Advisor Managed Accounts

	Summit	Pinnacle	Apex	Crown
Description	A wrap account that offers no transaction charges on over 8,000 mutual funds (Load-Waived and N0-Load).	A pure wrap account providing complete product availability with no transaction charges.	A fee plus transaction charge that offers complete product availability at deeply discounted transaction rates with a competitive service fee.	A fee plus transaction charge account that offers complete product availability at discounted transaction rates with a minimal administrative fee.
Minimum	$50,000	$150,000	$0	$0
Annual Service Fee (bps)	$50k-$150k: 25; >$150k-$500k: 18; >$500k-$1mm: 13; >$1mm-$2mm: 10; >$2mm-$3mm: 7; $3mm->: negotiable	$150k-$500k: 36; >$500k-$1mm: 22; >$1mm-$2mm: 18; >$2mm-$3mm: 15; $3mm->: negotiable	<$150k: 15; >$150k-$500k: 10; >$500k-$1mm: 5; >$1mm-$2mm: 3; $2mm->: 3	$20
Transaction Charges – Mutual Funds	Target: $0; Non-Target: $15*; PIP/SWP: $1*	Target: $0; Non-Target: $15*; PIP/SWP: $1*	Load NAV: $34.95; No-Load: $24.95; Exch.: $24.95; PIP/SWP: $1*	Buy/Sell: $50; Exch.: $35; PIP/SWP: $1*
Transaction Charges – Equity	$19.95+ $.01/sh	$0	$24.95+ $.01/sh	See Crown Equity schedule below
Transaction Charges – Fixed Income	$45	$0	$45	See Crown Fixed Income schedule below
Transaction Charges – UITs	$45	$0	$45	$45
Transaction Charges – Options	$24.95+ $2/contract	$24.95+ $2/contract*	$29.95+ $2/contract	$34.95 + $2/contract
Transaction Charges – LPs	$50	$50	$50	$50

Crown – Equity

< $2.5k	$2.5- <$5k	$5- <$25k	$25- <$50k	$50- <$500k	$500k- >
$23+ 1.6%	$45+ .6%	$62+ .3%	$80+ .2%	$141+ .1%	$190+ .085%

Crown – Fixed Income

	< $50k	$50- <$250k	$250- <$500k	$500k >
<1yr	$45	$45	$45	$45
1 - <5yr	$45+ .14%	$45+ .11%	$45+ .075%	$45+ .040%
5 - <10yr	$45+ .2%	$45+ .15%	$45+ .095%	$45+ .045%
10+yr	$45+ .225%	$45+ .17%	$45+ .12%	$45+ .050%

Footnotes:

* Charged to the advisors

Apex and Crown have a $4.50 postage & handling fee per transaction. This fee is charged to the client.

The greater of the service fee bps schedule listed above or the following minimum annual service fees applies: Summit- $125.00; Pinnacle - $540.00; Apex - $75.00; Crown - $20.00

In Pinnacle accounts trading limitations on equities, fixed income and UITs apply.

For more information contact Michael Bryan, Vice President– Director of Advisory Services

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Triad Advisors

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What documents are required to open a fee-based account?

Retirement Fee-Based Accounts

- Investment Advisory Agreement (Select Crown, Summit, Apex or Pinnacle)
- Financial Advisory Services Fee Request Form
- Premiere Select IRA Application or Keogh, Simple IRA, IRA-BDA, etc.
- Transfer of Assets Form and a current financial statement (if applicable)

Non-Retirement Fee-Based Accounts

- Investment Advisory Agreement (Select Crown, Summit, Apex or Pinnacle)
- Brokerage Account Application
- Transfer of Assets Form and a current financial statement (if applicable)

To open a fee-based account, you must have your RIA/IAR or be appointed through Triad's RIA.

A Limited Trading Authorization form is required for limited discretion (available only to advisors using their own RIA).

Please note, additional documentation may be required for certain account registrations.

Please reference the Triad INFO site for details on account opening instructions,
or contact Triad's Operations Department at 888-713-6445.

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