



# Service Agreement

**Advisor:** [Advisor.FirstName] [Advisor.LastName]

**Prepared for:** [Client 1.FirstName] & [Client 2.FirstName] [Client 2.LastName]

This Service Agreement for financial planning and investment advisory services ("Agreement") is made by and between Pioneer Wealth Management Group ("Company"), a Texas corporation, a Registered Investment Adviser "RIA" registered with the Securities and Exchange Commission ("SEC"), its Investment Adviser Representative(s) ("Financial Advisor") and the client(s) ("Client") identified on the signature page. This Agreement is for the limited purposes of providing financial planning and/or investment advisory services described below. The effective date of this Agreement is the date signed by the Client.

## A. Client Information

<b>First Client</b>	
Full Name:	[Client 1.FirstName] [Client 1.LastName]
New Client?	Yes
Email:	[Client 1.Email]
Phone:	[Client 1.Phone]

<b>Second Client</b>	
Full Name:	[Client 2.FirstName] [Client 2.LastName]
Relationship to First Client:	Spouse
Email:	[Client 2.Email]
Phone:	[Client 2.Phone]

<b>Address</b>	
Street Address:	[BillingStreet]
City, State, Zip Code:	[BillingCity], [BillingState] [BillingPostalCode]

## B. Services & Fees

Please refer to the ADV Part 2A to understand the scope of the services covered by the titles below.

Out-of-Pocket Expenses	Fee
<input checked="" type="checkbox"/> <b>Initial Onboarding Fee</b> One-time fee for new clients	\$2,000
<input type="checkbox"/> <b>Flat Fee</b> Flat fee for defined scope of work	\$3,000
<input type="checkbox"/> <b>Hourly Consulting</b> Rate per hour billed in arrears for research, review, analysis, meeting time, and follow-up	\$350
<input type="checkbox"/> <b>Annual Wealth Planning</b> Full year of financial planning services	\$5,000
<input type="checkbox"/> <b>Advisory Subscription</b> Two 1-hour meetings per year, phone and email consultations as necessary, and full access to Pioneer360, the Firm's financial planning portal. Billed quarterly.	\$3,500

Subtotal      **\$2,000**

Discount/Credit      **\$0**

**Total Out-of-Pocket Expenses      \$2,000**

Deducted from Assets Under Management	Fee
<input type="checkbox"/> <b>Asset Management</b> Investment implementation and professional portfolio management within brokerage accounts managed at a qualified custodian. Your accounts will be billed on the last day of each month based on the account value.	See Form ADV 2A attached for fee structure

## C. Disclosures

### Delivery of Firm Brochure

Client acknowledges receipt of Part 2A of Form ADV and Form CRS; a disclosure statement containing the equivalent information; or a disclosure statement containing at least the information required by Schedule H of Form ADV, if the Client is entering into a wrap fee program sponsored by the investment adviser. If the appropriate disclosure statement was not delivered to the Client at least 48 hours prior to the client entering into any written or oral advisory contract with this investment adviser, then the Client has the right to terminate the contract without penalty within five business days after entering into the contract.

### Basis of Recommendations

Client's selected service(s) will address Client's financial concerns based on Client's current financial situation and Client's future needs and objectives. Recommended services are based on a) the personal financial information that Client provides to the financial advisor, b) assumptions that Client selects, and c) certain other planning assumptions determined by the Company. Assumptions for investment returns, inflation, and tax rates will be disclosed to the Client.

### Client's Responsibilities

Client recognizes that the value and usefulness of the financial advisory service will be dependent upon their active participation and collaboration throughout data gathering, planning meetings, and implementation. If required, Client may be asked to complete a questionnaire provided by the financial advisor. Client will also provide copies of financial documents as the advisor may reasonably request in order to prepare recommendations and provide analyses for Client.

Client agrees to discuss their requirements, objectives, and projected future needs candidly with the financial advisor. Client also agrees to promptly inform financial advisor of material changes in circumstances, needs, objectives, and other information Client previously provided to the financial advisor. Client further agrees that neither the financial advisor nor the Company shall have any liability for Client's failure to promptly inform the financial advisor of material changes in Client's financial circumstances that may affect the manner in which clients assets are allocated.

## Amending the Agreement

After looking at all of Client's financial data, the financial advisor may find it necessary to recommend further assessment in a specific area that has not already been designated. If Client agrees, Client may be asked to sign a new agreement and pay an additional fee. Under those circumstances, this agreement will be null and void.

## Client Identity and Information

Company is required by law to obtain certain personal information from Client that will be used by company to verify Client's identity. If Client does not provide the required information to Company, Company may be unable to open Client's account. If Company is unable to verify Client's identity, Company reserves the right to suspend services, close Client's account, or take such other steps as Company deems reasonable.

## Contract Termination or Assignment

If a Client is not satisfied with the service provided for any reason whatsoever, the Client can receive a full refund within 30 days of initial payment. Termination of the relationship can be made at any time by the Client, and with reason by the financial planner. No assignment of this agreement by the Company will be effective without the Client's written consent.

## Arbitration

Any controversy or claim arising out of or relating to this contract or the breach thereof, shall be settled solely by arbitration in accordance with the Rules of the American Arbitration Association, and judgment upon the award rendered by the arbitrator(s) may be entered in any court having jurisdiction thereof. Unless otherwise agreed to by all of the parties to the arbitration (including without limitation the company and the Client), the American Arbitration Association shall be the sole venue for resolving claims arising out of or relating to this whether 1 at law or in equity. This paragraph does not constitute a waiver of any right of private claim or cause of action provided by the Investment Advisers Act of 1940.

If either Client or Company, its employees or independent contractors elects to resolve a claim by arbitration, that claim shall be arbitrated on an individual basis. There shall be no right or authority for any claims to be arbitrated on a class action basis or bases involving claims brought in a purported representative capacity on behalf of the general public, Clients or other persons similarly situated.

The arbitrator's authority to resolve claims is limited to claims between the parties to the arbitration, (including the Client and the Company) alone, and the arbitrator's authority to make awards is limited to the parties to the arbitration (including to the Client and the Company) alone. Furthermore, claims brought by Client against Company, its employees or independent contractors, or by company against Client, may not be joined or consolidated in arbitration with claims brought by or against someone other than Client, unless agreed to in writing by both Client and Company its employees or independent contractors.

## Discretion

By execution of this Agreement, if Asset Management is selected, Client hereby establishes an Investment Advisory Account ("Account") and appoints Advisor as the investment manager to supervise and direct the investments of the Account on a discretionary basis. Accordingly, Advisor will assume investment authority and investment decision making over the Account. Advisor shall have discretion to trade in securities and to execute transactions with respect to the Account assets without any obligation on its part to give prior notice to the Client or the Custodian.

Certain Client Accounts subject to Advisor's services under this Agreement may be held at a custodian that is not directly accessible by Advisor ("Held-Away Accounts"). Advisor may, but is not required to, manage these Held-Away Accounts using the Pontera Order Management System ("Pontera") that allows Advisor to view and manage these assets.

For Held-Away Accounts using the Pontera system, Client agrees to the Pontera End User Terms and Conditions and Privacy Policy. Client agrees to keep Advisor apprised of any changes to its usernames and passwords for Held-Away Accounts so that Advisor can promptly update Client's credentials using the Pontera system. Client also agrees to promptly address any requests to update its login credentials when requested by the Pontera system. In the event of any delay by Client to update its login credentials, Client acknowledges that Advisor will not have access to view or manage Client's Held Away Account, which may result in investment losses or inadvertently incorrect valuations being used in the billing process under this Agreement. Client acknowledges and agrees that Advisor is not responsible for any losses arising from Client's delays in updating its login credentials through the Pontera system and agrees that Advisor is under no obligation to credit any fees for valuations made in good faith during periods when Advisor did not have access to any Held-Away Account in calculating its fees under this Agreement.

The Advisory Fee payable for any Held-Away Account will be deducted directly from another Client Account, and if there are insufficient funds available in another Client Account or Advisor believes that deducting the Advisory Fee from another Client Account would be prohibited by applicable law, Advisor will invoice Client.

## D. Agreement

For the purposes of this provision, a contract is considered entered into when all parties to the contract have signed the contract, or, in the case of an oral contract, otherwise signified their acceptance, any other provisions of this contract notwithstanding.

<b>Role</b>	<b>Name</b>	<b>Signature</b>	<b>Date</b>
Client 1	[Client 1.FirstName] [Client 1.LastName]		
Client 2	[Client 2.FirstName] [Client 2.LastName]		
Advisor	[Advisor.FirstName] [Advisor.LastName]		