

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

| 1. Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: Great Companies, Inc. | IRS Empl. Ident. No.: 59-3170260 | | | | | | | | | | | | | | | | | | | | |
|---|---|-------------------|----|---------------------------------|------|----------------------------------|------|-----------------------------------|------|-----------------------|--|-------------------|----|---------------------------------|------|----------------------------------|------|-----------------------------------|------|-----------------------|--|
| Item of Form (identify) | Answer | | | | | | | | | | | | | | | | | | | | |
| Part II - Page 2 #1,A,1,D | <p>Great Companies, Inc. is a privately owned independent investment advisory firm. We offer equity, balanced and fixed portfolio management to retail & institutional customers. All accounts are separately managed. We manage investment accounts subject to the right of either party to terminate the arrangement.</p> <p>Retail Clients: The fees are calculated as a percentage of assets under management. Clients pay regular quarterly fees, in advance, at the following rates, based on the market value of the investment account, including cash or its equivalent held for investment. These fees do not include brokerage/custodial fees and commissions.</p> <p>Retail Customer Schedule (custody not included)</p> <table style="width:100%; border: none;"> <tr> <td style="width:80%;">First \$1,000,000</td> <td style="text-align: right;">1%</td> </tr> <tr> <td>From \$1,000,001 to \$5,000,000</td> <td style="text-align: right;">.90%</td> </tr> <tr> <td>From \$5,000,001 to \$10,000,000</td> <td style="text-align: right;">.80%</td> </tr> <tr> <td>From \$10,000,001 to \$20,000,000</td> <td style="text-align: right;">.70%</td> </tr> <tr> <td colspan="2">Negotiable on Balance</td> </tr> </table> <p>Institutional Clients: Great Companies, Inc. also offers management to Institutional clients on a separate managed account basis. We offer equity, balanced and fixed portfolio management. The minimum account size for Institutional accounts is \$1,000,000. However, this minimum account size is negotiable based upon Institutional portfolio circumstances. We manage investment accounts subject to the right of either party to terminate the arrangement.</p> <p>The fees are calculated as a percentage of assets under management. Institutional clients pay regular quarterly fees, based on the market value of the investment account, including cash or it equivalent held for investment. These fees do not include brokerage/custodial fees or commissions.</p> <p>Institutional Client Schedule (custody not included)</p> <table style="width:100%; border: none;"> <tr> <td style="width:80%;">First \$1,000,000</td> <td style="text-align: right;">1%</td> </tr> <tr> <td>From \$1,000,001 to \$5,000,000</td> <td style="text-align: right;">.90%</td> </tr> <tr> <td>From \$5,000,001 to \$10,000,000</td> <td style="text-align: right;">.80%</td> </tr> <tr> <td>From \$10,000,001 to \$20,000,000</td> <td style="text-align: right;">.70%</td> </tr> <tr> <td colspan="2">Negotiable on Balance</td> </tr> </table> <p>Individual portfolio circumstances may influence the negotiation of a fee rate differing from our standard schedule for both retail and Institutional clients. Retail Clients are generally billed quarterly in advance and Institutional Clients are generally billed at the conclusion of a quarter. Invoices are sent with detailed account appraisals generated on the "ADVENT" system, a licensed administrative system. All reports have been reconciled with the statements produced by the custodian bank or broker. We will reimburse terminated clients on a prorated basis, following the quarter the contract was terminated. Prorated refunds will be made based on the number of days remaining in the period if contracts are terminated during a period. Instructions to terminate are accepted verbally or in writing from an authorized client representative and are effective when received.</p> | First \$1,000,000 | 1% | From \$1,000,001 to \$5,000,000 | .90% | From \$5,000,001 to \$10,000,000 | .80% | From \$10,000,001 to \$20,000,000 | .70% | Negotiable on Balance | | First \$1,000,000 | 1% | From \$1,000,001 to \$5,000,000 | .90% | From \$5,000,001 to \$10,000,000 | .80% | From \$10,000,001 to \$20,000,000 | .70% | Negotiable on Balance | |
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| Part II - Page 4 #6 | <p>Julie C. Carnevale - DOB 3-11-61, U of Phoenix, Bachelor of Science Business Management: Business Background: Great Companies, Inc.(Formerly EDMP) 1992 to Present, Co-Owner AFT Investment Advisory 1991 to 1993, Prior to 91 extensive experience in brokerage business.</p> | | | | | | | | | | | | | | | | | | | | |

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| Part II - Page 4, #8(c-3) | <p>James H. Huguet: DOB 12-10-44 U of Louisiana Business Management; Business Background: Great Companies, Inc. (Formerly EDMP, Inc.) 2006 to Present, Co-Owner of Great Companies, LLC 2000 to 2006, prior to 2000 Extensive background in business consulting.</p> <p>Charles C. Carnevale - DOB 4-25-47, U of Tampa, FL, Economics Major: Business background: Great Companies, Inc. (Formerly EDMP, Inc.) 1992 to Present, Co-Owner AFT Investment Advisory 1991 to 1993 Prior to 91 extensive experience in the brokerage business.</p> <p>Carl M. Salvato - DOB 6-25-53, U of NY at Albany, Accounting Major, CPA designation 1985. Business background: Great Companies, Inc. (Formerly EDMP, Inc.) 1995 to Present, 1986 to 1995 Private Investor.</p> <p>Timothy W. Loudin - DOB 8-21-61, West Virginia College of Graduate Studies, Information Systems, Glenville State College, Business Administration: Business background: Great Companies, Inc. (Formerly EDMP, Inc.) 1998 to Present, 1992 to 1998 Information Systems Consulting.</p> <p>Fundamental Investment Alliance Group, Inc. is a privately owned independent investment advisory firm offering money management selection services. Charles C. Carnevale, Julie C. Carnevale, Carl M. Salvato and Timothy Loudin, Officers and Directors of Great Companies, Inc., collectively own 100% of Fundamental Investment Alliance Group, Inc. and 58.5% of Great Companies, Inc. Great Companies, Inc. is the lead money manager for Fundamental Investment Alliance Group, Inc.</p> |
| Part 11 - Page 6 13(a) | <p>Schmetter & Associates (S&A) is an independent sales and marketing firm. Gretchen M. Schmetter and Randon E. Schmetter are managing directors for S&A and own 100% of the firm. S&A serves as an independent sales and marketing representative for Great Companies, Inc. (Formerly EDMP, Inc.) S&A receives 25% of investment management fees on assets placed under management at Great Companies by each client brought to Great Companies. S&A is not a broker/dealer, and all fees and commissions paid to S&A are in hard dollars. No additional amount is added to Great Companies' investment advisory fee as a result of S&A's role in the solicitation of new business.</p> |
| Part II - Page 5 #10 | <p>Great Companies, Inc. manages individual portfolios and imposes a minimum account size of \$100,000 for retail clients and \$1,000,000 for institutional clients. However, individual circumstances may influence the negotiation of the account size.</p> <p>Great Companies, Inc. has limited trading authorization on client portfolios. We can make the buy, sell and hold decisions only. We have no authorization to withdraw funds or securities.</p> <p>Miscellaneous:</p> <p><i>Proxy Voting</i> In certain circumstances, and in accordance with the client's specific advisory agreement, Great Companies, Inc. shall vote proxies related to securities held by any client in a manner that is in the best interest of the client. Great Companies, Inc. shall consider only those factors that relate to the client's investment(s) or that are established by the client's written instructions. Such factors will include how its vote will economically impact and affect the value of the client's investment (keeping in mind that, after conducting an appropriate cost-benefit analysis, not voting at all on a presented proposal may be in the best interest of the client).</p> <p>Proxy votes generally will be cast in favor of proposals that:</p> |

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| | <ul style="list-style-type: none"> ▪ maintain or strengthen the shared interests of shareholders and management; ▪ increase shareholder value; ▪ maintain or increase shareholder influence over the issuer's board of directors and management; and, ▪ maintain or increase the rights of shareholders. ▪ AFL-CIO guidelines will be followed for Taft Hartley Accounts <p>Proxy votes generally will be cast against proposals having the opposite effect.</p> <p>In voting on each and every issue, Great Companies, Inc. and its employees shall vote in a prudent and timely fashion and only after a careful evaluation of the issue(s) presented on the ballot.</p> <p>In exercising its voting discretion, Great Companies, Inc. and its employees shall avoid any direct or indirect conflict of interest raised by such voting decision. Great Companies, Inc. will provide adequate disclosure to the client if any substantive aspect or foreseeable result of the subject matter to be voted upon raises an actual or potential conflict of interest to Great Companies, Inc.</p> <p>Consistent with SEC Rule 206(4)-6, Great Companies, Inc. will keep certain records required by applicable law in connection with its proxy voting activities for clients and shall provide proxy-voting information to clients upon their written or oral request. A copy of Great Companies, Inc.'s proxy-voting policies and procedures are available to clients upon request.</p> <hr/> <p align="center">PRIVACY DISCLOSURE DOCUMENT</p> <hr/> <p>GREAT COMPANIES, INC. 320 W. Kennedy Blvd. Suite 600 Tampa, FL 33606 (813) 251-3055</p> <p>One of GREAT COMPANIES, Inc.'s primary client goals is to protect your privacy. Because we respect your right to privacy, we have always placed a high priority on protecting the personal information you provide us. GREAT COMPANIES collects and uses personal information for legitimate business purposes and our Privacy Policy is to continue to protect your right to privacy, even beyond the laws and regulations that provide protection.</p> <p>GREAT COMPANIES, Inc. is required to send an annual notice of our Privacy Policy, and notification when we make changes to our policies and practices.</p> <p>We collect and use information necessary to administer our business, to advise you about our services, and to provide you with customer services. To conduct regular business, we may collect and maintain several types of nonpublic customer information needed for these purposes, such as:</p> <ul style="list-style-type: none"> ▶ Information reported by you on applications or other forms provided to us by you, your consultants, brokerage firms, or others. ▶ Information about your transactions with us, your consultants, brokerage firms or others. |

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| | <p>GREAT COMPANIES, Inc. does not share or disclose any nonpublic personal information about its current or former customers with non-affiliated third parties except in these cases:</p> <ul style="list-style-type: none"> ▶ As permitted or required by law, for example; providing information to industry regulators, to The Securities and Exchange Commission, and to State Regulatory Agencies. ▶ With parties that assist GREAT COMPANIES, Inc. in promoting our own products and services, such as printers and mail houses. It is GREAT COMPANIES' policy to include confidentiality and data protection provisions in the contracts we make with these companies. We provide them with the limited information they need to perform their services for GREAT COMPANIES, such as names and addresses collected through our transactions. ▶ In jointly marketing financial products with selected third party marketing firms, information is provided in order to report GREAT COMPANIES' track record, assets under management, account sizes and number of accounts. Specific information, such as account ownership, addresses, etc. is protected through a signed confidentiality contract between GREAT COMPANIES and the nonaffiliated marketing firm. The agreement is designed to ensure that the third party will maintain the confidentiality of the information, except as necessary to carry out the agreement. Through the process of marketing to new institutional clients, representative lists of current institutional clients are disclosed. <p>Additional Privacy Principles</p> <ul style="list-style-type: none"> ▶ We do not sell customer information. ▶ We do not provide customer information to persons or organizations that you have not authorized. ▶ We afford prospective and former clients the same protections as existing clients with respect to the use of personal information. <p>Information Safeguarding</p> <p>GREAT COMPANIES maintains policies and practices that will internally safeguard your nonpublic personal information. The policies provide for:</p> <ul style="list-style-type: none"> ▶ Restricting access to only those employees who provide products or services to you or those who need access to your information to service your account. ▶ Maintaining physical, electronic and procedural safeguards that meet federal and/or state standards to guard your nonpublic personal information. ▶ Password protection on database access for both employees and clients. ▶ Compliance audits. ▶ Employee training. ▶ Monitoring our computer networks and testing the strength of our security in order to help us ensure the safety of customer information. ▶ Backup and recovery procedures. ▶ Continually reviewing our policies and practices. |

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| Part II, Page 5, (9), E | <p>Internet Policies and Procedures</p> <ul style="list-style-type: none"> ▶ GREAT COMPANIES, Inc. identifies and tracks the single previous web site address, which visitors have come from, when accessing our site. This is a standard industry practice used to determine how people navigate to our site. ▶ When a client accesses the Great Companies' servers (www.edmpinc.com), we store a cookie – a tiny piece of information – on the client's computer. This file is a technical requirement that allows us to establish and maintain a secure session so clients can request information regarding their account. The cookie contains no confidential or personal information and is not used to track client activity after leaving edmpinc.com. ▶ An additional layer of security, Secure Sockets Layer (SSL), through VeriSign is used to maintain the confidentiality of all information sent between the edmpinc.com web site and the client's computer. All information sent to this site, if in an SSL session, is encrypted, protecting against disclosure to third parties. Specifically requested client information, such as a user name and password is used to verify identity in order to gain access to the secure client web site. ▶ GREAT COMPANIES, Inc. collects site aggregate and client specific information about the pages accessed on the edmpinc.com web site. This information is used to improve the content of edmpinc.com. <p>Opt-Out Provision:</p> <p>GREAT COMPANIES, Inc. does not sell or share information with persons or organizations, other than specifically authorized by the client, or required or permitted by law; therefore, the Opt-Out provision does not currently apply to us. However, if you would like to discuss this issue in detail, or if you have any concerns, please feel free to contact us at 1-800-351-3367.</p> <p align="center">It remains our privilege to serve you. And, as always, remember; Earnings Determine Market Price, always have, always will.</p> <p>Great Companies buys and sells securities for the Great Companies profit sharing account that it also recommends to Great Companies clients. It is the policy of Great Companies, Inc. that any employee or associate shall immediately notify Great Companies, Inc. if it learns of any information regarding any public company that is not available to the general public. Any such information will cause the prohibition of any trading activities, buys or sells, in such company by all Great Companies, Inc. employees and associated persons.</p> <p>Any such information obtained or received will be immediately submitted in writing to the Companies, Inc. executive committee. A formal notification will be disseminated to all personnel and staff. It is the policy of Great Companies, Inc. that no Great Companies, Inc. staff, personnel or any related or associated persons will divulge said information or conduct any trading activities in the security or company involved.</p> <p>This policy is in effect in order to comply with the Investment Advisory Act of 1940, section 204A (prevention of misuse of nonpublic information).</p> |

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| <p>Part 11, Page 6, #12 #13</p> | <p>It is the policy of Great Companies, Inc. to allow employees to maintain personal securities accounts, provided any such personal investing by the employee or any immediate family or household member is consistent with the firm's fiduciary duty to our clients. The employee must report all such accounts to the firm and provide copies of all statements and confirms or reports of transactions on a regular basis to the firm's Compliance Officer. This policy does not cover the following types of investments:</p> <ul style="list-style-type: none"> • Direct obligations of the United States Government; • Open-end investment company shares, including money market mutual funds, whether affiliated or non-affiliated; • Banker's acceptances, bank certificate of deposits, commercial paper and high quality short-term debt instruments, including repurchase agreements; and Interests in variable insurance products or variable annuities, whether affiliated or unaffiliated. This policy is available on request in full format. <p>A copy of Great Companies, Inc.'s Code of Ethics is available to clients upon request.</p> <p>Under certain circumstances, Great Companies may have discretionary authority to effect transactions for the Account. In exercising that authority, the client understands that Great Companies will choose specific securities to buy and sell for the Account, and will select the brokers and dealers through whom Great Companies will execute transactions in order to obtain "best execution," and commission rates for the client .</p> <p>Great Companies may recommend that clients establish brokerage accounts with the Schwab Institutional division of Charles Schwab & Co., Inc. (Schwab), a registered broker-dealer, Member SIPC/NYSE, to maintain custody of clients' assets and to effect trades for their account. Schwab Institutional provides Great Companies with access to its institutional trading and operations services, which are typically not available to Schwab retail investors. These services generally are available to independent investment advisors at no charge to them so long as a total of at least \$10 million of the advisor's clients' account assets are maintained at Schwab Institutional. Schwab Institutional's services include research, brokerage, custody, access to mutual funds and other investments that are otherwise available only to institutional investors or world require a significantly higher minimum initial investment. Schwab Institutional also makes available to Great Companies other products and services that benefit Great Companies but may not benefit its clients' accounts. Some of these other products and services assist Great Companies in managing and administering clients' accounts. These include software and other technology that provide access to client account data (such as trade confirmations and account statements), facilitate trade execution (and allocation of aggregated trade orders for multiple client accounts), provide research, pricing information and other market data, facilitate payment of Great Companies's fees from its clients' accounts, and assist with back-office support, recordkeeping and client reporting. Many of these services generally may be used to service all or a substantial number of Great Companies' accounts, including accounts not maintained at Schwab Institutional. Schwab Institutional may also provide Great Companies with other services intended to help Great Companies manage and further develop its business enterprise. These services may include consulting, publications and presentations on practice management, information technology, business succession, regulatory compliance, and marketing. In addition, Schwab may make available, arrange and/or pay for these types of services to Great Companies by independent third-parties. Schwab Institutional may discount or waive fees it would otherwise charge for some of these services or pay all or a part of the fees of a third-party providing these services to Great Companies. The availability to Great Companies of the foregoing products and services is not contingent upon Great Companies committing to Schwab Institutional any specific amount of business (assets in custody or trading).</p> |

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| <p>Part 2, Page 5 9E</p> | <p>Regarding Directed Brokerage Accounts Great Companies shall have full and complete discretion to direct the investment and reinvestment of the assets in the Account, the proceeds thereof and any additions thereto; and to take other proper action with respect to such assets.</p> <p>Under the Investment Management Agreement, Great Companies will have discretionary authority to effect transactions for the Account. In exercising that authority, the Client understands that Great Companies will choose specific securities to buy and sell for the Account, but will not select the brokers and dealers through whom Great Companies will execute transactions in order to obtain "best execution" for The Client. Rather, Great Companies is instructed and has agreed, to execute all transactions for the Account through a Client's custodian broker-dealer, with whom The Client has a separate agreement regarding transaction costs. The Client understands that as Great Companies follows The Client's instructions, The Client may not be receiving "best execution" with respect to certain transactions effected for the Account.</p> <p>For your services, the Client will pay Great Companies regular quarterly fees, in advance, at the agreed upon contract rate, based on the market value of the investment account under Great Companies' supervision, including cash or its equivalent held for investment. These fees do not include any transaction costs charged by the executing broker/dealer.</p> <p>To facilitate orderly and efficient execution of transactions, we generally aggregate the orders of all clients that are buying or selling the same security at the same time. When we do so, participating clients generally receive the average price and share execution expenses proportionately.</p> <p>A full code of ethics document will be provided upon request from the client.</p> |