

SAMPLE SERVICE MATRIX
Customized in Collaboration with the Fund Sponsor

DESCRIPTION	Responsible Party (GLFSI or Fund Sponsor)
A. Fund Setup, Data & File Conversion and Investor Report Customization:	
Establish Funds on Great Lakes Fund Solutions, Inc. ("GLFSI") eSuperior system. Customize investor reporting.	GLFSI
Conversion of data and relevant PDF files onto eSuperior	GLFSI
B. Database & System Management	
Maintain fund history in eSuperior	GLFSI
Host eSuperior Administrative website for the use of both GLFSI and Fund Sponsor with input and view-only access	GLFSI
Establish Role-Base access to the eSuperior portal for broker/dealers, financial advisors, investors and third parties such as custodians to maintain account information and access reports	GLFSI
Make eSuperior data available via CSV (Excel) Download	GLFSI
Investor/Broker Data: maintain accounts, addresses, emails, cost basis, and other key information using eSuperior	GLFSI
C. New Sales	
Subscriptions: application & payment receipt, review and entry	GLFSI
Investor Files: prepare folder and store original	GLFSI
Confirmation of Receipt/Acceptance: generate email welcome note confirmations.	GLFSI
Upfront Commissions: calculate, review and generate reports using eSuperior	GLFSI
Sales Reporting: by state, broker/dealer and registered rep.	GLFSI
AML Compliance: Maintain a current copy of Specially Designated Nationals (SDN) list of sanctioned persons from the OFAC web site. Scan investor database when listing or investors change	GLFSI
AML Compliance: clear false matches and report positive matches.	GLFSI
Investor Notes: store on eSuperior under the partner number	GLFSI

DESCRIPTION	Responsible Party (GLFSI or Fund Sponsor)
D. Existing Fund Limited Partners	
Transfers (Inter-fund and Intra-fund): review, post, generate PDF, and mail/post to portal	GLFSI
Acknowledgement Letter of Redemption or Fund Liquidation: review and mail	GLFSI
Post add-on sales	GLFSI
Post redemptions, repurchases or liquidations	GLFSI
Investor Statement & Management Report (quarterly): generate investor reports, incorporate management letter, mail, create PDF and post to portal	GLFSI
K-1s: provide CSV data to tax accountant, receive PDFs from accountant and mail or post to Web portal	GLFSI
Annual Report: receive from auditor and mail (with current statement and management report) or post PDF to Web portal	GLFSI
E. Treasury / Banking	
Checks: hold check stock for distribution processing. Print "signed" checks through eSuperior.	GLFSI
ACH: created file for distributions through eSuperior. Uploaded to Bank for Fund Sponsor approval	GLFSI
Bank Accounts: View and ACH-upload access to subscription, distribution, and commissions Bank accounts. Correction of bank instructions or switch to check upon ACH reject	GLFSI
Pay commissions	Fund Sponsor
F. Call Center	
Call Center: resolve inquiries and transfer portfolio queries to the Fund Sponsor. Post FAQ to portal.	GLFSI

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G. Sales Literature	
Receive and store marketing materials, print supplements	GLFSI
Use eSuperior to maintain materials inventory count	GLFSI
Host Web page for broker orders, which print at GLFSI	GLFSI
Assemble and ship sales kits according to orders	GLFSI
Email fulfillment with end recipient watermark	GLFSI
H. Marketing Support	
CrowdKey: creation and support for a white-labeled Crowdfunding site that includes content management, secure payment, e-commerce, account management and systems integration features.	Optional
Fund Showroom: Multimedia data room with roles-based access for B/D, advisor and investor due diligence and sales	Optional
Fund Showroom: Reporting of usage statistics in CRM system	Optional
CRM System Hosting: vTiger open-source setup, data upload, hosting and support of users	Optional
CRM Upload: CSV upload of registered representatives at a B/D upon signed Selling Agreement	Optional
Initiation and reporting of sales literature orders through the CRM system	Optional