

Guidelines for Acceptable Assets

Investment Vehicle	Structure	To determine acceptability*	Additional Requirements
Private Equity	<ul style="list-style-type: none"> ▪ C Corp Common ▪ Preferred Stock ▪ Convertible Preferred ▪ Warrants ▪ S Corp (can only be held in non-retirement accounts) 	<ul style="list-style-type: none"> ▪ Copy of the Stock Certificate, or the Prospectus or Offering Memorandum 	<ul style="list-style-type: none"> ▪ Company must issue a negotiable certificate
Private Investment Funds and Hedge Funds	<ul style="list-style-type: none"> ▪ Registered Limited Partnership (RLP) ** ▪ Private Limited Partnership (PLP) 	<ul style="list-style-type: none"> ▪ Copy of Limited Partnership Agreement filed with the state or SEC ▪ Limited Partner's Confirmation, Acknowledgement and Letter of Undertaking (PLP Only) 	
	<ul style="list-style-type: none"> ▪ Limited Liability Company (LLC) 	<ul style="list-style-type: none"> ▪ Copy of Limited Liability Company Agreement filed with the state or SEC ▪ Limited Liability Company Confirmation, Acknowledgement and Letter of Undertaking 	
Debt Instruments	Promissory Notes	<ul style="list-style-type: none"> ▪ Copy of the Promissory Note Certificate 	<ul style="list-style-type: none"> ▪ Must be issued by an entity, not an individual. ▪ Notes cannot be backed by real property. ▪ Must issue a negotiable certificate.
	Private Bonds (Includes State of Israel Bonds and Church Bonds)	<ul style="list-style-type: none"> ▪ Copy of the Bond certificate 	<ul style="list-style-type: none"> ▪ Must be issued by an entity, not an individual. ▪ Must issue a negotiable certificate.

Unacceptable Assets:

- Deeds of Trust
- Futures
- Commodities
- Real Estate
- Mortgages
- Tax Lien Certificates
- Non-Schwab Annuities
- Non-DTC eligible CD's
- Insurance Policies

* Schwab, at its discretion, may not accept all alternative investments

See "Instructions for Purchase and Transfer" for forms your client needs to complete for purchase or transfer of assets.

** Registered Limited Partnerships that are not part of Alternative Investment Source are still limited to retirement accounts only.

*MAM Wealth Management and its Financial Advisors do not offer tax advice. Individuals should consult their personal tax advisor before making any tax-related investment decisions."

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