

Brookmont Capital Management, LLC

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This Brochure provides information about the qualifications and business practices of Brookmont Capital Management, LLC. If you have any questions about the contents of this Brochure, please contact us at 214-953-0190 or via email at sbegando@brookmontcapital.com. 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.

Brookmont Capital Management, LLC 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 provide you with information about which you determine to hire or retain an Adviser.

Additional information about Brookmont Capital Management, LLC also is available on the SEC's website at www.adviserinfo.sec.gov.

November 15, 2013

Material Changes

This Item of the Brochure will discuss only specific material changes that are made to the Brochure and provide clients with a summary of such changes. The last update of our brochure was our annual amendment on March 11, 2013.

As of November 15, 2013, this brochure has been amended to reflect a new suite number and phone for Brookmont at the same address. This is a non-material amendment. The brochure has also been amended to reflect that the Pyxis Dividend Equity Fund is now the Highland Capital Dividend Equity Fund. This is only a change in the name of the fund and is a non-material amendment.

We will further provide you with a new Brochure as necessary based on changes or new information, at any time, without charge.

Currently, our Brochure may be requested by contacting Suzie Begando at 214-953-0190 or sbegando@brookmontcapital.com. Our Brochure is also available on our website www.brookmontcapital.com, also free of charge.

Additional information about Brookmont Capital Management, LLC is also available via the SEC's web site www.adviserinfo.sec.gov. The SEC's web site also provides information about any persons affiliated with Brookmont who are registered, or are required to be registered, as investment adviser representatives of Brookmont.

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Advisory Business

Brookmont Capital Management, LLC is a registered investment advisor based in Dallas, Texas that was launched in December 2007 whose principal owners are Robert Bugg, CFA, and Neal Scott.

INVESTMENT SERVICES

Brookmont offers advisory services to individuals, families, institutions, endowments and foundations, public pension plans, registered investment advisers, registered investment companies, and other taxable and tax-exempt entities.

Brookmont requires a minimum account of \$500,000 or a minimum fee of \$5,000 for Portfolio Management Services clients. This account size and minimum fee may be negotiable under certain circumstances. Brookmont may group certain related client accounts for the purposes of achieving the minimum account size.

PORTFOLIO MANAGEMENT SERVICES

Brookmont provides continuous advice to a client regarding the investment of client funds based on the individual needs of the client. Through personal discussions in which goals and objectives based on a client's particular circumstances are established, Brookmont develops a client's personal investment policy and creates and manages a portfolio based on that policy. Brookmont will manage advisory accounts on a discretionary or non-discretionary basis. Account supervision is guided by the stated objectives of the client (e.g., maximum capital appreciation, growth, income, or growth and income).

Brookmont will create a portfolio consisting of one or all of the following: individual equities, bonds, exchange traded funds (ETFs), other investment products, and no-load or load-waived mutual funds. Brookmont will allocate the client's assets among various investments, taking into consideration the overall management style selected by the client.

Clients will have the opportunity to place reasonable restrictions on the types of investments which will be made on the client's behalf. Clients will retain individual ownership of all securities.

Brookmont has been selected as sub-adviser to the Highland Capital Dividend Equity Fund (ticker: HDFAX). Potential investors in the Highland Capital Dividend Equity Fund are requested to refer to the fund prospectus and Statement of Additional Information (“SAI”) for complete information on the fund.

Clients should be aware that Brookmont has invested, and will continue to invest, certain of its direct clients in the mutual fund that is sub-advised by Brookmont. Brookmont will rebate any portion of its advisory fees attributable to a client’s investment in the mutual fund, thereby minimizing the potential conflict of interest that Brookmont has an incentive to invest a greater portion of a client’s assets into the mutual fund to increase the fees Brookmont receives.

WRAP FEE PROGRAMS

We participate in “wrap fee” advisory programs. Wrap fee accounts are treated similarly to all non-wrap fee accounts. In return for our services, the wrap fee program sponsor pays us a portion of the wrap fee that clients pay to the wrap fee program sponsor.

PORTFOLIO MANAGEMENT STRATEGY SUB-ADVISER

Brookmont also offers its strategies on a sub-advisory basis to independent investment advisers. In this scenario, an independent adviser contracts with Brookmont to manage all or portion of that independent adviser’s client assets. Brookmont relies on information provided to it by the independent adviser(s) regarding client suitability and restrictions. Pursuant to a sub-advisory agreement between Brookmont and the independent adviser, the independent adviser retains, on behalf of each of its clients, the discretion to hire and/or fire Brookmont. However, Brookmont retains full investment discretion for all sub-advised accounts, as well as the authority to affect trades in such accounts.

ASSETS UNDER MANAGEMENT

As of December 31, 2012, Brookmont provided advice on approximately \$255 million of financial assets for 162 discretionary accounts. Clients or family accounts may consist of more or one accounts such as an individual account for each of the spouses, children, and/or business.

Fees and Compensation

The specific manner in which fees are charged by Brookmont is established in a client's written agreement with Brookmont. Clients will be invoiced in arrears or have their account directly debited at the end of each month (or quarter) based upon the value (market value or fair market value in the absence of market value, plus any credit balance or minus any debit balance) of the client's account at the end of the previous month. Clients may elect to be billed in advance or arrears each month. Clients may also elect to be billed directly for fees or to authorize Brookmont to directly debit fees from client accounts. Brookmont will not directly debit any client account without receiving written authorization from the client. Management fees shall be prorated for each capital contribution and withdrawal made during the applicable calendar quarter (with the exception of de minimis contributions and withdrawals). Accounts initiated or terminated during the month will be charged a prorated fee.

Brookmont's fees are exclusive of brokerage commissions, transaction fees, and other related costs and expenses which shall be incurred by the client. Clients may incur certain charges imposed by custodians, brokers, third party investment and other third parties such as fees charged by managers, custodial fees, deferred sales charges, odd-lot differentials, transfer taxes, wire transfer and electronic fund fees, and other fees and taxes on brokerage accounts and securities transactions. Mutual funds and exchange traded funds also charge internal management fees, which are disclosed in a fund's prospectus. Such charges, fees and commissions are exclusive of and in addition to Brookmont's fee, and Brookmont shall not receive any portion of these commissions, fees, and costs.

Item 12 further describes the factors that Brookmont considers in selecting or recommending broker-dealers for client transactions and determining the reasonableness of their compensation (*e.g.*, commissions).

Fee Schedule: The annual fee for portfolio management services will be charged as a percentage of assets under management, according to the following schedule:

<u>Assets under Management</u>	<u>Annual Fee (%)</u>
\$0 to 1,000,000	1.25%
Over \$1,000,000	1.00%

A minimum of \$500,000 of assets under management or a minimum annual fee of \$5,000 is required for this service. The annual fee, minimum account size and minimum fee may be negotiable under certain circumstances. Brookmont may group certain related client accounts for the purposes of achieving the minimum account size and determining the annualized fee.

For accounts in which Brookmont is a sub-advisor, Brookmont will receive a percentage of the fee charged by the Independent RIA, typically ranging from 20% to 75% of said fee. Clients

should refer to the Independent RIA's disclosure document for additional information regarding its fees.

Potential investors in the Highland Capital Dividend Equity Fund are requested to refer to the fund prospectus and Statement of Additional Information ("SAI") for complete information on the fund and associated fees/expenses.

GENERAL INFORMATION

Negotiability of Fees: In certain circumstances, all fees and account minimums may be negotiable.

Fee Calculation: The fee charged is calculated as described above and is not charged on the basis of a share of capital gains upon or capital appreciation of the funds or any portion of the funds of an advisory client (Section 205(a)(1) of the Advisers Act).

Termination and Amendment of Client Agreement: A client agreement may be terminated by either party at any time without penalty upon written notice. Upon termination, it is the client's responsibility to monitor the investment account assets, and Brookmont will have no further obligation to act or advise with respect to those assets. Notice of termination shall be made by the terminating party in writing. Upon termination of any account, any prepaid, unearned fees will be promptly refunded, and any earned, unpaid fees will be due and payable. The client agreement may be amended only by an instrument in writing duly executed by both parties.

Other Fees and Expenses: All fees paid to Brookmont for investment advisory services are separate and distinct from the fees and expenses charged by mutual funds to their shareholders. These fees and expenses are described in each fund's prospectus. These fees will generally include a management fee, other fund expenses, and a possible distribution fee. If the fund also imposes sales charges, a client may pay an initial or deferred sales charge. A client could invest in a mutual fund directly, without the services of Brookmont. In that case, the client would not receive the services provided by Brookmont which are designed, among other things, to assist the client in determining which mutual fund or funds are most appropriate to each client's financial condition and objectives. Accordingly, the client should review both the fees charged by the funds and the fees charged by Brookmont to fully understand the total amount of fees to be paid by the client and to thereby evaluate the advisory services being provided.

In addition to Brookmont's advisory fees, clients are also responsible for the fees and expenses charged by custodians and imposed by broker dealers. Such fees may include, but are not limited to, any transaction charges, fees for duplicate statements and transaction confirmations, and fees for electronic data feeds and reports.

Performance-Based Fees and Side-By-Side Management

Brookmont does not charge any performance-based fees (fees based on a share of capital gains on or capital appreciation of the assets of a client).

Types of Clients

Brookmont provides portfolio management services to individuals, high net worth individuals, corporate pension and profit-sharing plans, Taft-Hartley plans, charitable institutions, foundations, endowments, municipalities, registered mutual funds, private investment funds, and trust programs.

Brookmont offers a combination of the following advisory services, where appropriate, to individuals, banks or thrift institutions, trusts, estates or charitable organizations and corporations or other business entities. A minimum of \$500,000 of assets under management or a minimum annual fee of \$5,000 is required for this service.

Methods of Analysis, Investment Strategies and Risk of Loss

Brookmont invests in small to large companies that offer attractive valuations and above-average dividend yields. Many of these holdings may be classified as “value” stocks.

Brookmont specifically looks for companies that provide:

- a reasonably smooth, upward progression of earnings that are not entirely driven by the economic cycle; abundant cash flow to increase its quarterly dividends in the future;
- an established management team, stable product demand, and financial strength; and
- higher net income that is generated by revenue growth and cost containment, versus share repurchasing activity and other one-time events.

Brookmont provides full portfolio management services to its direct clients and includes asset allocation (based on the client’s objectives and Brookmont’s asset allocation models), buy/sell decision for individual holdings, and monitoring the portfolio on a continuous basis. Brookmont

offers investments in four separate asset classes: equities, fixed income, cash and short-term investments, and real estate (“REITs”).

The majority of Brookmont’s direct clients invest in the Dividend Equity Strategy’s recommended holdings. This will normally include 35-40 individual holdings that include all major sectors of the US economy. International stocks may be included in these holdings. The firm attempts to minimize portfolio turnover by purchasing stocks that it believes are attractive on a long-term basis.

Client portfolios may also include taxable or tax-free fixed income securities that are intended to provide current income and capital preservation. Most fixed income portfolios include passive management and laddered maturities. Fixed income securities are monitored for any changes in credit ratings.

Brookmont will generally hold these bonds until they mature. Brookmont maintains a tight restriction on the types of bonds they purchase and refrains from purchasing any bond that carries a credit rating below investment grade. Brookmont’s focus is not on total return, but rather the generation of current income and preservation of principal. When a client has an appetite for increased risk, Brookmont recommends that they buy longer maturities rather than lower quality. Active fixed income management is also available.

Short-term investments may include a combination of money market funds, commercial paper, and short-term brokered CD’s that carry FDIC insurance. The purpose for holding short-term investments includes future account distributions, reinvestment of proceeds during favorable market conditions, and for defensive strategies. Real Estate investments are offered through individual REIT holdings and Exchange Traded Funds (ETF’s). Brookmont does not offer direct investment in real estate properties.

RISK OF LOSS

Investing in securities involves risk of loss that clients should be prepared to bear.

All investments, including mutual funds, present the risk of loss of principal – the risk that the value of securities, when sold or otherwise disposed of, may be less than the price paid for the securities. Even when the value of the securities when sold is greater than the price paid, there is the risk that the appreciation will be less than inflation. In other words, the purchasing power of the proceeds may be less than the purchasing power of the original investment.

Brookmont does not guarantee that any investment it has selected will appreciate in the future and past performance is not a guarantee of future results. Clients, and potential clients, should not rely on the assumption that Brookmont will provide future results that are similar to its past performance. Individual holdings (including a comprehensive portfolio) do not include FDIC insurance.

Investing carries several risks that must be considered

Risk of loss. Although Brookmont makes every effort to preserve each client's capital and achieve real growth of wealth, investing in securities involves a risk of loss that each client should be prepared to bear.

Risks of stock investing. Stocks generally fluctuate in value and may decline significantly over short time periods. The value of a stock in which a client invests may decline due to general weakness in the stock market or because of factors that affect a company or a particular industry.

No Assurance of investment appreciation. In addition to short-term market fluctuations, there is no assurance that any particular investment will appreciate in value over the long term or that it can ever be sold at a profit. It is possible that some or all of a client's investments may be sold at a net sales price which will be less than the acquisition costs paid for such investments.

Reliance on companies in which investments are made. Clients will be a partial owner of the companies in which its assets are invested and, therefore, will face risks inherent in owning a business. These risks include, but are not limited to, (1) a company's operations may not be successful or profitable, (2) a company may not have the financial resources to weather economic downturns, (3) a company may not be able to control and mitigate cost increases, (4) a company may not be able to effectively respond to regulatory actions affecting its operations or markets, and (5) the company's management may mismanage the company and/or engage in fraud. Each client must recognize that the success of such client's investment portfolio depends on the operating success and profitability of the companies in its investment portfolio. Brookmont will not have control or discretion concerning any operational decisions of any of such companies.

Managed portfolio risk. Our investment strategies or selection of specific securities may be unsuccessful and may cause clients to incur losses.

Foreign investing risk. A client's investments in foreign securities may be adversely affected by political and economic conditions overseas, reduced liquidity, or decreases in foreign currency values relative to the U.S. dollar

Disciplinary Information

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of Brookmont or the integrity of Brookmont's management. Brookmont has no information applicable to this Item.

Other Financial Industry Activities and Affiliations

Neither Brookmont nor its management maintains any other industry activities or affiliations. As such, this item is not applicable to Brookmont.

Code of Ethics

Brookmont has adopted a Code of Ethics for all supervised persons of the firm describing its high standard of business conduct, and fiduciary duty to its clients. The Code of Ethics includes provisions relating to the confidentiality of client information, a prohibition on insider trading, a prohibition of rumor mongering, restrictions on the acceptance of significant gifts and the reporting of certain gifts and business entertainment items, and personal securities trading procedures, among other things. All supervised persons at Brookmont must acknowledge the terms of the Code of Ethics annually, or as amended.

Brookmont anticipates that, in appropriate circumstances, consistent with clients' investment objectives, it will cause accounts over which Brookmont has management authority to effect, and will recommend to investment advisory clients or prospective clients, the purchase or sale of securities in which Brookmont, its affiliates and/or clients, directly or indirectly, have a position of interest. Brookmont's employees and persons associated with Brookmont are required to follow Brookmont's Code of Ethics. Subject to satisfying this policy and applicable laws, officers, directors and employees of Brookmont and its affiliates may trade for their own accounts in securities which are recommended to and/or purchased for Brookmont's clients. The Code of Ethics is designed to assure that the personal securities transactions, activities and interests of the employees of Brookmont will not interfere with (i) making decisions in the best interest of advisory clients and (ii) implementing such decisions while, at the same time, allowing employees to invest for their own accounts. Under the Code certain classes of securities have been designated as exempt transactions, based upon a determination that these would materially not interfere with the best interest of Brookmont's clients. In addition, the Code requires pre-clearance of many transactions, and restricts trading in close proximity to client trading activity. Nonetheless, because the Code of Ethics in some circumstances would permit employees to invest in the same securities as clients, there is a possibility that employees might benefit from market activity by a client in a security held by an employee. Employee trading is continually monitored under the Code of Ethics, and to reasonably prevent conflicts of interest between Brookmont and its clients.

Certain affiliated accounts may trade in the same securities with client accounts on an aggregated basis when consistent with Brookmont's obligation of best execution. In such circumstances, the affiliated and client accounts will share commission costs equally and receive securities at a total average price. Brookmont will retain records of the trade order (specifying each participating account) and its allocation, which will be completed prior to the entry of the aggregated order. Completed orders will be allocated as specified in the initial trade order. Partially filled orders will be allocated on a pro rata basis. Any exceptions will be explained on the Order.

Brookmont's clients or prospective clients may request a copy of the firm's Code of Ethics by contacting Suzie Begando.

Participation in Client Transactions and Personal Trading

It is Brookmont's policy that the firm will not affect any principal or agency cross securities transactions for client accounts. Brookmont will also not cross trades between client accounts. Principal transactions are generally defined as transactions where an adviser, acting as principal for its own account or the account of an affiliated broker-dealer, buys from or sells any security to any advisory client. A principal transaction may also be deemed to have occurred if a security is crossed between an affiliated hedge fund and another client account. An agency cross transaction is defined as a transaction where a person acts as an investment adviser in relation to a transaction in which the investment adviser, or any person controlled by or under common control with the investment adviser, acts as broker for both the advisory client and for another person on the other side of the transaction. Agency cross transactions may arise where an adviser is dually registered as a broker-dealer or has an affiliated broker-dealer.

Brokerage Practices

Brookmont does not accept soft-dollars from any broker-dealer. For Portfolio Management services either offered directly to Brookmont's clients or via a sub-advisory relationship with independent investment advisers or the Highland Capital Dividend Equity Fund, Brookmont shall have full power and discretion to select the broker or dealer to execute transactions for the investment account assets and to negotiate and determine any commission rates to be paid for such transactions. Brookmont requires that it be provided this discretionary authority from the client in writing. Brookmont will use its best efforts to have transactions executed at prices that are advantageous to the client and at commission rates that are reasonable in relation to the benefits received. Brookmont may consider a number of factors when selecting a broker or dealer to effect a transaction, including its financial strength and stability, the efficiency with

which the transaction will be effected, and the value of research products and services that a broker lawfully may provide to assist the firm in the exercise of its investment discretion.

If Brookmont believes that the purchase or sale of a security is in the client's best interests along with the best interests of its other clients, Brookmont, may, but shall not be obligated to, aggregate the securities to be sold or purchased to obtain favorable execution or lower brokerage commissions, to the extent permitted by applicable laws and regulations. Brookmont will allocate securities so purchased or sold, as well as the expense incurred in the transaction, in the manner that it considers to be equitable and consistent with its fiduciary obligations to client and its other clients. Brookmont will not include any personal or proprietary trades with client trades in an aggregated trade order.

If a client wish to impose reasonable limitations on this discretionary authority, such limitations shall be provided in writing. Clients may change/amend these limitations as desired. Such amendments shall also be submitted in writing.

The client shall also have the right to direct Brookmont in writing to use a particular broker or dealer to execute some or all transactions for the client's account. In that case, the client will negotiate terms and arrangements with that broker or dealer, and Brookmont will not seek better execution services or prices from other brokers or dealers or be able to aggregate client transactions for execution through other brokers or dealers with orders for other accounts advised or managed by the firm. As a result, the client may pay higher commissions or other transaction costs or greater spreads, or receive less favorable net prices, on transactions for the client's account than would otherwise be the case, and best execution may not be achieved.

Brokers or dealers may from time to time refer clients to Brookmont. Brookmont will not make commitments to any broker or dealer to compensate that broker or dealer through brokerage or dealer transactions for client referrals; however, a potential conflict of interest may arise between the client's interest in obtaining best price and execution and Brookmont's interest in receiving future referrals. Under such circumstances, clients should be aware of their various brokerage options, including utilizing the services of the referring broker, choosing another broker, or utilizing a firm retained by Brookmont to provide custody and execution services.

In the event that a client directs Brookmont to use a particular broker or dealer, it should be understood that Brookmont will not have the authority to negotiate commissions, obtain volume discounts, and best execution may not be achieved. In addition, there may be a disparity in commission charges among Brookmont's clients.

Brookmont maintains relationships with several FINRA member broker dealers with whom the firm typically places its trades. Brookmont recognizes its duty of best execution however, and, as noted above, will endeavor to select those brokers or dealers that will provide the best services at the lowest commission rates and costs possible.

Review of Accounts

Periodic Reviews

Brookmont reviews the performance and allocation of each client account periodically, with such reviews occurring no less frequently than on a quarterly basis. Factors that may trigger more frequent reviews include material market events or changes in a client's personal situation. Such reviews are conducted by Mr. Robert Bugg, Chief Investment Officer and Chief Compliance Officer.

Nature and Frequency of Reports

Brookmont's selected custodians provide a monthly or quarterly statement to each of its advisory clients which identifies the amount of funds and total value of each security in the client's account at the end of the reporting period. The account statement also sets forth all transactions in the client's account during the reporting period.

Client Referrals and Other Compensation

Brookmont may from time to time compensate, either directly or indirectly, any person (defined as a natural person or a company) for client referrals. Brookmont is aware of the special considerations promulgated under Section 206(4)-3 of the Investment Advisers Act of 1940 and similar state regulations. As such, appropriate disclosure shall be made, all written instruments will be maintained by Brookmont and all applicable Federal and/or State laws will be observed. The fee paid to a solicitor by Brookmont will be specified in a separate disclosure document provided to the client.

Custody

The Investment Account Assets shall be deposited by clients with a custodial agent (the "Custodian") selected by the client. Brookmont shall not act as the Custodian. Brookmont shall give notice and directions to the Custodian with respect to transactions regarding the Investment Account Assets, and such transactions will be consummated by payments to, or delivery by, the Custodian of all cash and/or securities due to or from the Investment Account Assets.

However, due to its ability to deduct fees directly from client accounts, Brookmont is deemed to have custody of client funds and securities under Rule 206(4)-2 under the Investment Advisers Act of 1940, as amended. Brookmont will follow the requirements of Rule 206(4)-2 for any client for which it is deemed to have custody. Each client will receive, at least quarterly, an account statement directly from the Custodian. Clients of Brookmont are urged to compare any reports provided by Brookmont to the reports provided by the Custodian.

Brookmont's direct clients have an option on custodians that have been pre-screened and approved by the firm. Clients may also direct Brookmont to use other qualified custodians. Brookmont is not obligated to use a directed custodian until it has been reviewed and approved by the firm's Chief Compliance Officer.

Investment Discretion

Brookmont usually receives discretionary authority from the client at the outset of an advisory relationship to select the identity and amount of securities to be bought or sold. In all cases, however, such discretion is to be exercised in a manner consistent with the stated investment objectives for the particular client account.

When selecting securities and determining amounts, Brookmont observes the investment policies, limitations and restrictions of the clients for which it advises. For registered investment companies, Brookmont's authority to trade securities may also be limited by certain federal securities and tax laws that require diversification of investments and favor the holding of investments once made.

Investment guidelines and restrictions must be provided to Brookmont in writing.

Brookmont shall supervise and direct the investments of and for an investment account assets on a discretionary basis, without prior consultation with client, in accordance with the description of its investment philosophy set forth above. This discretionary authority makes Brookmont the agent and attorney-in-fact with full power and authority in connection with the investment account assets (a) to buy, sell, exchange, convert and otherwise trade in any and all stocks, bonds and other securities, both domestic and foreign, as Brookmont may select; and (b) to establish and deal through accounts with one or more securities brokerage firms, dealers or banks as Brookmont may select. Brookmont requires that it be provided this discretionary authority from the client in writing.

Brookmont shall not effect transactions in securities on behalf of the client, receive any compensation for the execution of purchases, sales, exchanges, or trades in securities on client's behalf or receive any compensation for directing trades in securities on behalf of client.

If a client wish to impose reasonable limitations on this discretionary authority, such limitations shall be provided in writing. Clients may change/amend these limitations as desired. Such amendments shall also be submitted in writing.

Voting Client Securities

Brookmont maintains a written proxy voting policy which reflects the firm's duty as a fiduciary to vote proxies in the best interests of its clients. For ERISA plan clients, proxies are voted solely in the best interests of the plan participants and beneficiaries.

Certain clients have expressly retained proxy-voting authority and in such instances, Brookmont has no proxy voting responsibility and may not take any action regarding those clients' proxies.

In the event of any actual or potential conflicts of interests in the voting of any client proxies, Brookmont will make appropriate disclosures to clients and either request that the client vote the proxy(s), abstain from voting or vote the client proxies, depending on the circumstances.

Clients may obtain a copy of Brookmont's complete proxy voting policies and procedures by contacting the Chief Compliance Officer directly. Clients may request, in writing, information on how proxies for his/her shares were voted. If any client requests a copy of Brookmont's complete proxy policies and procedures or how Brookmont voted proxies for his/her account(s), Brookmont will promptly provide such information to the client.

Class Actions, Bankruptcies and other Legal Proceedings: Brookmont will neither advise nor act on behalf of the client in legal proceedings involving companies whose securities are held in the client's account(s), including, but not limited to, the filing of "Proofs of Claim" in class action settlements. If desired, clients may direct Brookmont to transmit copies of class action notices to the client or a third party. Upon such direction, Brookmont will make commercially reasonable efforts to forward such notices in a timely manner.

Financial Information

Registered investment advisers are required in this Item to provide you with certain financial information or disclosures about Brookmont's financial condition. Brookmont has no financial commitment that impairs its ability to meet contractual and fiduciary commitments to clients, and has not been the subject of a bankruptcy proceeding.