19500 Victor Parkway, Suite 550
Livonia, Michigan 48152
p (248) 824-6710

Prospective Advisor Information Request

A. Organization/Representative Information

1. Organization/Representative Name

Primary Contact:

Name

Title

Phone

Email

Primary Onboarding Contact:

Name

Title

Phone

Email

2. Does your firm currently have a formal investment process with fully documented investment policies and procedures?

☐ Yes ☐ No

Please describe

Do you do any of the following:

- Do you manage individual securities? ☐ Yes ☐ No

  If yes, please list types

- How often do you trade?
- Do you have a model(s) that you follow for each client or do you have different portfolios for each client?

  ☐ Models ☐ Different

- Do you use 3rd party money managers as a solicitor? ☐ Yes ☐ No

  If yes, please list managers

- Do you use any turnkey assent management programs (TAMP's)? ☐ Yes ☐ No

  If yes, please list Tamp(s) as well as managers used

- Do you use models in the TAMP or have different portfolios for each client? ☐ Models ☐ Different

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- Do you pay any Platform fees? ☐ Yes ☐ No

  If yes, what is cost?

- What is the typical fee range you charge a client?

Custodian Direct, TAMP and/or Solicitor	Total Assets	# Of Accounts	Average Account Size	Custodian Name	Custodian Cost
TOTAL					

B. Billing Information

Check all that apply:

1. What is your billing style? ☐ In Advance ☐ In Arrears
2. What is your billing frequency? ☐ Monthly ☐ Non-Traditional Quarterly ☐ Traditional Quarterly ☐ Semi-Annually
3. What is your billing valuation method? ☐ Period Ending ☐ Average Daily Balance
4. What are your billing fee schedules? ☐ Flat percentage ☐ Flat dollar amount ☐ Linear percentage (client is billed one rate based on total assets) ☐ Tiered percentages (client is billed multiple rates based on each tier of assets)