

Frequently Asked Questions

Who can help you enter trades?

- Incapital Wholesaler: advisorsupport@insperex.com or (888) 849-5732
- Advisor Group Product Desk: AGR@Advisorgroup.com
- Fixed Income Trading : 800-282-2857 - Fast Track 33; (212) 551-5222 (Mon - Fri 9 a.m. – 5 p.m. ET)
- SIMON: hello@simonmarkets.com or (877) 31 SIMON (74666)

What happens if you make a trade error and who can help you correct the error?

- If the trade was executed, but not settled, contact the Fixed Income Desk immediately before T+3.
- If trade was entered into SIMON, but not executed:
 - If the IOI was entered, but not yet approved by the trading desk, the advisor can cancel/edit the IOI.
 - If approved by trading desk, contact the AG Product Team or SIMON to cancel the trade.

How do you determine your compensation for a trade?

- SIMON: In current offerings, click on “View Details”. Look for the rate in upper right corner.
 - Compensation = Rate X whatever your individual AG rate.
- Incapital microsite (Accessed via V2020): It will list the advisor commission rate for each trade.

What are the SIMON training requirements and how do I keep track of my progress?

- The training is mandatory and includes watching short videos and completing passing quizzes with an 80%.

Market-Linked CDs
Levels 1-3

Principal Protected Notes
Levels 1-3; Buffered Notes,
Autocalls, Point-to-Point

Non-Principal Protected Notes
All levels, excluding issuer-specific
courses in Levels 4-6

- Review your completion progress on the SIMON dashboard, Current Offerings or Learning Center.

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