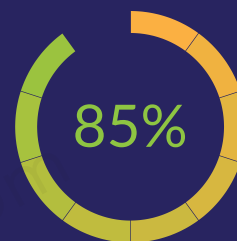


# Allen & Company of Florida

## TRUST SCORE



Allen & Company of Florida, federally registered in 2000, is a Registered Investment Advisor (RIA) in 31 state(s) with a licensed staff of 35 advisors. Allen & Company of Florida manages \$1 billion and provides investment advisory services for 4,663 clients (1:134 advisor/client ratio).

Allen & Company of Florida requires a \$25,000 minimum investment and charges a blended rate between 3.00% and 2.00% for ongoing portfolio management services, depending on the size of the portfolio.

## BENEFITS

- Firm uses a transparent fee-only model
- Firm has \$1B or more in assets under management
- Firm services over 1,000 clients
- Communications sent to the firm's website are secure and encrypted
- Firm does not have a disciplinary history
- Firm does not have any misdemeanor convictions
- Firm does not have any felony convictions
- Firm does not have an attorney conflict
- Firm does not accept performance-based fees
- Firm does not perform side-by-side management
- Firm does not privately manage or own the products they recommend

## CONSIDERATIONS

- Firm works with a lesser-known custodian
- There is only one licensed advisor for every 134 clients (industry average 1:50)
- Firm has been federally registered for only 18 years
- Firm is a broker-dealer, or is affiliated with one, and may be subject to compensation-related conflicts of interest
- Firm actively engages in insurance sales and may be incentivized to insure clients with products that generate high sales commissions when lower cost alternatives may exist

## **BENEFITS (cont.)**

Firm does not offer proprietary products

Firm does not receive soft dollar benefits

## **CONSIDERATIONS (cont.)**

Firm has previously been found guilty of a non-minor violation of a Self-Regulatory Organization's regulation