

DATE: Tuesday, June 25, 2024

FROM: Equity Advisor Solutions

SUBJECT LINE: The Transition to ETC Brokerage Services: Investor Letters



Dear Valued Advisor,

Last week, a member of our team reached out to a primary contact at your firm to provide important details regarding your upcoming transition to ETC Brokerage Services (“ETCB”). ETCB transitioned to self-clearing in March 2024. This change enables us to enhance the products, services, and support we offer to you.

The scheduled date for your investors’ transition is July 27, 2024. On this date, ETCB will facilitate the transfer of your investors’ accounts from Equity Trust Company and Axos Clearing LLC (“Axos”) to ETCB.

For your convenience, we have provided links to sample letters that your investors can expect to receive in the mail shortly:

- [ETC Resign and Appoint Letter](#)
- [ETCB Initial Notice to Investors related to the Conversion](#)

As we move forward with this transition over the next 30+ days, we remain dedicated to keeping you and your investors informed and supported. Anticipate more information to follow this week.

We are excited to advance our firm's growth and development and deeply appreciate your partnership on this journey.

Should you have any questions, please reach out to your Relationship Manager.

Sincerely,
Equity Advisor Solutions

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