



national Advisory Platform

National's advisory platform provides you the flexibility to manage assets on a discretionary basis for your clients. Powered by Envestnet, the platform supports portfolio construction and management as well as turnkey solutions.

The integrated functionality of the platform makes managing your business easy, as it offers automated account monitoring, drift alerts, rebalancing tools and an archive for your action plans and communications. Your clients will have access to an array of investment choices, including third-party-managed mutual funds and ETF portfolios as well as separately managed accounts that have been vetted through a rigorous due diligence process.

Advisory Programs

Unified Managed Accounts (UMA)

Construct a portfolio of SMAs, strategists, mutual funds and/or ETFs from our approved list of funds and portfolios. Transaction fees can be wrapped or paid for by either the financial advisor or the client.

Fund Strategist Portfolios (FSP)

A turnkey advisory program with portfolio construction and fund selection provided by third party managers. Transaction fees can be wrapped or paid for by either the financial advisor or the client.

Advisor-as-Portfolio Manager

Manage client assets using stocks, bonds, mutual funds and ETFs. Transaction fees can be wrapped or paid for by either the financial advisor or the client.

Separately Managed Accounts (SMA)

Select a separately managed account strategy from our approved list of money managers. Transaction fees are included in the wrap fee.



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800-832-6084

Securities offered through
National Securities Corporation (NSC), Member FINRA/SIPC.

Advisory services provided through
National Asset Management, Inc (NAM), an SEC Registered Investment Adviser.

Fixed Insurance products offered through
National Insurance Corporation (NIC).

Advisory Programs Fee Structure



Unified Managed Accounts (UMA)

Account Minimum = \$150,000

Client Fee =	Advisory Fee	SMA Mgr. Fee	Execution Fees ¹	
	FA Fee + Sponsor Fee	For SMA Only	Wrap Fee ² Paid by Client	OR Transaction Fee Paid by Client or FA
	FA Fee + 0.23%	Varies by manager	First \$1M 0.12% Next \$1M 0.08% Next \$3M 0.06% Over \$5M 0.05%	Equities/ETFs \$6.95 Bonds \$15.00 Mutual Funds \$10.00 Options \$6.95+

¹ Represents fees for National Financial Services (please inquire about fees for alternative clearing and custody firms)

² Wrap fee minimum annual account fee = \$175

Fund Strategist Portfolios (FSP)

Account Minimum = \$5,000 - \$50,000

Client Fee =	Advisory Fee	Execution Fees ¹	
	FA Fee + Sponsor Fee	Wrap Fee ² Paid by Client	OR Transaction Fee Paid by Client or FA
	FA Fee + 0.05% - 0.55%	First \$1M 0.10% Next \$1M 0.08% Next \$3M 0.06% Over \$5M 0.05%	Equities/ETFs \$6.95 Bonds \$15.00 Mutual Funds \$10.00 Options \$6.95+

¹ Represents fees for National Financial Services (please inquire about fees for alternative clearing and custody firms)

² Wrap fee minimum annual account fee = \$100

Advisor-as-Portfolio Manager

Account Minimum = \$25,000

Client Fee =	Advisory Fee	Execution Fees ¹		Account Fee
	FA Fee + Sponsor Fee	Wrap Fee ² Paid by Client	OR Transaction Fee Paid by Client or FA	Paid Annually By Client or FA
	First \$500k FA Fee + 0.10% Next \$500k FA Fee + 0.05%	First \$500k 0.15% Next \$500k 0.10% Over \$1M 0.06%	Equities/ETFs \$6.95 Bonds \$15.00 Mutual Funds \$10.00 Options \$6.95+	\$75.00

¹ Represents fees for National Financial Services (please inquire about fees for alternative clearing and custody firms)

² Wrap Fee includes 120 trades per year--Transaction Fee schedule applies to trades 121+. Wrap Fee Minimum Annual Account Fee = \$150

Separately Managed Accounts (SMA)

Account Minimum = \$100,000

Client Fee =	Advisory Fee	Manager Fee	Execution Fees ¹
	FA Fee + Sponsor Fee		Wrap Fee ² Paid by Client
	FA Fee + 0.25%	Varies by manager	<u>Equities</u> First \$500k 0.15% Next \$500k 0.08% Next \$1M 0.07% Next \$3M 0.06% Over \$5M 0.05%

¹ Represents fees for National Financial Services (please inquire about fees for alternative clearing and custody firms)

² Wrap Fee option only available for Private Managers program; no trade limits. Wrap Fee Minimum Annual Account Fee = \$300