

## The Financial Planning Process – Responsibilities

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### 1. Understanding the Client's Personal and Financial Circumstances

- Yeske Buie will explain the services to be provided to you. We will also discuss our and your responsibilities. Yeske Buie will clarify how we will be paid if you have questions. We will collectively agree on how long the professional relationship should last and on how decisions will be made.

### 2. Identifying and Selecting Goals

- Yeske Buie will ask for information about your financial situation. You and we should mutually define your personal and financial goals, understand your time frame for results and discuss, if relevant, how you feel about risk. Yeske Buie will gather all the necessary documents before giving you the advice you need. You should make sure you provide all the necessary information to the planner and that you believe we have learned enough about you to make good recommendations.

### 3. Analyzing the Client's Current Course of Action and Potential Alternatives

- Yeske Buie will analyze your information to assess your current situation and determine what you will need to do to pursue your goals.

### 4. Developing Financial Planning Recommendations

- Yeske Buie will offer financial planning recommendations that address your goals, based on the information you provide.

### 5. Presenting Financial Planning Recommendations

- Yeske Buie will go over the recommendations with you to help you understand them so that you can make informed decisions. We will also listen to your concerns and revise the recommendations as appropriate. You should make sure you ask as many questions as you have and that you understand the recommendations and alternatives being provided to you.

### 6. Implementing Financial Planning Recommendations

- You and Yeske Buie will agree on how the recommendations will be carried out. Yeske Buie's responsibility is to manage your investment portfolio with us. We will also assist you in implementing the other financial planning recommendations. Your responsibility is to make sure that you are clear on what we are going to implement and what you are going to implement. Then you should be sure to complete the recommendations you are responsible for completing in a timely fashion.

### 7. Monitoring Progress and Updating

- Yeske Buie will report your investment progress on a regular basis. Yeske Buie will also monitor your financial planning process to the extent you provide ongoing information with which we can do so. Your responsibility is to keep us updated on changes to your personal financial situation and changes and thoughts about your ongoing goals, objectives and obstacles.