

<u>FIRM NAME</u>	<u>COMPETE</u>	<u>ADVISORS</u>	<u>ACCOUNTS</u>	<u>CLEARING</u>	<u>REVENUE SOURCES</u>	<u>SUMMARY OF TERMINATION PROTOCOL</u>
CHARLES SCHWAB	YES	7,000	32M	SELF	FEES, ORDER ROUTING, NET INTEREST	SAME DAY TERMINATION. RIA AND ACCOUNT HOLDER NOTIFIED ON SAME DAY. SEE WEB SITE FOR MORE INFORMATION
FIDELITY	YES	UNKNOWN	7.5M	SELF	FEES, ORDER ROUTING, NET INTEREST	REACHED OUT TO FIDELITY ON 7-21-21, VIA PHONE AND EMAIL
INTERACTIVE BROKERS	YES	4,500	1.3M	SELF	FEES, ORDER ROUTING, NET INTEREST	REACHED OUT TO VARIOUS INDIVIDUALS, AND GATHERED INFO OFF THE WEB SITE. SENT EMAIL TO CORPORATE OFFICE TO VERIFY
PERSHING	NO	750		SELF		FILLED OUT 2 CONTACT REQUESTS VIA THE WEB SITE
RBC CLEARING AND CUSTODY	YES			SELF		REACHED OUT TO CORPORATE OFFICIALS ON 7-9-2021
SEIC	YES			SELF		REACHED OUT TO CONTACT THROUG WEB SITE ON 7-21-2021
TD AMERITRADE	YES	6,000	11M	SELF	FEES, ORDER ROUTING, NET INTEREST	SPOKE WITH SEVERAL TERMINATED RIA'S THAT SAID TD ALLOWED THEM TIME TO MIGRATE CLINETS OFF THE PLATFORM AND DID NOT CONTACT THEIR CLIENTS.