

Status

If Client has selected the IMS Gateway, IMS Flex Choice, IMS Unified Choice, IMS Portfolio Choice, IMS Prime or IMS Access programs, Avantax Advisory Services provides its Investment-Related Services to the Plan in its capacity as an investment adviser registered with the U.S. Securities and Exchange Commission (SEC) under the Investment Advisers Act of 1940, as amended (Advisers Act), and as a fiduciary within Section 3(21) under the Employee Retirement Income Security Act of 1974 ("ERISA"), as amended. If the Client has selected the IMS Select Portfolios, AAS represents that the investment management services under this Agreement will be provided by AAS as an investment adviser registered under the Investment Advisers Act of 1940, as amended (Advisers Act), and as a fiduciary within Section 3(38) under the Employee Retirement Income Security Act of 1974 ("ERISA"), as amended. Avantax Investment Services provides its brokerage services and certain other Investment-Related Services in its capacity as a registered broker-dealer.

Direct Compensation Payable to the Firm from the Plan

Client Fee. The annual Client Fee for the services provided on behalf of Client is provided in the Statement of investment Selection (SIS). The net amount due is payable to Avantax Advisory Services in quarterly installments in advance. The amount



financial professional to grow their business, but they are not conditional upon any specific products or types of investments being offered or sold to clients. In addition, Avantax may also provide acquisition financing to financial professional firms to help them purchase other firms outside the Avantax network. This creates an incentive for financial professionals to remain affiliated with Avantax based solely on their ability to obtain acquisition financing and not on our ability to meet the needs of your financial professional and his or her clients.

Compensation for Termination of Services

The Firm expects to receive the Retirement Termination Fee of \$125 in connection with the termination of its Investment-Related Services on behalf of the Plan. In addition, the client will be charged the Retirement Account Fee of \$50 unless that fee has already been paid for the year.

Certain retirement plan accounts setup on the NFS brokerage platform are created under the registration type of Non-prototype which is not classified as a retirement account by NFS. Therefore the termination fee associated with these Non-prototype plans is not subject to the Full Retirement Termination Fee described above. However these Non-prototype plans may still be subject to a Full TOA Delivery Fee of \$125 if a complete transfer and delivery of assets out of the NFS account occurs as a result of termination.

Manner of Receipt of Compensation

Avantax Investment Services receives fees for maintaining Client's brokerage account. The amount of any fees for maintaining Client's brokerage account will be deducted directly from the assets in its brokerage account.

With regard to any annual 12b-1 fees and Shareholder Service Fee payable from the Funds to Avantax Investment Services, such amounts will be deducted directly from the Fund's assets automatically. AAS credits the mutual fund 12b-1 fees it receives back to the client accounts paying such 12b-1 fees. Any revenue sharing payments made to Avantax Investment Services by a Fund Manager are paid directly from the Fund Manager's own separate assets and are not deducted from the Fund's assets or the Plan's account.



