COLLIE
Financial Planning, Inc.

What to Expect In Working with Us

Initial Consultation

This session is an opportunity for us to exchange information about your goals and objectives and further discuss our services to determine if they may be appropriate for you. The initial consultation typically lasts approximately forty-five minutes to one hour. There is no charge for, nor any obligation as a result of, this Initial Consultation. If both the Client and Collie Financial Planning, Inc. agree that working together will be a mutually beneficial engagement, the relationship will proceed through the Progress Stages listed below.

- ☐ Client and Collie Financial Planning, Inc. agree that working together will be a mutually beneficial partnership
- ☐ Establish the goals and expectations of the Client/Firm relationship

Stage One: Fact Finding

This stage is completed over one to three meetings between the Client and Collie Financial Planning, Inc. Each meeting will last one to three hours. Collie Financial Planning, Inc.'s primary objective in this stage is to fully understand the Client's current situation and their personal and financial purpose, goals and objectives.

- ☐ Sign Financial Consulting and Compensation Agreement
- ☐ Client returns completed Confidential Client Questionnaire to Collie Financial Planning, Inc.
- ☐ Client provides Collie Financial Planning, Inc. with all necessary documents, as listed on the Confidential Client Questionnaire
- ☐ The Client and Collie Financial Planning, Inc. review the completed Confidential Client Questionnaire and all additional documents

Stage Two: Analyze Current Position in Relation to the Client's Personal and Financial Purpose, Goals and Objectives

This stage is completed by Collie Financial Planning, Inc. over a two to four week period and typically takes a total of fifteen to forty hours. Collie Financial Planning, Inc. will give consideration to all areas of the Life and Financial Planning Compass (as applicable):

- ☐ Purpose and Life Planning Goals
- ☐ Cash Flow and Lifestyle
- ☐ Insurance Planning and Risk Management
- ☐ Retirement Planning and/or Income Distribution
- ☐ College Planning
- ☐ Investments and Asset Management
- ☐ Tax Planning
- ☐ Strategic Giving
- ☐ Wealth Transfer and Estate Planning

Stage Three: Present Plan

In this stage, Collie Financial Planning, Inc. will review the completed financial plan with the Client. We will focus on both the Client's current status and recommendations for implementation. This is completed over one to two meetings that last one to three hours each.

- ☐ Review the Client's current status and their ability to fulfill and achieve their life and financial purpose, goals and objectives
- ☐ Review Collie Financial Planning, Inc.'s recommendations that will help the Client fulfill and achieve their life and financial purpose, goals and objectives
- ☐ Finalize an implementation plan
- ☐ Determine Collie Financial Planning, Inc.'s role in the implementation and monitoring process

Stage Four: Implementation

If the Client and Collie Financial Planning, Inc. agree to advance the Client to an Advisor*Select* relationship, Collie Financial Planning, Inc. will initiate and monitor the implementation process, as the Client is comfortable proceeding. Client specific action steps that need to be taken include:

- ☐ ____
- ☐ ____
- ☐ ____
- ☐ ____
- ☐ ____
- ☐ ____
- ☐ ____
- ☐ ____
- ☐ ____

Stage Five: Monitor Progress

After the plan has been implemented, it is critical that progress be continually monitored. The Client and Collie Financial Planning, Inc. will follow a predetermined review schedule to ensure that monitoring the Client's progress towards achieving Financial Freedom occurs. The following agenda will be followed at each scheduled review meeting:

- ☐ Are there changes in the Client's life and financial purpose, goals and/or objectives?
- ☐ How are we progressing toward fulfilling and achieving the Client's life and financial purpose, goals and objectives?
- ☐ Are there any needed changes or reallocations to the strategies, tools, and/or services the Client's are currently utilizing? Consider each area of the Life and Financial Planning Compass
- ☐ Is Collie Financial Planning, Inc. exceeding all of the Client's expectations?
- ☐ Does the Client feel comfortable recommending Collie Financial Planning, Inc.'s services?
- ☐ Schedule next review: ______________________________

Client	Date	Collie Financial Planning, Inc.	Date
Co-Client	Date		