

ONE WORLD A.M.S., LLC  
609 E. Washington  
Riverton, WY 82501  
(307) 856-2637

THIS BROCHURE PROVIDES CLIENTS WITH INFORMATION ABOUT ONE WORLD A.M.S., LLC THAT SHOULD BE CONSIDERED BEFORE PARTICIPATION IN THIS PROGRAM. THIS INFORMATION HAS NOT BEEN APPROVED OR VERIFIED BY ANY GOVERNMENTAL AUTHORITY.

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One World A.M.S., LLC (“One World”) provides consulting services to clients concerning investment advisory services offered by other independent investment advisors. One World offers internal portfolio management services. As part of this Service One World undertakes to evaluate the type and quality of services performed by independent advisors, based on available information, including information contained in each adviser’s Form ADV. One World offers the following consultative, or investment management services to clients:

**Consulting Services Program:** One World provides a Consulting Services Program for clients with more complex investment needs. These investment needs are normally articulated in a request for proposal or in some other formal document. Clients are usually institutions, pension or other employee benefit plan sponsors, and/or fiduciaries seeking individual services. Fees for the consulting services vary, depending upon a client’s needs and requirements, negotiated up to a maximum of 1.00% of the value of assets in the account. In some cases, hourly fees may be charged, and are based on the time and amount of work involved and the costs incurred to satisfy an assignment. Fees are charged quarterly in advance based on the market value of assets as of the end of the previous quarter. If the contract is terminated prior to the end of the quarter in which the fees have already been paid, the pro-rated fees will be refunded to the client.

**Mutual Fund Portfolios:** One World also provides Direct Investment Management Services to clients in the selection, allocation and management of mutual funds. There is an investment management contract between the Client and One World. In this program, Client will establish a brokerage account at a custodian for the purpose of investing in no load or load waived mutual funds. One World will purchase assets for the clients at net asset value and not record a commission. These transactions will be executed in accordance with the investment objectives the Client has provided to One World.

Clients will receive confirmation of all transactions and account statements quarterly, as well as in any month in which there is activity. These may be delivered electronically or via U.S. mail.

The following fee schedule will apply for this program and fees will be applied to the fair market value of the assets held in the account as determined by One World the last business day of each period:

Value of Assets	Fee (Annual Rate)
On the First \$5,000,000	1.5%
On the assets over \$5,000,000	1.0%

One World, in its discretion, may negotiate the foregoing fees in appropriate circumstances. The Registered Investment Advisor Representative (“RIAR”), Introducing broker/dealer, or Solicitor may receive 12B-1 service fees paid through a broker/dealer.

No separate commissionable transaction fees are charged except for transfer taxes, exchange fees, miscellaneous confirmation processing fees or other fees imposed by law. The agreement contains a clause requiring arbitration to settle unresolved disputes.

The client, without penalty, may terminate the agreement at any time within five (5) business days after the date the contract is executed. Either party may terminate the agreement upon thirty (30) days written notice to the other party, to the address set forth in the agreement. In the event of termination, One World shall be under no obligation to liquidate the securities or other investments owned by the client, but where applicable, shall deliver the securities or other investments as directed by the client in writing.

At its discretion, One World may negotiate the foregoing fees in appropriate circumstances. Fees are charged quarterly in advance based on the market value of assets as of the end of the previous quarter. If the contract is terminated prior to the end of the quarter in which the fees have already been paid, the pro-rated fees will be refunded to the client. With respect to advisory clients residing in California, the combined total advisory fees paid by the client to both One World and the independent advisor shall not exceed 3% per annum.

#### SELECTION OF APPROPRIATE MANAGERS

Advisors recommended by One World are selected from a pre-screened group of independent money managers, based on Clients criteria. One World reviews these managers on an ongoing basis as to their performance, assets under management, personnel changes, account turnover, and other changes. Clients may consult directly with their selected manager(s) at any time.

#### QUALIFICATION STANDARDS

While One World has no formalized minimum standards of education and business background with respect to persons whose duties or functions relate to supervisory responsibility over advisory services, such persons generally are college graduates and/or have sufficient securities industry experience complementing their present activities with One World.

#### EDUCATION AND BUSINESS BACKGROUND OF PROFESSIONAL STAFF

##### **David A. Pope, CPA**

Year of Birth: 1961

Education and Achievements:

Bachelor of Science in Accounting from Regis University in Denver, CO

Graduated Magna Cum Laude

Member, American Institute of Certified Public Accountants (AICPA)

Member, Wyoming Society of Certified Public Accountants

Member, AICPA Tax Section

Member, AICPA Litigation Consulting and Forensic Accounting Section

Business Background:

1996 – Present: CEO of David A. Pope, CPA P.C.

**Carmen L. Milbury**

Year of Birth 1960

Education: LCCC, Wyoming Assoc. of Science/Accounting  
Colorado State University, B.S./ Accounting

**Business Background:**

From/To	Firm	Position
7/96 – 6/04	Rushmore Investment Advisors, Inc.	Consulting/Prior to that President
8/96 – 6/04	Williams Financial Group	Registered Representative

**CONDITIONS FOR MANAGING ACCOUNTS**

In connection with One World's investment management programs, a minimum dollar amount of \$5,000 for taxable accounts and \$500 for IRA accounts will be required in order to open an account and minimum annual fee of \$50.00 will be charged to maintain an account. Exceptions may be made at the discretion of One World.

**REVIEW OF ACCOUNT AND REPORTS TO CLIENTS**

Accounts are reviewed on a regular basis by firm principals by review of the client account statements and performance reports.

**DISCRETION AND SELECTION OF BROKERS**

Clients may use the transaction execution services of any broker/dealer considered appropriate and qualified by One World AMS, LLC.

**ADDITIONAL COMPENSATION**

One World does not receive any additional compensation for participation in this program other than what has previously been described.

**REFERRAL PAYMENTS**

One World may compensate third parties for client referrals. Such compensation shall be a percentage of the collected management fee. All arrangements will be on a fully disclosed basis with the client. In the event solicitors are utilized, One World will make sure that the entity and/or individual is appropriately licensed, as necessary, and that the referral arrangement is conducted in full compliance with applicable state and federal regulations.