



Transactional Financial Planning – Schedule A - Financial Planning Profile

1. Client Information:

Client Name(s): _____

2. Investment Advisor Information:

IAR Name: _____ REP ID: _____

3. Planning Services Available *(Select all that apply)*

Retirement Planning	Risk Management/Insurance Needs	Education Planning
Estate Planning Needs	Major Purchase Planning	Tax Planning
Cash Flow/Budgeting	Personal Financial Planning	Business Succession Planning
Business Planning	Executive Compensation Planning	Other _____

4. Employer Sponsored Account Recommendations - Available **once annually** at a fixed fee OR hourly rate

5. Payment Information:

Upfront Installments *(Maximum of 6)* At end No Fee

Fixed Fee Amount: _____ *(Requires Deliverable)*

OR - IF FEES ARE CALCULATED HOURLY

Hourly Rate: _____ Estimated Fee: _____

*Does the Client wish to receive a written plan for Services **contracted on an Hourly basis**?* Yes No

6. Investment Objective *(Select objective that most accurately reflects your highest risk tolerance in any one account)*

Income with Capital Preservation – Designed as a long-term accumulation account, this is the most conservative investment objective. Emphasis is placed on generation of current income and prevention of capital loss.

Income with Moderate Growth - Emphasis is placed on generation of current income with a secondary focus on moderate capital appreciation.

Growth with Income - Emphasis is placed on modest capital growth with some focus on generation of current income.

Growth - Emphasis is placed on achieving high long-term growth and capital appreciation. There is little focus on generation of current income.

Aggressive Growth - Emphasis is placed on aggressive growth and maximum capital appreciation with no focus on generation of current income. **This objective has a very high level of risk and is for investors with a long-term time horizon.**

To Be Determined – Client and advisor will assess as part of the financial planning process.

7. Client Acknowledgment and Execution

This Financial Planning Agreement contains a pre-dispute arbitration clause in Section 11. Client acknowledges receiving a copy of this Agreement and Financial Planning Profile / Schedule A, Stratos Form ADV Part 2A, Stratos Form CRS, Brochure Supplement (ADV Part 2B) for the IAR providing services under this Agreement and Information about Interactive Analysis Tools.

