



Verity Multi-Manager Exchange (VMX) Program Enrollment

280 S. Mangum Street | 550 Diamond View II | Durham, NC 27701
 Phone: (800) 247-6717 | Fax: (919) 489-8939

Account Holder: _____ SSN/TIN: _____ DOB: _____

Address: _____

E-mail: _____ Home Phone: _____ Other: _____

Identification: Driver's License # _____ Issue Date: _____ Expiration: _____

Witnessed by	Exception	Non-Documentary Verification	Date
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* Is the account holder employed by another broker/dealer or investment adviser? Yes No If yes, please state: _____

Management Fee	Household Value:	\$0 - \$249,999	0.70%	\$250,000 - \$499,999	0.65%
		\$500,000 - \$999,999	0.55%	Over \$1,000,000	0.45%

Allocation % Estimated \$ TCA Account Number: _____

Allocation %	Estimated \$	Tactical Allocation	No Minimum Investment
_____ %	_____ \$	Verity Conservative Total Return	Additional 10 basis point fee
_____ %	_____ \$	Verity Tactical All Asset	
		Asset Allocation-Mutual Fund Only	No Minimum Investment
_____ %	_____ \$	Verity Conservative Asset Allocation	
_____ %	_____ \$	Verity Balanced Growth	
_____ %	_____ \$	Verity Dynamic Growth	
_____ %	_____ \$	Verity Focused Growth	
		Passive / Active Allocation	\$10,000 Minimum Investment
		Additional 25 basis point fee on first \$200,000 in each First Ascent Model	
_____ %	_____ \$	First Ascent Global Explorer Series	Indicate for: _____ Tax Sensitive Series
		Circle Selected Series: 20 40 60 80 100	
		U.S. Equity	\$10,000 Minimum Investment
_____ %	_____ \$	Verity Domestic Equity Opportunity	
_____ %	_____ \$	Verity Multi-Cap Value	Additional 25 basis point fee
_____ %	_____ \$	Verity Small/Mid Cap Value	Additional 25 basis point fee
		Global Equity	\$10,000 Minimum Investment
_____ %	_____ \$	Verity International Equity & Income	Additional 30 basis point fee
		Income	
_____ %	_____ \$	Verity Opportunistic Income	Additional 25 basis point fee, \$5,000 minimum investment
_____ %	_____ \$	Verity Enhanced Income	\$50,000 minimum investment
_____ %	_____ \$	Verity Tax-Exempt Income	\$50,000 minimum investment
		Separate Account Strategies	
_____ %	_____ \$	Verity Dividend Builder	Additional 25 basis point fee, \$250,000 minimum investment
_____ %	_____ \$	Verity Bond Ladder	Additional 25 basis point fee, \$100,000 minimum investment
_____ %	_____ \$	Verity Capital Advisory Program	\$1,000,000 minimum investment
_____ %	_____ \$	Other Non-Modeled Assets	Additional 20 basis point fee, applicable first year only
100%		No Management Fee, 30 basis point platform fee applies	

Trade execution fees, where applicable, are not included in the above fee schedule. Trade execution fees are typically 0.95 cents per share, depending on traded volume. These fees do not apply to mutual fund trades.

Annuity Account Product / Model Name: _____ Investment Management Fee 50 basis points, annually

Advisory Fee Advisory Fee: _____ basis points, annually.

Investment Adviser Representative Signature _____ Date _____ Investment Adviser Representative Name _____

Accepted by Verity Asset Management
 Review Principal:

RIA Firm Name _____ Phone Number: _____