

HOW TO DO BUSINESS WITH SIMONDAVIS

1 Visit www.simondavisinc.com.

Our website is a great resource for you! You will find everything that you need to do business with us, as well as up-to-date marketing materials, forms and other great information. It's all just a convenient click or two away, 24/7. To navigate to Forms from the home page: click on the Institutional Advisors Button and then select the Forms, Performance & Disclosures tab.

2 Provide Client with SDAM Privacy Policy, Anti-Money Laundering Notification Disclosure and Form ADV Part 2A Brochure.

Client acknowledges receipt of these documents in Item 14 of the SDAM Discretionary (TAM) Investment Advisory Agreement (IAA).

3 Have Client complete and sign IAA.

This will be sent with the New Account Transmittal Form mentioned below. Client will indicate which Investment Strategy that they wish to invest in on Schedule A (page 9).

4 Establish an account with Charles Schwab or Fidelity Investments.

For Schwab Accounts: Make sure that your firm has a Managed Account Master. (If your firm does not, contact your Regional Sales Team for a "Managed Account Addendum.") Open a new Managed Account for your Client, list our BT Master # _____, and send to your Managed Account Service Team for processing.

For Fidelity Accounts: Open a new account for your client, list G#s: 11738077 & 13456946, and process as usual.

Liquidate all positions to cash.

5 Complete New Account Transmittal Form.

Send the completed form with the IAA to kilcha@simondavisinc.com or fax to 303.860.8956.

6 Await "New Account Established" email.

This email will confirm that the new account is established in good order, and therefore we are investing per the selected investment strategy.

7 Going forward...

...please keep us informed of any new funds coming into the account that need to be invested, address changes (for your clients or yourself), registration changes, etc. Send updates to kilcha@simondavisinc.com or fax to 303.860.8956. Thank you!