



Investment Management Programs for Fee Based Clients

	WSA Advisor Accounts		WSA PLUS Account
	Fee Only	Fee/comm Offset	Fee Only (Fee billing & reporting done by WSA)
How does the program work?	Clients trade stocks, bonds, no load mutual funds, load waived mutual funds, Indices, and no-load variable annuities. Clients pay an annual fee for all investments plus any applicable transaction charges, unless paid by the advisor.	Clients trade stocks, bonds, load waived & no-load mutual funds, Indices, & No-Load variable annuities. Clients pay an annual fee for all investments plus any applicable transaction charges. Fees can be reduced by commissions.	Fee Only (Fee billing & reporting done by WSA) Clients trade stocks, bonds, load waived & no-load mutual funds, Indices, & no-load variable annuities. Clients pay an annual fee for all investments plus any applicable transaction charges. Fees can be reduced by commissions.
Who manages the investments?	The financial advisor and client work together to choose investments.	The financial advisor and client work together to choose investments.	The financial advisor and client work together to choose investments.
Discretionary Authority Allowed?	Yes	Yes	Yes
What investments are available?	No load mutual funds, Load waived mutual funds, Indices, no-load Variable Annuities Exchange listed and OTC stocks (no penny stocks), Corporate, U.S Govt, & Muni Bonds, Closed end mutual funds, CDs, Covered calls, put options, REITS, and ADRs.	No load mutual funds, Load waived mutual funds, Indices, no-load Variable Annuities Exchange listed and OTC stocks (no penny stocks), Corporate, U.S Govt, & Muni Bonds, Closed end mutual funds, CDs, Covered calls, put options, REITS, and ADRs.	No load mutual funds, Load waived mutual funds, Indices, no-load Variable Annuities Exchange listed and OTC stocks (no penny stocks), Corporate, U.S Govt, & Muni Bonds, Closed end mutual funds, CDs, Covered calls, put options, REITS, and ADRs.
Is there a minimum account size?	\$25,000 Minimum account size is only for fee based planning	\$25,000 Minimum account size is only for fee based planning	\$25,000
What are the registration requirements?	You must be under WSA Advisory Firm	You must be under WSA Advisory Firm	You must be under WSA Advisory Firm

What Fees can be charged to the client? Note: All Fees are Negotiable w/client Across the board	First \$500,000 2.99% Over \$500,000 2.50% Over \$1,000,000 2.00% Over \$2 Mil. Negotiable	First \$500,000 2.99% Over \$500,000 2.50% Over \$1,000,000 2.00% Over \$2 Mil. Negotiable	First \$500,000 2.99% Over \$500,000 2.50% Over \$1,000,000 2.00% Over \$2 Mil. Negotiable
What management fees does WSA keep?	None	None	As little as 5 bps Includes Administration, Fee Billing and Performance Reporting
How Can You Reap An Immediate Pay Raise?	Read immediately above	Read immediately above	
What is the pay out to representatives?	Production Pay out \$125K 90% \$300K 92%* \$500K 95%*	Production Pay out \$125K 90% \$300K 92%* \$500K 95%*	Production Pay out \$125K 90% \$300K 92%* \$500K 95%*
What are the transaction charges or account fees?	Hundreds of NTF mutual funds are available at RBC Dain or TD Ameritrade & there is no charge. MFs that are non-NTF & for other investments, the cost is generally \$21 per transaction at RBC Dain with swips & rebalancings at \$1.50 per transaction. The cost is from \$15 per transaction and up, depending on the security and the size of the trade at TD Ameritrade.	Hundreds of NTF mutual funds are available at RBC Dain or TD Ameritrade & there is no charge. MFs that are non-NTF & for other investments, the cost is generally \$21 per transaction at RBC Dain with swips & rebalancings at \$1.50 per transaction. The cost is from \$15 per transaction and up, depending on the security and the size of the trade at TD Ameritrade.	Hundreds of NTF mutual funds are available at RBC Dain or TD Ameritrade & there is no charge. MFs that are non-NTF & for other investments, the cost is generally \$21 per transaction at RBC Dain with swips & rebalancings at \$1.50 per transaction. The cost is from \$15 per transaction and up, depending on the security and the size of the trade at TD Ameritrade.
Who pays the transaction charges and account fees?	The client or the Financial Advisor.	The client or the Financial Advisor.	The client or the Financial Advisor.
Why do I need two platform providers, RBC Dain, and TD Ameritrade?	We are independent across platforms. Use only one or choose the account provider per client. This forces clearing firms to compete for your business. However TD Ameritrade keeps all 12B-1s & commissions.	We are independent across platforms. Use one or both per client. RBC Dain pays commissions & trails to the broker-dealer unlike TD Ameritrade.	Use only one or chose the account provider per client. Unlike RBC Dain trail commissions are not paid to the rep by TD Ameritrade. They are strictly fee only.

* Rep is OSJ and RIA

<p>Do I receive the trailing commissions on mutual funds in fee-based accounts?</p>	<p>This option is fee only, so only no-load products are supposed to be used. If funds with trails are purchased, the trails should offset the fees by the representative in the fee billing.</p>	<p>Yes, if the account is held direct or if it is held through RBC Dain, WS will receive the trailers and these can offset fees or be paid to you at your pay out level.</p>	<p>Yes, if the account is held direct or if it is held through RBC Dain, WS will receive the trailers and these can offset fees or be paid to you at your pay out level.</p>
<p>Can I discount fees?</p>	<p>You can discount your fee.</p>	<p>You can discount your fee.</p>	<p>You can discount your portion of the fee subject to WSA receiving applicable basis point admin charges.</p>
<p>Who does the performance reporting?</p>	<p>You can do your own quarterly performance reporting using approved software or use reports available through RBC They have multiple reporting templates available on their systems. Dain Rauscher.</p>	<p>You can do your own quarterly performance reporting using approved software or use reports available through RBC They have multiple reporting templates available on their systems. Dain Rauscher.</p>	<p>Performance reporting is automatically included. Clients will receive reports quarterly which include net gains and losses on asset allocation, and time weighted portfolio performance data.</p>
<p>Who calculates fees & sends client statements?</p>	<p>The Financial Advisor is responsible for calculating and submitting the fee to WSA and for sending notice of this fee to the client.</p>	<p>The Financial Advisor is responsible for calculating and submitting the fee to WSA and for sending notice of this fee to the client.</p>	<p>WSA calculates the fees and bills the client accounts through RBC Dain Rauscher or TD Ameritrade. A report providing complete detail of these fees is then sent to the client and Financial Advisor.</p>
<p>When is the client billed for the fee?</p>	<p>Client accounts are billed quarterly in advance or arrears.</p>	<p>Client accounts are billed quarterly in advance or arrears.</p>	<p>Client accounts are billed quarterly in advance or arrears.</p>



Managed Investment Accounts for Fee Based Clients

	Strategic Asset Management Fee Only	THIRD-PARTY Management Fee Only	Strategic/Tactical Securities Management Fee Only
How does the program work?	Wilbanks Securities Advisory trades stocks, bonds, no load and load waived mutual funds, closed end mutual funds, institutional mutual funds, no-load variable annuities, etc. for your clients for an annual fee and low (or no) transaction charges.	Fund portfolios institutional & otherwise manage stocks, mutual funds or indices, in which you can invest client's money for an annual fee and low (or no) transaction charges.	Conservative, moderate or aggressive stock or Bond portfolios by a variety of third-party Money Managers based on either fundamental research, technical analysis or both.
Who manages the investments?	Wilbanks Securities Advisory	Third-Party Managers See Third-Party Manager Lists and Web links	Third-Party Managers See Third-Party Manager Lists and Web links
Discretionary Authority Allowed?	Yes. Limited power of attorney is granted only to Wilbanks Securities Advisory.	Yes. Limited power of attorney is granted to Third-Party Managers.	Limited power of attorney granted to Third-Party Money Management Company(s).
What investments are available?	No load mutual funds, Load waived mutual funds No-Load Variable Annuities, Exchange listed and OTC stocks (no penny stocks), Corporate, U.S Govt, & Muni Bonds, Closed end mutual funds, Put, call options, Leaps, REITS, ADRs, UITs LPs and CDs.	No load mutual funds, Load waived mutual funds, stocks & indices, Institutional Funds, Closed End Funds, Exchange Traded Funds, No-Load Variable Annuities, covered call writing strategies.	No load mutual funds, Load waived mutual funds, No-Load Variable Annuities, Exchange listed and OTC stocks (no penny stocks), Corporate, U.S Govt, & Muni Bonds, Closed end mutual funds, Put, call options, Leaps, REITS, ADRs, UITs LPs and CDs.
Is there a minimum account size?	\$25,000 Minimum account size is only for fee based planning	\$25,000 Minimum account size is only for fee based planning	\$25,000
What are the registration requirements?	You must be under Wilbanks Securities Advisory	You must be under Wilbanks Securities Advisory	You must be under Wilbanks Securities Advisory

What Fees can be charged to the client? Note: All Fees are Negotiable with client across the board.	First \$500,000 2.99% Over \$500,000 2.50% Over \$1,000,000 2.00% Over \$2 Mil. Negotiable	First \$500,000 2.99% Over \$500,000 2.50% Over \$1,000,000 2.00% Over \$2 Mil. Negotiable	First \$500,000 2.99% Over \$500,000 2.50% Over \$1,000,000 2.00% Over \$2 Mil. Negotiable
What management fees does WSA keep?	As little as 50 bps per WSA Fee Schedule below, Includes Investment Management, Admin. & Performance Reporting. Clients Pay Trading Charges at RBC Dain	Third-Party Money Management Fees, which vary. See Third-Party Lists and Web Links	As Little as 50 bps. See WSA Fee Schedule below and also Third-Party Lists and Web Links
What is the pay out to representatives?	Production Pay out \$125K 90% \$300K 92%* \$500K 95%*	Production Pay out \$125K 90% \$300K 92%* \$500K 95%*	Production Pay out \$125K 90% \$300K 92%* \$500K 95%*
What are the transaction charges or account fees?	Hundreds of NTF mutual funds are available at RBC Dain or TD Ameritrade & there is no charge. MFs that are non-NTF & for other investments, the cost is generally \$21 per transaction at RBC Dain with swips & rebalancings at \$1.50 per transaction. The cost is from \$15 per transaction and up at TD Ameritrade, depending on the security and the size of the trade.	Trade Charges Generally Included in Fees.	Trade charges may or may not be included depending on the program and the fee.
Who pays the transaction charges and account fees?	The client or the Financial Advisor.	Generally built into the fee structure to the client.	Unless built into the fee structure to the client, the client or Financial Advisor pays these costs.
What is the choice of platform providers?	WSA chooses the account provider, which will be RBC Dain Rauscher unless an exception is made.	RBC Dain, TD Ameritrade, or through WSA direct to the third-party manager.	RBC Dain, TD Ameritrade, or through WSA direct to the money manager.

* Rep is OSJ and RIA

Do I receive the trailing commissions on mutual funds in fee-based accounts?	No. This option is fee only.	No	No
Can I discount fees?	You can discount your portion of the fee subject to WSA receiving its management fees.	Generally no. It is subject to the approval of the third party money managers.	Generally no. It is subject to the approval of the third party money managers.
Who does the performance reporting?	Performance reporting is automatically included. Clients will receive reports quarterly which includes net gains and losses on investments, portfolio asset allocation, and time weighted portfolio performance data.	Performance reporting is automatically included. Clients will receive reports quarterly which includes net gains and losses on investments, portfolio asset allocation, and time weighted portfolio performance data.	Performance reporting is automatically included. Clients will receive reports quarterly which includes net gains and losses on investments, portfolio asset allocation, and time weighted portfolio performance data.
Who calculates fees & sends client statements?	WSA calculates the fees and bills the client accounts through TD Ameritrade. A report providing complete detail of these fees is then sent to the client and Financial Advisor.	The Third-Party Money Manager, RBC Dain or TD Ameritrade depending on whose program you are using. A report providing complete detail of the fees is then sent to the client and financial advisor.	The Third-Party Money Manager, RBC Dain or TD Ameritrade depending on whose program you are using. A report providing complete detail of the fees is then sent to the client and financial advisor.
When is the client billed for the fee?	Client accounts are billed quarterly in arrears.	Subject to requirements of the third-party money managers.	Subject to requirements of the third-party money managers.

RBC DAIN CS FEE SCHEDULES FOR FEE BASED PRODUCTS

Brokerage Choice Account: A Fee in lieu of commission program

Account Size	RBC Dain CS Service Fee (Basis Points)	Trade Allotment (\$21/Trade Above Limits)	Suggested Fee Range (Includes RBC Dain CS Service Fee)
\$25,000 - \$250,000	'45	'50 trades	1.65% - 2.70%
\$250,001 - \$500,000	'25	'100 trades	1.35% - 2.50%
\$500,001 - \$1,000,000	'20	'150 trades	1.25% - 2.40%
\$1,000,001 - \$2,000,000	'15	'200 trades	1.20% - 2.00%
\$2,000,001 - \$3,000,000	'14	'225 Trades	1.15% - 2.00%
\$3,000,001 - \$5,000,000	'12	'250 Trades	1.13% - 2.00%
\$5,000,001 - \$10,000,000	'10	'300 Trades	1.12% - 2.00%
\$10,000,001 & Above	'Negotiable	'Negotiable	Negotiable

Investment Access Account Included Free with Brokerage Choice Account **Pay-Out is Based on General Securities Schedule**

Resource II: Private Money Management (Separate Account for Each Money Management Company) **Program includes Third-Party Stock and Bond Funds**

Account Size	RBC Dain CS Service Fee (Basis Points)		Suggested Fee Range (Includes RBC Dain CS Service Fee)
	(manager's fee & all trade costs are included)		
	Equity	Fixed Income	
\$100,000 - \$250,000	'100	'65	2.00% - 2.99%
\$250,001 - \$500,000	'80	'60	2.00% - 2.99%
\$500,001 - \$1,000,000	'75	'50	1.60% - 2.50%
\$1,000,001 - \$2,000,000	'70	'45	1.45% - 2.00%
\$2,000,001 - \$3,000,000	'68	'45	1.45% - 2.00%
\$3,000,001 - \$5,000,000	'67	'40	1.45% - 2.00%
\$5,000,001 - \$10,000,000	'65	'40	1.45% - 2.00%
Above \$10,000,000	Negotiable	Negotiable	Negotiable

Pay-Out is Based on Fee Based Commission Schedule

RBC Dain CS Total Strategy Account (TSA) Private Money Management in One Consolidated Account **Program includes a list of Third-Party Equity Managers and Funds and a list of eligible bond mutual funds and ETFs in lieu of Third-Party Bond Funds.**

Account Size	RBC Dain CS Service Fee Based on % in Separately Managed Accounts (manager's fee & all trade costs are included)		Suggested Fee Range (Includes RBC Dain CS Service Fee)
	Below SMA min. Service Fee (Basis Points)		
\$250,001 to	>80%	'90	1.70% - 2.99%
	61-80%	'85	
	41-60%	'75	
'\$500,000	21-40%	'65	1.65% - 2.50%
	<20%	'60	
	>80%	'85	
\$500,001 to	61-80%	'80	1.65% - 2.50%
	41-60%	'70	
	21-40%	'60	
\$1,000,000	21-40%	'60	1.65% - 2.50%
	<20%	'55	

\$1,000,001 to	>80%	'80	1.55% - 2.00%
	61-80%	'75	
'\$2,000,000	41-60%	'65	1.52% - 2.00%
	21-40%	'55	
	<20%	'50	
\$2,000,001 to	>80%	'78	1.50% - 2.00%
	61-80%	'70	
'\$3,000,000	41-60%	'62	1.48% - 2.00%
	21-40%	'55	
	<20%	'47	
\$3,000,001 to	>80%	'77	1.50% - 2.00%
	61-80%	'70	
'\$5,000,000	41-60%	'60	1.48% - 2.00%
	21-40%	'53	
	<20%	'45	
\$5,000,001 to	>80%	'75	1.48% - 2.00%
	61-80%	'67	
'\$10,000,000	41-60%	'58	Negotiable
	21-40%	'51	
	<20%	'43	
Above \$10,000,000	Negotiable	Negotiable	Negotiable

Min. Account \$250,000

Pay-Out is Based on Fee Based Commission Schedule

DCS Advisor: A wrap fee program

Client Accounts Can Include Mutual Funds, Stocks, Bonds, ETFs, and Options

Account Size	RBC Dain CS Service Fee (Basis Points)	Trade Allotment (\$21/Trade Above Limits)	Suggested Fee Range (Includes RBC Dain CS Service Fee)
\$25,000 - \$250,000	'50	'50	1.60% - 2.60%
\$250,001 - \$500,000	'30	'100	1.40% - 2.40%
\$500,001 - \$1,000,000	'25	'150	1.35% - 2.00%
\$1,000,001 - \$2,000,000	'20	'200	1.25% - 2.00%
\$2,000,001 - \$3,000,000	'18	'225	1.23% - 2.00%
\$3,000,001 - \$5,000,000	'17	'250	1.22% - 2.00%
\$5,000,001 - \$10,000,000	'15	'300	1.20% - 2.00%
Above \$10,000,000	Negotiable	Negotiable	Negotiable

Pay-Out is Based on Fee Based Commission Schedule

All Fees For All Programs Billed In Advance Based On Balance At Beginning Of Quarter

Unbundled Managed Account Services (UMAS)

UMAS Quarterly Account Fees

Checkfree APL Portfolio Management Tools	\$40 per account
Billing Services	\$30 per account
Performance Reporting	\$35 per account
Checkfree APL Port. Management Tools, Billing, & Perf. Reporting	\$55 per account
Checkfree APL Portfolio Management Tools and Billing	\$50 per account
Checkfree APL Port. Management Tools & Perf. Reporting	\$45 per account

Trades occurring in UMAS accounts are added to overall Trade Counts and assessed Clearance and Execution fees according to the firms' regular Ticket Fee Schedule. Additional fees, including clearance and execution, as documented in the Fee Schedule would be in addition to the fees outlined in the above table.

Resource II and Total Strategy Participating Money Managers

U.S. EQUITIES

LARGE CAP GROWTH

- Apex Capital Management (RBC)
- Dana Investment Advisors
- Logan Capital Management (RBC)
- Mastrapasqua Asset Management
- Montag & Caldwell (RBC)
- Neuberger Berman
- Oak Ridge Investments (W)
- Polen Capital Management
- Wedgewood Partners

LARGE CAP CORE

- Atalanta Sosnoff Management (RBC)
- Dana Investment Advisors
- Estabrook Capital Management (RBC) (W)
- Fairpointe Capital LLC (RBC)
- Madison Investment Advisors (RBC)
- Santa Barbara Asset Management (RBC)
- Sovereign Asset Management
- Thornburg Investment Management (W)
- Victory Capital Management (RBC)

LARGE CAP VALUE

- Aristotle Capital Management (RBC)
- C.S. McKee (RBC)
- Cambiar Investors, LLC
- Columbia Management (RBC)
- Davis Advisors* (W)
- Eaton Vance Management (RBC) (W)
- Metropolitan West Capital Management
- NWQ Investment Management*
- Thornburg Investment Management* (W)
- Snow Capital Management
- Westwood Management Corp.*

MID CAP GROWTH

- Chartwell Investment Partners

MID CAP CORE

- Invesco Management Accounts (W)
- Madison Investment Advisors (RBC)
- Segall Bryant & Hamill (RBC)

MID CAP VALUE

- Anchor Capital Advisors (RBC)
- Hahn Capital Management (RBC)

SMALL-MID CAP GROWTH

- Apex Capital Management (RBC)
- Oak Ridge Investments*
- Riverbridge Partners (RBC)

SMALL-MID CAP CORE

- Kayne Anderson Rudnick (RBC) (W)(R)
- SouthernSun Asset Management (RBC)

SMALL-MID CAP VALUE

- Schafer Cullen
- Westwood Management Corp. (C)

SMALL CAP GROWTH

- Conestoga Capital Advisors†
- RBC Global Asset Management†
- Riverbridge Partners
- WHV Investment Management*

SMALL CAP CORE

- Dana Investment Advisors
- Eagle Boston Investment Mgmt
- PNC Capital Advisors (RBC)
- RBC Global Asset Management†

SMALL CAP VALUE

- Columbia Management (RBC)
- C.S. McKee (RBC)
- Fox Asset Management (RBC)
- Metropolitan West Capital Management*
- Snow Capital Management (RBC)
- WCM Investment Management*

MULTI CAP GROWTH

- ClearBridge Investments*
- Geneva Advisors (RBC)
- Oak Ridge Investments
- Riverbridge Partners

MULTI CAP CORE

- Al Frank Asset Management
- Davis Advisors*
- King Investment Advisors*
- Kirr, Marbach & Company
- Neuberger Berman*
- Roosevelt Investment Group
- Segall Bryant & Hamill (RBC)
- TAMRO Capital Partners (RBC)

MULTI CAP VALUE

- Brandes Investment Partners*
- Equity Investment Corporation†
- James Capital Alliance*
- Marshfield Associates
- Minneapolis Portfolio Management Group
- Snow Capital Management*
- Westwood Management Corp.



This list is subject to change without notice.

(C) denotes manager is on the Closed List
(W) denotes manager is on the Watch List
(R) denotes manager is on the Restricted List
† denotes available in Total Strategy only
*denotes available in Resource II only
(RBC) denotes Traded by RBC Overlay Manager in Resource II

Resource II and Total Strategy Participating Money Managers

U.S. EQUITIES

LARGE CAP GROWTH

- Apex Capital Management (RBC)
- Dana Investment Advisors
- Logan Capital Management (RBC)
- Mastrapasqua Asset Management
- Montag & Caldwell (RBC)
- Neuberger Berman
- Oak Ridge Investments (W)
- Polen Capital Management
- Wedgewood Partners

LARGE CAP CORE

- Atalanta Sosnoff Management (RBC)
- Dana Investment Advisors
- Estabrook Capital Management (RBC) (W)
- Fairpointe Capital LLC (RBC)
- Madison Investment Advisors (RBC)
- Santa Barbara Asset Management (RBC)
- Sovereign Asset Management
- Thornburg Investment Management (W)
- Victory Capital Management (RBC)

LARGE CAP VALUE

- Aristotle Capital Management (RBC)
- C.S. McKee (RBC)
- Cambiar Investors, LLC
- Columbia Management (RBC)
- Davis Advisors* (W)
- Eaton Vance Management (RBC) (W)
- Metropolitan West Capital Management
- NWQ Investment Management*
- Thornburg Investment Management* (W)
- Snow Capital Management
- Westwood Management Corp.*

MID CAP GROWTH

- Chartwell Investment Partners

MID CAP CORE

- Invesco Management Accounts (W)
- Madison Investment Advisors (RBC)
- Segall Bryant & Hamill (RBC)

MID CAP VALUE

- Anchor Capital Advisors (RBC)
- Hahn Capital Management (RBC)

SMALL-MID CAP GROWTH

- Apex Capital Management (RBC)
- Oak Ridge Investments*
- Riverbridge Partners (RBC)

SMALL-MID CAP CORE

- Kayne Anderson Rudnick (RBC) (W)(R)
- SouthernSun Asset Management (RBC)

SMALL-MID CAP VALUE

- Schafer Cullen
- Westwood Management Corp. (C)

SMALL CAP GROWTH

- Conestoga Capital Advisors†
- RBC Global Asset Management†
- Riverbridge Partners
- WHV Investment Management*

SMALL CAP CORE

- Dana Investment Advisors
- Eagle Boston Investment Mgmt
- PNC Capital Advisors (RBC)
- RBC Global Asset Management†

SMALL CAP VALUE

- Columbia Management (RBC)
- C.S. McKee (RBC)
- Fox Asset Management (RBC)
- Metropolitan West Capital Management*
- Snow Capital Management (RBC)
- WCM Investment Management*

MULTI CAP GROWTH

- ClearBridge Investments*
- Geneva Advisors (RBC)
- Oak Ridge Investments
- Riverbridge Partners

MULTI CAP CORE

- Al Frank Asset Management
- Davis Advisors*
- King Investment Advisors*
- Kirr, Marbach & Company
- Neuberger Berman*
- Roosevelt Investment Group
- Segall Bryant & Hamill (RBC)
- TAMRO Capital Partners (RBC)

MULTI CAP VALUE

- Brandes Investment Partners*
- Equity Investment Corporation†
- James Capital Alliance*
- Marshfield Associates
- Minneapolis Portfolio Management Group
- Snow Capital Management*
- Westwood Management Corp.



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*denotes available in Resource II only
(RBC) denotes Traded by RBC Overlay Manager in Resource II

Resource II and Total Strategy Participating Money Managers

U.S. and GLOBAL BALANCED

LARGE CAP BALANCED

- Estabrook Capital Management* (W)
- NWQ Investment Management*
- Sovereign Asset Management*

GLOBAL BALANCED

- Brandes Investment Partners*

EQUITY INCOME

- BlackRock* (RBC)
- Chartwell Investment Partners
- Federated Investment Counseling (RBC)
- Logan Capital Management (RBC)
- Miller/Howard Investments (RBC)
- Schafer Cullen (RBC)
- The London Company* (RBC)

GLOBAL AND INTERNATIONAL EQUITIES

GLOBAL

- Brandes Investment Partners*
- Epoch Global Equity Yield
- Harding Loevner LP (RBC)
- Lazard Asset Management* (RBC)

INTERNATIONAL

- Brandes Investment Partners*
- Cambiar Investors (RBC)
- Del Rey Global Investors (RBC)
- Eagle Global Advisors (RBC)
- Hansberger Global Investors
- Harding Loevner LP (RBC)
- Lazard Asset Management* (RBC)
- Philadelphia International Advisors
- Thornburg Investment Management*
- Tradewinds Global Investors*
- WCM Investment Management*
- WHV Investment Management*

U.S. FIXED INCOME

TAXABLE FIXED INCOME

- BlackRock Asset Management*
- Cincinnati Asset Management*
- Delaware Investments*
- Madison Investment Advisors*
- McDonnell Investment Management*
- SeaCap Investment Advisors*

MUNICIPAL FIXED INCOME

- BlackRock Asset Management*
- Eaton Vance Management*
- McDonnell Investment Management*
- Nuveen Asset Management*
- RBC Global Asset Management*
- SeaCap Investment Advisors*

REITS

- INVESCO Managed Accounts*
- Lazard Asset Management (RBC)

PREFERRED SECURITIES

- Spectrum Asset Management*

MASTER LIMITED PARTNERSHIPS

- Miller/Howard Investments, Inc.

ASSET ALLOCATION

Global Asset Allocation

- First Trust Advisors* (RBC)
- Riverfront Investment Group*

SPECIALITY PORTFOLIOS

ETF MODEL PORTFOLIOS

- RBC Active Allocation Portfolios* (RBC)
- RBC Diversified ETF Portfolios* (RBC)
- RBC Multi-Asset Income ETF Portfolios* (RBC)

MUTUAL FUND MODEL PORTFOLIOS

- RBC Alternatives Portfolio* (RBC)
- RBC Diversified Income Portfolios* (RBC)
- RBC Dynamic Allocation Portfolios* (RBC)
- RBC Strategic Mutual Fund Portfolios* (RBC)
- Russell Model Strategies* (RBC)

PORTFOLIO ADVISORY GROUP

GUIDED PORTFOLIOS

- Guided Portfolio: ADR* (RBC)
- Guided Portfolio: Dividend Growth* (RBC)
- Guided Portfolio: Large Cap* (RBC)
- Guided Portfolio: Mid Cap 111* (RBC)
- Guided Portfolio: Prime Income - MLPs* (RBC)
- Guided Portfolio: Prime Income - MLP ETF* (RBC)

TACTICAL EXCHANGE TRADED

FUND PORTFOLIOS

- Alesco Advisors LLC* (RBC)
- Good Harbor Financial, LLC* (RBC) (W)
- Sage Advisory* (RBC)
- Tactical Allocation Group* (RBC)



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(RBC) denotes Traded by RBC Overlay Manager in Resource II

NETWORKING ELIGIBLE FUND FAMILIES

13D Activist	Dean Fund	JPMorgan	RBC Global Asset Management
361	Dearborn Partners	Keeley	Reaves Select Research
Abbey Capital	Delaware Investments	Kinetics	Redwood
Aberdeen	Deutsche Asset & Wealth Mngt	Kopernik	REMSGroup
Absolute Strategies	Diamond Hill Funds	Lateef Investment Management, L.P.	Rice Hall James
Advisory Research	Direxion Funds	Laudus Funds	RidgeWorth
AFBA Funds	Dodge & Cox	Lazard	RiverNorth Funds
Akre	Domini	Legg Mason	RiverPark Funds
Al Frank	DoubleLine	Leuthold	Roosevelt
Alger	Dreyfus	Liberty Street	Royce
AllianceBernstein	Driehaus	Litman Gregory Masters Funds	RS Funds
Allianz Funds	DunhamFunds	LKCM	Russell
Alpine	Eagle Funds	LoCorr Funds	Salient Funds
ALPS	Eagle MLP	Longboard Asset Management	Sandalwood
Altegris	Eaton Vance	Longleaf Partners	Saratoga
Amana	EIC Value Fund	Loomis Sayles Funds	Satuit Capital Management Trust
American Funds	Emerald	Lord Abbett	Schroder
American Beacon	Empiric Funds	Madison Funds	Schwab Funds
American Century Investments	Equinox Funds Trust	MainGate Trust	Schwartz
American Growth	Eventide Funds	MainStay	Scout
AMF	Evermore	Mairs & Power	SEI
AMG Funds	Fairholme	Manning & Napier	Selected Funds
Angel Oak	FAM	Marisco Investment Fund	Sentinel
Apex Capital Management	Federated	Matthews Asia Funds	Sierra Trust
API	Fidelity Advisors	MD Sass	Sit
Appleseed	First American	Merger	Snow Capital Funds
AQR Funds	First Eagle	Metropolitan West Funds	Stadion Funds
Aquila	First Trust	MFS	State Street Global Advisors (SSGA)
Arbitrage Fund	Firsthand Funds	Miller Investment	Sterling Capital Funds
Ariel Investments, LLC.	FMI Funds	Morgan Stanley	Stratton
Arrow Funds	Forward Funds	Muhlenkamp	Stringer
Artisan	FPA	Munder	SunAmerica
Aston	Franklin Templeton Investments	MutualHedge	Swan
Astor	Frontier	Nationwide	T. Rowe Price
Auer	Frost Funds	Natixis Funds	TCW
Aurora Horizons	Fund X	Neuberger Berman	TFS Capital Funds
Auxier Funds	Gabelli	New Alternatives	Third Avenue
Ave Maria Mutual Funds	GaveKal	Nicholas	Thomas White Funds
Baird	Geneva Advisors	Nuveen	Thompson IM Funds, Inc.
Baron Capital Group	Goldman Sachs	O'Shaughnessy Mutual Funds	Thornburg
BBH	Good Harbor	Oak Associates	TIAA-CREF Mutual Funds
Berwyn	Gotham	Oak Ridge Funds	Timothy Plan
BlackRock	Grandeur Peak Funds	Oakmark	Tocqueville
BMO Funds	Greenspring	Olstein	Touchstone
Boston Partners	Green Owl	OppenheimerFunds	Transamerica
Boston Trust & Walden Funds	Guggenheim Investments	Osterweis	Transparent Value Trust
BP Capital TwinLine	Guinness Atkinson	Pacific Advisor Funds	Turner Funds
Brandes	Harbor	Pacific Funds	Tweedy Browne
Bridgeway	Harding Loevner	Parnassus	UBS
Brookfield Investment Management	Hartford Mutual Funds	Pax World	USAA
Buffalo	Hatteras Funds	Paydenfunds	USA Mutuals
Burnham	Heartland	Pear Tree Funds	U.S. Global Investors
Calamos	Henderson Global	Perkins	Value Line
Caldwell & Orkin	Hennessy	Permanent Portfolio	Van Eck
Calvert Investments	Highland Funds	PIMCO	Vanguard
Cambiar Funds	Hodges	Pioneer Investments	Victory
Castle Investment Management	Hotchkis and Wiley	PMC Funds	Viking
Catalyst Mutual Funds	Huber Funds	PNC Funds	Virtus
Causeway	Hussman Funds	Polaris Funds	Voya
Cavalier Funds	ICON Funds	Polen Capital	Vulcan Value Partners
Center Coast	IMS	Poplar Forest Capital	Wasatch
Century Funds	Integrity	Portfolio 21	WCM Investment Management
Champlain Funds	Intrepid Funds	Praxis Mutual Funds	Weitz
Chase	Invesco	PRIMECAP Odyssey Funds	Wells Fargo Advantage
Cohen & Steers	ISI Funds	Princeton	Wentworth, Hauser And Violich
Colorado Bond Shares	IVA Funds	Principal Funds	Westcore
Columbia	Ivy Funds	Private Capital Management	Westwood
Conestoga Capital Advisors	Jacob	ProFunds	Whitebox Mutual Funds
CRA Qualified Investment Fund	JAG Capital Management, LLC	Provident	William Blair
Crawford	James Advantage	Prudential Investments	Wilmington Funds
Credit Suisse	Janus	Putnam	Wilshire Mutual Funds
Cullen Funds Trust	Jensen	Quaker	Wintergreen Funds
Davis Funds	John Hancock	Rainier	World Funds, Inc.

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