as well as reporting and billing.

BUT, WE ARE REALLY *all about people*

Sowell's **Advisor Services Team** surround you with supported independence. From the start, we provide a dedicated full-service **Business Transition Team** to guide and administer your transition underneath the Sowell umbrella. Our **Advisor Solutions Team** supports you in all facets of your transition & ongoing operations of your wealth management business. From our **Data & Technology Team** to our **Billing & Accounting Team** and **Compliance Team**, Sowell has experienced professionals ready to serve and support you.

"in-sourced" family office CAPABILITIES

Sowell's **Wealth Management Teams** move you from "me" to "we" and take your business from "out-sourcing" to "in-sourcing." Our **Co-Chief Investment Officers** and **Investment Management Team** can provide you with sophisticated investment support and guidance, as well as access to a curated spectrum of investment management solutions designed to meet your clients' changing needs.

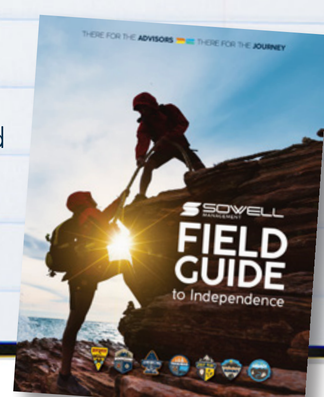
Whether you seek a straightforward financial plan, or a complex multi-generational estate plan, our **Financial and Estate Planning Team** can support you and your client's needs. And our in-house Estate Attorney is a resource that can help you every step of the way.

IN BUSINESS FOR YOURSELF *not by yourself*

Sowell's **Business Consulting Teams** can provide services and guidance to assist you in striking a balance between running a financial advisory practice and running a business. And when you are ready to discuss your legacy, Sowell has the tools and expertise to guide you through **Business Succession**, **Contingency Agreements** and **M&A**.

No matter if you are breaking away and just getting started, or if you have an established brand and want to grow, our **Marketing, Public Relations and Communications Team** has a proven process and plan to support you.

Our **Relationship Management Team** can help enhance your experience through industry best practices, networking events and access to like-minded advisors to help you find your community.



Let's get started...

Guidepost #1: Discovery

We are actively seeking advisors whose core values align with ours. We are focused on our client – you the advisor – and we expect you to be focused on your client – the investor.

Tell us about you. Our discovery approach is consultative in nature because no two advisors are alike.

Guidepost #2: Bootcamp

At Sowell, our people make the difference. Join us for our bootcamp, a high-level overview of Sowell where we show you the power of a Sowell partnership.

This is where we begin building a relationship focused on your needs and your success.

freedom: *We believe freedom comes first.*

Design your business intentionally — aligned with your vision to serve your clients independently and as a true fiduciary.

Guidepost #3: Stargazing

Whether you join as an IAR or an RIA, together we discover the possibilities of our partnership, and together we chart your course to success. We meet you where you are and take you where you want to go.

The sky's the limit.

Guidepost #4: Trailhead

Your transition is the most critical step in your journey to independence. We bring two decades of experience and our dedicated transitions team to make your move seamless.

Rest assured, we are in this together.

Guidepost #5: Rally Point

Once you are a Sowell advisor partner, we continue to rally behind you and handle all the background tasks. Our team is now your team.

Our mission is to give you back the gift of time.

growth:

We believe a growth mindset is the way.

Optimize your efforts with our people and solutions — freeing you to focus on nurturing revenue-producing relationships.

Guidepost #6: Summit

Reaching the summit means something different for everyone, with unique peaks along the way. When one goal is accomplished, we help guide you through the next.

We look forward to helping you reach new heights.

Guidepost #7: Legacy

We have experience and a proven process that can engage all legacy options: continuity, contingency, succession, and mergers and acquisitions.

With Sowell by your side, you can draw a blueprint for a legacy on your terms.

partnership:

We believe partnership is the right path.

It's our philosophy and how we do business — embracing true collaboration as the best way forward.

THE SOWELL STANDARD™

marks our position on the journey. We stand by our commitment to meet advisors where they are and take them where they want to go, through the intersection of three principles

FREEDOM · GROWTH · PARTNERSHIP

sowellmanagement.com
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