



# CONNECTING YOU TO YOUR INVESTMENTS

## YOU

Invest with confidence, knowing that multiple fiduciary entities are working toward protecting your assets

## The Rosselot Financial Group (RFG)

### Registered Representative (RR)

Provides financial guidance to their clients and is typically paid a commission when you purchase a financial product

### Investment Advisor Representative (IAR)

Provides financial guidance to their clients and is generally paid a fee for either managing assets, giving advice, or both

## Cambridge Investment Research, Inc. (CIR)

## Regulated by FINRA

### Broker-Dealer (BD)

Processes the commissionable business of the RR licensed with the firm and holds responsibility for regulatory compliance and adherence to securities laws

## Regulated by SEC

### Registered Investment Advisor (RIA)

Processes the fee-based business of IARs licensed with firm and holds responsibility for regulatory compliance and adherence to securities laws

## Custodians

The firm that custodies your investment assets.  
Common examples: Pershing LLC., Fidelity Custody & Clearing LLC., SEI Inc., and TD Ameritrade

## Your Investments

Common Examples: Mutual funds, managed accounts, ETF's, annuities, stocks, bonds, etc

As independent financial professionals, RFG works with all of the above entities sharing the fiduciary responsibility to put the best interests of the client first

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