



Global Investment Advisory, LLC RIA Supplementary Documents

Investor Profile
Account Form
Client Advisory Services
Agreement Exhibit A Fee Sheet

Global Investment Advisory, LLC
1600 Pennsylvania Ave, McDonough, GA 30253
Phone: 678.583.1120 Fax: 678.583.1258

PURPOSE <input type="checkbox"/> New Client <input type="checkbox"/> Update Existing Client	REP ID	REP FIRST NAME	REP LAST NAME
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ABOUT THIS APPLICATION

This is an application. Please read it carefully, as you will be agreeing to certain provisions that will govern our relationship. When we accept it, this application and all accompanying or supplemental documents with us and any product or service provider(s) form the entire Agreement between us for this/these account(s).

Getting Started: Please read, complete, and sign the below Client Profile and any required supplemental forms identified through the application process. For a **New Client Profile**, please **complete the entire application**. To **update** a Profile, **always complete the Primary and any Secondary Owners name(s) and social security number(s) and sign and date the form**. Otherwise, **only complete the information that has changed**. To complete this application, you will need some or all of the following information: government issued identification, social security number, financial information.

The information below helps us comply with various securities regulations and rules. The information also helps us more fully understand your investment profile and identify what types of investments or strategies may be appropriate for you. Our regulators and the Custodian **require** us to obtain suitability information. Please note: if we cannot verify the information you provide, your account may be restricted or denied by law.

Please remember to notify us if you experience a significant life change, such as the birth of a child, marriage, divorce, death of a spouse, loss of a job, change in financial situation, etc. Thank you for choosing **Global Investment Advisory, LLC** as your registered investment advisor. We are here to serve you and please don't hesitate to contact us at any time about your account(s).

1A: PRIMARY CLIENT

FIRST NAME		MIDDLE INITIAL		LAST NAME	
SSN	BIRTHDATE	GENDER <input type="checkbox"/> M <input type="checkbox"/> F	MARITAL STATUS <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed		NO. OF DEPENDENTS
NATIONALITY <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> Permanent Resident <input type="checkbox"/> Non-U.S. Citizen			COUNTRY OF CITIZENSHIP		
IDENTIFICATION TYPE <input type="checkbox"/> Driver's License <input type="checkbox"/> Passport <input type="checkbox"/> State ID <input type="checkbox"/> Other Gov Issued ID <input type="checkbox"/> Other		ID NUMBER	ID ISSUED ON	ID EXPIRES ON	STATE/COUNTRY
PRIMARY PHONE	SECONDARY PHONE		EMAIL ADDRESS		
HOME STREET ADDRESS (NO P.O. BOXES)					
HOME CITY		HOME STATE		HOME ZIP	
MAILING STREET ADDRESS (IF DIFFERENT FROM HOME ADDRESS ABOVE)					
MAILING CITY		MAILING STATE		MAILING ZIP	
EMPLOYMENT STATUS <input type="checkbox"/> Employed <input type="checkbox"/> Self-Employed <input type="checkbox"/> Retired <input type="checkbox"/> Unemployed <input type="checkbox"/> Homemaker <input type="checkbox"/> Student					
POSITION OR OCCUPATION	EMPLOYER (SOURCE OF REVENUE)	YEARS WITH CURRENT EMPLOYER	YEARS IN THIS OCCUPATION		
EMPLOYER STREET ADDRESS					
EMPLOYER CITY		EMPLOYER STATE		EMPLOYER ZIP	

1B: INCOME AND EXPENSES

ESTIMATED ANNUAL INCOME	ESTIMATED ANNUAL EXPENSES	ESTIMATED NET WORTH (EXCLUDING RESIDENCE)	ESTIMATED LIQUID NET WORTH	FEDERAL TAX BRACKET
<input type="checkbox"/> \$0 - \$25,000 <input type="checkbox"/> \$25,001 - \$50,000 <input type="checkbox"/> \$50,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$250,000 <input type="checkbox"/> \$250,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$3,000,000 <input type="checkbox"/> \$3,000,000 or above Count all income sources including employment, alimony, social security, investments, etc.	<input type="checkbox"/> \$0 - \$25,000 <input type="checkbox"/> \$25,001 - \$50,000 <input type="checkbox"/> \$50,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$250,000 <input type="checkbox"/> \$250,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$3,000,000 <input type="checkbox"/> \$3,000,000 or above Includes mortgage, rent, credit cards, utilities, alimony, child support, loans, etc.	<input type="checkbox"/> \$0 - \$25,000 <input type="checkbox"/> \$25,001 - \$50,000 <input type="checkbox"/> \$50,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$250,000 <input type="checkbox"/> \$250,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$3,000,000 <input type="checkbox"/> \$3,000,000 or above Total of assets minus expenses. Assets include stocks, bonds, bank accounts, non-residence property, etc. Do not include primary residence or mortgage.	<input type="checkbox"/> \$0 - \$25,000 <input type="checkbox"/> \$25,001 - \$50,000 <input type="checkbox"/> \$50,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$250,000 <input type="checkbox"/> \$250,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$3,000,000 <input type="checkbox"/> \$3,000,000 or above Total of net worth minus assets that cannot be easily converted to cash. Includes real estate, personal property, assets subject to penalties if sold, etc.	<input type="checkbox"/> 10% <input type="checkbox"/> 12% <input type="checkbox"/> 22% <input type="checkbox"/> 24% <input type="checkbox"/> 32% <input type="checkbox"/> 35% <input type="checkbox"/> 37%

1C: INVESTMENT EXPERIENCE

INVESTMENT	YEARS EXPERIENCE					TRANSACTIONS PER YEAR (Exclude Automatic Investments)		
Mutual Funds / ETFs	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> 6-10	<input type="checkbox"/> 11-20	<input type="checkbox"/> Over 20	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Stocks	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> 6-10	<input type="checkbox"/> 11-20	<input type="checkbox"/> Over 20	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Bonds	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> 6-10	<input type="checkbox"/> 11-20	<input type="checkbox"/> Over 20	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Options	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> 6-10	<input type="checkbox"/> 11-20	<input type="checkbox"/> Over 20	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Futures	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> 6-10	<input type="checkbox"/> 11-20	<input type="checkbox"/> Over 20	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Annuities	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> 6-10	<input type="checkbox"/> 11-20	<input type="checkbox"/> Over 20	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Alternatives	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> 6-10	<input type="checkbox"/> 11-20	<input type="checkbox"/> Over 20	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Margin	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> 6-10	<input type="checkbox"/> 11-20	<input type="checkbox"/> Over 20	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15

2A: JOINT CLIENT

JOINT OWNER TYPE <input type="checkbox"/> Joint Owner <input type="checkbox"/> Guardian <input type="checkbox"/> Custodian <input type="checkbox"/> Conservatorship				RELATIONSHIP TO PRIMARY CLIENT			
FIRST NAME		MIDDLE INITIAL		LAST NAME			
SSN	BIRTHDATE	GENDER <input type="checkbox"/> M <input type="checkbox"/> F	MARITAL STATUS <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed		NO. OF DEPENDENTS		
NATIONALITY <input type="checkbox"/> U.S. Citizen <input type="checkbox"/> Permanent Resident <input type="checkbox"/> Non-U.S. Citizen			COUNTRY OF CITIZENSHIP				
IDENTIFICATION TYPE <input type="checkbox"/> Driver's License <input type="checkbox"/> Passport <input type="checkbox"/> State ID <input type="checkbox"/> Other Gov Issued ID <input type="checkbox"/> Other			ID NUMBER	ID ISSUED ON	ID EXPIRES ON		
PRIMARY PHONE		SECONDARY PHONE		EMAIL ADDRESS			
HOME STREET ADDRESS (IF DIFFERENT FROM PRIMARY ACCOUNT OWNER – NO P.O. BOXES)							
HOME CITY		HOME STATE		HOME ZIP			
MAILING STREET ADDRESS (IF DIFFERENT FROM HOME ADDRESS ABOVE)							
MAILING CITY		MAILING STATE		MAILING ZIP			

EMPLOYMENT STATUS <input type="checkbox"/> Employed <input type="checkbox"/> Self-Employed <input type="checkbox"/> Retired <input type="checkbox"/> Unemployed <input type="checkbox"/> Homemaker <input type="checkbox"/> Student			
POSITION OR OCCUPATION	EMPLOYER (SOURCE OF REVENUE)	YEARS WITH CURRENT EMPLOYER	YEARS IN THIS OCCUPATION
EMPLOYER STREET ADDRESS			
EMPLOYER CITY	EMPLOYER STATE	EMPLOYER ZIP	

2B: INCOME AND EXPENSES (JOINT CLIENT)

CALCULATE PRIMARY AND JOINT CLIENT TOGETHER OR SEPARATE

Use the income and expenses from the primary client as the combined income and expenses – skip this section if this is checked

ESTIMATED ANNUAL INCOME	ESTIMATED ANNUAL EXPENSES	ESTIMATED NET WORTH (EXCLUDING RESIDENCE)	ESTIMATED LIQUID NET WORTH	FEDERAL TAX BRACKET
<input type="checkbox"/> \$0 - \$25,000 <input type="checkbox"/> \$25,001 - \$50,000 <input type="checkbox"/> \$50,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$250,000 <input type="checkbox"/> \$250,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$3,000,000 <input type="checkbox"/> \$3,000,000 or above Count all income sources including employment, alimony, social security, investments, etc.	<input type="checkbox"/> \$0 - \$25,000 <input type="checkbox"/> \$25,001 - \$50,000 <input type="checkbox"/> \$50,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$250,000 <input type="checkbox"/> \$250,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$3,000,000 <input type="checkbox"/> \$3,000,000 or above Includes mortgage, rent, credit cards, utilities, alimony, child support, loans, etc.	<input type="checkbox"/> \$0 - \$25,000 <input type="checkbox"/> \$25,001 - \$50,000 <input type="checkbox"/> \$50,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$250,000 <input type="checkbox"/> \$250,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$3,000,000 <input type="checkbox"/> \$3,000,000 or above Total of assets minus expenses. Assets include stocks, bonds, bank accounts, non-residence property, etc. Do not include primary residence or mortgage.	<input type="checkbox"/> \$0 - \$25,000 <input type="checkbox"/> \$25,001 - \$50,000 <input type="checkbox"/> \$50,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$250,000 <input type="checkbox"/> \$250,001 - \$500,000 <input type="checkbox"/> \$500,001 - \$1,000,000 <input type="checkbox"/> \$1,000,001 - \$3,000,000 <input type="checkbox"/> \$3,000,000 or above Total of net worth minus assets that cannot be easily converted to cash. Includes real estate, personal property, assets subject to penalties if sold, etc.	<input type="checkbox"/> 10% <input type="checkbox"/> 12% <input type="checkbox"/> 22% <input type="checkbox"/> 24% <input type="checkbox"/> 32% <input type="checkbox"/> 35% <input type="checkbox"/> 37%

2C: INVESTMENT EXPERIENCE (JOINT CLIENT)

CALCULATE PRIMARY AND JOINT CLIENT TOGETHER OR SEPARATE

Use the investment experience from the primary client as the combined investment experience – skip this section if this is checked

INVESTMENT	YEARS EXPERIENCE					TRANSACTIONS PER YEAR (Exclude Automatic Investments)		
Mutual Funds / ETFs	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> 6-10	<input type="checkbox"/> 11-20	<input type="checkbox"/> Over 20	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Stocks	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> 6-10	<input type="checkbox"/> 11-20	<input type="checkbox"/> Over 20	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Bonds	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> 6-10	<input type="checkbox"/> 11-20	<input type="checkbox"/> Over 20	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Options	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> 6-10	<input type="checkbox"/> 11-20	<input type="checkbox"/> Over 20	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Futures	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> 6-10	<input type="checkbox"/> 11-20	<input type="checkbox"/> Over 20	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Annuities	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> 6-10	<input type="checkbox"/> 11-20	<input type="checkbox"/> Over 20	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Alternatives	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> 6-10	<input type="checkbox"/> 11-20	<input type="checkbox"/> Over 20	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15
Margin	<input type="checkbox"/> 0	<input type="checkbox"/> 1-5	<input type="checkbox"/> 6-10	<input type="checkbox"/> 11-20	<input type="checkbox"/> Over 20	<input type="checkbox"/> 0-5	<input type="checkbox"/> 6-15	<input type="checkbox"/> Over 15

3: RISK TOLERANCE

INVESTING INVOLVES RISK: Different investment products and strategies involve different degrees of risk. The higher the expected returns of a product or strategy, the greater the risk that you could lose most of your investment. Investments should be chosen based on your objectives, timeframe, and tolerance for market fluctuations. Select the degree of risk you (and any joint applicants, if applicable) are willing to take with your assets.

- CONSERVATIVE:** I/we want to preserve the initial principal in this account, with minimal risk, even if that means this account does not generate significant income or returns and may not keep pace with inflation.
- MODERATELY CONSERVATIVE:** I/we willing to accept low risk to the initial principal, including low volatility, to seek a modest level of portfolio return.
- MODERATE:** I/we am willing to accept some risk to my initial principal and tolerate some volatility to seek higher returns, and understand I could lose a portion of the money invested.
- MODERATELY AGGRESSIVE:** I/we am willing to accept high risk to my initial principal, including high volatility, to seek high returns over time, and understand I could lose a substantial amount of the money invested.
- SIGNIFICANT RISK:** I/we am willing to accept maximum risk to my initial principal to aggressively seek maximum returns, and understand I could lose most, or all, of the money invested.

4: ADDITIONAL REQUIRED INFORMATION

PUBLICLY TRADED BOARD MEMBER

Are you, your spouse, or any immediate family member living in your household (including parents, in- laws, siblings, and dependents) a member of the board of directors, 10% shareholder, or policy-making officer of a publicly traded company. If yes, please specify the company name, ticker symbol, address, city, and state.

Primary Client Joint Client Neither Primary nor Joint

COMPANY NAME		COMPANY SYMBOL
COMPANY STREET	COMPANY CITY	COMPANY STATE

FINANCIAL SERVICES ASSOCIATION

Are you, your spouse, or any immediate family member living in your household (including parents, in- laws, siblings, and dependents) employed by, or associated with a broker-dealer firm, a financial services regulator, securities, exchange, or member of a securities exchange. If yes, provide the entity name and relationship.

Primary Client Joint Client Neither Primary nor Joint

ENTITY NAME	RELATIONSHIP
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MILITARY OR POLITICAL OFFICIAL PERSON ASSOCIATION

Are you associated with a senior military, government, or political official in a non-U.S. Territory/country? If any is Yes – Provide the Country/Person/Their Position

Primary Client Joint Client Neither Primary nor Joint

MILITARY / POLITICAL PERSON COUNTRY	MILITARY / POLITICAL PERSON	MILITARY / POLITICAL PERSON POSITION
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5: OTHER INVESTMENTS HELD OUTSIDE OF THIS FIRM

INVESTMENT TYPE/DESCRIPTION	FIRM HOLDING THE INVESTMENT	AMOUNT
		\$
		\$
		\$
		\$
		\$
		\$
		\$

6: TRUSTED CONTACT

By choosing to provide information about a trusted contact person, you authorize us to contact the trusted contact person listed below and disclose information about your account to that person in the following circumstances: to address possible financial exploitation, to confirm the specifics of your current contact information, health status, or the identity of any legal guardian, executor, trustee or holder of a power of attorney.

OPTIONAL – WITHDRAW AT ANY TIME IN WRITING

I/We do not wish to provide a trusted contact – skip this section if this is checked

FIRST NAME		MIDDLE INITIAL	LAST NAME
RELATIONSHIP	PRIMARY PHONE	EMAIL ADDRESS	
MAILING STREET ADDRESS			
MAILING CITY	MAILING STATE	MAILING ZIP	

7: ELECTRONIC SIGNATURE AND ELECTRONIC DELIVERY AGREEMENT

The parties agree that this agreement, and all subsequent documents, may be electronically signed. By consenting you are agreeing not to receive paper copies of documents by mail, that you have an email account, and that you have a computer with an internet browser able to run Adobe Acrobat Reader. A free version of Adobe Acrobat Reader is available at www.adobe.com. Upon our receipt of this Consent signed by you, electronic delivery will begin and will remain in effect unless revoked by Firm or by you. If we are unable to notify you electronically, we may, at our sole and absolute discretion, discontinue electronic delivery and send all future account documents in paper form. You understand that electronic delivery will expose the documents to the normal risks associated with viewing information via the internet. If your email address changes, you agree to provide Firm with the new information. You may revoke your consent to electronic delivery at any time by calling us at 770-400-9862, or by writing to us at our address. Your revocation is only effective after we receive and process your request. If you revoke your consent to electronic delivery, you will receive future documents in paper form sent to the address indicated for your account.

PRIMARY CLIENT INITIALS	JOINT CLIENT INITIALS
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8: SIGNATURES

Form ADV PART 3, ADV PART 2A, ADV PART 2B (THE PERSONAL SUPPLEMENT), AND PRIVACY POLICY WERE PROVIDED as indicated.

DATE PROVIDED	DELIVERY METHOD <input type="checkbox"/> Hand Delivered <input type="checkbox"/> Emailed <input type="checkbox"/> Mailed
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To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify and record information that identifies each person who opens an account. What this means for you: when you open an account, we ask for your name, address, date of birth, and other information which will allow us to identify you. We will ask for a copy of your driver's license or other identify documents.

By signing below, You certify under penalty of perjury that: 1) the taxpayer identification number(s) provided above are correct; 2) the IRS has never notified you that you are subject to backup withholding as a result of a failure to report interest or dividends, or if you have been so notified, the IRS has notified you that you are no longer subject to backup withholding; and 3) you are a U.S. person (including a U.S. resident). Or

I/We am/are subject to backup withholding (if applicable, check this box) Exempt (if applicable, check this box)

The undersigned has/have carefully read the Investment Advisory Services Agreement, which sets forth a pre-dispute arbitration clause, agree(s) to all terms and conditions contained herein, and acknowledges receipt of a copy of this form.

PRIMARY FULL NAME	PRIMARY SIGNATURE	DATE
JOINT FULL NAME	JOINT SIGNATURE	DATE
INVESTMENT ADVISOR REPRESENTATIVE FULL NAME	INVESTMENT ADVISOR REPRESENTATIVE SIGNATURE	DATE
FIRM PRINCIPAL FULL NAME	FIRM PRINCIPAL SIGNATURE	DATE

FOR INVESTMENT ADVISER REPRESENTATIVE USE ONLY

HOW WAS CLIENT INTRODUCED TO YOU
 Known Call in Solicitation Prospecting
 Seminar Walk In Advertising Referral

HOW LONG HAVE YOU KNOW THE CLIENT

NOTES

ABOUT THIS AGREEMENT

Please read this agreement carefully, as you will be agreeing to certain provisions that will govern our relationship. When we accept it, this Agreement and all accompanying or supplemental documents with us and any product or service provider(s) form the entire Agreement between us.

Getting Started: Please read, complete, and sign the entire agreement and any required supplemental forms identified through the application process. The information below helps us comply with various securities regulations and rules and helps us more fully understand this account's investment profile and identify what types of investments or strategies may be appropriate for you. Please note: if we cannot verify the name, social security number and date of birth you provided, your account may be restricted or denied by law.

Please remember to notify us if you experience a significant life change, such as the birth of a child, marriage, divorce, death of a spouse, loss of a job, change in financial situation, etc.

PURPOSE <input type="checkbox"/> New Account <input type="checkbox"/> Update Existing Account _____	REP ID	REP FIRST NAME	REP LAST NAME

1: ACCOUNT TYPES

- Individual Joint Tenants with Right of Survivorship Tenants in Common Tenants by Entirety Community Property
 IRA (Traditional) IRA (Rollover) IRA (ROTH) IRA (SEP) IRA (SIMPLE) 401(k)
 529 UGMA UTMA OTHER

2A: PRIMARY ACCOUNT OWNER

FIRST NAME	MIDDLE INITIAL	LAST NAME	SSN	BIRTHDATE

2B: JOINT ACCOUNT OWNER (OPTIONAL)

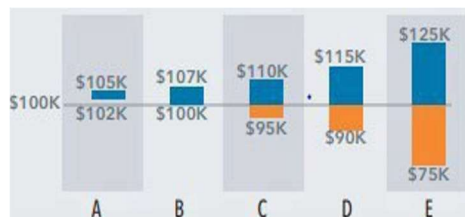
FIRST NAME	MIDDLE INITIAL	LAST NAME	SSN	BIRTHDATE

- Joint Owner Custodian Guardian Conservator Other: _____

2: RISK TOLERANCE QUESTIONS

- I am using Riskalyze or another other pre-approved risk rating tool and will skip sections 2.1 through 2.5 below and will attach those results.

2.1: This graph shows the potential range of gains or losses of a \$100,000 investment in each of five hypothetical portfolios at the end of a 1-year period. The number above each bar shows the best potential gain for that portfolio, while the number below each bar shows the worst potential loss. Given that this is the only information that you have on these five hypothetical portfolios, in which one would you choose to invest?



<input type="checkbox"/> Portfolio A <input type="checkbox"/> Portfolio B <input type="checkbox"/> Portfolio C <input type="checkbox"/> Portfolio D <input type="checkbox"/> Portfolio E	[1 Point] [2] [3] [4] [5]
2.2: Inflation (rising prices for goods and services) can have a significant effect on your investments by decreasing their potential purchasing power over time. Aggressive investments have historically outpaced inflation over the long run but have had more instances of short-term losses than more conservative investments. How do you feel about inflation and its impact on your investments?	
<input type="checkbox"/> You are satisfied with your investments keeping pace with inflation. Limiting short-term loss is your main goal, and you are willing to sacrifice the potential for higher returns.	[0 Points]
<input type="checkbox"/> You prefer that your investments outperform inflation. You are willing to assume a greater likelihood of short-term losses to potentially achieve that goal.	[4]
<input type="checkbox"/> You would like your investments to outpace inflation. You are willing to assume short-term losses to potentially achieve that goal.	[6]
2.3: Suppose that a substantial portion of your investment portfolio is invested in stocks. If the stock market were to experience a prolonged down market, losing 50 percent of its value over a 3-year period, what would you do (assuming your stocks behaved in a similar fashion)?	
<input type="checkbox"/> Sell all the stocks in your portfolio. You are afraid that the stock market is in a downturn, and you can't afford the decrease in value.	[0 Points]
<input type="checkbox"/> Sell half the stocks in your portfolio. You think that the market may rebound but aren't willing to leave all your portfolio exposed to further loss.	[4]
<input type="checkbox"/> Hold the stocks in your portfolio. While your portfolio may be subject to short-term price swings you are comfortable weathering the storm.	[6]
<input type="checkbox"/> Buy more stocks for your portfolio to take advantage of their low price. You are comfortable with market fluctuations and believe that the stocks will eventually regain their previous value or even increase in value.	[9]
2.4: Once again, assume you have a substantial portion of your investment portfolio in stocks. If the stock market were to gradually decline at an average of 2 percent per month, eventually losing 24% of its value over a year, which of the following would you do?	
<input type="checkbox"/> Sell the stocks in your portfolio and realize the 24% loss. You wish to avoid the risk of further loss.	[0 Points]
<input type="checkbox"/> Sell half of the stocks in your portfolio. You are not willing to leave all your investment at risk for further loss.	[4]
<input type="checkbox"/> Do nothing. You are comfortable waiting for the stocks to potentially regain their previous value or even increase in value.	[6]
<input type="checkbox"/> Buy more now because stocks are selling for approximately 24% less than they were 12 months ago. You believe that the stocks will eventually regain their value or possibly appreciate even higher over the long-term.	[9]
2.5: Aggressive investments have historically provided higher returns while exhibiting greater short-term price fluctuations and potential for loss. How do you feel about fluctuations in the value of your portfolio?	
<input type="checkbox"/> You want to minimize the possibility of loss in the value of your portfolio. You understand that you may be sacrificing higher long-term returns by holding investments that reduce the potential for short-term loss and price fluctuations.	[2 Points]
<input type="checkbox"/> You can tolerate moderate losses to potentially achieve favorable returns.	[6]
<input type="checkbox"/> You can tolerate the risk of large losses in your portfolio to increase the potential of achieving high returns over time.	[9]
2.6: This account represents approximately this much of my financial portfolio:	
<input type="checkbox"/> Less than 1/3	[9 Points]
<input type="checkbox"/> Between 1/3 and 2/3's	[4]
<input type="checkbox"/> More than 2/3's	[2]
2.7: My liquidity needs for this account are:	
<input type="checkbox"/> Very Important	[0 Points]
<input type="checkbox"/> Important	[1]
<input type="checkbox"/> Somewhat Important	[2]
<input type="checkbox"/> Not Important	[4]
2.8: My time horizon of expected period of time I plan to invest to seek to achieve my financial goals is:	
<input type="checkbox"/> Under 1 year	[0 Points]
<input type="checkbox"/> 1 to 2 years	[3]
<input type="checkbox"/> 2 to 5 years	[5]
<input type="checkbox"/> 5 to 10 years	[8]
<input type="checkbox"/> 10 to 20 years	[12]
<input type="checkbox"/> Over 20 years	[15]

RESULTS: Each of your selections above are assigned point values displayed to the right of your choice. Total the point values and enter the results below. Select the RISK LEVEL GROUP that matches your points total range. Note that this is only a guide designed to help you reflect on your feelings about risk. There are many other factors to consider when making portfolio decisions.

TOTAL POINTS

RISK LEVEL GROUP

- Conservative [5-15] Moderately Conservative [16-29] Moderate [30-49] Moderately Aggressive [50-55] Significant Risk [56-66]

3: RISK TOLERANCE

INVESTING INVOLVES RISK: Different investment products and strategies involve different degrees of risk. The higher the expected returns of a product or strategy, the greater the risk that you could lose most of your investment. Investments should be chosen based on your objectives, timeframe, and tolerance for market fluctuations. Select the degree of risk you (and any joint applicants, if applicable) are willing to take for this account.

- CONSERVATIVE:** I/we want to preserve the initial principal in this account, with minimal risk, even if that means this account does not generate significant income or returns and may not keep pace with inflation.
- MODERATELY CONSERVATIVE:** I/we willing to accept low risk to the initial principal, including low volatility, to seek a modest level of portfolio return.
- MODERATE:** I/we am willing to accept some risk to my initial principal and tolerate some volatility to seek higher returns, and understand I could lose a portion of the money invested.
- MODERATELY AGGRESSIVE:** I/we am willing to accept high risk to my initial principal, including high volatility, to seek high returns over time, and understand I could lose a substantial amount of the money invested.
- SIGNIFICANT RISK:** I/we am willing to accept maximum risk to my initial principal to aggressively seek maximum returns, and understand I could lose most, or all, of the money invested.

4: INVESTMENT OBJECTIVES

I plan on using this account to fund the following. Check all that apply.

- | | | |
|---|---|--|
| <input type="checkbox"/> Generate income for current or future expenses | <input type="checkbox"/> Partially fund my retirement | <input type="checkbox"/> Wholly fund my retirement |
| <input type="checkbox"/> Steadily accumulate wealth over the long term | <input type="checkbox"/> Preserve wealth and pass it on to my heirs | <input type="checkbox"/> Pay for education |
| <input type="checkbox"/> Pay for a house | <input type="checkbox"/> Market speculation | <input type="checkbox"/> Pay for a house |
| <input type="checkbox"/> Other _____ | | |

5: FUNDING SOURCE

Where will the money going into this account come from? Check all that apply.

- Income Savings Social Security Gift Inheritance Retirement Account (Pension, 401k, IRA, etc.)
 Sale of Business Sale of Property Line of Credit Reverse Mortgage
 Other _____

6: DECISION MAKING

How do you like to make decisions on your account? Check all that apply.

- I/we consult with my broker, investment adviser, CPA, or other financial professional.
 I generally make my own decisions or consult with my co-applicant.
 I/we generally make or discuss my investment decisions with family or friends and/or online sources.

EXISTING CUSTODIAN

NEW CUSTODIAN

EXISTING ACCOUNT

Brokerage Direct Mutual Fund/529 Plan Annuity

Other: _____

NEW ACCOUNT

Brokerage Direct Mutual Fund/529 Plan Annuity

Other: _____

7: SIGNATURES

By signing this document, you affirm that you have received, read, and agree to this document and any supplemental documents governing this relationship. You affirm that the information you have provided is accurate and you agree to notify us of any changes in the information provided. Additionally, you agree to the terms specified in Additional Terms section of this document.

The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

TAX WITHHOLDING CERTIFICATIONS

U.S. Person: Under penalty of perjury, I certify that: (1) I am a U.S. citizen, U.S. resident alien or other U.S. person, and the Social Security Number or Taxpayer Identification Number provided in this Application is correct (or I am waiting for a number to be issued to me).

Primary Investor Joint Investor

Certification Instructions: You must check this box if you cannot certify to item (2) above, meaning that you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return.

Primary Investor Joint Investor

Non-Resident Alien: I certify that I am not a U.S. citizen, U.S. resident alien, or other U.S. person for U.S. tax purposes, and I am submitting the applicable Form W-8 with this form to certify my foreign status and, if applicable, claim tax treaty benefits.

Primary Investor Joint Investor

PRIMARY OWNER FULL NAME

PRIMARY OWNER SIGNATURE

DATE

JOINT OWNER FULL NAME

JOINT OWNER SIGNATURE

DATE

INVESTMENT ADVISOR REPRESENTATIVE FULL NAME

INVESTMENT ADVISOR REPRESENTATIVE SIGNATURE

DATE

FIRM PRINCIPAL FULL NAME

FIRM PRINCIPAL SIGNATURE

DATE

8: ADDITIONAL TERMS

Firm is a Registered Investment Advisory firm.

The undersigned have carefully read the Investor Profile and Investment Advisory Services Agreement, which sets forth a pre-dispute arbitration clause, agree to all terms and conditions contained herein, and acknowledges receipt of those documents and this form.

JOINT OWNERSHIP

Should you be a party on a JOINT TENANTS account, you agree that liability shall be joint and several on said account and that all activities including, but not limited to, confirmations, orders, demands, instructions, notices, payments and deliveries between Firm and any one of the joint tenants shall be binding on all account owners.

CUSTODY

Firm does not custody any of your assets or accounts. The custodian broker-dealer is named in the client's agreement with the advisor or manager. The custodian has the right to lend shares held in your margin loan account to others. This should not impede your ability to sell these shares but may cause you to lose voting rights and the right to preferred tax treatment on certain dividend payments. In a TAMP account, the custodian will be chosen according to the terms of the participating program sponsor. A custodian may obtain a consumer report at the time of the application to verify your creditworthiness and obtain a consumer report from time to time for updates, renewals, extensions, and collection activity on any approved account.

MARGIN ACCOUNTS

Borrowing funds to buy securities is only appropriate for those investors who can tolerate losing more than the amount of money deposited in the account. In a cash account, you pay for your securities in full by the settlement date of the purchase (generally two business days from the purchase). You will have a "cash account," unless you choose to have a "margin loan account" (customarily known as a "margin account"). In a margin loan account, the custodian may lend you a portion of the purchase price which is called buying "on margin." When you buy common stock on margin, you typically must deposit at least 50% of the purchase price, and the custodian will loan you the balance. **You are liable for repaying the borrowed funds and the interest incurred.** To avoid the use of margin, even in a margin loan account, always pay for your purchase in full by the settlement date. To help you decide whether a margin loan account is right for you, please read the Margin Loan Agreement and the Margin Disclosure Statement.

If you borrow funds in your margin account and the value of your holdings declines below Firm's and /or regulatory maintenance margin requirement, you will be subject to a "margin call," meaning the custodian can either (1) require you to deposit additional cash or margin-eligible securities to your account immediately, or (2) sell **any** of the securities in your account to cover the shortfall, **without informing you in advance.** The custodian will decide which of your securities to sell. **Even if you are notified that you have a certain number of days to cover the shortfall, they may still sell your securities before that time frame expires.** Further, at any time the custodian can increase the level of equity that you must maintain in your margin account without triggering a margin call.

RISK

You understand securities involve risk and that many variables, including but not limited to market and economic fluctuations, may have a substantial negative effect on the value of your security positions, that you are willing to assume those risks, and are financially able to bear those risks. You also understand that you have an affirmative obligation to notify Firm in writing should your financial condition change from, or investment objectives become more or less conservative than what is shown on this application. As an account owner, it is your responsibility to select each account's investment objective and communicate the risk tolerance that should be applied to the account. Firm cannot assure you that any given investment or strategy will achieve your stated investment objective.

CUSTOMER OBLIGATIONS

You agree to adhere to the requirement to monitor your account and prevent unauthorized access and/or activities: a) You agree to only pay for a service or security by utilizing a traceable instrument (e.g. check, bank draft, etc.) and you will never pay cash; b) You will demand, obtain and carefully review the current Offering Document which fully describes the potential investment, including potential risks and costs, prior to purchasing an interest in a partnership, mutual fund, variable product, unit investment trust or any new issue and agree to be bound by the information contained therein; c) When purchasing or selling securities, you will not rely upon any information, including but not limited to, statements, forecasts, predictions and projections whether verbal or written, which are not contained in the applicable Offering Document and that past performance is not a guarantee of future results; d) When purchasing or selling securities, you will not rely upon comparisons between securities or with market indexes of any kind, nor shall you rely upon guarantees of future value or price of any security; e) When purchasing or selling securities, you will not be induced by a pending dividend; f) You will never make payment payable to an Investment Advisory Representative, Firm (other than for advisory fees), or to an entity through which an Investment Advisory Representative may gain access to your funds and will make securities payments payable to one of the following: custodian, mutual fund company, insurance company as instructed in the prospectus; g) You will not loan to an Investment Advisor Representative or borrow from an Investment Advisor Representative monies or securities and specifically will not authorize or permit an Investment Advisor Representative to act as a trustee or personal custodian of your securities, stock powers, monies or any other personal or real property which you may have any interest without first obtaining written approval from Firm; h) **You will promptly review each trade confirmation and account statement and report any errors or discrepancies to Firm within 2 days of the receipt of the confirmation or statement.** It is agreed that if the confirmation and/or statement is mailed to customer's address of record, the customer will have received the confirmation and/or statement no later than 10 days after the mailing date. Additionally, you must notify Firm whenever you discover, or should have discovered after reasonable diligence, that a violation of this or any other Agreement with Firm occurred. Once notified, Firm will reply in writing within a reasonable time after investigation of the alleged violation.

ACCOUNT(S) UNDER MANAGEMENT

Please list any and all accounts that are to be managed pursuant to this Agreement. Client hereby elects to utilize the services of the indicated custodian(s). The Client will be required to furnish information and execute documents as requested by the custodian(s), including but not limited to account opening documents, trade and fee deduction authorizations. *Note if no account number, please enter "TBD".

CUSTODIAN	ACCOUNT OWNER(S)	REGISTRATION TYPE	ACCOUNT NUMBER	ERISA (Y/N)	APPROXIMATE AUM

INVESTMENT RESTRICTIONS AND GUIDELINES

SIGNATURES

By signing this document, you affirm that you have received, read, and agree to this document and any supplemental documents governing this relationship. You affirm that the information you have provided is accurate and you agree to notify us of any changes in the information provided.

PRIMARY FULL NAME	PRIMARY SIGNATURE	DATE
JOINT FULL NAME	JOINT SIGNATURE	DATE
INVESTMENT ADVISOR REPRESENTATIVE FULL NAME	INVESTMENT ADVISOR REPRESENTATIVE SIGNATURE	DATE
FIRM PRINCIPAL FULL NAME	FIRM PRINCIPAL SIGNATURE	DATE



GIA MODELS

- GIA – Moderate Aggressive Strategy
- GIA – Aggressive Strategy
- GIA – All American Innovator Strategy
- GIA – Conservative Strategy
- GIA – Equity Blend Core
- GIA – Equity Growth
- GIA – Equity Income
- GIA – Equity Value
- GIA – Moderate Conservative Strategy
- GIA – Moderate Strategy

- The Custodian will be instructed to deduct fees directly from the account(s) and remit payment to the Sub-Advisor.

Accounts will be billed monthly in arrears unless Client and Firm execute an agreement to the contrary, subject to Firm approval. Client and Portfolio Advisor choose billing frequency to be executed by Firm.

5. Termination

- This Agreement may be terminated at any time by either party upon written notice.

6. Acknowledgments

- Client acknowledges that investment advisory fees are separate from brokerage, custodial, or other account service fees.
- Client understands that performance of investments is not guaranteed and that fees are charged regardless of account performance.

7. Miscellaneous

- This Agreement shall be governed by and construed in accordance with the laws of the State of Georgia.
- Any disputes arising from this Agreement shall be subject to binding arbitration in accordance with applicable arbitration rules.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement as of the date first above written.

CLIENT:
Signature: _____
Printed Name: _____
Date: _____

JOINT CLIENT:
Signature: _____
Printed Name: _____
Date: _____

FINANCIAL ADVISOR SIGNATURE:
Signature: _____
Print Name: _____

GLOBAL INVESTMENT ADVISORY, LLC:
By: _____
Title: _____
Date: _____

U.S. Consumer Privacy Notice

Facts	What does Global Investment Advisory, LLC do with your personal information?
Why?	Financial companies choose how they share your personally identifiable information (“personal information”). Federal law gives consumers the right to limit some but not all sharing and requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.
What?	The types of personal information we collect and share depends on the product or service you have with us. This information includes, but is not limited to: <ul style="list-style-type: none"> • Social Security number and financial account numbers • Account balances and transaction information • Income and employment information • Medical information recorded on a variable life insurance application
How?	All financial companies need to share customers’ personal information to run their everyday business and we share your information as permitted by law. We may share your information to the extent that is prudent to offer you products and services we believe best meet your needs or as you authorize. In the section below we list reasons financial companies can share their customers’ personal information; reasons Global Investment Advisory chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Global Investment Advisory, LLC share?	Can you limit this sharing?
For our everyday business purposes —such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus.	Yes	No
For our marketing purposes —to offer our products and services to you	Yes	No
For our affiliates’ everyday business purposes —information about your transactions and experiences	Yes	No
For our affiliates’ everyday business purposes —information about your creditworthiness	Yes	Yes
For our affiliates to market to you	Yes	Yes
For joint marketing with other financial companies	Yes	Yes
For nonaffiliates to market to you	Yes	Yes

To limit our sharing or for questions

Contact a us at Tel. 678 -583-1120 ; Fax 678 -583-1258

Please note:

Global Investment Advisory, LLC employees and systems provide services to multiple affiliated entities. As a practical matter, sharing can’t be limited in such situations, other than requiring employees to have a “need to know” prior to accessing any customer information, a policy which is in effect. If you are a new customer, we can begin sharing your information externally 30 days from the date we sent this notice. When you are no longer our customer, we continue to share your information as described in this notice.

However, you can contact us at any time to notify us to limit our sharing.

Who we are

Who is providing this notice?

Global Investment Advisory, LLC

What we do

How does Global Investment Advisory, LLC protect my personal information?

To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include policies and procedures, computer safeguards, secured files and buildings.

How does Global Investment Advisory, LLC collect my personal information?

We collect your personal information when you agree to provide it, for example, when you:

- Open an account or make deposits or withdrawals from your account
- When we buy or sell securities in your account
- Tell us about your other investment or retirement portfolio(s)

We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.

Why can't I limit all sharing?

Federal law gives you the right to limit only:

- Sharing for affiliates' everyday business purposes – information about your creditworthiness
- Affiliates from using your information to market to you
- Sharing with nonaffiliates to market to you

State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.

What happens when I limit sharing for an account I hold jointly with someone else?

Your choice will apply to everyone on your account.

Definitions

Affiliates

Companies related by common ownership or control. They can be financial and nonfinancial companies. Our affiliates include:

- American Global Wealth Management, Inc.
- Cape Securities, Inc.
- Cape Insurance Solutions, Inc.
- First Asset Financial Inc.
- Cape Investment Advisory
- Other companies as acquired from time to time

Nonaffiliates

Companies not related by common ownership or control. They can be financial and nonfinancial companies.

- Global Investment Advisory shares with nonaffiliates, such as our custodians such as Charles Schwab, Third Party Management Companies and your investment advisor representative who may have established their own company, so they can market to you.

Joint Marketing

A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

- Global Investment Advisory, LLC has entered into marketing agreements with Charles Schwab, as well as other insurance and financial services companies.

Other Important Information

Do Not Call Policy. This notice is the Global Investment Advisory, LLC Do Not Call Policy under the Telephone Consumer Protection Act. We do not solicit via telephone numbers listed on the state or federal Do Not Call list, unless the law allows. Associated Persons receive training on how to document and process telephone marketing choices. Consumers who ask not to receive telephone solicitations will be placed on our internal Do Not Call list and will not be called in future campaigns, including those of our affiliates. If you communicate with us by telephone, we may monitor or record the call.

For Nevada residents. We are providing you this notice pursuant to state law. You may be placed on our internal Do Not Call List by calling 678 -583 -1120 . Nevada law requires that we also provide you with the following contact information: Bureau of Consumer Protection, Office of the Nevada Attorney General, 555 E. Washington St., Suite 3900, Las Vegas, NV 89101; Phone number - 702 -486 - 3132; email: BCPINFO@ag.state.nv.us.

For Vermont Residents. In accordance with Vermont law, we will not share information we collect about Vermont residents with companies who are not affiliates, except as permitted by law, such as with your consent or to service your accounts. We will not share information about your creditworthiness with our affiliates without your authorization or consent, but we may share information about our transactions or experiences with you with our affiliates without your consent.

Other Important Information

For California Residents. In accordance with California law, we will not share information we collect about you with nonaffiliates, except as allowed by law. For example, we may share information with your consent or service your accounts. Among our affiliates, we will limit information sharing to the extent required by California law.

For Insurance Customers in AZ, CA, CT, GA, IL, ME, MA, MN, MT, NV, NJ, NC, OH, OR and VA only. The term "Information" in this part means customer information obtained in an insurance transaction. We may give your Information to state insurance officials, law enforcement, group policy holders about claims experience or auditors as the law allows or requires. We may give your Information to insurance support companies that may keep it or give it to others. We may share medical Information so we can learn if you qualify for coverage, process claims or prevent fraud or if you say we can. To see your Information, write Global Investment Advisory, LLC 1600 Pennsylvania Avenue, McDonough, GA 30253. You must state your full name, address, the insurance company, policy number (if relevant) and the Information you want. We will tell you what Information we have. You may see and copy the Information (unless privileged) at our office or ask that we mail you a copy for a fee. If you think any Information is wrong, you must write us. We will let you know what actions we take. If you do not agree with our actions, you may send us a signed, written statement.

For MA Insurance Customers only. You may ask, in writing, for the specific reason(s) for an adverse underwriting decision, which is where we decline your application for insurance, offer to insure you at a higher than standard rate, or terminate your coverage.

Global Investment Advisory, LLC is an SEC registered investment advisor.

Mail-In Form

Please Mark Any/All you want to limit.

- Do not share information about my creditworthiness with your affiliates for their everyday business purposes.
- Do not allow your affiliates to use my personal information to market to me.
- Do not share my information for joint marketing with other financial companies.
- Do not share my information for non-affiliates to market to me.
- Do not allow my financial advisor to take my non-public information to a new financial institution should he/she leave Global Investment Advisory, LLC

Customer Information to Process the Request

Signature

Name

Address

City, State, Zip

Account/Policy/Contract #

Mail or Fax To:

Global Investment Advisory, LLC
1600 Pennsylvania Avenue, McDonough GA 30253
Fax: 678 -583 -1258
Email: giacompliance@globalria.com

Global Investment Advisory, LLC's Business Continuity Planning Disclosure

Global Investment Advisory, LLC has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions are unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

Contacting Us – If, after a significant business disruption, you cannot contact us as you usually do at (414) 352- 5050 or (678) 583-1120, you should call our alternative number (470) 992-0814.

If you cannot access us through these means, you should contact the appropriate custodian directly: Charles Schwab Institutional, Inc. (Charles Schwab), at (800) 515-2157 for instructions on how to gain access to funds and securities, enter orders, and process other trade related cash and security transfer transactions.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible given the scope and severity of the business disruption.

Our business continuity plan addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our operations.

Our custodian Charles Schwab back up our important records in a geographically separate area and each has their own business continuity plan. While every situation poses unique challenges based on external factors, such as time of day and severity of the disruption, we have been advised by our custodian that their objective is to restore their own operations and be able to complete existing transactions and accept new transactions and payments within a four-hour recovery window and same day resumption. Your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions – Significant business disruptions can vary in scope, such as only affecting our firm, a single office location, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption only to our firm or a building housing our firm, we will transfer our operations to local sites as needed and expect to recover and resume business within four hours on the same day. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area and plan to recover and resume business within 24 hours. If the business disruption is so severe that it prevents us from operating, we will assure our customer's prompt access to their funds and securities. In any situation, we plan to continue in business, transfer operations to our custodian's if necessary, and notify you through our affiliated web site www.capeinvestmentadvisory.com or our customer emergency number, (470) 992- 0814.