HUDOCK CAPITAL GROUP, LLC

WEALTH PARTNERS WITH PURPOSE®

Dream Plan Live

START PLANNING YOUR DREAM

Our core purpose, our passion, is to make a positive and profound difference in the lives of our clients and in the communities we serve.

I DREAM OF...

A Life Filled with Purpose

At Hudock Capital, we are invested with a deep sense of purpose — to make a positive and profound difference in the lives of our clients and in the communities we serve.

More than Financial Advisors, we are Wealth Partners. We develop a dynamic relationship with each client — one that is centered on a highly personalized and principled approach to investing with purpose. Put simply, we start with your life…and plan your money around it.

We find no greater satisfaction than in helping our clients live the lives they've imagined. This unique brand of a purpose-driven client experience is our hallmark.

Who We Are

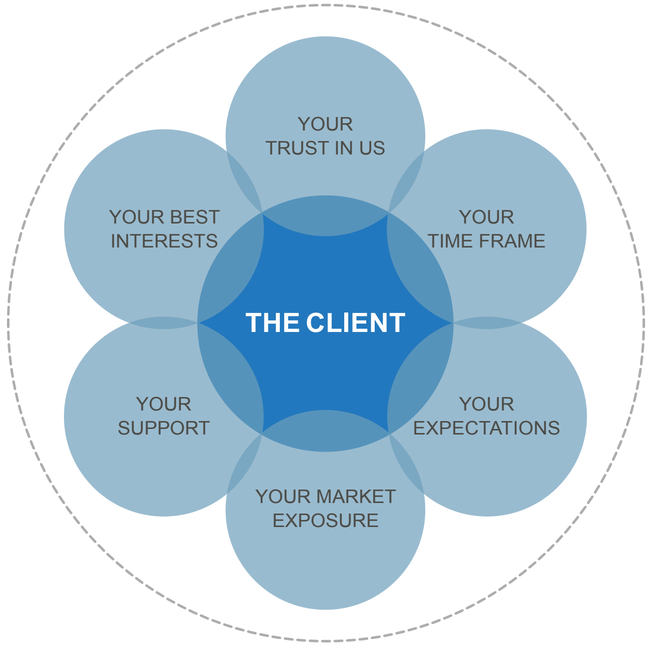
Hudock Capital is a privately-held **hybrid Registered Investment Advisor** that specializes in financial planning and investment management for high-net-worth individuals and successful institutions.

Unique among our peers, we are an **ESOP, Employee Stock Ownership Plan**, which means our team members have a stake in the long-term success of our firm and our clients.

We deliver **a fiduciary decision-making process**. We have over 250 combined years of experience in the industry.

We believe in a highly **personalized and principled approach** to investing with purpose.

It's all about the Client



Client-Centric Business Model

Our Obligation as a Fiduciary

We are registered with the Securities and Exchange Commission as a Registered Investment Advisor (RIA). By registering as an RIA, we took a principle in which we have always believed — to act in the best interests of our clients — and have confirmed it as our legal and moral obligation. As an RIA, we are held by the law to the highest standard of care — we owe a fiduciary duty to our clients.

We deliver a fiduciary decision-making process. This encourages a special level of personalized service that is not always found in investor/advisor relationships and allows our clients to benefit in ways that are not possible with non-RIA relationships.

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Dream

The first step toward financial security is understanding your financial goals and aspirations.

Plan

Let us know where you are in life so we can help you plan your dreams.

Live

Enjoy the benefits of your hard work and thoughtful financial planning.

We are a unique, privately-held company — valued by our clients, respected by our competitors and acknowledged as a leader by experts in our industry. An active participant in philanthropic endeavors, Hudock Capital believes in giving back to the communities we serve.

Our goal is to partner with and empower our clients to realize their dreams and financial goals by implementing dynamic strategies tailored to every stage of their lives with exceptional attention to detail and purpose.

Our Experience

$700 Million

We are trusted with more than $700 million in assets under management.[1]

97% Client Retention

We have earned a greater than 97% client retention over the past 5 years.[1]

5 Professional Designations

We hold the following certifications:

Certified Financial Planner®

CPM® Certified Portfolio Manager

CIMA® Certified Investment Manager Analyst

FPQP® Financial Paraplanner Qualified Professional™

Institute for **Preparing Heirs**® Engaging Heir Families Certification Training

Industry Awards & Recognitions

Barron's

Top 100 Women Financial Advisors
Barron's magazine [1]

Top 100 Independent Financial Advisors
Barron's magazine [2]

Top 1,200 Financial Advisors
Barron's magazine [3]

Barron's Hall of Fame
Barron's magazine [4]

Forbes/SHOOK

Best-In-State Wealth Advisors
Forbes.com [5]

America's Top Women Wealth Advisors
Forbes.com [6]

Top Women Wealth Advisors Best-In-State
Forbes.com [7]

[1] Assets Under Management, Client Retention Rate and Professional Designations are figures as of December 31, 2021

Hudock Capital's Core Principles

Every decision we make, every action we take, is informed by these core principles:

1. **Clients' Interests Come First** — We are committed to do what is right for the client, sometimes at the expense of our own profitability.
2. **Integrity** — We pledge to always strive to do the right thing even when no one is watching.
3. **Respect for the Individual** — Everyone has substantial qualities. We honor these, indeed, with awe.
4. **Kindness** — We always remember compassion and empathy in whatever we do.
5. **Teamwork** — We work together as a team of dedicated professionals to design win-win solutions for our clients.
6. **Community Involvement** — We give back to our communities both in time and treasure, because it's the right thing to do.
7. **Continuing Education** — We continue to educate ourselves and our clients to maintain up-to-date and time-tested strategies within our industry.
8. **Commitment to Excellence** — Because we value our employees and our clients, we strive to perform at our best at all times and in all ways.

Highlighted Services

Consulting

Financial & Wealth Planning
Investment Management
Cash Flow Management
Insurance Planning
Retirement Planning
Estate Planning
College Planning

Resources

Contact Liaison for Attorneys, Accountants, and other professionals
Bank Officers (Banking and Lending Facilitator)
Market Research and Investment Tools
Accredited Investor Private Equity Solutions

Client and Community Investment

Educational events for clients
Client networking opportunities
Community-focused special events

We give over 5% of gross revenues back to nonprofits in the communities we serve.

Dream Plan Live

Start planning your dream

We invite you to contact us to learn more about our unique brand of a purpose-driven client experience.

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Disclosures

[1] Source: Barron's "Top 100 Women Financial Advisors," June 12, 2006, June 11, 2007, June 9, 2008, June 8, 2009, June 7, 2010, June 10, 2013, June 9, 2014, June 8, 2015, June 4, 2016, June 5, 2017

[2] Source: Barron's "Top 100 Independent Financial Advisors," August 27, 2007, August 18, 2008

[3] Source: Barron's "Top 1,000 and Top 1,200 Financial Advisors," February 9, 2009, February 22, 2010, February 21, 2011, February 18, 2013, February 24, 2014, February 23, 2015, March 5, 2016, March 6, 2017, March 12, 2018, March 11, 2019, March 14, 2020, March 13, 2021. March 14, 2022, March 11, 2023.

[4] Source: Barron's "Hall of Fame," September 14, 2019.

Barron's bases its ratings on qualitative criteria: professionals with a minimum of seven years of financial services experience, acceptable compliance records, formal succession plans, high client retention, and more. Financial Advisors are quantitatively rated based on varying types of revenues and assets advised by the financial professional, with weightings associated for each. Because individual client portfolio performance varies and is typically unaudited, this rating focuses on customer satisfaction and quality of advice. The rating may not be representative of any one client's experience because it reflects a sample of all of the experiences of the Financial Advisor's clients. The rating is not indicative of the Financial Advisor's past or future performance. Barron's is a registered trademark of Dow Jones & Company, L.P. All rights reserved. Fee paid to ranking provider for advertisement materials after ranking announced.

[5] Data provided by SHOOK™ Research, LLC. Data as of 6/30/19, 6/30/20, 6/30/21, 6/30/22.

Source: Forbes.com (January, 2020; February, 2021; April, 2022; April, 2023). Forbes America's Top Wealth Advisors and Best-in-State Wealth Advisors ranking was developed by SHOOK Research and is based on in-person, virtual, and telephone due diligence meetings to measure best practices, client retention, industry experience, credentials, review of compliance records, firm nominations; and quantitative criteria, such as: assets under management and revenue generated for their firms. Investment performance is not a criterion because client objectives and risk tolerances vary, and advisors rarely have audited performance reports. SHOOK's research and rankings provide opinions intended to choose the right financial advisor and are not indicative of future performance or representative of any one client's experience. Past performance is not an indication of future results. For more information, please see www.SHOOKresearch.com. SHOOK is a registered trademark of SHOOK Research, LLC. Fee paid to ranking provider for advertisement materials after ranking announced.

[6] Data provided by SHOOK™ Research, LLC. Data as of 9/30/18, 9/30/19, 9/30/20.

Source: Forbes.com (April, 2019; April, 2020; March, 2021). America's Top Women Advisors ranking was developed by SHOOK Research and is based on in-person, virtual and telephone due diligence meetings to evaluate each advisor qualitatively, a major component of a ranking algorithm that includes: client impact, industry experience, review of best practices and compliance records, firm nominations; and quantitative criteria, including: assets under management and revenue generated for their firms. Investment performance is not a criterion because client objectives and risk tolerances vary, and advisors rarely have audited performance reports. SHOOK's research and rankings provide opinions intended to help investors choose the right financial advisor and are not indicative of future performance or representative of any one client's experience. Past performance is not an indication of future results. For more information, please see www.SHOOKresearch.com. SHOOK is a registered trademark of SHOOK Research, LLC. Fee paid to ranking provider for advertisement materials after ranking announced.

[7] Data provided by SHOOK® Research, LLC. Data as of 9/30/21, 9/30/22.

Source: Forbes.com (February, 2022; February, 2023). America's Top Women Advisors ranking was developed by SHOOK Research and is based on in-person, virtual and telephone due diligence meetings to evaluate each advisor qualitatively, a major component of a ranking algorithm that includes: client impact, industry experience, review of best practices and compliance records, firm nominations; and quantitative criteria, including: assets under management and revenue generated for their firms. Investment performance is not a criterion because client objectives and risk tolerances vary, and advisors rarely have audited performance reports. SHOOK's research and rankings provide opinions intended to help investors choose the right financial advisor and are not indicative of future performance or representative of any one client's experience. Past performance is not an indication of future results. For more information, please see www.SHOOKresearch.com. SHOOK is a registered trademark of SHOOK Research, LLC. Fee paid to ranking provider for advertisement materials after ranking announced.

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"Our secret mission is that when clients walk through our doors, they're magically transported to a world that's kinder, gentler, warmer, friendlier, and where their dreams come true." — Barbara Hudock