

SEC File Number: 801-56298

**SIGNATOR INVESTORS, INC.**  
**Member FINRA, SIPC**  
**A Registered Investment Adviser**

**Signator Managed Account Platform**

**Wrap Fee Program Brochure**  
**Form ADV Part 2A, Appendix 3**  
**March 27, 2017**

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**[www.signatorinvestors.com](http://www.signatorinvestors.com)**

This wrap fee program brochure provides information about the qualifications and business practices of Signator Investors, Inc. If you have any questions about the contents of this brochure, please contact us at 1-888-333-3087. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Signator Investors, Inc. is a registered investment adviser. Registration of an investment adviser does not imply any level of skill or training. The oral and written communications of an Adviser provides you with information you can use to determine to hire or retain an adviser.

Additional information about Signator Investors, Inc. also is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

SIISMAP03272017

## **Item 2 – Summary of Material Changes**

Joseph Terry has been appointed Chief Compliance Officer of Signator Investors, Inc.

### **Item 3 - Table of Contents**

	<b>Page</b>
<b>Item 4. Services, Fees &amp; Compensation</b>	<b>4</b>
<b>Item 5. Account Requirements and Types of Clients</b>	<b>14</b>
<b>Item 6. Portfolio Manager Selection and Evaluation</b>	<b>14</b>
<b>Item 7. Client Information Provided to Portfolio Manager</b>	<b>14</b>
<b>Item 8. Client Contact with Portfolio Manager</b>	<b>15</b>
<b>Item 9. Additional Information</b>	<b>15</b>

## **Item 4 - Services, Fees & Compensation**

### **Introduction**

Signator Investors, Inc. (“SII”) is a Registered Investment Adviser registered with the Securities & Exchange Commission (“SEC”) under the Investment Advisers Act of 1940.

SII, through its affiliated Investment Adviser Representatives (“IARs”), provides a variety of services designed to meet the needs of retail individual and corporate clients. This brochure contains information about Signator Managed Account Platform (“the Program”), a wrap fee program sponsored by SII. This program may also be available as a non-wrap program where separate transaction fees apply. SII also sponsors John Hancock Portfolio Solutions and Portfolio by Design, other wrap fee programs. Please contact SII, or your IAR to obtain more information on John Hancock Portfolio Solutions or Portfolio by Design.

SII is also a registered broker-dealer and Financial Industry Regulatory Authority (“FINRA”) member offering mutual funds, unit investment trusts, variable contracts, limited partnerships and general securities. Its revenue is primarily derived from commissions and fees earned as a result of the sales and services of these products. Each IAR affiliated with SII must be a FINRA registered representative and be appointed as an insurance agent or insurance broker with John Hancock Life Insurance Company, (U.S.A.) and/or John Hancock Life Insurance Company of New York. As registered representatives and insurance agents or brokers, they are compensated on the sale of investment and insurance products on a commission basis.

To offer the Program, IARs must be approved in the Managed Account Program within the Corporate RIA Program. They must have passed the Series 6 or 7 examination and meet all state requirements to act as an IAR. SII also requires IARs to complete specific internal and industry training programs.

### **Services, Fees & Compensation Overview**

The Signator Managed Account Platform offers mutual fund and/or exchange traded fund programs, advisor directed portfolios, separately managed accounts and a unified managed account program. SII is the sponsor. Investnet Asset Management, Inc. (“Investnet Asset Management”) is the Registered Investment Adviser. Investnet Asset Management is located at 35 E. Wacker Dr., Suite 2400, Chicago IL 60601. Investnet Asset Management Form ADV Part 2A is given to clients and prospective clients of the program and contains specific details about Investnet Asset Management and its investment advisory qualifications and services. For additional information about Investnet Asset Management, please see Investnet Asset Management’s Form ADV Part 2A.

There is no guarantee that the advisory services offered under the Program will result in the clients’ goals and objectives being met. Nor is there any guarantee of profit or protection from loss. No assumption can be made that an advisory fee arrangement or portfolio management service of any nature will provide a better return than other investment vehicles.

Signator Investors, Inc. charges an annual program fee (the “Program Fee”) equal to a percentage of the assets invested in the clients account. The Program Fee may include the “Sponsor Fee” and “Manager Fee” depending on the portfolio, as well as the “Advisory Fee”. The Sponsor Fee is the compensation paid to SII and Investnet for services provided to the client’s account and is not negotiable. The

SIISMAP03272017

Advisory Fee is the compensation that is paid to the IAR and is negotiable. The Program Fee includes fees for clearing and custody if applicable in a wrap fee account.

SII and Envestnet Asset Management each retain a portion of the Program Fee as compensation for services provided to the client's account. SII may, in their sole discretion, pay all or a portion of the Program Fee to another party involved in providing services to the client's account.

Program Fees are generally billed quarterly, in advance, based on the average daily balance of the account during the prior quarter. For John Hancock Portfolio Solutions, the Program Fee is billed quarterly, in advance, based on the value of the account on the last business day of the prior calendar quarter. Program Fees are debited from the account at the start of each quarter. All unused, pre-paid program fees will be credited (refunded) to the Client's account in the event of termination of this Agreement and/or account closing. The Client account will only be charged for the actual days the account was managed. Program Fees are automatically deducted from the assets in the client's program unless other arrangements have been made.

Upon establishment of the account, the Program Fee will be charged in the month following the account opening. This Program Fee will be pro-rated for the number of days during the first month the account was managed plus the remainder of days in the current quarter. The Client account will only be charged for the actual days the account was managed.

Additional nominal regulatory fees may be assessed on certain securities transactions.

All investments in mutual funds are subject to the terms of each of the applicable prospectuses, including associated fees and underlying mutual fund expenses as fully described in the prospectus. All Clients will be advised that SII's fees are in addition to fees charged by the mutual funds and exchange-traded funds ("ETFs") in their portfolio. 12b-1 fees are paid on certain offered mutual funds. 12b-1 fee payments are passed through to the accounts.

The Program may cost the client more or less than if the client paid separately for the individual services included in the program.

The IAR recommending the Program to the Client receives compensation as a result of the Client's participation in the program, and the amount of such compensation may be more than what the IAR would recommend if the client participated in other programs of SII or paid separately for investment advice, brokerage and other services, and the IAR may therefore have a financial incentive to recommend the program over other programs or services.

For specific information regarding the available products offered through the Signator Managed Account Platform and the associated fees, please see below.

### Advisor Managed Portfolios

In the Program, the Client provides the IAR with information regarding investment objectives, financial needs, investment time horizon, risk tolerance and other relevant information. Envestnet provides the technology platform on which the program functions and is only providing administrative services to SII for this program. The IAR inputs this information into the Envestnet platform to build a model portfolio for the client, recommend an appropriate

SIISMAP03272017

asset allocation among the investment options in the Program and select appropriate investment vehicles for the Client's account coinciding with the Client's risk tolerance parameters.

The Program is offered on a discretionary or non-discretionary basis as determined by the client. For discretionary accounts, Client grants SII through its IAR full authority to invest, reinvest and allocate and reallocate assets in the accounts that are part of the Program. Such discretionary authority allows the IAR to make all investment decisions with respect to the account and when deemed appropriate and without prior consultation with the client, to buy, exchange, convert and otherwise trade in any stocks, bonds, mutual funds and other securities. If a client does not grant discretionary authority, then any transaction or investment must be reviewed and approved by the client in advance. SII, in its sole discretion may determine certain accounts that will not be eligible for discretion and discretion may be revoked in writing.

Reasonable restrictions may be imposed by the Client on management of the accounts including the designation of particular securities or types of securities that should not be purchased for the account or that should not be held in the account.

IARs consult with clients periodically, but no less than annually to determine whether any information needs to be updated and whether any changes need to be made to the Client's stated risk tolerance parameters.

The Client account may be structured as either a wrap fee Program account or a non-wrap fee Program account. A wrap fee Program account is charged an advisory fee as a percentage of assets under management that for one fee includes the management fee, administrative costs of SII and transaction fees for the securities sold and purchased in account. The non-wrap fee version of the Program is charged a lower advisory fee as well as transactions charges associated with the purchase and sale of each security. Depending on the trading activity in the account and the types of securities bought and sold, the non-wrap version of the Program may be less expensive for the client. The Client and the IAR should consider which version of the program is appropriate for the Client.

Wrap Fee Program accounts custodied at National Financial Services, LLC. are allotted eighty (80) purchases or sales transactions in any twelve (12) month period. Should there be purchases and/or sales transactions in excess of the allotment then each transaction in excess of eighty (80) may be charged a transaction fee as defined in the non-wrap fee version of the Program. At the end of each twelve (12) month period, the allotment resets to eighty (80).

SII may allow non-program assets to be held in the client account as an accommodation. These accommodated assets will not be part of the recommended model and will not contribute to the performance or be charged the program fee. Should a Client want to hold securities as an accommodation, then only the non-wrap fee version of the program will be available.

The table below describes the Program Fee Schedules.

**Wrap Fee Program Fee Schedule for accounts custodied at National Financial Services, LLC.**

<b>Market Value</b>	<b>Sponsor Fee</b>	<b>Maximum Annual Program Fee*</b>
Up to \$250K	0.40%	2.00%
\$250K-500K	0.21%	2.00%
\$500K-750K	0.17%	2.00%
\$750K-1M	0.16%	2.00%
\$1M-2M	0.14%	2.00%
\$2M-5M	0.13%	2.00%
\$5M-10M	0.09%	2.00%
Above \$10M	0.08%	2.00%

\*A minimum annual program fee of \$40 will apply and may cause the total program fee to exceed 2.00% in certain circumstances.

**Non-Wrap Fee Program Fee Schedule for accounts custodied at National Financial Services, LLC.**

<b>Market Value</b>	<b>Sponsor Fee</b>	<b>Maximum Annual Program Fee*</b>
Up to \$250K	0.15%	2.00%
\$250K-500K	0.11%	2.00%
\$500K-750K	0.09%	2.00%
\$750K-1M	0.08%	2.00%
\$1M-2M	0.07%	2.00%
\$2M-5M	0.07%	2.00%
\$5M-10M	0.04%	2.00%
Above \$10M	0.03%	2.00%

\*A minimum annual program fee of \$40 will apply and may cause the total program fee to exceed 2.00% in certain circumstances.

The table below describes the transaction charges associated with the non-wrap fee version of the Program for accounts held with National Financial Services, LLC.

<b>Security Type</b>	<b>Transaction Fee*</b>	<b>Service and Handling Fee</b>
<b>Stocks, ETFs and Closed End Funds</b>		
Market Orders up to 2,000 shares	\$15.00 per transaction	\$5.00
All other orders >2,000 shares	\$15.00 + 0.0125 per share	\$5.00
<b>Mutual Funds</b>		
No transaction fee (NTF) funds	No charge per transaction	\$0.00
PIP/SWP	No charge per transaction	\$0.00
No load and load waived buys and sells	\$15.00 per transaction	\$5.00
<b>Other</b>		
Fixed Income	\$5.00 per 1,000 face value, \$50.00 minimum per transaction	\$5.00
Unit Investment Trust Redemption Fee (liquidations only)	\$50.00 per transaction	\$5.00
Alternative Investments Redemption Fee (liquidations only)	\$50.00 per transaction	\$5.00
Options – Closing Trades Only (liquidations only)	\$49.95 + \$1.00 per contract	\$5.00

\*Transaction fees are subject to change

**Wrap Fee Program Fee Schedule for accounts custodied at Pershing, LLC.**

<b>Market Value</b>	<b>Sponsor Fee</b>	<b>Maximum Annual Program Fee*</b>
Up to \$250K	0.26%	2.00%
\$250K-500K	0.22%	2.00%
\$500K-750K	0.20%	2.00%

SIISMAP03272017



\$750K-1M	0.19%	2.00%
\$1M-2M	0.18%	2.00%
\$2M-5M	0.18%	2.00%
\$5M-10M	0.15%	2.00%
Above \$10M	0.14%	2.00%

\*A minimum annual program fee of \$40 will apply and may cause the total program fee to exceed 2.00% in certain circumstances.

**Non-Wrap Fee Program Fee Schedule for accounts custodied at Pershing, LLC.**

<b>Market Value</b>	<b>Sponsor Fee</b>	<b>Maximum Annual Program Fee*</b>
Up to \$250K	0.15%	2.00%
\$250K-500K	0.11%	2.00%
\$500K-750K	0.09%	2.00%
\$750K-1M	0.08%	2.00%
\$1M-2M	0.07%	2.00%
\$2M-5M	0.07%	2.00%
\$5M-10M	0.06%	2.00%
Above \$10M	0.05%	2.00%

\*A minimum annual program fee of \$40 will apply and may cause the total program fee to exceed 2.00% in certain circumstances.

The table below describes the transaction charges associated with the non-wrap fee version of the Program for accounts held with Pershing, LLC.

Security Type	Transaction Fee*
<b>Stocks, ETFs and Closed End Funds</b>	
Market orders up to 10,000 shares	\$20.00 per transaction
All other orders > 10,000 shares	\$20.00 + \$0.01 per share
<b>Mutual Funds</b>	
No transaction fee (NTF) funds	No Charge per transaction
PIP / SWP	\$1.00 per transaction
No load and load waived buys and sells	\$20.00 per transaction
Exchanges	\$10.00 per exchange
<b>Other</b>	
Fixed Income	\$5.00 per 1,000 per face value, with a minimum fee of \$50.00
Unit Investment Trust Redemption Transaction Fee (Purchases not allowed)	\$50.00 per transaction
Alternative Investments Redemption Transaction Fee (Purchases not allowed)	\$60.00 per transaction
Options-Closing Trades Only (Purchases not allowed)	\$20.00 + \$1.00 per contract

\*Transaction fees are subject to change

### Strategist Managed Portfolios

Strategist Managed Portfolios is a model driven program that allows the client to invest in a broad range of mutual funds and/ or exchange traded funds. These portfolios are managed by third party investment advisors and SII elects the model portfolios available in the program. The Model Providers are responsible for all investment selections and they may add or remove securities from their portfolios at their sole discretion. Envestnet Asset Management is granted investment discretion and will continuously monitor each client portfolio. When deemed appropriate, Envestnet Asset Management will make changes based updates to the model portfolios. Envestnet Asset Management will also periodically rebalance the portfolios.

In the program the client provides the IAR with information regarding investment objectives, investment time horizon, risk tolerance and other relevant information. The IAR then inputs this information into Envestnet Asset Management's proprietary investment allocation system, which in turn provides the client and the IAR with investment options that have been determined to be appropriate choices for the client based on the information provided by the client. After the initial investment selections have been elected, the IAR meets with the client no less than annually to discuss any changes in the client's financial situation which may affect the client's investment selections.

Clients may select model portfolios offered by the following third party model providers but not limited to: AlphaSimplex, American Funds/PMC, Astor Investment Management, LLC, Beaumont Financial Partners, LLC, Brinker Capital, Inc., Clark Capital, Morningstar Investment Management Services, Inc.,

SIISMAP03272017

Investnet Asset Management Inc., Russell Investments, Standard & Poors Investment Advisory Services, LLC, Symmetry Partners, Vanguard and Wilshire Associates Incorporated. For additional information about these Model Providers, please see the respective Form ADV Part 2A.

Client Account may be structured as either a wrap fee Program Account or a non-wrap fee Program Account as represented in the SIS. A wrap fee Program Account is charged an Advisory fee as a percentage of assets under management that for one fee includes the management fee, administrative costs of the Adviser and transaction fees for the securities purchased and sold in the wrap fee Program Account.

The table below describes the transaction charges associated with the non-wrap fee version of the Program for accounts held with National Financial Services, LLC.

<b>Security Type</b>	<b>Transaction Fee*</b>	<b>Service and Handling Fee</b>
<b>Stocks, ETFs and Closed End Funds</b>		
Market Orders up to 2,000 shares	\$15.00 per transaction	\$5.00
All other orders >2,000 shares	\$15.00 + 0.0125 per share	\$5.00
<b>Mutual Funds</b>		
No transaction fee (NTF) funds	No charge per transaction	\$0.00
PIP/SWP	No charge per transaction	\$0.00
No load and load waived buys and sells	\$15.00 per transaction	\$5.00
<b>Other</b>		
Fixed Income	\$5.00 per 1,000 face value, \$50.00 minimum per transaction	\$5.00
Unit Investment Trust Redemption Fee (liquidations only)	\$50.00 per transaction	\$5.00
Alternative Investments Redemption Fee (liquidations only)	\$50.00 per transaction	\$5.00
Options – Closing Trades Only (liquidations only)	\$49.95 + \$1.00 per contract	\$5.00

\*Transaction fees are subject to change

The table below describes the transaction charges associated with the non-wrap fee version of the Program for accounts held with Pershing, LLC.

SIISMAP03272017

Security Type	Transaction Fee*
<b>Stocks, ETFs and Closed End Funds</b>	
Market orders up to 10,000 shares	\$20.00 per transaction
All other orders > 10,000 shares	\$20.00 + \$0.01 per share
<b>Mutual Funds</b>	
No transaction fee (NTF) funds	No Charge per transaction
PIP / SW P	\$1.00 per transaction
No load and load waived buys and sells	\$20.00 per transaction
Exchanges	\$10.00 per exchange
<b>Other</b>	
Fixed Income	\$5.00 per 1,000 per face value, with a minimum fee of \$50.00
Unit Investment Trust Redemption Transaction Fee (Purchases not allowed)	\$50.00 per transaction
Alternative Investments Redemption Transaction Fee (Purchases not allowed)	\$60.00 per transaction
Options-Closing Trades Only (Purchases not allowed)	\$20.00 + \$1.00 per contract

\*Transaction fees are subject to change

Please see below for the Strategist Managed Portfolios Program Fee Schedule

Market Value	Maximum Annual Program Fee*
Up to \$250K	2.00%
\$250K-500K	2.00%
\$500K-1M	2.00%
\$1M-2M	2.00%
\$2M-5M	2.00%
Above \$5M	2.00%

\*Strategists Managed Portfolios accounts are subject to a \$100 minimum annual program fee and may cause the total program fee to exceed 2.00% in certain circumstances.

#### John Hancock Portfolio Solutions

SII manages the John Hancock Portfolio Solutions (“JHPS”) program which offer individual clients actively managed portfolios comprised of mutual funds and/or ETFs. SII is granted investment discretion and will continuously monitor each client’s portfolio. Manulife Asset Management (“MAM”) provides SII with recommended model portfolios based on specific investment strategies and may, from time to

SIISMAP03272017

time, recommend changes to asset class allocations and specific mutual fund and ETF selections. John Hancock Investment Management, LLC (“JHIM”) provides research related to the mutual funds and ETFs SII includes in the model portfolios. SII’s Investment Committee uses a number of analytical tools and software applications in determining whether to follow those recommendations. Some of the factors considered are historical rates of risk and return for various asset classes, correlation across asset classes and risk premiums. SII will solely determine whether to follow those recommendations. SII will also periodically rebalance or reallocate the portfolios. Once a rebalance or reallocation is determined it will occur at the then current quarter end.

After the investor profile questionnaire is completed, SII’s IAR analyzes the client information and recommends an appropriate strategy based on the client’s needs and objectives, investment time horizon, risk tolerance and other pertinent factors. SII will then propose an overall strategy that includes asset allocation and investment style recommendations.

Client Account is structured as a wrap fee Program Account as represented in the SIS. A wrap fee Program Account is charged an Advisory fee as a percentage of assets under management that for one fee includes the management fee, administrative costs of the Adviser and transaction fees for the securities purchased and sold in the wrap fee Program Account. There are minimum annual custody fees that apply and are described in more detail in the client’s program documents.

Please see below for the John Hancock Portfolios Program Fee Schedule

<b>Market Value</b>	<b>Maximum Annual Program Fee</b>
Up to \$250K	2.00%
\$250K-500K	2.00%
\$500K-1M	2.00%
\$1M-2M	2.00%
\$2M-5M	2.00%
Above \$5M	2.00%

\*John Hancock Portfolio Solutions accounts are subject to a \$100 minimum annual program fee and a \$100 minimum annual custodial fee that may cause the total program fee to exceed 2.00% in certain circumstances.

### Separate Accounts

Separate Accounts is a non-discretionary managed account program that allows the client, through the IAR to select style specific separate account managers pre-screened by Envestnet from a universe of managers who specialize in a particular investment style. The separate account managers choose the general securities, bonds or exchange traded funds (ETFs) for the portfolio and have trading discretion.

In the program the client provides the IAR with information regarding investment objectives, investment time horizon, risk tolerance and other relevant information. The IAR then inputs this information into Envestnet Asset Management’s proprietary investment allocation system, which in turn provides the client and the IAR with investment options that have been determined to be appropriate choices for the client based on the information provided by the client. After the initial investment selections have been

elected, the IAR meets with the client no less than annually to discuss any changes in the client’s financial situation which may affect the client’s investment selections.

Client Account is structured as a wrap fee Program Account as represented in the SIS. A wrap fee Program Account is charged an Advisory fee as a percentage of assets under management that for one fee includes the management fee, administrative costs of the Adviser and transaction fees for the securities purchased and sold in the wrap fee Program Account. There are minimum annual custody fees that apply and are described in more detail in the client’s program documents.

Please see below for the Separate Accounts Program Fee Schedule

<b>Market Value</b>	<b>Maximum Annual Program Fee*</b>
Up to \$250K	3.00%
\$250K-500K	3.00%
\$500K-1M	3.00%
\$1M-2M	3.00%
\$2M-5M	3.00%
Above \$5M	3.00%

\*Separate accounts are subject to a \$350 minimum annual program fee and minimum annual custodial fees depending on the type of manager(s) selected that may cause the total program fee to exceed 3.00% in certain circumstances.

#### Unified Managed Account

In the Program, the Client provides the IAR with information regarding investment objectives, financial needs, investment time horizon, risk tolerance and other relevant information. The IAR inputs this information into the Envestnet Asset Management platform to build a model portfolio for the client, recommend an appropriate asset allocation among the investment options in the Program and select appropriate investment vehicles for the Client’s account coinciding with the Client’s risk tolerance parameters.

Clients participating in the UMA will receive investment management services, underlying investment securities recommendations and rebalancing services. Under the UMA, Envestnet Asset Management provides portfolio overlay management services, including coordinating all trading and keeping client portfolios in balance with clients’ respective asset allocation strategies. Envestnet Asset Management maintains trading authority and will provide periodic rebalancing services so that the allocation of assets remains, within certain parameters, consistent, with the selected Strategy. The program is offered on a discretionary basis and the IAR may provide rebalancing of the investments, purchasing investments and/or selling investments from a client’s account, but will instruct Envestnet to make account changes based on such recommendations.

Reasonable restrictions may be imposed by the Client on management of the accounts including the designation of particular securities or types of securities that should not be purchased for the account or that should not be held in the account.

IARs consult with clients periodically, but no less than annually to determine whether any information needs to be updated and whether any changes need to be made to the Client's stated risk tolerance parameters. Client Account is structured as a wrap fee Program Account as represented in the SIS. A wrap fee Program Account is charged an Advisory fee as a percentage of assets under management that for one fee includes the management fee, administrative costs of the Adviser and transaction fees for the securities purchased and sold in the wrap fee Program Account.

UMA Program Accounts custodied at National Financial Services, LLC. are allotted one hundred and fifteen (115) purchases or sales in any twelve (12) month period. Should there be purchases or sales in excess of the allotment then those purchases and sales may be charged a transaction fee as defined below. At the end of each twelve month period, the allotment resets to 115.

<b>Security Type</b>	<b>Transaction Fee*</b>	<b>Service and Handling Fee</b>
<b>Stocks, ETFs and Closed End Funds</b>		
Market Orders up to 2,000 shares	\$15.00 per transaction	\$5.00
All other orders >2,000 shares	\$15.00 + 0.0125 per share	\$5.00
<b>Mutual Funds</b>		
No transaction fee (NTF) funds	No charge per transaction	\$0.00
PIP/SWP	No charge per transaction	\$0.00
No load and load waived buys and sells	\$15.00 per transaction	\$5.00
<b>Other</b>		
Fixed Income	\$5.00 per 1,000 face value, \$50.00 minimum per transaction	\$5.00
Unit Investment Trust Redemption Fee (liquidations only)	\$50.00 per transaction	\$5.00
Alternative Investments Redemption Fee (liquidations only)	\$50.00 per transaction	\$5.00
Options – Closing Trades Only (liquidations only)	\$49.95 + \$1.00 per contract	\$5.00

\*Transaction fees are subject to change

Please see below for the Unified Managed Account Program Fee Schedule

<b>Market Value</b>	<b>Maximum Annual Program Fee</b>
Up to \$250K	3.00%
\$250K-500K	3.00%
\$500K-1M	3.00%
\$1M-2M	3.00%
\$2M-5M	3.00%
Above \$5M	3.00%

### **Item 5 – Account Requirements and Types of Clients**

SII offers investment advisory services to individuals, trusts, estates, non-profit organizations, corporations, partnerships and other types of business entities.

#### **Requirements for Opening & Maintaining an Account**

To open an account, clients must complete an investor profile questionnaire. The questionnaire assists the IARs and/or the third-party asset management firms in determining the investment allocation for the portfolio. Additionally, clients must meet the minimum investment amount for the specific managed account program they select. Below please find a table which lists the account minimums for the Portfolio by Design programs offered through SII.

#### **Minimum Investment Amount**

Exceptions to the account minimums listed may be made at the discretion of SII.

<b>Program Name</b>	<b>Product Name</b>	<b>Account Minimum</b>
Signator Managed Account Platform	Advisor Managed Portfolios	<b>\$25,000</b>
		<b>\$25,000</b>
		<b>Model minimums are determined by the Model Providers</b>
	Strategist Managed Portfolios	
	Separate Accounts	<b>Minimums are determined by the individual Investment Managers</b>
	John Hancock Portfolio Solutions	<b>\$25,000</b>
	Unified Managed Account	<b>\$300,000</b>

### **Item 6 – Portfolio Manager Selection and Evaluation**

Investnet Asset Management is responsible for the evaluation and ongoing monitoring of the investment firms available in the Strategist Managed Portfolios program, Separate Accounts and the Unified Managed Account. Please see the Investnet Asset Management’s ADV Part 2A for more information.



The SII IAR associated with the Program Client account acts as portfolio manager for the Advisor Managed Portfolios program. To an extent for the Unified Managed Account, the SII IAR acts as portfolio manager for program and clients rely significantly on the skills and experience of the IA Representative and the IAR's ability to select investments within the risk tolerance and asset allocation and concentration parameters established for the UMA.

#### **Item 7 – Client Information Provided to Portfolio Managers**

The model providers for Strategist Managed Portfolios are provided the necessary information to construct a portfolio appropriate for the client's profiled risk range.

Through the proposal process for Advisor Managed Portfolios, the SII IAR, acting as portfolio manager, is provided the necessary information by the Client and recommends a portfolio appropriate for the client. This information includes the client's selected asset allocation and any investment restrictions requested by the client.

#### **Item 8 – Client Contact with Portfolio Managers**

Any questions or issues regarding the Client's account or the investments selected for the client's portfolio should be directed to SII or SII IAR. SII will work with Envestnet Asset Management to resolve any matters that may arise.

#### **Item 9 - Additional Information**

##### **Principals of the Firm**

The following brief biographical information describes personnel at SII who are either principal executive officers of SII, or a person with similar status or performing similar functions with regard to the investment advisory program specified in this brochure.

**Christopher Maryanopolis**, born in 1964, is President, CEO and Chief Operating Officer of SII. He holds a BA from SUNY at Stony Brook University of Stony Brook, New York and a Masters of Business Administration from Fordham University of New York, New York.

Joseph Terry, born in 1980, is Chief Compliance Officer of SII. He holds a BA from Westminster College in Fullerton, Missouri and a MS and MBA from Indiana University in Bloomington, Indiana.

##### **Disciplinary Information**

On August 13, 2015, without admitting or denying the findings, Signator consented to the entry of findings by both FINRA and the SEC that it violated certain FINRA and NASD rules relating to the establishment, maintenance and enforcement of a supervisory system, including written supervisory procedures, and recordkeeping requirements and violated the broker-dealer recordkeeping requirements of the Securities Exchange Act and rules thereunder. Signator also consented to the imposition of a fine in the amount of \$450,000 and a censure from each FINRA and the SEC.

##### **Other Financial Activity and Affiliations**

The Signator Managed Account Platform includes certain affiliated mutual funds. There is no explicit incentive for an SII IAR to recommend an affiliated mutual fund other mutual funds.

SII is a registered investment adviser with the SEC. SII is also a broker-dealer registered with the FINRA, the SEC and various states. As a broker-dealer, SII transacts business in mutual funds, stocks, bonds, options, variable annuities, unit investment trusts, limited partnerships and variable life insurance. SII has its clearing relationship with National Financial Services, LLC and Pershing, LLC.. SII is licensed to operate in all 50 states plus the District of Columbia and Puerto Rico. John Hancock Financial Network, Inc. wholly owns Signator Investors, Inc.

**Related Parties**

Manulife Asset Management (US) LLC  
197 Clarendon St.  
Boston, MA 02116

John Hancock Investment  
601 Congress Street  
Boston, MA 02210-2805

Hancock Capital Investment Management, LLC  
197 Clarendon Street  
Boston, MA 02116

Hancock Venture Partners, Inc.  
197 Clarendon St.  
Boston, MA 02116

Declaration Management & Research, LLC  
197 Clarendon St.  
Boston, MA 02116

John Hancock Distributors LLC  
601 Congress Street  
Boston, MA 02110

John Hancock Funds, LLC  
601 Congress Street  
Boston, MA 02110

**Code of Ethics, Participation or Interest in Client Transactions and Personal Trading**

SII is responsible for ensuring compliance with Rule 204A-1 of the Advisers Act, which requires a registered investment adviser to establish, maintain and enforce a written code of ethics. Consistent with this obligation, SII has adopted a Code of Ethics that, at a minimum, seeks to promote compliance with fiduciary standards and the means to address conflicts of interest arising from the personal securities

transactions of its employees and its IARs. The Code of Ethics describes the standards of conduct that is expected of its employees and IARs. A copy of SII's Code of Ethics is available to clients upon request.

### **Review of Accounts**

SII reviews a sample of its managed client accounts on a quarterly basis. The managed client accounts are reviewed to proactively identify any potential account irregularities.

To conduct its review of accounts, SII selects a sample of accounts and acquires specific account information and documentation that is examined during the review. After the review is completed a report of the findings is created and distributed to various member of the SII management team. Findings are reviewed and addressed to make certain that issues are addressed in a timely manner. These reports are not issued to the respective account owners. If SII becomes aware of a matter that requires the client's attention in order to resolve, SII will promptly notify the Client.

### **Client Referrals and Other Compensation**

SII IARs receive client referrals for advisory services. Each client receives a solicitor fee disclosure document that outlines the referral arrangement and any compensation to the individual making the referral.

National Financial Services, LLC., may share revenue associated with the use of no-transaction fee mutual funds in the Program. Such payments vary from .03% to 0.12% based on aggregate no-transaction fee mutual fund assets held with National Financial Services, LLC. As such, there is a potential conflict of interest because SII may have a greater incentive to recommend investments that provide additional compensation to SII.

SII may receive revenue sharing from third party money managers for new sales and/or assets under management in its investment advisory programs.

### **Financial Information**

This item is not applicable to SII.