

Reporting Capabilities:	TAG	Other
You have the right to a quarterly statement that is accurate and understandable.	✓	
You have the right to a quarterly performance statement that shows the performance for your portfolio over multiple periods of time.	✓	
You have the right to a quarterly performance statement that shows your returns net of all fees.	✓	
You have the right to quarterly personal meetings with your financial advisor.	✓	
You have the right to easily compare the portfolio you are invested in to similar portfolios of other wealth managers.	✓	
You have the right to timely, accurate tax reporting.	✓	
You have the right to receive an annual management fee summary.	✓	
You have the right to receive periodic email updates reviewing current market conditions, portfolio allocation, and economic data.	✓	
You have the right to receive quarterly newsletters that are produced locally.	✓	

Investor Bill of Rights

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APPLETON GROUP WEALTH MANAGEMENT, LLC

THE APPLETON GROUP WEALTH MANAGEMENT DISCIPLINE™

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Appleton Group Wealth Management LLC has prepared the following Investor Bill of Rights for all current and future private and institutional clients who participate in any of The Appleton Group Composites. This Bill of Rights is designed to be a useful guide for an investor to compare our range of wealth management services, company structure and reporting capabilities to those of any other wealth manager you might consider.

Wealth Management Discipline:	TAG	Other
You have the right to utilize a wealth management discipline that prepares for both cooperative and uncooperative markets.	✓	
You have a right to know the complete history of the model portfolio you are invested in, including both the best and worst portfolio performance history for any period of time.	✓	
You have the right to know how much risk your portfolio is being exposed to at any time.	✓	
You have the right to utilize securities that are fully liquid, marketable, and whose prices are readily attainable.	✓	
You have the right to receive responsible investment recommendations based on your personal objectives, time horizon, risk tolerance and other factors as disclosed by you.	✓	
You have the right to utilize a wealth management discipline that is diversified by asset class and by investment style.	✓	
You have the right to participate in a full-time, professional investment risk management program.	✓	
You have the right to know the current asset allocation of your portfolio at any time.	✓	
You have the right to know how many other investors are utilizing the same model portfolio as you (including the same securities, the same asset allocation and the same wealth management discipline).	✓	
You have a right to utilize a wealth management discipline that has a proven track record of managing risks during uncooperative markets.	✓	

Company Structure:	TAG	Other
You have the right to be treated fairly, ethically and in a respectful manner in all interactions with the firm, its employees and affiliates.	✓	
You have the right to receive the services of a wealth management firm whose recommendations are made in an independent and objective manner.	✓	
You have the right to work with a firm that is compensated solely by the wealth management fees charged to its clients and that is no way compensated by commission.	✓	
You have the right to terminate your relationship with our firm at any point in time with no surrender penalties and with no exit fees.	✓	
You have the right to work with a wealth management firm that does not make a market in securities of any kind.	✓	
You have the right to work with a wealth management firm that does not accept “soft dollars,” that does not participate in hidden compensation agreements with mutual fund families, and that is not compensated by underwriting fees.	✓	
You have the right to a wealth management firm whose investment management decisions are made locally.	✓	
You have the right to a wealth management firm that is not owned by a bank, a broker, an insurance company, an accounting firm or any other financial institution.	✓	
You have the right to know the complete regulatory history of the wealth management firm with which you work, including all filings and any regulatory action taken against it.	✓	

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