

## Financial Planning Program

\*You must be enrolled in the Corporate IA Financial Planning Program through SagePoint Financial, Inc. in order to engage in Financial Planning. Contact the Willamette Financial Group (“WFG”) office for enrollment information. \*The Financial Planning program is separate from that of the Non-Discretionary Investment Advisory Services program.

The creation of a Financial Plan should be done in conjunction with the Financial Planning Program Guide. Other securities related investment advisory services, including Financial Consulting, would fall under the Non-Discretionary IA Services program.

In order to engage clients for the financial planning services program, Advisory Representatives are required to make certain disclosures and establish contractual arrangements with the Client.

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### FINANCIAL PLANNING PROCESS (Corporate RIA)

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- Provide the Client with the Form ADV Part II or its equivalent in brochure form and Privacy Policy.
- Complete and have the client sign a Financial Planning Client Agreement, along with Schedule A, Financial Planning Services to be Performed.
- Complete the Financial Planning Services Billing Invoice.
- Complete a Confidential Questionnaire/Data Collect.
- Complete the RIA Financial Planning Remittance Form.
- Complete the Hourly Blotter for billing purposes (if applicable). See attached sample blotter.
- Establish client in Client Central V2020.

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### REQUIREMENTS FOR COMPLETING A FINANCIAL PLAN:

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- Financial Plans must be in writing and delivered to the Client within 90 days of the date of execution of the Client Agreement.
- A complete copy of the Financial Plan shall be kept in the Client file (WFG Salem optical storage files)
- C-IARs (Corporate Investment Advisor Representatives) must develop written Financial Plans through firm-approved Vendor software.
- C-IARs may not alter Financial Plans produced by firm-approved Vendor software
- C-IARs who indicate on Schedule A of the Financial Planning Agreement that they will charge an hourly fee MUST maintain an Hourly Blotter of all time spent providing the Client the services identified in the Client contract and for which the Client will be billed.

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### DOCUMENT PROCESSING:

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- Signed Financial Planning Client Agreement, which includes acknowledgment of receipt of Form ADV Part II, and Schedule A, Financial Planning Services to be Performed.
- Completed Financial Planning Billing Invoice and Remittance Form with check made payable to SagePoint Financial, Inc.
- Enter check into Vision2020. If no client/account is available, you MUST open account to post the check.
- Copies/Originals\* or email of Confidential Questionnaire/Data Collect. Copies or email of recommendation documents and investment program given to clients along with a complete copy of the financial plan. (All pages to include data input pages, recommendations/action plan and system planning assumptions.)
- Copies/Original Hourly Blotter (if applicable).

\* All original documents will be shredded after imaging & filing unless they are required to be sent.

### PLEASE NOTE

- The following information is available at [www.sagepointfinancial.com](http://www.sagepointfinancial.com) > Investment Advisory > Financial Planning:
  - Financial Planning Forms
  - Financial Planning Guide
  - Pre-recorded Financial Planning Overview

## *Non-Discretionary Investment Advisory Services (Financial Consulting)*

\*You must be enrolled in the Corporate IA Non-Discretionary Investment Advisory Services Program through SagePoint Financial, Inc. in order to engage in Investment Advisory Services. Contact the Willamette Financial Group (“WFG”) office for enrollment information.

Non-Discretionary Investment Advisory Services are “Other Services” outside of financial planning. For example; Portfolio Monitoring, Financial Counseling, Review of Accounts, Securities Research, Ongoing Advice, etc. Financial Consulting services are provided through the Non-Discretionary Investment Advisory Services Agreement.

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### FINANCIAL CONSULTING/NON-DISCRETIONARY IA SERVICES PROCESS

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- Provide the Client with the Form ADV Part II or its equivalent in brochure form and Privacy Policy.
- Complete and have the client sign a Non-Discretionary IA Services Client Services Agreement along with the appropriate Addendum(s) for services to be performed.
- The Client must be provided with an Engagement letter which describes details of the services to be provided (see attached sample).
- Complete the Non-Discretionary Investment Advisory Services Billing Invoice.
- Complete the RIA Non-Discretionary Investment Advisory Services Remittance Form with check made payable to SagePoint Financial, Inc.
- Provide a copy of the recommendation documents and investment program to the client.
- Collect account statements for Clients opting for Portfolio Monitoring under Addendum A.
- If billing clients hourly, you MUST keep track of time spent on an Hourly Blotter (See attached sample).
- Establish client in Client Central V2020.
- Enter check into Vision2020. If no client/account is available, you MUST open account to post the check.

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### SEND TO WFG SALEM (CLIENT FILE REQUIREMENTS):

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- Signed Non-Discretionary Investment Advisory Services Agreement along with the appropriate Addendum(s), which includes acknowledgment of receipt of Form ADV Part II
- Completed RIA Non-Discretionary Investment Advisory Services Remittance Form with check made payable to SagePoint Financial, Inc.
- Copy of the Engagement Letter sent to client.
- Copies or email of recommendation documents and investment program given to Client.
- Copies of account statements for Clients opting for Portfolio Monitoring under Addendum A.
- Copies/Original Hourly Blotter (if applicable).

\* All original documents will be shredded after imaging & filing unless they are required to be sent.

### PLEASE NOTE

- The following information is available at [www.sagepointfinancial.com](http://www.sagepointfinancial.com) > Investment Advisory > Non-Discretionary IA Services:
  - Non-Discretionary IA Services Forms
  - Non-Discretionary IA Services Guide
  - Pre-recorded Non-Discretionary IA Services Overview



Non-Discretionary IA Services  
Engagement Letter Sample

[Date]

[Client Name]

[Address]

[City, State & Zip Code]

Dear [Client Name],

[IA Representative provides details of the services to be provided. The Engagement Letter is a self-created form drafted by the C-IAR.

There is not a form letter or template that can be found on the corporate website.

The Engagement Letter is as unique as the services being provided by the C-IAR, so it will not be found on the Forms & Guides site.]

Sincerely,

[*IA Rep's Signature*]

[IA Rep's Signature Block]

\*\*\* Make sure letter is on approved letterhead \*\*\*