

## FINANCIAL PLANNING AGREEMENT

This Agreement is entered into by Security Financial Services, Inc. d/b/a

THE ADVISORS GROUP (Advisor), \_\_\_\_\_ (Planner), and

\_\_\_\_\_ (Client(s)), this \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

In consideration of the mutual benefits to be derived from this Agreement, it is understood and agreed as follows:

### SERVICES

1. The Advisors Group shall provide the Client the Financial Planing services indicated below:

Assist Client in defining personal financial planning goals and objectives. Analyze current financial situation and make recommendations.

Prepare a Financial Plan, and furnish advice as to the allocation of present financial resources among different types of assets including investments, savings, and insurance with a view toward better correlating the assets with the Client's financial planning objectives.

### CLIENT'S RESPONSIBILITY

2. The Client recognizes that the value and usefulness of the Financial Planning services of The Advisors Group will be dependent upon information that he/she provides and upon his/her active participation in the formulation of financial planning objectives and in the implementation process to attain those objectives. The Client will complete a detailed questionnaire provided by The Advisors Group.

The Client will also provide copies of insurance policies, wills, tax returns, and other documents as Planner may reasonably request in order to permit complete evaluation and prepare his recommendations to the Client.

### COMPENSATION

3. The Client shall pay to The Advisors Group for financial services provided, a fee of \$175.00 per billable hour. The Advisors Group estimates that your Plan will require \_\_\_\_ to \_\_\_\_ hours of time and sets a maximum limit of billable hours at \_\_\_\_\_ or a flat fee of \_\_\_\_\_. Payment will be due upon delivery of the Financial Plan.

10301 Dawson's Creek Blvd., Suite B • Fort Wayne, IN 46825

Phone: 260-490-8808 • Fax: 260-490-8908 • [www.lpl.com/theadvisorsgroup](http://www.lpl.com/theadvisorsgroup)

E-mail Addresses: [joe.dewald@lpl.com](mailto:joe.dewald@lpl.com) • [bill.griffin@lpl.com](mailto:bill.griffin@lpl.com) • [mark.vanderhagen@lpl.com](mailto:mark.vanderhagen@lpl.com)

## **IMPLEMENTATION**

4. Client understands that Planner is licensed with Linsco/Private Ledger (LPL), a registered broker/dealer. If the Client executes investment transactions through Planner, the Planner may receive a commission or fee for such services. The Client is under no obligation to execute any investment transaction through the Planner or LPL.
5. Client understands that the Planner is licensed and registered as a broker or agent with numerous insurance companies and that a commission or other compensation will be earned for transactions implemented for or on behalf of the Client with these insurance companies.

## **LEGAL AND ACCOUNTING**

6. It is expressly understood and agreed between the parties of this Agreement that Corporation will not provide accounting or legal advice or prepare any accounting or legal documents for the implementation of the Client's financial, business, or estate plans. The Client is urged to work closely with his/her attorney in implementing the recommendations contained in the Financial Plan. Implementation of any portion of the Plan is entirely at the Client's discretion.

## **TERMINATION**

7. The Client may terminate this Agreement at any time and will be billed for the hours worked up to that point unless the Client chooses to terminate this Agreement within five (5) business days of the signing of the Agreement in which case there would be no charge. This Agreement terminates upon presentation of the written Financial Plan. However, the Advisor recommends an in-depth yearly review of the Client's Financial Plan. The fee for this service will always be mutually agreed upon and will be approximately \$175.00.

## **ASSIGNMENT**

8. This Agreement shall not be assigned by The Advisors Group without the written consent of the Client.

## **GOVERNING LAW**

9. Investment advisor services performed by The Advisors Group shall be in compliance with the Investment Advisors Act of 1940, rules and regulations thereunder and applicable Indiana state laws regulating the services provided by this Agreement

## **ACKNOWLEDGMENT**

10. The Client acknowledges receipt of a written disclosure statement (brochure) in lieu of Part II of the ADV registration required under the Advisors Act of 1940.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

Signed (Client): \_\_\_\_\_

Signed (Client): \_\_\_\_\_

Signed (Planner): \_\_\_\_\_