



**Brokerage Products and Services**

Do you offer cash accounts? Margin?	Yes, we offer cash accounts. Yes, we offer margin accounts, but they are limited to eligible accounts and securities.
What kinds of accounts do you offer?	Individual and Joint, Custodial, Estate and Trust, Partnership, Limited Liability Companies, Corporate and Small Business, Charitable Institutions, Foundations, Endowments, Individual retirement accounts and other types of retirement accounts (i.e. - IRA, ROTH IRA, SEP IRA, SIMPLE IRA), Qualified Plans (401k), 529 Plans, Delivery Versus Payment (DVP)
Are there minimums and other requirements to open/maintain an account?	No, there is no account minimum to open an account. There is no minimum to maintain an account as long as there is a balance to cover applicable fees. Wealth Managers may establish and orally disclose their own minimum account balance requirements.
What are the services that you provide?	Execute purchases and sales on your behalf, and as directed by you. Incidental services including recommendations on investment strategy, buy/sell/hold on individual investments and/or disseminating research reports. Other information services or resources include educational resources, sales and marketing materials, performance reports, goals-based planning, asset allocation guide and/or periodic brokerage account reviews.
Do you monitor my account(s)?	No. We do not monitor retail investors' investments. You are responsible for monitoring your investments.
What kinds of investments do you offer?	Stocks, Rights, Warrants, Secondary Market Closed Funds (CEFs) and Exchange Traded Products (ETPs), Options, Debt Securities, Mutual funds, Annuities, Market-linked Investments, Life insurance, Unit Investment Trusts (UITs), Structured Products. We do not offer proprietary investments.
Who has investment authority in my accounts?	Investor makes the decision regarding the purchase / sale / hold of the investment(s).

For more information, please refer to Steward Partners Investment Solutions, LLC - [Regulation Best Interest Disclosure](#).  
Form CRS

**Investment Advisory Services**

Do you offer cash / margin accounts?	Yes, we offer cash accounts. Yes, we offer margin accounts, but they are limited to eligible accounts and securities.
What kinds of accounts do you offer?	Individual and Joint, Custodial, Estate and Trust, Partnership, Limited Liability Companies, Corporate and Small Business, Charitable Institutions, Foundations, Endowments, and Donor Advised Funds, Individual retirement accounts and other types of retirement accounts (i.e. - IRA, ROTH IRA, SEP IRA, SIMPLE IRA), Qualified Plans (401k)
Are there minimums and other requirements to open/maintain an account?	Yes. We require a minimum new advisory account opening value of \$25,000 while other advisory fee programs have higher minimums. There is no minimum to maintain an account as long as there is a balance to cover applicable fees. Wealth Managers may establish and orally disclose their own minimum account balance requirements.
What are the services that you provide?	Investment Advisory Programs, Portfolio Management Services, Comprehensive Financial Planning Services, Financial Consulting Services, Pension Consulting Services
Do you monitor my account(s)?	Yes. We monitor retail investors' investment advisory accounts.
What kinds of investments do you offer?	Stocks, Rights, Warrants, Secondary Market Closed Funds (CEFs), Exchange Traded Products (ETPs), Options, Debt Securities, Mutual funds, Market-linked investments, Unit Investment Trusts (UITs), Variable Life Insurance, Variable Annuities, Third Party Investment Adviser
Who has investment authority in my accounts?	It depends on the type of Portfolio Management Services you select. You may grant investment authority at the beginning of the relationship to select the identity and amount of securities to be bought or sold that is consistent with your stated investment objectives. We are granted a limited power of attorney and are limited by our standard agreement and agreed-upon investment guidelines. The agreement allows us to manage your portfolio. Your portfolio guidelines cover restrictions on securities that can be bought and sold, portfolio objectives and portfolio asset allocation requirements.

For more information, please refer to:  
Steward Partners Investment Advisory, LLC - [Form ADV Part 2A – Firm Brochure](#) OR  
Steward Partners Investment Solutions, LLC - [Form ADV Part 2A – Firm Brochure](#)

Securities and investment advisory services offered through Steward Partners Investment Solutions, LLC, registered broker/dealer, member FINRA/SIPC, and SEC registered investment adviser. Investment Advisory Services may also be offered through Steward Partners Investment Advisory, LLC, an SEC registered investment adviser. Steward Partners Investment Solutions, LLC, Steward Partners Investment Advisory, LLC, and Steward Partners Global Advisory, LLC are affiliates and separately operated.

Securities, insurance products and investment advisory services are: • **NOT** FDIC Insured • **NOT** Bank Guaranteed • and **MAY** Go Down In Value.