Service Commitment Plan

Welcome!

Thank you for your trust and confidence in our ability to work together. As your Investment Advisor, my team and I strive to provide you with a level of service that meets your needs and circumstances. Together, we will proactively manage your situation through a process of regular contact, monitoring and account reviews.

In order to provide you with the best possible investment experience, this Service Plan outlines our commitment to you. The information below will help us better manage your service expectations and will act as a roadmap as we build an even stronger relationship.

Discovery and Strategy

- In-depth discovery of current status and investment objectives
- Determine tolerance for risk
- Establish investment and wealth management goals
- Build customized portfolios designed to meet your investment goals
- Research, commentary, and information on specific holdings, markets, or economies provided upon request.

Services

I believe that my primary role is to act as the coach for your financial future. We provide or facilitate access to a wide range of professionals and services based on your needs:

- Investment solutions
- Financial Planning for you and your family
- Business Succession Planning
- Tax Planning and Estate Planning
- Trusts and Charitable Giving
- Risk Management and Insurance needs
- Online Account Access – you are connected – ask us how
- Personal Banking Services (offered by BMO Financial Group)
- Rebalance or adjust holdings as needed
- Safekeeping of your securities portfolio
- Automatic contributions and withdrawals, if needed
- Electronic funds transfer capability
- Tax reporting summaries and slips

Reporting and Review

All sound investment programs require a regular review. The purpose of this check-up is three-fold: adjust your investment portfolio against any changes that may occur in your personal circumstances; to keep you updated on any issues that may affect your financial future; and to ensure that you are on track to achieving your long-term goals.

You can expect to receive regular contact, reviews, and information either over the phone, in person, by email or through the mail. While these will not take up much of your time, they are essential and provide both of us with information and necessary feedback needed to provide for a positive experience.

Shelley Williams
INVESTMENT ADVISOR

I believe that your interests are best served when there is a free flow of ideas. While it is my role to look out for your best interests, it is important that you understand that we are partners in the decision making process. To ensure that we provide you and your family with appropriate asset strategies and wealth management solutions, it is important that you notify our team if there are any material changes with your:

- Investment Objectives
- Income or Cash Requirements
- Risk Tolerance
- Tax Situation
- Time Horizon
- Personal or Family Situation

Rest assured that your privacy and personal information is held in the strictest of confidence.

As always, whenever a question or concern arises, or you require information on something, please ask – we are here to help. Should there be someone with whom you feel would benefit from our services, your introduction is always appreciated.

Thank you for your business

Shelley Williams
Investment Advisor

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