

Wealth and Business Planning Group, LLC
FINANCIAL ADVISORY AGREEMENT

Client Name: _____
Advisor Name: _____
Advisor Number: _____

The AGREEMENT entered into this _____ day of _____, 20__ by and between Wealth and Business Planning Group, LLC (hereinafter called "**Advisor**"), a duly Registered Investment Advisor whose principal office is located at 100 E. Sybelia Ave., Suite 110, Maitland, FL 32751 and _____, (hereinafter called "**Associated Person**") an advisor associated person and _____ (hereinafter called "**Client**") with residence or place of business at _____.

WITNESSETH: WHEREAS, Advisor is in the business of providing financial services and investment advice; and WHEREAS, Client desires Advisor to provide financial services and investment advice; NOW, THEREFORE, in consideration of the premises and mutual promises herein contained, the parties agree as follows:

1. SERVICES OF ADVISOR (See corresponding Addendum for details)

Advisor shall provide the following service(s) to the Client:

- ____(A) Review the Client's present financial situation and issue a written report of recommendations. The Advisor will continue to be available to advise regarding implementation of Client's financial plan for the next twelve months.
- ____(B) Provide an annual written update of the original financial plan and an additional year of counseling.
- ____(C) Provide annual preparation of personal federal income tax, state income tax, and other taxes if applicable.
- ____(D) Provide specific financial advice on an hourly basis as specified in Addendum (d).
- ____(E) Provide Asset Management.
- ____(F) Discretionary Trading Authorization: TD Ameritrade Accounts

2. RESPONSIBILITIES OF THE CLIENT

The Client agrees to provide information regarding income, investments, income tax situation, estate plan, and other pertinent matters as requested by Advisor from time to time. The Client also agrees to discuss needs and goals and projected future needs candidly with Advisor and to keep Advisor informed of changes in the Client's situation, needs, and goals. The Client acknowledges that Advisor cannot adequately perform its services on the Client's behalf unless the Client performs such responsibilities on his/her part and that Advisor's analysis and recommendations are based on the information provided by the Client. The Client agrees to permit Advisor to consult with and obtain information about the Client from the Client's accountant, attorney, and other advisors. Advisor shall not be required to verify any information obtained from the Client, Client's attorney, accountant or other advisors, and is expressly authorized to rely thereon. The Client is free at all times to accept or reject any recommendation from Advisor and the Client acknowledges that (s)he has the sole authority with regard to the implementation, acceptance, or rejection of any counseling or advice from Advisor.

3. CONFIDENTIALITY

All information and advice furnished by either party to the other, including their agents and employees, shall be treated as confidential and not disclosed to third parties except as agreed upon in writing or required by law. Advisor is herein given absolute authority by Client to disclose copies of, and communicate information obtained from Client or developed by Advisor, to attorneys, accountants or CPA's who may be retained to assist in developing or implementing Client's financial plan. Advisor will disclose any referral or consulting fees so involved.

4. BASIS OF ADVICE

The Client acknowledges that Advisor obtains information from a wide variety of publicly available sources and that Advisor has no sources, and does not claim to have sources, of inside or private information. The recommendations developed by Advisor are based upon the professional judgement 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 shall elect unilaterally to follow or ignore completely or in part, any information, recommendation or counsel given by the Advisor under this Agreement.

5. 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 investment and implementation decisions. Advisor shall cooperate with any attorney, accountant, or broker chosen by the Client with regard to implementation of any recommendations.

6. REPRESENTATION FOR THE CLIENT

It is understood by and between the parties hereto that employees or agents of Advisor are dually licensed as registered representatives with Calton and Associates, Inc., a registered-Securities Broker/Dealer, and in such capacity as registered representatives may, if requested by the Client, implement the decisions of the Client and execute the corresponding transactions. In such capacity such representative may participate in and receive the usual and customary commissions or fees on the investments in which the Client invests, and may receive other commissions, considerations and fees from sponsors of investments or other brokers (real estate, securities, etc.). In the event an employee of the Advisor is acting in the capacity of registered representative, (s)he shall disclose any fees or commissions as are required by existing federal and state securities laws and regulations.

7. LEGAL AND ACCOUNTING SERVICES

It is understood and agreed that Advisor and its employees or agents will not render any legal or accounting advice nor prepare any legal accounting documents for the implementation of Client's financial and investment plans, with exception of (i) any documents specified in Addendum C or (ii) advice rendered by an advisor acting as a "Dual Professional". Client agrees that his personal attorney and/or accountant solely shall be responsible for the rendering and/or preparation of the following: (i) all legal and accounting advice; (ii) all legal and accounting opinions and determinations; and, (iii) all legal accounting documents; with the exception of any documents or services specified in Addendum (C).

8. FEES TO ADVISOR

In consideration of the services rendered by Advisor, the Client shall pay to Advisor the fees outlined in the attached schedules.

9. TERMINATION

After the initial fee is paid, either party may terminate this Agreement upon written notice to the other by certified or registered mail to the address set forth above. If billing in advance, Client may be eligible for a return of any unearned fees on a pro-rated basis. If billing in arrears, only the portion of fees earned up to the time of termination would be deducted.

10. REQUIRED DISCLOSURES

(Client Initials Required) Client acknowledges receipt of Part II of Form ADV or a disclosure statement containing the equivalent information. 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. 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.

11. MISCELLANEOUS

(a) This Agreement shall be applicable only to financial advice contained in the financial analysis or investment recommendation individually prepared for Client and shall not relate to any advice given by any person or persons not specifically designated by Advisor in writing to perform such services.

(b) Neither party hereto may assign, convey, or otherwise transfer any of its rights, obligations, or interests herein without the prior express written consent of the other party.

(c) Subject to the provision regarding assignment, this Agreement shall be binding on the heirs, executors, administrators, legal representatives, successors, and assigns of the respective parties.

(d) This Agreement represents the complete agreement of the parties with regard to the subject matter and supersedes any prior understanding or agreements, oral or written.

(e) This Agreement may be amended or revised only by an instrument in writing signed by the Client and by an officer of Advisor.

(f) No provision hereof or breach of any provision may be incurred or discharged except by a written agreement of the party from whom the waiver or discharge is sought. No waiver of any breach hereof shall in any way be construed to be a waiver of any future or subsequent breach.

(g) Any provision hereof which is prohibited or unenforceable shall be ineffective as to the extent of such prohibition or unenforceability without invalidating the remaining provisions hereof.

(h) The validity of this Agreement and of any of its terms or provisions, as well as the rights and duties of the parties hereunder, shall be governed by the laws of the State of Florida.

(i) This Agreement may be executed in several counterparts, each of which shall be deemed an original.

IN WITNESS WHEREOF, Advisor and Client have each caused this Agreement to be duly executed on the day and year first above written.

CLIENT SIGNATURES:

By _____
Client

By _____
Authorized Signer for Wealth and Business Planning Group, LLC

By _____
Joint Client (if any)

By _____
Advisor Associated Person