

Truist Advisory Services, Inc.
Form CRS – Monitoring Investment Authority Additional Info

Monitoring Activities

TAS' regular and standard service includes the Supervisory reviews conducted by the Central Supervision Group ("CSG") and includes reviewing AMC Program account opening documentation, trading within each account and the annual investment reviews of AMC Allocation Plus and AMC Advise program accounts and consulting services documentation, among other items. The firm utilizes a surveillance program and a management program to monitor the trading in AMC Advise, AMC Allocation Plus and advisor managed sleeves of the AMC Pinnacle program accounts via alerts and filters on a daily basis.

BrightFolio: TAS' Automated Investing Group receives and reviews comprehensive monthly reports detailing each Client's Program account characteristics and periodically monitors target vs. current asset allocation, client profile information, number of trades, diversification and assets under management.

The Program conducts annual reviews of advisory accounts to ensure they conform to TAS policies and procedures. In addition, TAS reviews a percentage of advisory accounts on a random basis during the year for such purpose.

Financial Planning: An Advisor's Principal Manager, or designee, is responsible for reviewing financial planning and asset allocation report information as part of their regular correspondence review. CSG reviews transactions resulting from clients implementing the recommendations/proposals from the financial plan or allocation reports.

Investment Authority

Discretionary Authority

The following AMC programs are discretionary (the Manager determines which and when securities are purchased, sold or exchanged in a program account). The discretionary authority is limited to the trading in a portfolio account (purchase, sale or exchange of a security) and begins when the Statement of Investment Selection ("SIS") that is signed by the client is accepted by the firm. The discretionary authority is continuous until the investment management agreement is terminated.

TAS Managed (TAS is the Manager)

BrightFolio, AMC Fund Select Tactical, AMC Fund Select Tactical Focus, AMC Pinnacle and some portfolios in AMC Premier.

The BrightFolio Program is only available to banking clients of Truist Bank and Client must have on-line banking or mobile banking access.

Third Party Managed (Third Party Manager is the Manager)

AMC Advantage and some portfolios in AMC Premier

TAS Advisor Managed (TAS Advisor is the Manager)

AMC Advise

AMC Pinnacle – Advisor Managed – Discretionary Sleeve

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Non-Discretionary Authority

The following AMC programs and services are non-discretionary (the *retail investor* determines which and when securities are purchased, sold or exchanged in a program account).

AMC Allocation Plus
AMC Pinnacle – Advisor Managed – Non-Discretionary Sleeve
AMC Annuity
Consulting Services
Financial Planning

TAS has proprietary securities of its affiliate, Sterling Capital Management LLC, in its managed portfolios and it does maintain its investment models that are included in the AMC Fund Select Tactical, AMC Fund Select Tactical Focus, AMC Pinnacle and AMC Premier programs that are managed by TAS and available to TAS Advisors in the management of AMC Advise and/or AMC Allocation Plus program accounts. The firm managed portfolio accounts are limited to mutual funds, ETFs and money market funds.

Each of the programs has a minimum investment amount that must be maintained or TAS may terminate the relationship. Each program minimum is described in the respective firm brochure.

Program Account Minimum Investments

BrightFolio	\$ 10,000
AMC Fund Select Tactical Focus	\$ 10,000
AMC Annuity	\$ 50,000
AMC Fund Select Tactical	\$ 50,000
AMC Pinnacle	\$ 50,000 - \$100,000
AMC Premier	\$100,000 - \$250,000, depending upon strategy
AMC Advantage	\$100,000
AMC Advise	\$100,000
AMC Allocation Plus	\$100,000
Consulting Services	No Minimum
Financial Planning	No Minimum

Accounts established and not funded at the minimum funding requirement within 90 days will be transitioned to standard unmanaged commission brokerage accounts.