Planning | Investments | Insurance
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Service Fee Schedules

Investment Advisory Services

We offer investment advisory or managed accounts at a minimum account value of $5,000 for various model portfolio strategies including from ETFs, individual stocks, and Mutual funds. We are also able to build customized portfolio strategies for client households over $1,000,000. The Phillips Financial Strategies investment advisory fee schedule ranges from 0.75% to 1.5% for our clients. This schedule applies to assets held directly with our office directly or on another platform. The total annual fees for an account is based on a function of the type of investment strategy and total household invested assets with Phillips Financial Strategies. The cash-and-money market positions of an account are not included with the Phillips Financial Strategies investment advisory fee calculation.

Please note that clients with more than $750,000 and a minimum of 75% of their available net investable assets advised by Phillips Financial Strategies have the option to receive **financial planning as a complimentary service** as part of the fiduciary process.

Fee Schedule*:
$0 to $49,999 = 1.5%
$50,000 to $349,999 = 1.25%
$350,000 to $2,000,000 = 1.0%
$2,000,001 and Up = 0.75%

Financial Planning & Investment Consulting Services*
• **Standard** - Fees - $6000 Annual or $600 a month and Up (depending on needs). - This covers up to 6 meetings of 1 hour per year, supporting back-office work and access to the Wealth Management System. We will handle the data entry into the Wealth Management system. You will need to simply link accounts and answer questions. We will also configure rebalancing alerts and assist with investment asset allocation. We will also offer quantitative modeling to assist with profit margin and internal rates of return when needed.

• **Quarterly** - Fees - $3000 a year or $275 a month. - This covers up to 4 meetings of 1 hour per year, supporting back-office work and access to the Wealth Management System. Our office will also generate financial planning reports and quantitative modeling when needed.

• **Semi-Annual** - Fees – $2000 Annually or $180 a month - This is an option that several clients who have not previously worked with a financial professional or business consultant, have found to be a good starting point. Following data entry and initial reports, clients will have two conference calls a year and two meetings. Additional meetings are available on an as needed basis in 1-hour time blocks for an additional fee that will apply at $350 an hour.

• **Hourly Fees** – $350 an hour invoiced – Billed to a client on a per project basis for work performed outside meetings with clients. We perform investment research and investment analysis on an hourly basis. Invoicing occurs on a quarterly basis or at project completion, depending on project duration. The minimum hourly project rate is 4 hours per year. Asset management and other applicable factors do apply and will be discussed at the time of engagement.

* *Financial Planning and Investment Consulting Services can be combined with Investment Advisory based on the preferences*

of a particular client. Investment Advisory Fees relate only to Phillips Financial Strategies, other fees may apply and will vary by investment.
** *At all levels of engagement clients are welcome to call or send emails with questions or comments without incurring additional costs.*
*** *Clients periodically shift between various levels of financial planning engagement based on their life needs.*

Additional Items:

Wealth Management System:

- http://www.phillipsfinancialstrategies.com/wealth-management-system
- Security features for the software: http://www.emoneyadvisor.com/Security

Financial Planning software and Risk Tolerance Software

- **Morningstar**
- **eMoney**

Our Key Relationships (*Off-Site support*)

- Partner Practice Group is Lansdowne Private Wealth Management (http://www.lpwmgroup.com)
- Duncan Advisor Resources Compliance, insurance support (http://duncangrp.com)
- Cambridge Investment Research Broker Dealer Securities Clearing, Compliance Services, Investment Advisory Fee Billing (http://Cir2.com),
- Registered Investment Advisor (RIA) consulting services provided by RIA in a Box (https://www.riainabox.com)
- Custodians – National Financial Services (Fidelity) and Charles Schwab.
- See ADV documents and for additional information.

Updated as of 4/15/2023