



LPL Financial Welcomes Horizons Financial Group

Mar 31, 2020

CHARLOTTE, N.C. – March 31, 2020 – LPL Financial LLC, a leading retail investment advisory firm and independent broker-dealer, today announced that Horizons Financial Group has joined LPL Financial’s broker-dealer and corporate registered investment advisor (RIA) platforms. The financial advisors reported having served approximately \$375 million in brokerage, advisory and retirement plan assets*. They join from Triad Advisors, part of the Advisor Group network of broker-dealers.

Horizons CEO James “Jim” Nix Jr. co-founded the Birmingham, Ala.-based company in 2006 with his longtime friend and business partner Michael Mashburn Sr., chief investment officer. They are joined by James “Jim” Carter, chief operating officer, and Andrew Dean, operations manager. The three members of the firm’s leadership team have known each other since 1986, when they all worked in the investment division of Central Bank of the South. Collectively, they have 93 years of financial services experience.

The advisors focus on values-based financial planning services. Their mission, Nix said, is to serve clients with advocacy, trust, integrity and commitment. “We are in the relationship business,” he said. “We are grounded in Christian values and consider this a ministry of service, to help our clients work toward the stress-free retirement that they want and deserve. Our commitment is to our clients and their financial well-being today, tomorrow and throughout their retirement.”

LPL Financial, the right fit

Horizons turned to LPL for its “depth and breadth of services and financial strength,” Nix said. “We were previously at a firm that was sold twice during our tenure. As a publicly traded firm, LPL Financial will provide our business and our clients with long-term stability in this ever-changing world.” Nix added that LPL has “gone the extra mile” to demonstrate that it is the right fit for their unique business.

“The team’s commitment to serving clients with values-based planning services is inspiring. With an increasing demand for financial advice, having a clear focus and mission can be a differentiator for firms in reaching target markets,” said Rich Steinmeier, LPL Financial managing director and divisional president, Business Development. “At LPL, we are committed to the success of every financial professional, team and program we serve. We provide them with the resources they need to successfully manage and grow their business, along with the financial strength and stability to be a long-term partner. We welcome the Horizons team to LPL and look forward to supporting their business for years to come.”

Read about other firms that recently joined LPL in the [LPL Financial News and Media section](#) of LPL.com.

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About LPL Financial

LPL Financial is a leader in the retail financial advice market and the nation’s largest independent broker-dealer**. We serve independent financial advisors, professionals, and financial institutions, providing them with the technology, research, clearing and compliance services, and practice management programs they need to create and grow thriving practices. LPL enables them to provide objective guidance to millions of American families seeking wealth management, retirement planning, financial planning and asset management solutions.

Securities and Advisory services offered through LPL Financial, a registered investment advisor. Member FINRA / SIPC.

Horizons Financial Group and LPL Financial are separate entities.

*Based on prior business and represents assets that would have been custodied at LPL Financial, rather than third-party custodians. Reported assets and client numbers have not been independently and fully verified by LPL Financial.

**Based on total revenues, *Financial Planning* magazine June 1996-2019