



9845 Erma Road, Suite 312
San Diego, CA 92131-1084
(858) 530-1031 (800) 380-7370
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www.ssginstitutional.com

Fee Prep Service

SSG can calculate and prepare your management fee invoices. Using *Fee Prep*, you can be sure your invoices will be ready each quarter, saving you time and effort. You select the frequency of invoicing, the method of calculation, and the fee rate for your clients. We will calculate the fees due, send you a spreadsheet for your approval, and then prepare invoices ready for you to mail to your clients. You can also have SSG print and mail the invoices to your clients via the US Postal Service.

SSG will implement your fee preparation instructions on the schedule you and your clients have chosen. *Fee Prep* requires that you have all your client agreements already in place.

<i>Fee Prep Service Fees</i>	
Fees calculated and Invoices prepared	\$5 per account per invoice
Mailing service—Paper invoices mailed to clients	\$2 per invoice
Minimum fee per period per advisor ID #	\$100

Service Features

- Fees are calculated based on assets in the client's brokerage account. The billing process can be scheduled to occur on a quarterly or monthly cycle.
- Invoices are customized for your firm, displaying the advisory firm logo, name, address telephone number and made available in PDF format for your firm.
- Client information includes the account number, the account value, the fee rate and the period for which the fees are assessed.
- Fees are calculated at the beginning of each period, either in advance or in arrears, based on the net worth at the end of the month or quarter prior to the fee calculation.
- You select either a threshold rate calculation or a blended rate calculation.
- You may apply an overriding minimum.
- Fees may be prorated. Prorating is based on the number of days the account had assets divided by the number of days during the period.

To begin using *Fee Prep*, complete the *Fee Prep* Advisor Agreement and Set up Sheet (attached).



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Fee Prep Set up and Agreement

Set up your Periodic Fee Structure

Billing Frequency: Quarterly In Advance
 Monthly In Arrears

Calculation method: *Select one* Use Threshold Rate Use Blended Rate

Optional Mailing Service? YES NO

Minimum Overriding Fee: \$ _____

ACCOUNT VALUE AT QUARTER END	FEE RATE
\$0 TO \$ _____	_____ % (____ basis points)
\$ _____ TO \$ _____	_____ % (____ basis points)
\$ _____ TO \$ _____	_____ % (____ basis points)
\$ _____ TO \$ _____	_____ % (____ basis points)

Advisor Information

Advisory Firm Name _____

SSG Advisor ID # _____ **SSG Master Account #** _____

Contact Name _____ **Tel. #** _____

Contact Email _____ **Fax #** _____

Agreement

The advisory firm (“Advisor”) named above has opened a Shareholders Service Group (SSG) Master Account, has executed the Master Account Agreement, and wishes to use the Fee Prep Service. The Advisor is responsible for production, oversight, review, approval, and maintenance of all calculations and invoices produced. Advisor represents that: (i) it has fully disclosed its fees and billing method to its clients; (ii) that it has full client agreement and consent to charge such fees; and (iii) it has made any and all required disclosures to clients, regulatory authorities, and other interested parties regarding this Fee Prep service and the Advisor’s fee billing methods. In consideration of the services provided, Advisor agrees to pay fees to SSG according to the prevailing fee schedule which is subject to change upon written notice. Advisor will maintain a cash or money fund balance in the Master Account of at least \$1000 or sufficient to cover fees due whichever is greater. Advisor agrees to indemnify and hold harmless SSG, its agents, officers, directors and employees for the services provided. Advisor agrees to pay interest charges and/or \$35 collection fee if cash is not available to pay fees due.

Authorized Signature

Title

Print Name

Date