

Financial and Insurance Overview

- The Tennessee Department of Financial Institutions (“TDFI”) granted Advocacy Trust LLC (“Advocacy Trust”) a trust charter after an extensive review of the company. Other safeguards include:
 - TDFI imposes minimum capital requirements and can require Advocacy Trust to raise additional capital, if warranted. Advocacy Trust’s net capital position currently stands in excess of \$4 million.
 - TDFI periodically examines Advocacy Trust and requires it to file certain quarterly reports in order to monitor risks to their safety and soundness standards.
 - Advocacy Trust is required to file an annual report with the Tennessee Secretary of State with whom the company maintains a “Good Standing” ranking.
 - Advocacy Trust’s financial results and internal controls are audited on an annual basis by the accounting firm Dansa D’Arata Soucia LLP.
 - All trust assets under administration at Advocacy Trust (currently over \$1.5 billion) are held in custody at the Reliance Financial Corporation (an FIS Company), one of the nation’s largest trust companies. If a Tennessee chartered trust company using Reliance to custody assets should ever have an issue, all trust assets will remain untouched and unaffected, and a new corporate trustee will be immediately appointed by TDFI to succeed the company and manage the assets.
 - Advocacy Trust maintains significant errors and omissions insurance coverage to provide our trust clients with an additional layer of protection from any possible loss to their account. In addition, Reliance Financial Corporation maintains extensive insurance coverage, as well.
- Some additional information about the company includes:
 - Advocacy Trust maintains custody and processes all of its business through Reliance Financial Corporation, a \$100 billion + trust operating platform (“Reliance Financial Corporation - SSAE 16 Report” is available upon request);
 - Reliance Financial Corporation maintains insurance coverage up to \$15 million per incident (“Reliance Financial Corporation - Insurance Summary” is available upon request);
 - Advocacy Trust maintains various insurance policies (including Errors and Omissions) providing extensive coverage through Advocacy Inc. (“Insurance Binder” is available upon request); and
 - The State of Tennessee requires that Advocacy Trust maintain adequate net capital levels, which it does. (Tennessee Secretary of State “Letter of Good Standing for Advocacy Trust LLC” is available upon request).

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