

# Patrick Mauro Investment Advisor, Inc.

[www.mauroinvestor.com](http://www.mauroinvestor.com)

## Investment Management Agreement

\_\_\_\_\_ (hereafter referred to as “the client”) appoints Patrick Mauro Investment Advisor, Inc. (PMIA) as investment manager for certain assets of \_\_\_\_\_, which may be listed in Exhibit A attached hereto and made a part hereof (consisting of month end statement for \_\_\_\_\_ or any other statement or list provided to PMIA, if any) on the following terms and conditions:

1. PMIA is authorized to manage the assets in the account without prior consultation or approval of the client, subject to limitations, restrictions, and objectives as set forth in this agreement.
2. The client shall maintain this account at \_\_\_\_\_ initially upon signing this agreement. Subsequent to the signing of this agreement, the client may move all or part of the assets to any other custodian at any time.
3. PMIA will provide the client a rate of return analysis at a minimum of once annually (but usually quarterly) based on assets held in the managed account.
4. The client will pay fees at the end of each calendar quarter based upon the market valuation of managed assets at the time, adjusted for deposits and withdrawals. See paragraph #10 below for exact rates of fees agreed to between PMIA and the client.
5. The client consents to receiving regulatory documents periodically published by PMIA from PMIA to the email provided below. The client further agrees to keep PMIA informed of any changes to the client's email address, and acknowledges that a written copy of such regulatory documents may be obtained by sending a written request to PMIA.
6. This agreement becomes effective on \_\_\_\_\_, and shall continue in effect until either party to the other, delivers written notice of termination. Regardless of the cause of termination of this agreement, the fees for the period in which the termination occurs will be prorated.
7. PMIA is prohibited from transferring or assigning the obligations of this agreement to any other investment manager. Additionally, PMIA shall not sell or otherwise provide your any of your personal information to any third party unless required by law.
8. If PMIA is asked to assist in selecting a broker-dealer, it will do so on the basis of competitive execution fees, among other considerations.
9. PMIA is registered with Securities and Exchange Commission, Washington D.C. 20549. Official place of business is office at the home of Patrick Mauro, President of PMIA.

**38 Mockingbird Lane, Oak Brook, IL 60523. Tel: (630) 789-3374.**

**Upon signing this agreement below, the client acknowledges and agrees that PMIA has delivered its disclosure Brochure and Relationship Summary to the client. The Brochure and Brochure supplements are subject to the Investment Advisers Act Rule 204-3. The Relationship Summary is subject to Rule 17a-14 under the Securities Exchange Act of 1934 and Investment Advisers Act Rule 204-5.**

**The client has the right to terminate the Investment Management Agreement, without penalty, within five (5) business days of signing the Investment Management Agreement.**

10. This paragraph is for any necessary further conditions agreed upon:

Agreed and accepted as of the date set forth below:

Patrick J. Mauro, President  
Patrick Mauro Investment Advisor, Inc.

Signature: \_\_\_\_\_

Dated: \_\_\_\_\_

Client printed name: \_\_\_\_\_

Client signature: \_\_\_\_\_

Client Email Address: \_\_\_\_\_

Dated: \_\_\_\_\_

**Exhibit A**

See attached, if any.