



Institutional Custodial Services Exclusively for Independent Registered Investment Advisors

MEMBER FINRA/ SIPC/REG'D MSRB

## Advisor's Choice

Advisor's Choice allows you to pay your client's transaction charges. When you submit a securities transaction on which SSG would normally charge a transaction fee, SSG waives the fee at the client account level and later posts it to your master account.

You may include client accounts in the service on a case-by-case basis by simply checking the Advisor's Choice box on our new account application. Eligible fees include transaction fees on equities, mutual funds, fixed income and options. Fees marked as "SEC fees" on liquidations of equities positions, IRA fees, short-term redemption fees on mutual funds, and other incidental fees are not included but will be charged to the client account. Fees are billed to your master account on a monthly basis. SSG provides a detailed record of the trades and charges for each period. A \$5000 deposit to your master account is required.

You must make appropriate disclosures to your clients, in your form ADV and/or advisory agreement about the terms of the service, including providing information about SSG's ordinary transaction fees, and about potential conflicts of interest that could stem from your agreement to pay SSG's fees on your client's behalf.

### Enrollment Information

Advisory Firm Name \_\_\_\_\_

SSG Advisor ID # \_\_\_\_\_ SSG Master Account # \_\_\_\_\_

Contact Name \_\_\_\_\_ Tel. # \_\_\_\_\_

Contact Email \_\_\_\_\_ Fax \_\_\_\_\_

### Agreement

The advisory firm named above has opened a SSG Master Account and has executed the Master Account Agreement. I agree to pay fees to Shareholders Service Group, Inc., as posted to the Master Account according to the prevailing Fee Schedule at the time the services are provided. I understand all fees are subject to change upon prior notice from SSG. I agree to maintain a cash deposit in my Master Account of at least \$5,000 or a sufficient amount to pay expected fees due, whichever is greater. I understand that finance charges may be levied if insufficient cash is available in my Master Account when fees are charged to my account.

I agree to explain the Advisor's Choice service to my clients and to disclose the terms of the service, including the fees charged by SSG. I further agree to disclose, in regulatory filings, brochures and/or client agreements, potential conflicts of interest that may exist as a result of using the service and paying such fees on behalf of my clients. I will make records available to my clients, if requested, showing the fees paid by my firm on their behalf.

\_\_\_\_\_  
**Authorized Signature**

\_\_\_\_\_  
**Title**

\_\_\_\_\_  
**Print Name**

\_\_\_\_\_  
**Date**

Please complete and fax or mail to the below address.



9845 Erma Road, Suite 312 San Diego, CA 92131-1084 (800) 380-7370 Fax: (858) 530-1820

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