LPL Financial

Katharina Helmick, MBA
Financial Advisor

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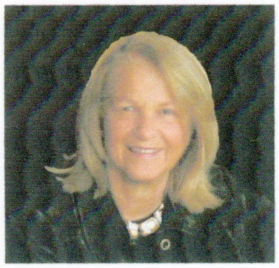

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- The Practice
- Client Experience
- Investment Management Process
- Comprehensive Wealth Management Services
- Personalized Service Offering
- Professional Background

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- **The Practice – Planning, Advice, Accountability**

I specialize in working with individuals that are going through major life transitions, be it a new job, new home, saving for college, retirement, business succession, becoming empty nesters, - to name a few. As a matter of fact, every day is a transition from yesterday to tomorrow….

I personally learned that without the proper guidance and advice, one could make many mistakes as one moves through these transitions, - even miss opportunities.

My goal (mission!) is to help you emerge successful at the other side.

To accomplish this, we work to

a. align your financial decisions with your values so that you can pursue your goals;
b. generate the necessary income to sustain the lifestyle you desire;
c. leave a legacy for the ones you love and the things you care about. It can go as far as teaching the future generation the value of financial planning and respect for work;
d. SIMPLIFY YOUR LIFE.

For the relationship to really work well, clients have found it best that we be the first phone call they make should they have a question on anything financial. Therefore, it is our expectation that the satisfaction with our work will lead you to naturally feel the same.

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The Client Experience

We have a clear process to understand your goals and develop appropriate recommendations.

1.Discovery process

Identify your goals, values, dreams, special concerns / challenges

2. Develop investment strategy

*Determine risk tolerance

*Analyze current investment portfolio

*Develop asset allocation strategy

*Portfolio construction

3. Investment strategy meeting

In-person meeting to present recommended investment strategy

4. Execution of investment strategy

*Open new accounts

*Transfer existing assets

*Conduct trades to execute agreed-upon investment

5. Follow-up meeting

In person-meeting to discuss:

*First statements / Organization of paperwork

*Set up online account

*Develop schedule for future review meetings

*Schedule wealth management plan meeting

6. Develop comprehensive wealth management plan

*Comprehensive financial planning

*Retirement planning

*Insurance and liability management

*Credit and lending

*Education planning

*Business succession planning

*Charitable giving

*Family dynamics

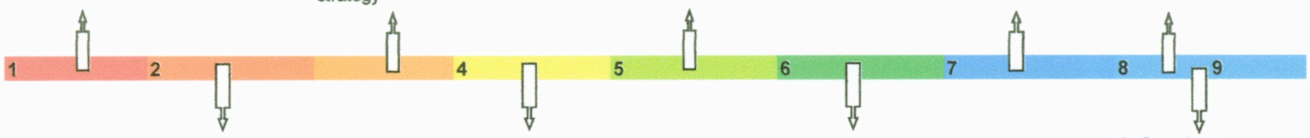
*Estate planning

7.Wealth management plan meeting

In-person meeting to present comprehensive wealth mgmt solutions

8. Execute wealth management plan

Ongoing execution of wealth management solutions



9. Ongoing monitoring of investment strategy and wealth mgmt plan

Develop schedule for review meetings

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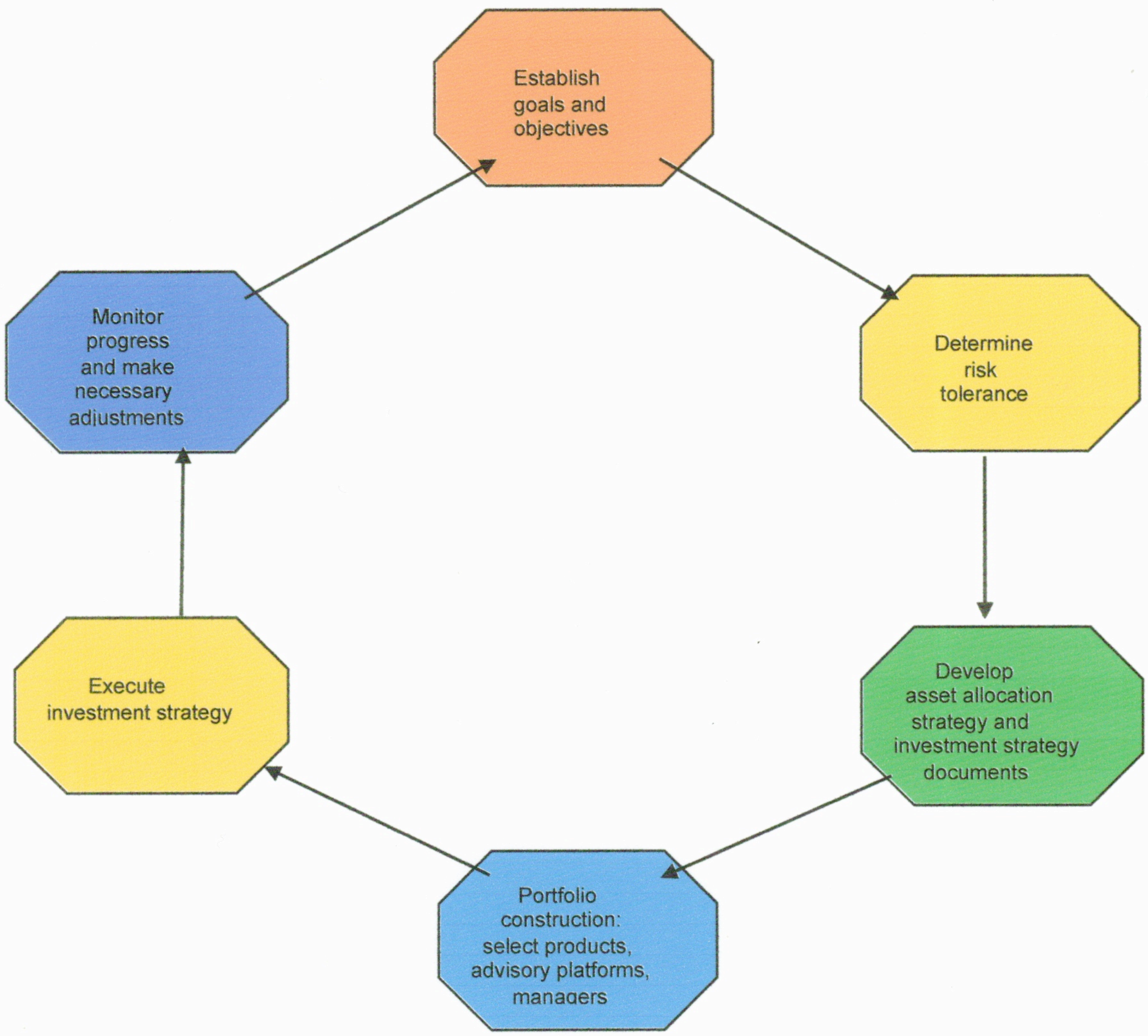
Investment management process

To help you pursue your financial goals, we employ a disciplined investment management process



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Comprehensive wealth management services

We have in-depth experience in financial planning and investment management, but we also bring in professionals with the expertise necessary for a successful wealth management plan. We will also work with any professionals with whom you already have a relationship.

Katharina Helmick, MBA at LPL Financial

Retirement Planning	Family Needs Planning	Credit and Lending	Business Succession Planning	Executive Compensation Management	Insurance and Liability Management	Estate Planning
Lifestyle review	Comprehensive financial planning	Home loans	Business needs review	Concentrated stock services (monetizing, hedging)	Goal protection: Life insurance Long term care	
Risk review	Education planning	Securities based lending	Cash management and capital needs assessment	Stock option strategies	Income protection: Disability insurance Business overhead insurance	Durable power of attorney (POA) for healcare / POA living will
Pension and/or social security benefit analysis	Special needs child assessment and planning	Personal credit management	Business valuation	Restricted securities (liquidation and risk management alternatives)	Liabilitiy insurance: Umbrella coverage Keyman insurance	Trusts
Retirement account assessment	Planning for support of aging parents	Commercial and business lending	Succession plan documents	Expertise in highly regulated areas (i.e. collateral loans, OTC option collars, etc.)		Gifting
Retirement income plan			Succession plan funding	Estate and financial planning (particular to executive compensation management)		Charitable giving
Beneficiary reviews						Asset titling
Healthcare / medicare planning						Estate tax funding
						Family dynamics / family meeting

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Personalized service offering

Client reviews

- **Comprehensive communications and performance reporting**
- **Review of changes in clients' lives**
- **Recommend Adjustments**

Facilitate family meetings

Act as a liason for your other professional advisors (accountants, lawyers, and others)

Personalized delivery of information. As needed, either via phone, email, internet, Skype, in person