



WEALTHWATCH
ADVISORS

Financial Planning Agreement

September 27, 2022

**8310 South Valley Highway
Suite 107
Englewood, CO 80112
(855) 822-3708**

wealthwatchadvisors.com



The purpose of this form is to establish a Financial Planning Agreement (“Agreement”) between an Advisor registered with Wealth Watch Advisors, Inc., (“Advisor”), and Client(s), (“Client”). Execution of this form by both the Advisor and the Client is required to acknowledge the mutually understood contractual terms of a Financial Planning Agreement. As a registered investment advisory firm with the Securities and Exchange Commission, Wealth Watch Advisors, Inc., requires that this form be executed in its entirety prior to collecting financial planning fees from a Client for services rendered.

1. Client Information

Client One

Name: _____

Home Address: _____ City: _____ State: _____ Zip: _____

Mailing Address: _____ City: _____ State: _____ Zip: _____

Email Address: _____

Cell Phone Number: _____

Home Phone Number: _____

Client Two (if applicable)

Name: _____

Home Address: _____ City: _____ State: _____ Zip: _____

Mailing Address: _____ City: _____ State: _____ Zip: _____

Email Address: _____

Cell Phone Number: _____

Home Phone Number: _____

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2. Services of Advisor and Fees Paid by Client

Select the check box to indicate the following service that shall be provided by the Advisor and the corresponding fee that will be paid by the Client for the service. Only one service may be selected.

Financial Planning

Advisor will provide financial planning consulting services on an hourly basis. Advisor will collect pertinent data, conduct personal interviews with the Client, and present a written analysis to the Client. 529 college planning may be included as a component of these well-rounded planning services.

Financial Planning Service Fee: \$ _____

The Client shall pay a one-time flat fee not exceeding \$5,000.00 as listed in the line above for services rendered by the Advisor for Financial Planning.

529 College Planning Only

Advisor will provide 529 college planning services only. The Advisor assists the client in opening a 529 plan at Principal Financial and does not conduct full financial planning services on an hourly basis.

529 College Planning Only Service Fee: \$ _____

The Client shall pay a one-time flat fee not exceeding \$500.00 as listed in the line above for services rendered by the Advisor for 529 college planning services only.

The service and fee indicated above are solely for the preparation of a financial plan or 529 college planning services and do not include monthly advisory fees charged through execution of the Wealth Watch Advisors Investment Advisory Agreement. Monthly advisory fees are assessed through the active account management process at TD Ameritrade and are entirely separate from the fees charged through this contract.

All payments must be made by **check payable to Wealth Watch Advisors, Inc.** and delivered by mail with a copy of this signed agreement to the corporate address below:

**Wealth Watch Advisors, Inc.
8310 S. Valley Highway, Suite 107
Englewood, CO 80112**

3. Responsibilities of the Client

Client agrees to provide, on a timely basis, information regarding income and expenses, investments, income tax details, estate plans, and other pertinent matters as requested by Advisor. Client also agrees to discuss needs, goals, and projected future needs with Advisor. Client acknowledges that Advisor cannot adequately perform its services on the Client's behalf unless Client performs such responsibilities on his/her part and that Advisor's analysis and recommendations are based on the information provided by Client. Client agrees to provide financial advisor, tax preparer and other contact information if requested by Advisor. Advisor shall not be required to verify any information obtained from Client, Client's attorney, accountant or other advisers and is expressly authorized to rely on the information received. Client is free at all times to accept or reject any recommendation from Advisor. Client acknowledges that (s)he has the



sole authority with regard to the implementation, acceptance, or rejection of any counseling or advice from Advisor.

4. Alternative Investments

The Client and Advisor acknowledge that Wealth Watch Advisors has never, and will never, approve or support the recommendation of alternative investments to Clients, including (but not limited to): any unregistered securities, those structured as a promissory note, uncollateralized loans, collateralized loans, certificates of deposit issued by a non-FDIC bank, crypto-currencies, commodities, or real estate ventures.

5. Confidentiality

All information and advice furnished by either party to the other, including their respective agents and employees, shall be treated as confidential and shall not be disclosed to third parties, except as required by law.

6. Basis of Advice

Client acknowledges that in the planning process, Advisor may obtain information from a wide variety of publicly available sources, but never from sources of inside or private information. The recommendations developed by Advisor are based upon the professional judgment of Advisor and its individual professional counselors and neither Advisor nor its individual counselors can guarantee the results of any of their recommendations. Client at all times may elect unilaterally to follow or ignore completely or in part any information, recommendation or counsel given by Advisor under this Agreement.

7. Implementation

The Client is free to obtain legal, accounting, and brokerage services from any professional source to implement the recommendations of Advisor. Client will retain absolute discretion over all investments and implementation of any recommendations.

8. Non-Discretionary

The Client acknowledges that the services covered by this Agreement are non-discretionary, and confer no investment authority or responsibility to the Advisor over any assets of the Client regardless of how such assets are held by the Client. The Client acknowledges that Advisor shall contact Client to seek approval/permission prior to effecting any securities transactions for the Client in the Client's broker-dealer account(s). Throughout the term of this Agreement, the Client shall retain full discretion to supervise, manage, and direct the assets of the Client that may be held by separate arrangement in one or more accounts with Advisor or any affiliated or unaffiliated third party (an "Account" whether one or more), together with all additions, substitutions and alterations thereto, with full power and authority to purchase, sell, invest, reinvest, exchange, convert, and trade the assets in the Account in any manner deemed appropriate and to place all orders for the purchase and sale of Account assets with or through brokers, dealers, or issuers selected by the Client, either with or without the recommendation of the Advisor, as the case may be, all with or without prior consultation with the Advisor and all at such times as the Client deems appropriate.

9. Legal and Accounting Services

It is understood and agreed that Advisor and its employees will not prepare any legal or accounting documents for the implementation of Client's financial or investment plan under this Agreement. Client or clients, if more than one, agrees that client(s)' personal attorney solely shall be responsible for the rendering and/or preparation of the following: (i) all legal advice; (ii) all legal opinions and determinations;

(iii) all legal documents. Client or clients, if more than one, agrees that client(s)' personal accountant solely shall be responsible for the rendering and/or preparation of the following: (i) all accounting advice; (ii) all accounting opinions and determinations; (iii) all accounting documents.

10. Term and Termination

All services provided under this Agreement shall be completed within six (6) months of the date fees are received. This Agreement may not be modified or amended except in writing and signed by both Advisor and Client. Client or clients collectively, if more than one, may cancel this Agreement for any reason during the first five (5) days from the date of signing the agreement and will receive a refund of 100% of all fees paid without cost or penalty. Thereafter, the contract may be terminated at any time by giving ten (10) days written notice to the Advisor and any prepaid fees will be prorated and refunded based upon the work completed on the plan. To cancel the agreement, Client(s) must notify the Advisor in writing and return any materials received to that date.

11. Acknowledgement of Disclosure Statement

Client hereby acknowledges that Advisor provided access, either via the company’s public website, by electronic delivery, mail delivery, or in-person delivery, to the Advisor’s personal form ADV, and the Wealth Watch Advisors forms ADV Part 2A & 2B and Privacy Policy.

12. Assignment of Agreement

No assignment of this agreement shall be made by the Advisor without written consent of Client.

13. Notices

Notices to Wealth Watch Advisors must be in writing, and shall be sent to 8310 S. Valley Highway, Suite 107, Englewood, CO 80112. All notices or communications to the Client shall be sent to the address in Section 1 above. All notices shall be deemed delivered only upon actual receipt.

14. Governing Law

This Agreement supersedes and replaces all previous agreement(s) between the parties regarding the same subject matter. This Agreement shall be governed by and construed in accordance with the laws of the State of Colorado. In addition, to the extent consistent with applicable law, the venue (i.e. location) for the resolution of any dispute or controversy between Adviser and Client shall be Colorado.

By signing this Financial Planning Agreement, the Client and the Advisor understand and agree to the written content included in this document and acknowledge the decision to move forward with the services and fees indicated in Section 2:

<i>Printed name and any representative capacity</i>	<i>Client or Representative Signature</i>	<i>Date</i>
<i>Printed name and any representative capacity</i>	<i>Client or Representative Signature</i>	<i>Date</i>
<i>Advisor Printed Name</i>	<i>Advisor Signature</i>	<i>Date</i>