

Broker-dealers vs registered investment advisors

Factors	Broker-dealers	Registered investment advisors
Client relationships	Suitability standard	Fiduciary standard
Services offered	Generally limited to buying and selling securities on their client's behalf	Offer a broader range of services, such as asset allocation, cash flow analysis, and more
Professional licenses	Series 7	Series 65
Costs involved	Lower cost	Higher cost

Broker Dealer

Ying-Ying Zheng



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