



## Financial Planning Services Agreement

Please review this Financial Planning Services Agreement ("Agreement") carefully as it sets forth the understanding between Table Rock Financial Planning, LLC ("TRFP" or "Advisor") and you

\_\_\_\_\_ ("Client")

located at \_\_\_\_\_  
regarding the financial planning services TRFP will provide you. If you have any questions about the content of this Agreement we should discuss them before you sign this Agreement.

1. **Initial Services.** TRFP will provide consultation addressing the specific issue or issues you request as indicated below. TRFP will provide you with a detailed financial analysis and recommendations to guide you toward the achievement of your objectives. TRFP will limit its analysis to the specific areas indicated below. You understand that information regarding specific issues not revealed to or analyzed by TRFP may have a direct impact on the suitability or accuracy of specific recommendations given.

2. **Specific Services Requested.** The specific services you are requesting from TRFP are indicated below:

- \_\_\_\_\_ Cash Flow Analysis
- \_\_\_\_\_ Investment Analysis and Recommendation
- \_\_\_\_\_ Retirement Capital Needs Analysis
- \_\_\_\_\_ Education Funding
- \_\_\_\_\_ Tax Planning Counsel
- \_\_\_\_\_ Estate Planning Counsel
- \_\_\_\_\_ Life Insurance Review
- \_\_\_\_\_ Other services \_\_\_\_\_
- \_\_\_\_\_ Other services \_\_\_\_\_
- \_\_\_\_\_ Other services \_\_\_\_\_

3. **Estimated Service Fee.** \_\_\_\_\_. This fee quote is valid for 90 days from this date of this Agreement. TRFP's fees for financial planning services will be based primarily on the amount of time expended on your behalf, any follow up consultations and on TRFP's current fee schedule.

4. **Payment of Fees.** You agree to submit the lesser of \$500 or one-half of the fee stated in paragraph 3, above, upon signing of this Agreement. You agree to pay the balance of actual fees for initial services provided, which will be due and payable to TRFP immediately upon presentation of recommendations to you. TRFP will invoice you for the amount of fees for any future services performed. Payment of such invoices shall be made within twenty (20) days of receipt.

5. **Future Services.** In addition to the specific services requested pursuant to this Agreement, TRFP may provide you with financial advisory services in the future upon specific request from you. The scope of such services will be determined at the time such services are requested. Such additional services will be subject to the provisions of this Agreement, including the provisions relating to payment of fees and the limitations on TRFP's duties and liabilities.

6. **Client Representations.** Client represents to TRFP the following and understands and agrees that TRFP is relying on Client's representations as an inducement to enter into this Agreement:

- Client will provide TRFP with the necessary information to provide the agreed upon services.
- Client is responsible for all financial decisions and Client is under no obligation to follow, either wholly or in part, any recommendation or suggestion provided by TRFP.

*Continued on next page*



**Financial Planning Services Agreement (continued)**

- TRFP obtains information from a wide variety of publicly available sources and cannot guarantee the accuracy of the information or success of the advice which it may provide. The information and recommendations developed by TRFP are based on the professional judgment of TRFP and the information you provide to TRFP.
- All investments involve risks and some investment decisions will result in losses. TRFP cannot guarantee that your investment objectives will be achieved.
- Due to the limited scope of requested services, TRFP has no obligation to contact you in the future to recommend changes to your financial plan or any of the recommendations or advice previously provided by TRFP.
- If this Agreement is established by Client in a fiduciary capacity, Client hereby certifies that s/he is legally empowered to enter into or perform this Agreement in such capacity.
- TRFP performs services for other clients and may make recommendations to those clients that differ from the recommendations made to you. You agree that TRFP does not have any obligation to recommend for purchase or sale any security or other asset it may recommend to any other client.

- Confidentiality of Information.** TRFP will regard any information provided by you as confidential and all recommendations and/or advice provided by TRFP shall be confidential, with disclosure only upon such terms and to such parties as designated by the parties or as required by law.
- Termination.** Either party may terminate this Agreement at any time with written notice to the other. If this Agreement is terminated, all fees due at time of termination will be due and payable by Client immediately. Advisor will refund any unearned, prepaid fees within thirty days of written request from the Client. Should the Client wish to terminate this Agreement within 5 business days after signing, no penalty will be assessed and all fees will be refunded promptly.
- Implementation of Investments.** TRFP will not implement any investment recommendations without a signed Investment Management Services Agreement. Advisor may help Client complete the necessary paperwork to open accounts, draft letters for Client’s signature, or letters of instruction for Client’s follow-through to implement buys, sells or exchanges of investments.
- Multiple Clients.** In the event Client is more than one individual, TRFP is authorized to accept the direction of any party and such direction will be binding on all parties.
- Commissions.** Client understands that TRFP will not receive commissions on transactions that may result from the implementation of the Client's financial plan.
- Assignment.** TRFP will not assign the Agreement to any other party without your written consent.
- Registration.** Advisor is registered as an investment advisor with the State of Idaho under the Investment Act of 1940. Advisor may register or meet exemptions to registration in other states where it conducts business.
- Governing Law.** This Agreement shall be governed by the laws of the State of Idaho.

**Client hereby acknowledges receipt of Table Rock Financial Planning, LLC’s Form ADV Part II and Privacy Statement.**

Accepted this \_\_\_\_\_ of \_\_\_\_\_, \_\_\_\_\_ Client \_\_\_\_\_  
 (day) (month) (year) Client \_\_\_\_\_

\_\_\_\_\_  
Signature on behalf of Table Rock Financial Planning, LLC