ERISA Section 408(b)(2) Fee Disclosure Form

The following template can serve as a disclosure document for use in complying with the disclosure requirements of Section 408(b)(2).

The ADV Part 2A Brochure is the primary disclosure document of a registered investment adviser. Every service that an adviser will provide must be covered by an agreement. The agreement must disclose the nature of the services being provided and if applicable, whether services will be provided on a discretionary or non-discretionary basis.

The agreement must disclose how fees are calculated, when fees are payable, (in advance or arrears, on a quarterly or monthly basis,) and how clients may get a refund if the agreement is terminated prior to completion of the services or its expiration date. An agreement or the Part 2A should contain most or all of the required disclosure information.

Cut and paste the following information from your ADV Part 2A Brochure and/or service agreement. Exact amounts or an estimate of the indirect fees and other compensation should also be provided, (either a dollar amount or percentage).

Description of Services

(ADV Part 2A, Item 4 Advisory Business)

NAME is providing services as a registered investment adviser.

Direct Compensation

(ADV Part 2A, Item 5 Fees and Compensation)

Indirect Compensation

(ADV Part 2A, Item 5, Fees and Compensation – Receipt of Additional Compensation)

(ADV Part 2A, Item 6, Performance-Based Fees and Side-By-Side Management)

(ADV Part 2A, Item 10 – Other Financial Industry Activities and Affiliations)

(ADV Part 2A, Item 11, Code of Ethics, Participation or Interest in Client Transactions and Personal Trading)

Other Compensation

Item 12 – Brokerage Practices
  Item 12.A – Factors in Selecting or Recommending Broker-Dealers
  Item 12.A2 – Brokerage for Client Referrals
  Item 12.A3 – Directed Brokerage
Item 14 – Client Referrals and Other Compensation

**Prepaid Fees Upon Termination**

(ADV Part 2A, Item 5 Fees and Compensation)

**Other Potential Conflicts of Interest**

(ADV Part 2A, Item 10 – Other Financial Industry Activities and Affiliations)