

# Prospective Advisor Information Request

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

## 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 asset 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
<b>TOTAL</b>					

## B. Billing Information

Check all that apply:

- What is your billing style?
  - In Advance
  - In Arrears
- What is your billing frequency?
  - Monthly
  - Non-Traditional Quarterly
  - Traditional Quarterly
  - Semi-Annually
- What is your billing valuation method?
  - Period Ending
  - Average Daily Balance
- 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)