

FROM: AVANTAX INVESTMENT SERVICES (e-notification@mail.mybrokerageinfo.com)

DATE: NOVEMBER XX, XXXX

SUBJECT: ACTION REQUESTED: CONSENT TO ELECTRONIC DELIVERY



Please consent to electronic delivery of account documents

Dear John Smith,

AVANTAX INVESTMENT SERVICES would like to provide you the opportunity to receive your brokerage account documents electronically instead of via U.S. mail.

By consenting to electronic delivery below, you will be able to view and download the following documents electronically and will no longer receive paper documents via U.S. mail:

For Account (XXXXX1234):

Eligible Letters, Statements, Trade Confirms, Prospectuses, Financial Reports and Other Documents, Tax Forms and Related Disclosures, Quarterly Performance Reports

With electronic delivery, you will be notified when these documents are available online via emails to: JohnSmith@JohnSmith.com. These emails will provide a link to <https://www.avantaxwealthmanagement.com/login/>, where you can view your documents.

Next Steps

To enroll in the electronic delivery program and begin receiving documents electronically, please complete the following two steps:

1. Read the Electronic Delivery Agreement below.
2. Click the "I Agree" link below, thereby acknowledging your

enrollment in the electronic delivery program and your consent to the terms of the electronic notification agreement set forth below. By agreeing, you understand and agree that you will need to establish a username and password to access these documents electronically. If you do not want to participate in electronic delivery, you can ignore this email and no changes will be made to your delivery preferences.

I Agree

Please do not respond to this email; the mailbox is not monitored. If you have any questions, please contact AVANTAX INVESTMENT SERVICES at 972-870-6000.

Electronic Delivery Agreement

To receive electronic notification that documents are available for you to view online in an electronic format rather than receiving paper documents through U.S. mail, you must confirm your consent by reviewing and agreeing to the terms and conditions of this Electronic Delivery Agreement and by clicking "I Agree."

Please be sure to read this Electronic Delivery Agreement in its entirety, as it contains important information that is provided to you as required by law.

Currently, certain documents are not included in the electronic notification program and will continue to be delivered to you via U.S. mail. However, in the future some or all of these documents may be made available for you to view online in accordance with this Electronic Delivery Agreement.

If at any time after consenting to the electronic notification program you want to receive a paper copy of a document made available to you for online viewing, you will need to request such paper copy from your broker-dealer and/or its agents, who may charge you a fee for such copy.

Notification of Availability of Documents

Your broker-dealer, its clearing firm National Financial Services LLC (NFS), or their respective designees or agents will notify you by email or other electronic means when an account statement, possibly with related inserts, trade confirmation and related prospectuses, or other documents are available for online viewing. If you elect to receive shareholder reports (including prospectuses) and other documents, documents may include communications from issuers and other third parties. These documents include, but are not limited to, prospectuses (except prospectuses related

to trade confirmations, which must be individually selected), periodic shareholder reports, proxy statements, and other legal and regulatory notices and documents. If you select to receive third-party quarterly performance reports, documents may include performance reports and regulatory notices, such as privacy policies and other required disclosures, and other documents from third parties. If any documents are not made available electronically, you will receive the printed documents. If you select to receive statements and related inserts, inserts may include, but are not limited to, marketing documentation and documentation required to be provided to you pursuant to regulatory rules, such as privacy policies and other important information regarding your account. Your broker-dealer and NFS are not responsible for the content or accuracy of any documents created or prepared by third parties.

Accessing Documents

The electronic notification you receive will include a link or Internet address (URL) where the document(s) can be accessed, viewed, and printed, and you will be provided with instructions on how to access these documents.

In the future, you will receive instructions on how to access these documents or other documents if they become available in a different location.

If you have difficulty viewing documents electronically, you will need to contact your broker-dealer and/or its agents to have them address any such issues.

If you have provided a correct email address of record and you experience difficulty in receiving the email notification electronically, you may need to contact your Internet service provider for further assistance.

Changing Selections or Revoking Consent

You may revoke your consent to receive electronic notification or change your document delivery preferences at any time. Please note that there may be a short delay before your revocation is implemented.

Unless revoked by you, your consent to receive electronic notification is effective until further notice by your broker-dealer, its clearing firm NFS, or their respective agents. Your broker-dealer, its clearing firm NFS, and/or their respective agents reserve the right to revert any documents you have chosen to view online to paper delivery at any time.

You may revoke your consent, change or verify your preferences, and update your email address of record by visiting <https://www.avantaxwealthmanagement.com/login/>. Please note that if you

revoke your election(s), this will result in such document(s) being mailed to you in paper form through the U.S. mail and

you will no longer receive electronic notification when new documents are available to be viewed online.

Accounts in a Household

If you, as part of a household, have consented to electronic notification, such documents will be available online only and will no longer be included in the envelope containing any other household documents you currently receive through U.S. mail.

However, the account values for all household accounts will continue to be provided on the Consolidated Summary of Accounts statement, which will continue to be provided via U.S. mail and online. In the event that all accounts in the household choose electronic notification, then documents will be provided electronically, including the Consolidated Summary of Accounts statement.

Please note that if you are part of a household that has consented to electronic delivery of some or all documents and at some point in the future an account or transaction that is excluded from electronic delivery is associated with the household, this may cause your entire electronic delivery election to be revoked.

Combined Statements

If you have elected to receive a combined statement, including both your brokerage account information and your bank account information (whether through your broker-dealer, investment representative, or bank representative), by consenting to electronic notification, herein, you are consenting to view your combined statement through the Internet at the Internet address (URL) provided by your broker-dealer. You will no longer receive paper copies of your bank or brokerage account statement by U.S. mail.

Email Address of Record for Accounts with Joint and/or Multiple Owners

We have this email address on file as the email address of record on the account(s) associated with an account owner. Only one account owner's authorization is required to enroll in or initiate electronic notification. The email address of record will be the only email address to which electronic notification will be sent when documents are available for viewing. The email address of record must be the email address of an account owner who has authority to make transactions and act on behalf of the account.

Interested Parties

If you have designated one or more interested parties to receive copies of your account statements, trade confirmations, or other documents, they will continue to receive copies of such documents via U.S. mail.

Information on Systems Requirements

To participate in the electronic notification program, you must have a valid email address on record and Internet access via a browser that is JavaScript-enabled. Your Internet service provider may apply a charge. Documents are available at the URL provided in Portable Document Format (PDF). In order to access PDF documents, you must have Adobe® Acrobat Reader® software. This software is available for download at no cost at www.adobe.com. Downloading time may be slow.

In the event that any documents exceed the maximum data capacity for online viewing and are unable to be provided to you in an electronic format, your broker-dealer, its clearing firm NFS, and/or their respective agents will revert such documents you have chosen to view online to paper delivery. You will continue to be enrolled in the electronic notification program and, when possible, future documents will continue to be provided to you electronically. In the event, however, that it is not feasible or possible to make future documents available for you to view online, your broker-dealer, its clearing firm NFS, and/or their respective agents reserve the right to unenroll you from the electronic notification program at any time and revert any documents you have chosen to view online to paper delivery.

If you do not have the ability to access, print, and/or retain PDF documents, do not consent to this Electronic Delivery Agreement. By electing to participate in the electronic notification program, you confirm that your personal computer is equipped with Adobe Acrobat Reader and that you have the ability to access, print, and/or retain PDF documents.

Acceptance and Consent

To consent to the terms of the electronic notification program as described above, please read the following statement carefully before acceptance:

I have read, understand, and agree to be bound by the terms and conditions described above. By clicking the "I Agree" button in this email, I consent to receive electronic documents according to the process described above. I understand that I may incur costs, including, but not limited to, online time and other charges from my Internet service provider, in accessing and/or viewing such document(s).

I understand and agree that (i) certain documents will continue to be delivered to me via U.S. mail that are not included in the electronic notification program and that in the future some or all of these documents may be made available for me to view online in accordance with this Agreement; (ii) my consent to view documents electronically does not automatically expire and is not limited as to duration; (iii) my broker-dealer, its clearing firm NFS, and/or their respective designee or agents may revoke my participation in the electronic notification program at any time at their discretion; (iv) neither my broker-dealer, its clearing firm NFS, nor their respective agents will be liable for any loss, liability, cost, expense, or claim for acting upon this authorization or arising from my use of the products or services provided pursuant to this Agreement; (v) by selecting electronic delivery of shareholder reports (including prospectuses) and other documents, I understand that my selection constitutes a global consent for all future account documents (not including trade confirms and confirming prospectuses) and revocation of my consent will result in revocation of electronic delivery for all documents covered by the global consent; and (vi) inserts that may be provided along with my account statements contain important information or disclosures concerning my account and I agree to review such inserts in a timely manner.

Do not reply to this email message, as it was automatically generated.

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Your Broker Dealer is independent and unaffiliated with National Financial Services LLC.

Fidelity Clearing & Custody Solutions® provides clearing, custody, or other brokerage services through National Financial Services LLC or Fidelity Brokerage Services LLC, Members NYSE, [SIPC](#).

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