

# Global Steward Advisors, LLC

## Investment Advisory Agreement

This investment advisory agreement (hereinafter referred to as the "Agreement") is made and entered into this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_ by and between Global Steward Advisors, LLC a Registered Investment Advisor (hereinafter referred to as "Advisor") whose offices are located at 24(B) East Roseville Road, Lancaster, PA and \_\_\_\_\_ hereinafter referred to as "Client") residing in (*city and state*):

WHEREAS, Advisor is registered with the Pennsylvania Department of Banking and Securities under the Pennsylvania Securities Act of 1972 as an investment advisor, and:

WHEREAS, Advisor specializes in Portfolio Review and Management utilizing certain management strategies and Client wishes to retain Advisor to act as his investment advisor with regard to such Portfolio Management in accordance with the terms and conditions of this agreement.

NOW THEREFORE, in consideration of the foregoing and the mutual promises set forth below, Advisor and Client agree as follows:

Client shall deposit with a financial service firm those certain funds of Client (such funds are hereinafter referred to as "managed assets"). Client may at any time deposit additional funds so as to increase the managed assets of Client. Client may also withdraw managed assets after proper notice to Advisor. Client's managed assets will at all times, be held solely in the Client's name by said financial service firm and require Client's authorization for withdrawal. Once Client deposits the managed assets with financial service firm and all applicable applications have been completed, received, accepted and processed by Advisor and financial service firm, Client's managed assets will be placed under management with Advisor's liability to Client for failing to place Client's managed assets into any managed account shall be limited to amount of fees paid to Advisor.

Client shall receive copies of all account transactions and monthly account statements directly from financial service firm performing the transaction.

Client grants to Advisor the power and authority to make transactions with prior client consent

prior client consent by utilizing the portfolio management strategy selected below:

- Global Steward ETF
- Global Steward Account

Client recognizes that there is no assurance as to the ability of Advisor to accomplish personal investment objectives or that specific securities selected will achieve investment objectives. Furthermore, there can be no assurance of the accuracy or timeliness of Advisor's buy and sell signals, and that any market losses resulting from specific securities selection, or timing of such buy and sell signals are normal market risks and the risk of the Client. Client further acknowledges that past performance of Advisor should not be construed as an indication of future results, which may prove to be better or worse than the past. Advisor makes no promises, representations or warranties that any of Advisor's services will result in a profit to Client. Advisor may rely on information furnished to it which is reasonably believed to be accurate and reliable, and Advisor shall not be held accountable nor liable for any loss suffered by Client.

Client shall pay advisor for its managed account services an annual fee based upon the gross value of the managed assets of Client without regard to liabilities, in accordance with the schedule set forth below. Each of the Client's Accounts managed by Advisor shall be covered by a separate Agreement. However, the sum of Client's managed accounts may be used to determine qualification for discounted fees.

### **Fees will be charged as follows:**

Payment of fees for Managed Accounts will be in monthly installments, paid at the end of each period based upon the average closing balance of managed assets in the Client's Account at the end of each of the previous period. Payments will be deducted from Client's Account, unless acceptable billing arrangements are made, at which time payments are required within 15 days of monthly billing by Advisor.

The Fee will be at the percentages shown on the following page applied to the average daily balance of managed assets for the period preceding the date of billing.

**2021 Global Steward Fee Schedule**

<b>NET ASSETS</b>	<b>PERIODIC FEE</b>
Up to \$ 149,999	.215%
\$ 150,000 to \$ 299,999	.190%
\$ 300,000 to \$ 499,999	.160%
\$ 500,000 to \$ 749,999	.135%
\$ 750,000 to \$ 999,999	.120%
\$1,000,000 to \$ 1,499,999	.10%
Over \$1,500,000	neg.%

The monthly fee being charged, as of the signing of this Agreement is \_\_\_\_\_%.

For the purposes of this agreement, the value of the securities contained in the managed assets of Client shall be calculated at the closing price provided at the end of each business day.

(6) This agreement may be terminated by either party at any time by sending to the other party, by regular U.S. mail, notice of termination to the address set forth below. This agreement shall be deemed terminated at the close of the business day following Advisor's receipt of the notice through the U.S. mail. In the event Client terminates this agreement prior to any billing date, fees will be charged based on the average daily balances of managed assets for the number of days Client utilized Advisor's

The federal and state securities laws impose liabilities under certain circumstances on persons who act in good faith and therefore, nothing contained in this agreement shall constitute a waiver or limitation of rights that a client may have under federal and state securities laws. If Form ADV Part II is not received by client at least 48 hours to signing a contract, client has 5 business days to cancel the contract without penalty.

IN WITNESS HEREOF, the parties hereto have executed this Agreement as of the day and year first above written.

_____		_____	
Owner Name		Joint Owner Name	
_____		_____	
Signature	Date	Signature	Date
Mailing Address			
_____		Phone: _____	
_____		E-Mail: _____	
This account has been introduced by: _____			
Accepted by Global Steward Advisors, LLC _____ Date:_____			

Advisor's managed investment account services during the period, calculated from the day the Client initially deposited the managed assets or the date of the end of the previous billing period. Any securities positions will be liquidated and converted to cash. Client will receive an invoice showing the fee charged, time period covered and amount of assets on which fee was based.

This agreement may not be assigned by Advisor to any person, firm or corporation without the written consent of Client.

Any controversy arising out of or related to this Agreement including any claim of recession thereof, shall be settled by arbitration in accordance with the rules then obtaining of the American Arbitration Association, and judgment upon the award rendered may entered in any court having jurisdiction. Client is not waiving any rights under federal and / or state law including the right to choose the forum whether arbitration or adjudication in which to seek resolution of disputes. The federal and state securities laws impose liabilities under certain circumstances on persons who act in good faith and therefore, nothing contained in this agreement shall constitute a waiver or limitation of rights that a client may have under federal and state securities laws.

*Client acknowledges that he or she has read and understands the foregoing Agreement and that he or she has received a copy hereof  
 Client further acknowledges receipt of disclosure statement as required by Rule  
 275.204-3 of the Rules and Regulations under the Investment Act of 1940.*

# GSA Suitability

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Securities regulations require that we collect the following information. For joint accounts, please include combined amounts.

Overall Investment Objective:

- Capital Preservation: minimize the potential for any loss of principal
- Income: Provide current income as a priority over growth of principal
- Growth: Increase investment value over time while accepting price fluctuations
- Speculation: assume the highest degree of risk for potentially higher returns

Investment Experience:

- Excellent
- Good
- Limited
- None

Household Annual Income:

- \$200,000 and above
- \$100,000—\$199,999
- \$50,000—\$99,999
- \$50,000 or less

Approximate Net Worth (excluding residence)

- \$1,000,000 and above
- \$500,000—\$999,999
- \$100,000—\$499,999
- \$100,000 or less

Approximate Liquid Net Worth:

- \$1,000,000 plus
- \$200,000—\$499,999
- \$50,000—\$99,999
- \$500,000—\$999,999
- \$100,000—\$199,999
- \$49,000 or less

My Portfolio Risk Number (if available) \_\_\_\_\_

Signature: \_\_\_\_\_ / \_\_\_\_\_