

Portfolio Summary

Mr. & Mrs. Client
MM/DD/YYYY

AboveRockSM LLC

Prepared for:
Client Name
Street Address
City, State, Zip
T +1 Phone Number
[E-Mail Address](#)

Prepared by:
Bharadwaj "Brad" Nippani
AboveRock LLC
PO Box 550508
Jacksonville, FL 32255
T +1 904 535 2860
[bvsn\(at\)aboverock\(period\)com](mailto:bvsn(at)aboverock(period)com)

Services Offered Through AboveRock LLC – A Registered Investment Adviser.
Please visit [www\(period\)aboverock\(period\)com](http://www(period)aboverock(period)com) for important firm, compliance, regulatory and legal disclosures.

Portfolio Summary

Mr. & Mrs. Client
MM/DD/YYYY

PVS wrt SSG - Sample

<u>Client Name</u>	<u>Amount</u>
Accounts Governed, Supervised, Administered & Managed Via The <u>IPS</u>	
Pershing LLC as Custodian <u>FBO - IRA - 12Y***</u>	0.000000000001
Pershing LLC as Custodian <u>FBO - Rollover IRA - 34Y***</u>	0.000000000001
Pershing LLC (Retail, <u>NO</u>) - <u>***123</u>	0.000000000001
<u>Total Portfolio Value (MMDDYY)</u>	<u>0.000000000003</u>
<u>Custodian</u>	<u>Phone Number</u>
Pershing LLC (Via Shareholders Service Group/ <u>SSG</u>) - <u>https://www.netxinvestor.com</u>	800 380 7370
<u>re Access to Sites</u>	
Please note that logging into sites with incorrect/outdated information may lock the account holder from future Access until one or more verification steps, including security questions, are re-established.	

PVS wrt SSG & Custodian 2 - Sample

<u>Client Name</u>	<u>Amount</u>
Accounts Governed, Supervised, Administered & Managed Via The <u>IPS</u>	
Custodian &/Or Account Registration, Account Number 1	\$0.01
Custodian &/Or Account Registration, Account Number 2	\$0.01
Custodian &/Or Account Registration, Account Number 3	\$0.01
<u>Total Portfolio Value (MMDDYY)</u>	<u>\$0.03</u>
<u>Custodian</u>	<u>Phone Number</u>
Pershing LLC (Via Shareholders Service Group/ <u>SSG</u>) - <u>https://www.netxinvestor.com</u>	123 456 7890
Custodian Name, Custodian's Secure (<u>https://</u>) Website Address	123 456 7890
<u>re Access to Sites</u>	
Please note that logging into sites with incorrect/outdated information may lock the account holder from future access until one or more verification steps, including security questions, are re-established.	

Services Offered Through AboveRock LLC – A Registered Investment Adviser.

Please visit [www\(period\)aboverock\(period\)com](http://www(period)aboverock(period)com) for important firm, compliance, regulatory and legal disclosures.

Portfolio Summary

Mr. & Mrs. Client
MM/DD/YYYY

Disclosures

Past performance, positive or negative, is not a guarantee of future positive or negative results.

Participation in equities, variable investments and securities or bond markets involves risk including loss of some or all of your principal investment.

This report is generated to assist you in understanding the outstanding fees due and is intended for informational purposes only.

This material does not constitute an offer to sell or a solicitation of an offer to buy any security.

We have done everything in our power, and have made every effort, to acquire accurate results. AboveRock LLC, any of its affiliated companies, or the Founder, Owner, President & Chief Compliance Officer of the Firm Sir & Mr. Bharadwaj "Brad" Venkata Sesha "V. S." Nippani, cannot be held liable for any errors which may have been reported in the portfolio values sheets (aka Portfolio Summary), invoices or any other reports. If any such errors are identified, please notify us immediately and a new report (or reports) with the correct numbers/values/information will be generated for you promptly.

Services Offered Through AboveRock LLC - A Registered Investment Adviser.

Information regarding the Firm and its Associates may be found both at the Florida Office of Financial Regulation's website at <http://www.flofr.com> and at the Florida Department of State's website at <http://www.sunbiz.org>. Information regarding governing statutes including Chapters 517, 605, 608 and 621, among others, may be found at <http://www.leg.state.fl.us/statutes>.

Adviser and Adviser Representatives may only transact business in a state if first registered, excluded, or exempted from state Investment Adviser and Adviser Representative registration requirements. Follow-up and/or individualized responses to persons in a state by Adviser or an Advisory Representative that involve either the effecting of or an attempt to effect, transactions in securities or the rendering of personalized investment advice for compensation may require registration first unless an exemption or exclusion is available.

Please note that AboveRock LLC's Firm Brochure (Adviser's Form ADV Part 2A) and Brochure Supplement (Adviser's Form ADV Part 2B), combined as one document, has been filed with the state of Florida at <http://www.flofr.com>. This document, available at <http://www.adviserinfo.sec.gov>, must be read, understood and signed prior to engaging the representative via the Adviser. Before you consider working with us and/or sending monies to a custodian, you must understand and acknowledge that equity investing is long-term and variable in nature, involves loss of some or all of your principal and has no bank/FDIC, savings or credit union/NCUA or NCUSIF guarantee. In some situations, under certain circumstances and depending on where, how and in what your monies are invested, accounts may become eligible for SIPC protection. Please visit www.sipc.org for complete information. The loss of some, or all/100%, of your principal, and/or the erosion of purchasing power, may also apply to fixed-income investments in cases of corporate, institutional, agency, governmental or sovereign insolvency or bankruptcy, as applicable.

Services Offered Through AboveRock LLC – A Registered Investment Adviser.

Please visit [www\(period\)aboverock\(period\).com](http://www.period.aboverock(period).com) for important firm, compliance, regulatory and legal disclosures.

Portfolio Summary

Mr. & Mrs. Client
MM/DD/YYYY

The Founder, Owner, President & Chief Compliance Officer of the Firm Sir & Mr. Bharadwaj "Brad" Venkata Sesha "V. S." Nippani is also affiliated with REARM LLC, registered with the state of Florida via the Department of Business and Professional Regulation (DBPR) as a Real Estate Company, and serves as its Founder, Owner, President & Qualifying Broker. You may find more information at <http://www.myfloridalicense.com/dbpr> and <http://www.sunbiz.org>.

Adviser and Adviser Representatives are not attorneys, economists or CPA/tax attorneys and no information presented on this site must be considered as tax or legal advice. Tax and legal advice must be sought from a CPA and/or a tax attorney and when applicable, additional information regarding one's estate must also be sought from an estate planning attorney in your jurisdiction. Some of the views and opinions mentioned on this venue are meant for understanding and informational purposes only and represent the current, good faith perspective of the authors at the time of publication, are subject to change frequently without notice, must not be considered to be an absolute solution to any portfolio or an investment advisory model/strategy and must be coincided with other pertinent factors, expertise, knowledge, guidance and supervision of a qualified investment professional.

Information presented here is not, and may not, be construed as investment advice, an endorsement, agreement, a testimonial or a recommendation, an offer to sell, exchange, redeem, transfer or a solicitation, an advertisement or a promotion of an offer to buy any security, real estate, or legal, tax, estate or accounting advice.

Past performance, positive or negative, is not a guarantee of future positive or negative results.

Electronic mail messages, together with any attachments, when transmitted via the internet, may not be 100% secure and could potentially be breached, contain or contract viruses and other malware during transmission. AboveRock LLC and its affiliates do not accept liability and do not warrant that e-mail communications are virus or defect free. Please do not send unsecure attachments, non-public personal information or trading instructions via e-mail.

Electronic mail messages and any messages sent to AboveRock LLC and its associated persons, including phone calls, may be recorded, reviewed, monitored and/or saved for quality assurance, training and compliance purposes in accordance with federal and state regulations and/or firm policies, as applicable.

Electronic mail messages, together with any attachments, may contain confidential and/or privileged information and are intended solely to be used by the individual/entity to whom they are addressed/directed. Any unauthorized review, use, printing, saving, copying, disclosure of, or distribution of content in, such digital correspondence/communication including any attachments is strictly prohibited. If you have received a message in error, please advise the sender via a reply e-mail and delete all copies immediately.

Services Offered Through AboveRock LLC – A Registered Investment Adviser.

Please visit [www\(period\)aboverock\(period\).com](http://www.period.aboverock(period).com) for important firm, compliance, regulatory and legal disclosures.

Portfolio Summary

Mr. & Mrs. Client
MM/DD/YYYY

The Founder, Owner, President & Chief Compliance Officer of the Firm Sir & Mr. Bharadwaj "Brad" Venkata Sesha "V. S." Nippani reviews and approves the communication as well as content on this site.

Please know that the disclosures provided to you in this document are applicable to this document also & have been prepared by the Founder, Owner, President & Chief Compliance Officer of the Firm Sir & Mr. Bharadwaj "Brad" Venkata Sesha "V. S." Nippani who governs, supervises, administers, is responsible for, & births, journeys and arrives at one or more responsibilities, expectations & accountabilities regarding this matter and, on a continuous basis, identifies and records applicable factors, processes, policies & information in the Firm's documents, & therefore utilize words &/or terms such as "Site(s)" &/Or "Websites(s)".

Privacy Notice

When you visit this website, you are not asked for any of your personal information unless you choose to provide your name, mailing and/or email address to the Adviser in an attempt to request further information. AboveRock LLC respects and will abide by the privacy rules/guidelines outlined in our Privacy Policy. You may retrieve our privacy policy via the 'Documents' tab above or we will surely get one mailed/e-mailed to you upon your request to have us do so.

Copyright 2018. AboveRock, LLC. All Rights Reserved.

100318

Services Offered Through AboveRock LLC – A Registered Investment Adviser.

Please visit [www\(period\)aboverock\(period\)com](http://www(period)aboverock(period)com) for important firm, compliance, regulatory and legal disclosures.