

GETTING STARTED WITH SIMONDAVIS

- 1 Firm needs to complete a Sub-Advisory (TAM) Agreement.

This Agreement must be signed by an authorized individual of the Firm. Send the completed Agreement to kilcha@simondavisinc.com or fax to 303.860.8956.

- 2 Each Advisor needs to complete an Advisor Contact Sheet.

Send the completed sheet to kilcha@simondavisinc.com or fax to 303.860.8956.

- 3 Await approval.

SDAM Compliance department checks U-4 filings for approval.

- 4 Receive “Welcome” email.

You are now ready to do business with SDAM.

- 5 Reference “How to do Business with SimonDavis” sheet.

This will guide you step-by-step how to process and submit new business with SDAM going forward.