

**WISCONSIN WEALTH ADVISORS, LLC  
WEALTH MANAGEMENT SERVICES AGREEMENT**

This Agreement for wealth management services is made between

\_\_\_\_\_ (“**Client**”)

and Wisconsin Wealth Advisors, LLC (“**Adviser**”).

Client hereby retains Adviser to perform wealth management services for Client on the terms specified herein.

1. **SERVICES OF ADVISER.** Adviser shall review Client's present overall financial situation and provide advice to Client, including but not limited to, overall financial planning, cash flow, estate planning, insurance, investments, and a net worth statement. The specific review services to be provided are set forth on Schedule A.

After such services are provided, Adviser shall invest with full discretionary authority of Client, the securities, cash and/or other assets held in Client's accounts (“**Account(s)**”) as specified on Schedule A, with the custodian designated by Client with due regard for the investment policies and restrictions Client may hereinafter impose by written notice to Adviser. Investments and sale transactions may be made in securities of any kind, including but not limited to mutual funds, exchange traded funds (ETF's), common or preferred stocks, options, warrants, rights, corporate, municipal or government bonds, notes or bills (“securities”). All or a portion of the Account(s) may be held in cash or cash equivalents including securities issued by money market mutual funds.

In connection with advisory services being provided to Client, Adviser is entitled to rely on the Client background and investment objective information provided by Client to Adviser. Client agrees to inform Adviser in writing of any material change in Client's circumstances which might affect the manner in which Client's assets should be invested and to provide Adviser with any such information as it shall reasonably request. Client also agrees to give adviser prompt written notice if Client deems any investment or recommendation made for the Account(s) to be in violation of Client's investment policies or restrictions or otherwise inappropriate. If Client so requests, Adviser will consult with Client as to the investment policies and restrictions which Adviser believes to be appropriate for the Account(s).

Client acknowledges and understands that Adviser does not guarantee any investment or recommendation made for Client.

2. **REPORTS.** With respect to the financial planning and other initial review services specified in this Agreement, Adviser agrees to provide a report at the time and in the scope mutually agreed between Client and Adviser. Client will provide, or instruct the custodian of the Account(s) or trustee to provide, Adviser with such periodic reports regarding the status of the Account(s) as Adviser may request. The Adviser or the Custodian will provide Client (or Client's designated agent) with a quarterly statement of the Account(s) detailing account positions, as well as an overall picture of the client's net worth. These reports may be electronically delivered. Client consents to receive notices from Adviser via email sent to the designated email address. Client is responsible to notify Adviser of any changes in the designated email address.

3. **SERVICES TO OTHER CLIENTS.** Client understands that Adviser performs investment advisory services for a variety of clients. Client agrees that Adviser may give advice and take action with respect to any of Adviser's other clients which may differ from advice given or the timing or nature of action taken with respect to the Client, so long as it is Adviser's policy, to the extent practical, to allocate investment opportunities to the Client over a period of time on a fair and equitable basis relative to other clients. Client understands that, notwithstanding Adviser's policy of allocating investment opportunities among clients on a fair and equitable basis, transactions in securities effected on behalf of Adviser's clients from whom Adviser has discretionary trading authority may be effected prior to the time when recommendations for transactions in the same securities are communicated to clients who have not given Adviser such trading authority. Client further understands that Adviser shall not have any obligation to purchase or sell, or to recommend for purchase or sale, for the Account any security which Adviser, Adviser's principals, affiliates, or employees may purchase or sell for the account of any other client or for Adviser or their own accounts, if in Adviser's opinion such transaction or investment appears unsuitable, impractical, or undesirable for the Client.

4. **CONFIDENTIAL RELATIONSHIP.** All information and advice furnished by either party to the other hereunder including respective agents and employees, shall be treated as confidential and shall not be disclosed to third parties except as required by law or as agreed by the parties.

5. **TRADING AUTHORIZATION.** Client hereby grants Adviser complete, unlimited discretionary trading authorization and appoints Adviser as agent and attorney-in-fact with respect to the Account(s). Pursuant to such authorization, Adviser may, in its sole discretion and at Client's risk, purchase, sell, exchange, convert and otherwise trade in the securities and other investments in the Account(s) on such markets, at such prices and at such commission as Adviser believes to be in the best interest of the Account(s). Adviser shall also have authority to arrange for delivery and payment in connection with transactions for the Account(s), and act on behalf of Client and in all other matters necessary or incidental to the handling of the Account(s). This authorization does not grant Adviser permission to take delivery or possession of Client's funds or securities. Client acknowledges Adviser will not be responsible for any loss or liability incurred by reasons of any willful or negligent action or failure to act on the part of Client's Account custodian or broker.

This trading authorization is a continuing one and shall remain in full force and effect until terminated by Client or Adviser pursuant to the provisions of this Agreement.

6. **EXECUTION SERVICES.** Adviser will contact the brokerage firm(s) for the execution of purchase and sale transactions. Adviser shall instruct all brokers and dealers executing orders on behalf of the Account(s) to forward to Adviser, custodian, and/or trustee copies of all confirmations promptly after execution of transactions. Adviser shall not be responsible for any loss incurred by reason of any act or omission of any broker or dealer or Account(s) custodian.

Adviser will issue such instructions to the Account(s) custodian or trustee as Adviser may deem appropriate in connection with the settlement of portfolio transactions. Adviser is not authorized to direct delivery of securities or payment to Adviser or to direct any disposition of

securities or cash from the Account(s) except to the Client or brokers and dealers in settlement of security purchases and sales.

Client agrees and understands that directing Adviser to place orders with a specific broker-dealer, including one recommended by Adviser, will result in Adviser not exercising discretion in selecting other broker-dealers on a trade-by-trade basis. Thus, Client may not receive any benefit from research available from other broker-dealers in return for business, or any benefit which could result from Adviser's batching orders for Client (orders combined with those of other clients for the purpose of obtaining better price or execution from another broker-dealer), or otherwise obtain best price and execution of transactions.

7. **TERMINATION OF WEALTH MANAGEMENT SERVICES.** This Agreement may be terminated at will by Client or Adviser upon five (5) days advance written notice by either party to the other and termination will become effective upon receipt of such notice. Client agrees to pay Adviser all fees due Adviser prorated to the date of termination.

Termination of this Agreement will not, however, affect the liabilities or obligation of the parties under this Agreement with respect to transactions prior to such termination. Upon termination, Adviser shall be under no obligation whatsoever to recommend any action with regard to, or to liquidate, the securities or other investments in the Account(s). Upon termination, it shall be the Client's exclusive responsibility to issue instructions in writing regarding the disposition of assets held in the Account(s) and Client is responsible for providing Adviser with the name of another custodian at the time this Agreement is terminated.

8. **ASSIGNMENT.** No 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. This Agreement shall be binding on the heirs, executors, administrators, legal representatives, successors, and assigns of the respective parties.

9. **ENTIRE AGREEMENT.** This Agreement contains all the understandings, representations, warranties and covenants between the parties relating to the matters referred to herein, supersedes any arrangements previously entered into between them with respect thereto, and unless otherwise provided herein, can be amended only by a written supplement duly executed on behalf of the respective parties. If any provision of this Agreement shall be held or made invalid by a court decision, statute, rule or otherwise, the remainder of this Agreement shall not be affected thereby and, to this extent, the provisions of this Agreement shall be deemed to be severable.

10. **CAPACITY.** If this Agreement is entered into by a trustee or other fiduciary, such trustee or fiduciary represents that the Adviser's program is within the scope of investments authorized pursuant to any applicable plan, trust and/or applicable law and that he is duly authorized to negotiate the terms of this Agreement, including fees, and to enter into this Agreement and agrees to provide such supporting documentation as may be required by Adviser. Client warrants that securities delivered to Client's custodian are free of any encumbrances, including constructive liens. Client undertakes to inform Adviser, as applicable, of any event which might affect the authority or the propriety of this Agreement.

11. **GOVERNING LAW.** The validity of this Agreement and of any of its terms, as well as the rights and duties of the parties hereunder, shall be governed by the laws of the State of Wisconsin, provided that nothing herein shall be construed in any manner inconsistent with

the Investment Advisers Act of 1940 or any rule, regulation or order of the Securities and Exchange Commission promulgated thereunder, or of any state.

12. **ARBITRATION.** To the extent allowed by law, Client and Adviser agree that any controversy or claim arising out of or relating to this Agreement or the construction or breach thereof, shall be submitted to arbitration conducted pursuant to the code of arbitration procedure of a recognized alternative dispute resolution organization selected by Client. If Client does not make a selection of an organization within ten (10) days of demand for arbitration by Adviser, then Client hereby agrees that Adviser may select the organization. Such arbitration shall be conducted before arbitrators selected in accordance with the procedures of the resolution organization. Judgment on the award rendered by the arbitrator shall be final and may be entered in any court having jurisdiction thereof.

13. **DISCLOSURE RECEIPT.** (Please check appropriate paragraph)

\_\_\_\_\_ Client acknowledges receipt of Adviser's Part II of Form ADV, not less than 48 hours prior to the date of execution of this Agreement shown below.

\_\_\_\_\_ Client acknowledges receipt of Adviser's Part II of Form ADV less than 48 hours prior to, but not later than, the date of execution of this Agreement. Accordingly, Client shall have the option to terminate this Agreement without penalty within five business days after that date of execution; provided, however, that any investment action taken by Adviser with respect to the Account(s) prior to the effective date of such termination shall be at Client's risk.

\_\_\_\_\_ Client acknowledges receipt of Adviser's Privacy Notice.

14. **FEES.** Client agrees to compensate Adviser for its wealth management services for an annual flat fee of \$\_\_\_\_\_.

\_\_\_\_\_ Client agrees to pay the fee quarterly in advance.

Fees charged by Adviser may be negotiated and vary from Client to Client for similar services. Adviser's fees are based upon a number of factors, including but not limited to, the type of account, the size of the account, the projected nature of trading for the account and the number and range of supplemental advisory and Client-related services to be provided by Adviser's portfolio manager.

Client requests that Adviser:

\_\_\_\_\_ Bill Client each quarter for fees due.

\_\_\_\_\_ Debit Client's Account as fees become due.

**SIGNATURE PAGE FOR WEALTH MANAGEMENT SERVICES AGREEMENT**

By signing below, you agree to be bound by the terms of this agreement.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_.

**Accepted:**  
**WISCONSIN WEALTH ADVISORS, CLIENT:**  
**LLC**

**By:**

\_\_\_\_\_  
Terry Balding, President

\_\_\_\_\_  
Name of Account (Please Type)

\_\_\_\_\_  
Name of Account (continued)

X \_\_\_\_\_  
Authorized Signature(s)

\_\_\_\_\_  
(Please Type or Print Authorized Signature)

\_\_\_\_\_  
(Please Type or Print Email Address)

X \_\_\_\_\_  
Authorized Signature(s)

\_\_\_\_\_  
(Please Type or Print Authorized Signature)

\_\_\_\_\_  
(Please Type or Print Email Address)

**SCHEDULE A**

Specific review and financial services to be provided:

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Client Initials: \_\_\_\_\_  
Date: \_\_\_\_\_

Specific Accounts under Discretionary Management:

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Client Initials: \_\_\_\_\_  
Date: \_\_\_\_\_