DAKOTA
WEALTH MANAGEMENT

FREQUENTLY ASKED QUESTIONS (FAQS)

WHAT SERVICES DOES DAKOTA WEALTH MANAGEMENT OFFER?

We offer the following services:

- Investment management
- Investment advice
- Tax planning
- Retirement planning
- Cash flow analysis
- Philanthropic advice
- Coordination between clients' attorneys, accountants, insurance agents and banks

DOES DAKOTA WEALTH MANAGEMENT FOLLOW THE FIDUCIARY STANDARD?

Yes. As fiduciaries, Dakota Wealth Management advisors have a legal obligation to act in the best interests of our clients.

WHO IS THE TYPICAL DAKOTA CLIENT?

Our clients are individuals, families, and not-for-profit entities who universally value the strong sense of personal responsibility we bring to the advisor/client relationship. They are looking for a long-term relationship with an advisory team with a deep and varied skillset to address all kinds of client situations and needs.

DO YOU HAVE A MINIMUM ACCOUNT SIZE?

At Dakota, we look for long-term relationships with clients who have compatible investment expectations. We are best suited to handle accounts of $1 million or more. If you are interested in joining the Dakota family, please let us know the specific details of your current investment allocation expectations and we will be happy to give you a sense of the expertise and service we can provide.

WHAT ARE THE FEES FOR DAKOTA'S SERVICES?

We work strictly on a fee basis. The annual fee for the first $500,000 is 1.50%, followed by 1.00% for the next $1,500,000, 0.90% on the next $3,000,000 and 0.80% for all assets over$5,000,000. We do not accept commissions or loads, so our clients can rest assured that there are no conflicts of interest in our relationship. For more information, you can request a copy of our current Management Agreement and SEC ADV Form-II.

We endeavor to minimize client costs through thoughtful trading, tax-loss harvesting, and a steady focus on low-cost ETFs and even lower-cost customized individual equity strategies.

WHO HAS CUSTODY OF MY ASSETS AND ACCOUNT?

We have formal relationships with Fidelity, Pershing, and Charles Schwab. These firms hold your assets in your name only. We have limited powers of authority on your money and account. These powers are typically trading authority, management fee deduction, and the ability to transfer money to a like-titled account. These custodial firms are respected, financially strong, heavily regulated, have SIPC Insurance, and retain additional large insurance policies to further protect you against administrative errors and default.

WHAT IS UNIQUE ABOUT THE FINANCIAL PROFESSIONALS AT DAKOTA WEALTH MANAGEMENT?

At Dakota Wealth Management, we believe that successful investing requires a skillful blend of market analysis, sound judgement, deep experience, and imagination. In short, we see wealth management as a balance between science and art. We take the time to get to know our clients, and hand-build their portfolios based on their financial goals. We structure unique investment strategies for each client's individual needs.

Disclosure: Dakota Wealth, LLC ("Dakota Wealth") is a registered investment advisor. Advisory services are only offered to clients or prospective clients where Dakota Wealth and its representatives are properly licensed or exempt from licensure. For current Dakota Wealth information, please visit the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with Dakota Wealth's CRD #297987.

No investment strategy or risk management technique can guarantee returns or eliminate risk in any market environment. All investments include a risk of loss that clients should be prepared to bear. The principal risks of Dakota Wealth strategies are disclosed in the publicly available Form ADV Part 2A. Past performance is not a guarantee of future results.

For additional information, please visit our website at www.dakotawm.com.