Our Fiduciary Promise to You

We serve only your best interests

NXT | NEXT LEVEL PRIVATE

Why did you create Next Level Private?

At every stage of life, we want to be able to do more for you as our client. By becoming a fiduciary, we have assumed a legal duty to act solely in your best interest. We believe this is the best way to help you achieve the life you envision for yourself and your family.

What else makes your independent RIA status better for me?

Parent company affiliation required us to use their approved products, services, and pricing. Our new status as a registered investment advisor (RIA) leaves us free from proprietary constraints. We can select from a full spectrum of financial research, planning resources, and product offerings to find the best options for you.

Are there other ways that Next Level Private can benefit me?

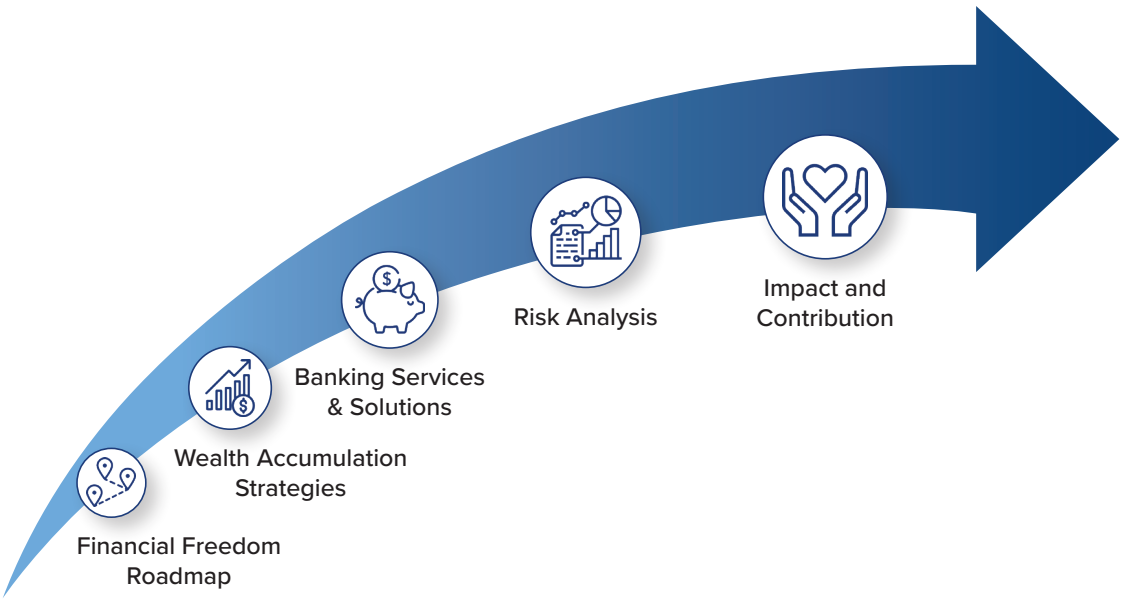
We serve you with complete transparency. Our aim is to put you in a better financial position every single day. By providing goals-based planning, hands-on guidance and access to personalized strategies for building success, we help you move towards financial freedom. And we offer fair and reasonable pricing that's customize to your needs and not tied to a corporate fee structure.

Why is Next Level Private's fiduciary advocate model a better approach?

Next Level Private works as a committed advocate on your behalf. We excel at helping you understand how to develop and manage your plan for reaching financial independence. We also work to identify the opportunities and connect you with the resources you need to live the impactful life you want.

How will this change affect my relationship with you and the services you provide?

The same team you know and trust will still serve you, and we will continue to deliver the highest level of guidance across every life stage. Any changes you experience will be improvements in what we can provide, such as access to the open-platform resources you deserve.



Have you revised your investment philosophy?

Not at all. Our investment philosophy is, and always will be, to build a successful financial plan to help you achieve financial independence. As an RIA, we can choose from a wider array of investment products to build a portfolio that works to support your current and future goals.

Where will my assets be held?

We recommend that clients place their assets with Pershing LLC, a BNY Mellon company and trusted third-party custodian. BNY Mellon's Pershing holds your money, while we make the recommendations about how to invest it. This provides a system of checks and balances.

How will my assets be kept safe?

When you join Next Level Private, your money is safeguarded and your personal data is kept secure. You also benefit from reduced conflicts of interest. As custodian, BNY Mellon's Pershing will not have influence over our investment decisions but they will offer you the security and services of a large financial institution.

As **one of the nation's largest custodians, Pershing LLC, a BNY Mellon company**, is one of the strongest and most stable custodians that works to keep your assets safe with layers of high-level security.

- BNY Mellon holds $45 trillion in assets under custody and/or administration, and Pershing LLC and its global affiliates has over $2 trillion in client assets.
- BNY Mellon's Pershing is a member of Securities Investor Protection Corporation (SIPC®), which means that securities in your account are protected up to $500,000.
- In addition to SIPC® protection, BNY Mellon's Pershing provides coverage in excess of SIPC® limits from certain underwriters in Lloyd's insurance market and other commercial insurers. This includes protection for an aggregate loss limit of $1 billion for eligible securities over all client accounts.

How will you deal with my banking and lending needs?

Next Level Private works closely with many financial institutions to take care of your assets as well as your liabilities. Our goal is to customize the best options to serve you. We want you to have the peace of mind that comes from knowing you can count on us for whatever you need.

What makes Next Level Private the smartest choice for me?

Everything at Next Level Private is centered on your goals. As your financial advocate, we are committed to helping take care of you, provide for your family, plan your ideal retirement, and stay on track to achieve the financial freedom that we have been planning together.

Is there anything else you would like to know?

As we begin this new journey together, please reach out to us with questions. We hope that you will also visit our website at **nxtprivate.com** to learn more about all that we can offer you! We look forward to serving you and your family for generations to come.

NXT | NEXT LEVEL PRIVATE

500 Mamaroneck Ave, Suite 501
Harrison, NY 10528
t. 914.431.5255 | f. 914.431.5267

nxtprivate.com