



LPL Financial Welcomes Freedom Wealth Alliance to Broker-Dealer and RIA Custodial Platform

Aug 27, 2014

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[LPL Financial LLC](#), the nation's largest independent broker/dealer*, an RIA custodian, and a wholly owned subsidiary of LPL Financial Holdings Inc. (NASDAQ: LPLA), today announced that Freedom Wealth Alliance, an independent hybrid RIA firm, has transitioned to the LPL broker-dealer and hybrid RIA custodial platform. Freedom Wealth Alliance brings a total of five financial advisors as well as additional support staff, and supports client brokerage and advisory assets of approximately \$225 million, as of August 27, 2014.

Based in Brookfield, WI, Freedom Wealth Alliance is a newly-launched independent hybrid RIA firm developed from the former Rozman Wealth Management, which was an award-winning independent financial advisory firm, founded by Kurt Rozman, a veteran advisor and portfolio manager with 23 years of industry experience. Mr. Rozman will serve as President of the new Freedom Wealth Alliance, which will be focused on attracting "overlooked" independent fee- and commission-based advisors with approximately \$50 million under management and providing them with comprehensive practice management support, including centralized back- and middle-office operations, automated and turnkey marketing systems, succession planning, and its centralized portfolio management strategy and access to the full suite of services and resources made available from LPL Financial. The new group also intends to offer a centralized portfolio management strategy that can be highly customized for each advisor's end client.

Steve Pirigyi, Executive Vice President at LPL Financial, said, "We are pleased to welcome Freedom Wealth Alliance to LPL Financial. We look forward to supporting their advisors in their exciting transformation into a full-service independent hybrid RIA advisor group. We are proud that LPL continues to be the destination of choice for independent advisor groups seeking to realize their entrepreneurial vision, and we are happy to be instrumental in empowering their advisors to pursue their independent paths in the service of helping their clients work toward their financial goals."

Mr. Rozman said, "We are very enthusiastic about transitioning to LPL. Our intention is to provide smaller independent advisor practices with all the resources and capabilities of much larger firms, while enabling them to provide their clients with the same high quality, customized personal service that was common in previous generations. Such service will be made possible today by the efficiency and scalability of LPL's modern technology and systems. In choosing LPL, we were extremely impressed by their open architecture infrastructure, their enabling mobile technology solutions and most importantly, their portfolio management tools, all of which we believe are of the highest quality available in the marketplace today and which will allow us to optimize our customer relationship and workflow management processes."

Robyn Rozman, Director of Client Relations for Freedom Wealth Alliance, said, "We think that LPL Financial will give us the best support for our business model. Our association with LPL will enable us to provide a client-centric approach, rather than a product-centric one."

In recent years, Rozman Wealth Management had received numerous industry honors, including designation as a Premier Advisor by the National Association of Board Certified Advisory Practices (NABCAP), and its advisors were repeatedly selected as Five Star Wealth Managers, an award administered by an independent program that identifies leading professionals who provide quality client service. As President of the new Freedom Wealth Alliance, Mr. Rozman will focus primarily on managing the new entity and on implementing its proprietary portfolio management strategy.

Advisors joining Freedom Wealth Alliance will be able to elect to maintain their independent practices, with their own independent branding, or to become Independent Advisor Representatives (IARs) of Freedom Wealth Alliance. The group is currently planning to expand its operations into several new locations, including Wake Forest, IL, Tampa, Naples and Sarasota, FL, and locations in Texas and Arizona.

*Based on total revenues, Financial Planning magazine, June 1996-2014

About LPL Financial

LPL Financial, a wholly owned subsidiary of LPL Financial Holdings Inc. (Nasdaq:LPLA), is a leader in the financial advice market and serves \$465 billion in retail assets. The Company provides proprietary technology, comprehensive clearing and compliance services, practice management programs and training, and independent research to more than 13,800 independent financial advisors and over 700 banks and credit unions. LPL Financial is the nation's largest independent broker-dealer since 1996 (based on total revenues, Financial Planning magazine, June 1996-2014), is one of the fastest growing RIA custodians with \$78 billion in retail assets served and acts as an independent consultant to over 40,000 retirement plans with approximately \$110 billion in retirement plan assets served. In addition, LPL Financial supports approximately 4,400 financial advisors licensed with insurance companies by providing customized clearing, advisory platforms, and technology solutions. LPL Financial and its affiliates have

3,374 employees with primary offices in Boston, Charlotte, and San Diego. For more information, please visit <http://www.lpl.com>.

Securities and advisory services offered through LPL Financial. A registered investment advisor, member FINRA/SIPC.

Additional Investment Advice offered through Freedom Wealth Alliance, a registered investment advisor and a separate entity from LPL Financial.

The Premier Advisor Award is based on an evaluation of twenty different practice categories such as assets under management, fee structure and philosophy among other factors with additional emphasis placed on risk management, financial planning, customer service, client education, experience and credentials.

The Five-Star Wealth Management Award is based on 10 objective criteria associated with providing quality services to clients such as credentials, experience, and assets under management among other factors. Wealth managers do not pay a fee to be considered or placed on the final list.

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