



SERVICE AGREEMENT

YOUR HOLISTIC FINANCIAL PLAN

AUSSIE WEALTH SUPER PTY LTD T/A AWS FINANCIAL PLANNING
AFSL 462 579 ABN 54 164 973 540

WWW.AWSFP.COM.AU

CLIENT NAME:

ADVISER NAME:

YOUR AGREEMENT INCLUSIONS



Formal Goal Identification



Personal Adviser Relationship



Tax, Super, Insurance, Cash-flow &
Investment Advice



Statements of Advice



Professional Implementation of
Advice



Online Investment Monitoring



Transparent Fee Structure



Ongoing Annual Reviews



AWS Financial Planning commits to a 10 business day turnaround from receipt of required client information to SOA presentation

DECLARATIONS



Before you proceed with the preparation of your Financial Plan, the Statement of Advice, please take a moment to read the following information:

PROTECTING YOUR PRIVACY

- The information you provide me will be kept on file at our business. You are entitled to request reasonable access to any information we hold on file about you.
- Your information is only disclosed to other parties when necessary for us to provide our services to you. This may include fund managers, life companies, other Licensees and related entities. In addition, we will disclose your information where we are required to by law.
- We will not pass your information to other parties for any purposes other than those for which you have been informed.
- Our communication methods include phone calls, email (may be unsecured), couriers and regular mail.

DUTY OF CARE

- The information you provided to us will be used to prepare Your Financial Plan. Any discussions held during this meeting do not constitute personal advice and should not be implemented before you receive the financial plan we will prepare for you.
- It is important you provide me with detailed and accurate information so I can provide you with appropriate recommendations. AWS Financial Planning will not accept liability for recommendations based on inaccurate or incomplete information you supply.

ADVICE FEES

Upon signing this agreement, the Initial Advice Fee noted below is immediately required to be paid as a non refundable fee.

Initial Advice Fee

Implementation Fee

Client Acknowledgment

- AWS Financial Planning will provide services to me/us in line with this Agreement. The cost of initial advice, including the payment method has been fully disclosed in this Agreement.
- If I/we do not implement the advice in our financial plan, all initial advice fees for the research and/or preparation of my financial plan will be due and payable immediately.
- All fees in this Agreement are listed inclusive of GST.

Card Name

Card Number

Expiry

CCV

CLIENT 1 SIGNATURE:

/ /

CLIENT 2 SIGNATURE:

/ /

Authorisation to Collect Information

Please accept this copy as authority, as the original will stay on file at the below address.

To	Customer Service Manager		
Superannuation/Insurance Provider Name			
Client name		Date of birth	
Address		Member/Policy Number	

To Whom It May Concern,

Access to Information

- ☐ I/We Authorise you to provide representatives of **AWS Financial Planning** with any information and documentation they require regarding my/our insurance, superannuation and investments.
- ☐ I am/We are aware of the provisions of the Privacy Act and release you from those provisions in respect of information provided to **AWS Financial Planning** and its representatives.

Client Signature	/ /
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Adviser Names	Lindsay Yelland, Alexander McMillan, Marissa Campbell-Service	
Business	Aussie Wealth Super Pty Ltd T/A AWS Financial Planning ABN 54 164 973 540 AFSL 462579	Suite 8, Level 1, 54 Burwood Road, Burwood NSW 2134 02 9745 4733 admin@awsfp.com.au
Adviser Code		

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WHAT WE EXPECT FROM YOU

In order for us to help you achieve your goals, we need to build an **open, honest and efficient partnership**

TO HELP YOU ACHIEVE YOUR GOALS, WE ALLOCATE SIGNIFICANT PROFESSIONAL RESOURCES TO YOU. IN RETURN, WE REQUEST THAT CLIENTS:

- **Provide detailed answers** to the online Discovery Questionnaire and Risk Profiler **in a timely manner** after executed Service Agreement
- **Provide copies of requested documents** which may include: investment statements, insurance policy statements, superannuation statements, payslips, tax returns, mortgage statements, rates notices, certified identification
- **Update us in writing of any major life changes**, including promotions, redundancies, major medical issues, asset purchases, debt accumulation or lifestyle changes
- **Update us on any large change** in your financial goals and time frames
- **Attendance** at agreed meetings
- **The continued payment of ongoing fees and honouring of the AWS Financial Planning Service Agreement**
- **Permission to liaise** with your other professional advisers, such as accountants or lawyers
- All requests for information **replied to** within 5 business days
- **All invoices are paid** within 5 business days

CLIENT CHECKLIST

- ☐ Complete online discovery questionnaire in a timely manner
- ☐ Complete online risk profiler in a timely manner
- ☐ Send supporting documents to adviser (adviser to notify client of required documents)
- ☐ Notify adviser of availability for plan presentation meeting
- ☐ If advice provides value, improves financial prospects and helps secure lifestyle - agree to implement advice



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