

Crypto Currency Outreach Supplemental Request List

“Crypto-Assets” collectively refers to crypto-currency (*e.g.*, Bitcoin), initial coin offering (ICO), distributed ledger technology, blockchain and/or any related products and pooled investment vehicles.

1. Preferably in Excel, Crypto-Assets held in all client portfolios as of the end of the **Examination Period**:
 - a. Crypto-Asset name;
 - b. Crypto-Asset instrument (*e.g.*, coin/token, SAFT, DPA, other)
 - c. CUSIP (or other identifier, if any);
 - d. Client name;
 - e. Client account number;
 - f. Client type (*e.g.* individual, joint, separately managed, IRA, 401(k), trust);
 - g. Where the Crypto-Asset is held (*i.e.*, identify the individual wallet provider, third party custodian, exchange, etc.), and the public address in which it is held, if applicable;
 - h. Date of initial purchase;
 - i. Quantity or principal/notional amount owned by client; and
 - j. Market value of the position.
2. Describe advisory fees charged to clients for services related to Crypto-Assets.
3. Explain the way in which Crypto-Assets are valued for the purposes of assessing advisory fees and client reporting.
4. Provide copies of all written policies and procedures regarding Crypto-Assets.
5. To the extent Crypto-Assets are held by the registrant in an individual wallet or exchange, explain any measures taken to ensure security and safe-keeping of the Crypto-Assets.
6. Provide copies of all disclosures, advertising, and marketing materials provided to advisory clients regarding Crypto-Assets.
7. Describe how the trades in Crypto-Assets are executed and priced, and how best execution obligations are satisfied.
8. Provide a list of crypto exchanges and brokers used.
9. If employees and/or principals are permitted to invest in Crypto-Assets, explain how the registrant monitors and reviews employee/principal investments in Crypto-Assets in conjunction with its compliance program.
10. If the registrant has received any customer complaints regarding Crypto-Assets, provide a log of such complaints, including for each complaint: (i) the date of the complaint; (ii) a description of the complaint; and (iii) the registrant’s response to the complaint.
11. If not otherwise provided in response to this request, provide a narrative description of the registrant’s future plans for Crypto-Assets.