

ADVISOR CUSTODY & SECURITIES TRADING SERVICES

OVERVIEW

As an institutional custodian, Millennium Trust Company provides Investment Advisors with access to third party low-cost investment asset trading platforms and Millennium's full custody and administrative support. We provide no investment products and do not mandate any particular trading platforms, nor do we offer investment, tax, or legal advice. Simply put, we do not compete with you, but do provide all the services you need to be successful.

The ETF, equity, mutual fund and fixed-income trading platforms we make available are some of the most advanced, easy to use and cost-competitive in the investment industry and many of our Investment Advisory clients seamlessly blend mutual funds, ETFs, hedge funds and other alternative investments in their clients' portfolios. We support the most popular portfolio management systems, such as Orion, dbCams, PortfolioCenter, Advent-Axys, Captools and others. Millennium does not charge trading fees for mutual fund transactions, nor do we charge account opening or closing fees. Additionally, there are no early redemption platform fees; however, some mutual funds may have early redemption fees.

Active account management has never been easier. As a non-broker/dealer custodian, we provide custody for a broad and effectively non-restrictive menu of assets and versatile trading capabilities for IRA or taxable custody accounts, as well as 401(k), 403(b), Money Purchase Plans and Profit Sharing Plans that you may manage. Investment trading constraints are virtually non-existent and Millennium will custody both marketable securities and alternative investment assets in a single qualified or taxable client account when desired.

ACCOUNT CREATION AND MAINTENANCE

The opening and maintenance of client custody accounts are without account opening or termination fees, and with no "special" IRA account maintenance fees sometimes found with other custodians. Accounts of any size can be opened, and we are supportive of new and smaller Advisory firms in their early growth years.

QUARTERLY E-STATEMENTS OR PAPER STATEMENTS

We deliver statements electronically or via U.S. mail. In addition, at year-end we provide taxable account holders with

IRS Form 1099-B's as well as a Dividend & Interest Report plus an annual Gains & Losses Report for use in tax preparation. IRA account holders receive an IRS Form 1099-R, and we provide them with IRS Form 5498's in May of each year. Full copies of all client statements are delivered to the RIA via Internet or CD-ROM either quarterly or annually for the firm's own records.

ONLINE ACCESS

Clients can access their accounts at any time using an internet connection from any location. Logging in to their account, clients view current investment positions as well as historical information. RIA clients generally do not trade using this system but, for the Advisor, access to these same accounts allows both account viewing and online trading capabilities for almost all types of marketable securities.

CUSTODY OF "ALTERNATIVE INVESTMENTS"

Millennium is one of the few custodians that can hold alternative investments as well as traditional investments in a single custody account. As more and more investors add hedge funds, private placements, notes, real estate and similar investments to their portfolios, this integrated custody becomes more important.

CUSTODY OF MULTIPLE TYPES OF QUALIFIED ACCOUNTS

We hold a variety of client account types in addition to IRAs and taxable accounts. These include custody accounts for 401(k), 403(b), Money Purchase Pension Plan and Profit Sharing Plan trustees and participants. Since our systems can hold plan assets at the plan participant level, we can provide flexible data feeds and account integration to any plan's record keepers and third-party plan administrators for individual plan participant accounts.

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MASTER PORTFOLIO MODELING SUPPORT

One of our unique custodial strengths for Advisors is the creation, maintenance and allocation of master trading portfolios for mutual funds, ETFs and other equities and fixed-income investments. We refer to these accounts as omnibus trading accounts, and they allow you to obtain institutional level pricing and support for your individual client accounts. Not only do these models eliminate or reduce trading costs, they also decrease the amount of time the Advisor needs to manage client accounts by consolidating assets in trading activity and asset management.

PORTFOLIO REBALANCING SYSTEM

We have different ways for you to create trades for client accounts, and our portfolio rebalancing system provides advisors the most systematic way to manage the client's portfolio. You select the frequency of your rebalance and trades are automatically created. There is no added cost for this service.

NO TRANSACTION FEE MUTUAL FUND TRADING

There is no charge to trade mutual funds on the Matrix MSCS mutual fund platform, regardless of frequency, so mutual fund models or individual fund trades have no trading costs. The Matrix MSCS mutual fund trading platform contains more than 23,000 mutual fund tickers.

EQUITY TRADING CAPABILITIES

Because we are not a FINRA broker/dealer you are not constrained to a compulsory trading platform. You may trade on a variety of platforms and Millennium will DVP/RVP your trades into master custody accounts or individual client accounts. Additionally, we have trading relationships with firms such as Ceros (RFS), Inc., Institutional Trading Services, LLC,

ConvergEx Group, or WallachBeth, LLC for more sophisticated trading requirements. In many cases, we have pre-negotiated attractive institutional pricing for Advisors using these platforms.

FIXED INCOME TRADING & CUSTODY

Through our automated connection to Institutional Trading Services, LLC, you can review and choose bid's and offer's on thousands of corporate, municipal, treasury and agency bonds and notes, as well as bank CD's from across the country. You can design asset searches using ratings, maturities, call features and other criteria to fill unique client needs for investments in both the new issue and secondary markets.

DATA AGGREGATION SERVICES

We support client account data feeds and portfolio management support for Orion, dbCams, PortfolioCenter, Advent-Axys and Captools. RIA firms using Orion will find that they provide discounted pricing for Millennium RIA clients. We also have an extensive proprietary capability to map any client account data and electronically deliver this account data to any Advisor's proprietary portfolio management system. We can also provide GIPS Standard (CFA Institute) third-party portfolio analysis and benchmarking when required by Advisors at a nominal cost.

OUTSTANDING CLIENT SERVICE

Each Millennium Advisor is assigned a dedicated account administrator. This expert provides a more personalized and responsive level of service when compared to custody firms providing an 800-telephone number for service from their "next available operator". Over time, your Millennium administrator gets to know your particular needs and preferred ways of doing business, making your relationship with Millennium much more efficient and rewarding.



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COMPANY PROFILE

Millennium Trust Company is an industry leader in administrative and custodial services. Millennium custodies alternative and traditional assets in IRAs, Solo 401(k)s and custody accounts, offers cost-effective 403(b) solutions, creates customized Automatic Rollover programs, provides integrated Health Savings Account solutions and designs unique trading platforms for Investment Advisors.

Millennium Trust performs the duties of a custodian and, as such, does not provide investment advice or sell investments, nor offer any tax or legal advice.