

Cape Securities, Inc.

Representative Guide to Getting Started

CAPE SECURITIES, INC. BROKER/DEALER USE ONLY



Dear New Cape Securities, Inc. Registered Representative,

I would like to personally welcome you to the Cape Securities team. It's an exciting time for Cape Securities as we expand while maintaining an adaptable, motivated, and responsive relationship with our new employees. As a Broker Dealer, Cape Securities provides many services, and we realize that our registered reps and financial advisors are vital to our continued success. We are pleased to have you on board!

It is important that you know that we are always concerned about your professional growth and development. Our shared success is dependent on our ability to provide our clients with the best possible financial services and put their best interest ahead of our own. We expect you to be reliable, attentive, and follow policy and procedures. By doing these things, our shared success is assured!

Please take the time to read through this welcome guide and refer to it frequently. Many of the questions that you will have as a new registered rep or financial advisor are answered in this guide. Information regarding Cape Securities affiliated companies, home office staff, technology platforms, preferred products selling agreements, and much more is presented herein.

You, as part of our team, are our most important and greatest asset. We could not accomplish what we do every day without our representatives and financial advisors. I'm very pleased to welcome you to our family and look forward to working with you!

Sincerely,



Jim Webb

Owner

About Cape Securities, Inc.

We are a full service, independent Broker-Dealer dedicated to serving and supporting our registered representatives and financial advisors. Our purpose is to create a home for registered representatives and advisors to help them manage and build their practices. Through our carefully constructed support structure, registered reps and advisors have access to a broad range of solutions, complete service platforms, and client tools.

Originally founded in 1976, Cape Securities continues a long history of serving advisors and their clients with knowledgeable and friendly support while maintaining a solution-oriented mentality.

Jim Webb (CEO), acquired Cape Securities in 2008 with the vision of building a first-class enterprise that would become a thriving home for Advisors and Wealth Managers nationwide.

While adding premier technology, service, and support we continue to increase our Cape-Abilities by adding new branch offices and experienced home office personnel. Our hometown attitude and technical capabilities continue to attract high quality advisors. We want you to grow with us.



“My vision is the creation of a broker-dealer that sets new standards by balancing both service excellence and a family environment.”

Jim R. Webb
- CEO, Cape Securities, Inc.

Home Office Directory



James R. Webb

Owner

jrwebb@capesecurities.com

770-400-9800

Kevin Bachmann
Enterprise President/COO
kbachmann@capesecurities.com
813-629-6365



Home Office Directory



Les Hochler

Chief Compliance Officer
lhochler@capesecurities.com
770-450-6838



Hunter Frey

Chief Investment Officer
hunter@capesecurities.com
470-591-4439



Cathy Webb

Chief Financial Officer
cathy@capesecurities.com
770-400-9800



Aldeen Robinson

CIA Chief Compliance Officer
aldeen@capesecurities.com
770-400-9833

Home Office Directory



Josh Webb
Business Development
Josh@capecurities.com
678-631-0714



Rachel Faulk
Director of Strategic Solutions
Rachel@capecurities.com
470-391-7939



Devan Sink
Transitions Team Leader
jamesd@capecurities.com
770-400-9831



Mitch McHenry
Transitions Team
mitch@capecurities.com
770-626-7086

CAPE SECURITIES, INC. BROKER/DEALER USE ONLY

Home Office Directory



Sunita Jefferson
Operations Manager
sunita@capesecurities.com
770-450-6909



Wes Sheehan
Senior Operations Associate
wes@capesecurities.com
770-450-6920



Lindsey Davey
Operations Associate
lindsey@capesecurities.com
440-450-6765



Adam Cochran
CIA Operations Associate
adam@capesecurities.com
770-450-6910

Home Office Directory



Jawaun Jenkins

Cape Insurance Solutions

jjenkins@capeinsurance.net

404-922-2819



James Knight

Insurance / Compliance

jamesknight@capesecurities.com

404-938-4814



James March

Compliance

james.march@capesecurities.com

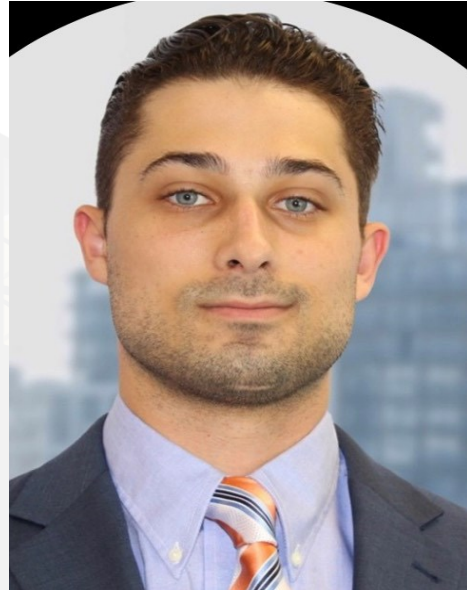
720-626-4926

CAPE SECURITIES, INC. BROKER/DEALER USE ONLY

Home Office Directory



Juanita Allen
Commissions Associate
juanita@capesecurities.com
770-574-4298



Chris Frey
Accounting
chris@capesecurities.com
470-591-4363



Monica Robinson
Receptionist
monica@capesecurities.com
770-450-6922

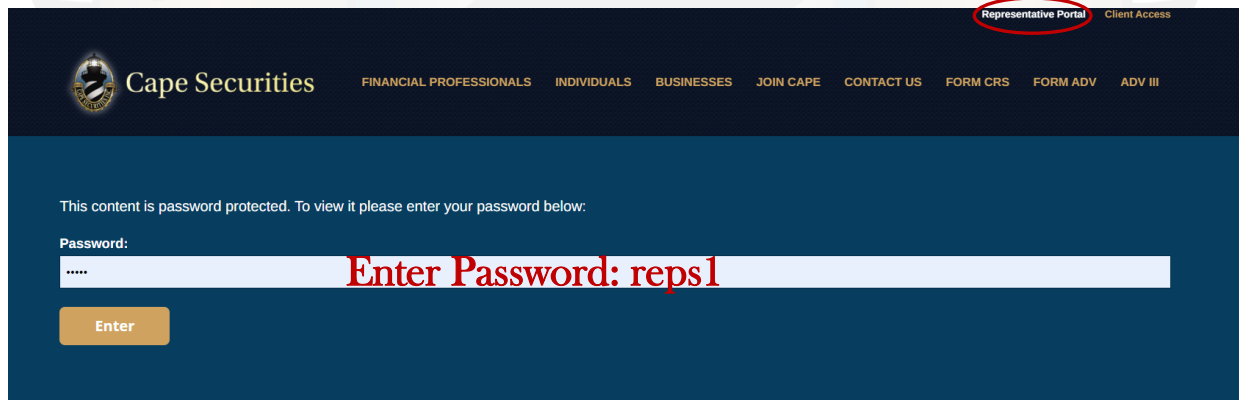
CAPE SECURITIES, INC. BROKER/DEALER USE ONLY

Cape Securities Website

www.capesecurities.com



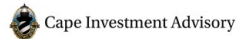
Click on Representative Portal



Cape Investment Advisory Website (DBA) American Global Advisory Services

www.capeinvestmentadvisory.com

1600 Pennsylvania Avenue McDonough, GA 30253 (678) 583-1120 RiaOperations@capesecurities.com Representative Portal Client Login

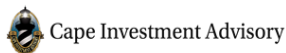


Home Financial Professionals Individuals Businesses Join Cape Contact Us Customer Disclosures



Click on Representative Portal: An access PIN will be assign to you during onboarding

1600 Pennsylvania Avenue McDonough, GA 30253 (678) 583-1120 RiaOperations@capesecurities.com Representative Portal Client Login



Home Financial Professionals Individuals Businesses Join Cape Contact Us Customer Disclosures

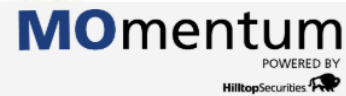
Please enter PIN to view page.

ACCESS CONTENT

Need a pin? Please contact us.

CAPE SECURITIES, INC. BROKER/DEALER USE ONLY

Cape Securities Technology Platforms



Brokerage Business: HTS MOmentum Advisor

Dallas-based Hilltop Securities, our clearing firm, makes available for Cape Securities representatives the web-based MOmentum Advisor platform for monitoring and servicing your clients' brokerage accounts.

- To obtain a logon, contact Juli Conn at juli@capesecurities.com.
- For training, please visit <http://www.brainshark.com/hilltopsecurities>.
- Cape Securities home office staff can also assist with questions regarding MOmentum Advisor. Please call 678-583-1120 and ask for Operations.

Cape Securities Technology Platforms

Client Relationship Management



**Cape Securities has joined forces with RedTail,
a Client Relationship Management company.
They offer a complete CRM database to help you
better assist your clients.**

- **The Redtail CRM system provides a multitude of tools to organize and grow your business. You can quickly and easily write notes to document client interactions, assign tasks to assistants or coworkers, utilize email and calendar functions, and track marketing strategies that you decide to implement.**
- **Redtail is a great tool for branch managers who need to track progress of representatives and the activities or projects that they are assigned.**
- **Contact Mitch McHenry, mitch@capesecurities.com to receive your log on credentials. Once you are setup with Redtail, we will be able to schedule trainings and provide training material to you. Access Redtail at www.redtailtechnology.com.**
- **Dusty Russell is our Redtail Representative and is very well informed and eager to help when questions arrive.
dusty@redtailtechnology.com**
- **If you have any questions or concerns, contact the support team at 800-206-5030.**

Cape Securities Technology Platforms



Electronic Signature

DocuSign allows parties to sign contracts and other documents electronically rather than signing them with pen and paper — no printing or scanning. This eliminates the need for parties signing a contract to be physically present at the same location.

Get the paper out of paperwork

Accelerate the account opening process that requires a signature with DocuSign. You'll also get real-time visibility into the status of every in-process agreement, and a robust audit trail of every completed agreement.

With DocuSign, you can:

- Eliminate manual processes
- Do business faster with less work
- Offer convenience to your customers
- Accelerate turnaround times
- Create a trusted and secure experience

Contact Mitch McHenry, mitch@capesecurities.com to receive your log on credentials. Once you are setup with DocuSign, we will be able to schedule trainings and provide training material to you.



ALL-IN-ONE MARKETING SOLUTION

Beautiful websites, great content, and powerful tools to grow your business.

Our unparalleled digital marketing tools and award-winning content helps financial professionals build their businesses, expand their influence, and strengthen relationships with customers.

Modern Websites to Build Your Digital Presence

Create a great first impression with a modern, responsive website. Our websites are professionally designed, optimized for search engines, and easily customizable. You can easily integrate with applications like Google Analytics or Riskalyze, then add lead-capture forms to turn your site into a lead-creating machine.



Quality Content to Establish Credibility

Our Content Library offers access to videos, articles, presentations, quizzes, ebooks and infographics designed to educate and inspire. With a click of a button, share the content to your website, via social media and email—and even send printed greeting cards or magazines to easily engage clients on a regular basis.

Automated Campaigns to Make Marketing Effortless

Our automated marketing campaigns are designed to engage current clients and nurture new prospects. Automated email, social media, and printed greeting card campaigns help your network celebrate birthdays, send referrals, and gain monthly insights on the market.



Contact Us Today

(858) 252-1271 | fmgsuite.com

CAPE SECURITIES, INC. BROKER/DEALER USE ONLY

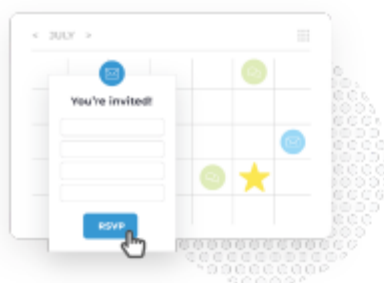


Email Marketing That Keeps You Top of Mind

Start with our intuitive custom email builder to send newsletters and updates to your network. Then use the handy email library for pre-written emails ranging from market updates to new-client intros that you can customize and send with just a few clicks. Don't forget to integrate with Redtail, Wealthbox, Salesforce, or SmartOffice/Ebix for more targeted campaigns.

Social Posts to Engage Prospects & Clients

Our social tools help you establish your presence on LinkedIn, Facebook, and Twitter with automated, compliance-approved social posts. Customize the frequency and content topics of the posts, and watch as they get posted automatically.



Event Promotion To Grow Relationships

Whether you're hosting an educational webinar or backyard barbecue, our event planning tools help you promote, collect registrations, and share your next gathering with clients and prospects.

Great Customer Service to Give you Confidence

We are proud to offer unparalleled customer service to all our customers. From checkups to educational webinars to a highly-accessibility support team, we all work together to help you become an extraordinary marketer.



Contact Us Today

(858) 252-1271 | fmgsuite.com

MassMutual

JACKSON

Products Available to Cape Securities Registered Representatives

AIG	Equitable Life	Nextpoint
Allianz	Federated	North American
American Century	Fidelity	Oppenheimer
American Equity	First Trust Retirement	Pacific Life
American Funds	Franklin Templeton	Penn Mutual
American National	Genworth	Pioneer Fund
API	Global Atlantic (Forethought)	Principle
Ameritas	Great America	Protective Life
Athene	Griffin Capital	Prudential
AXA	Guggenheim	Putnam
Banner	Hartford	Sammons Financial
BlackRock	Invesco	Securian / Minnesota Life
Brighthouse	IPL	Security Benefit
Cantor Fitzgerald	Ivy Funds	Shurwest
CUNA Mutual	Jackson	Sierra
Calamos	John Hancock	Symetra
Calvert	Lincoln	Transamerica
Colony Capital	Lord Abbett	Unified Financial Securities
Columbia Threadneedle	Mass Mutual	Virtus
Common Wealth	Midland	Voya
Corebridge Financial	MFS	Wells Fargo
Delaware Life	Nationwide	Yorktown
Dreyfus		Zurich



PACIFIC LIFE



FRANKLIN TEMPLETON
INVESTMENTS



Cape Securities may have dealer agreements with other product companies. If you have interest in product companies not on the list, contact Cape Securities Compliance:

lhocher@capesecurities.com

CAPE SECURITIES, INC. BROKER/DEALER USE ONLY





Registered Investment Advisor (RIA) Approved Platforms:

Charles Schwab, Asset Mark, Envestnet, Flexible Plans, Morningstar, ADP, SEI, John Hancock, Paychex, BPAS, Orion, CLS, Mutual of Omaha, Beacon, and Hilltop Securities, Inc.



**Contact Operations for more information on
Cape Investment Advisory.**

riaoperations@capesecurities.com

CAPE SECURITIES, INC. BROKER/DEALER USE ONLY



Program Overview

The advisory platform provides Advisors considerable flexibility in designing solutions for their clients' investment needs. Compensation is fee-based, which allows for transparency, no hidden fees and no bias due to conflicts of interest to sell a certain product line or company offering. All fees are deducted directly from the client's account and must be fully disclosed during the application process.

Advisors, especially when associated with retirement accounts, are held to a fiduciary standard instead of the suitability standard. It is therefore important that advisors understand the nature of the fiduciary standard and manage their client relationships accordingly.

Advisors may build their practice with a variety of platforms.

ADVISOR-DIRECTED ACCOUNTS

- Advisor manages the buying and selling of securities
- Stocks, bonds, mutual funds, ETFs, alternatives.
- Advisor may or may not have discretion over the account.

SEPARATELY MANAGED ACCOUNTS (SMAs)

- Advisor chooses a third-party asset manager to manage the account according to a single strategy.
- Manager may use individual stocks, ETFs, and/or mutual funds.
- Extensive list of asset managers includes highly recognized firms like Morningstar, and boutique firms with specialty strategies.

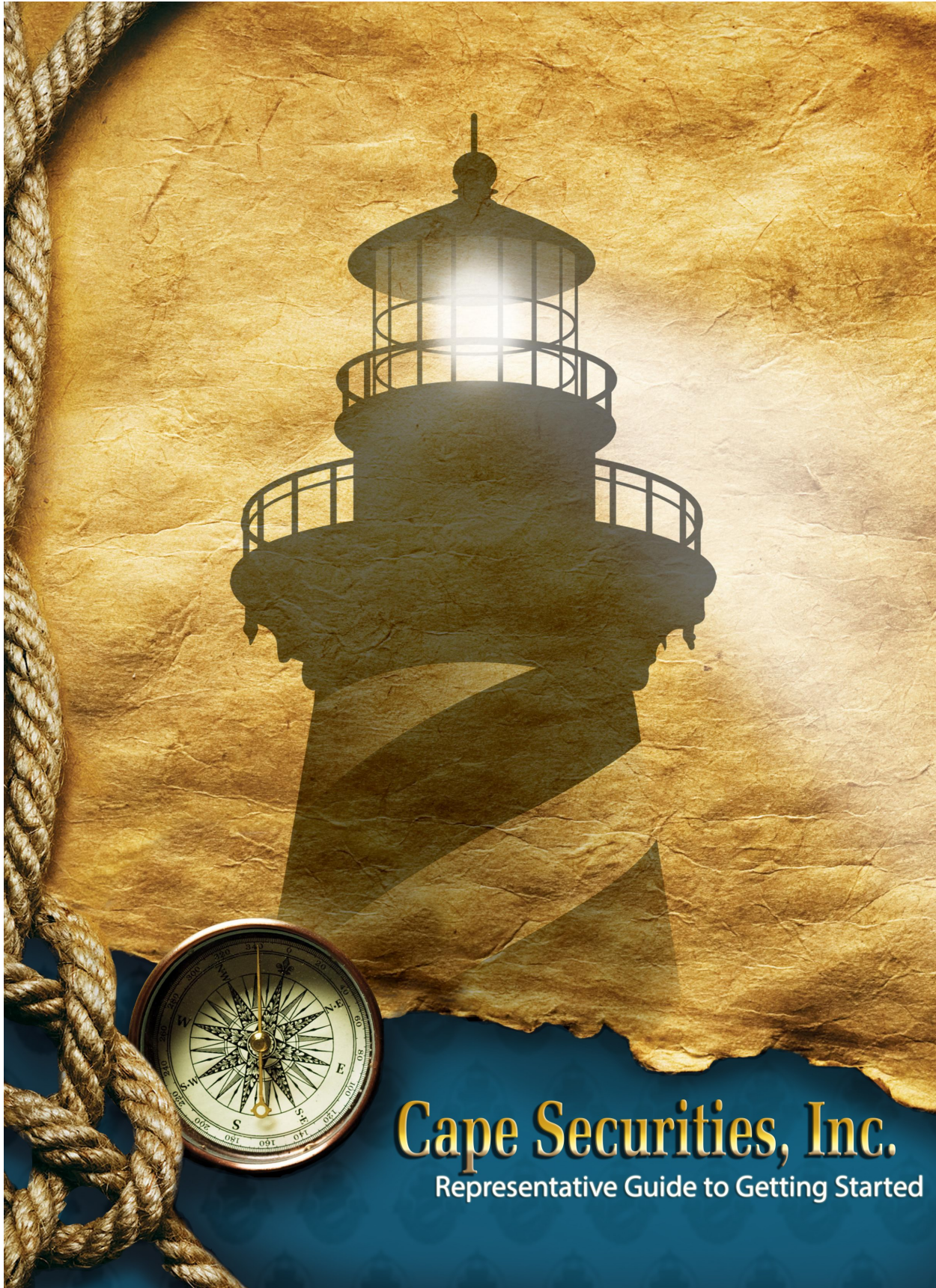
UNIFIED MANAGED ACCOUNTS (UMAs)

- Used for building a portfolio made of strategies from one or more asset managers.
- Typically draws from the list of SMA managers. Some limitations may apply.
- Home office is available to build and manage the models if desired.

Required Licensing

- Investment Advisor must possess a Series 65 or Series 66 securities license.





CAPE SECURITIES, INC. BROKER/DEALER USE ONLY