

FINANCIAL ADVISOR ENGAGEMENT AGREEMENT

Location: _____ Date: _____

Client Information:

Full Name: _____

Address: _____

Phone/Email: _____

Financial Advisor Information:

Full Name: _____

Firm Name: _____

Address: _____

Phone/Email: _____

Engagement and Services:

The Client hereby engages the Financial Advisor, and the Financial Advisor agrees to provide financial advisory services as described herein and subject to the terms and conditions of this Agreement. Services shall include investment advisory, financial planning, retirement planning, tax planning, and other services mutually agreed upon in writing.

Term of Agreement:

This Agreement shall commence upon execution and shall continue until terminated by either party upon thirty (30) days written notice to the other party. Termination shall not affect the obligations of the parties incurred prior to termination.

Compensation:

The Client agrees to compensate the Financial Advisor as follows: a fee based on assets under management, hourly rates, fixed fees, commissions, or a combination thereof as specified in a separate Fee Schedule attached hereto. All fees are due and payable in accordance with the terms set forth in the Fee Schedule.

Confidentiality:

The Financial Advisor agrees to maintain the confidentiality of all Client information obtained in connection with this Agreement, except as required by law or as authorized by the Client. This obligation shall survive termination of this Agreement.

Client Acknowledgements and Representations:

The Client represents and warrants that all information provided to the Financial Advisor is accurate and complete to the best of the Client's knowledge. The Client understands that investment involves risk and that past performance is not indicative of future results. The Client acknowledges receipt and understanding of all disclosures and agreements.

Limitation of Liability:

To the fullest extent permitted by law, the Financial Advisor shall not be liable for any losses, damages, or expenses arising out of or in connection with the provision of advisory services, except for willful misconduct or gross negligence.

Governing Law and Dispute Resolution:

This Agreement shall be governed by and construed in accordance with the laws of the United States and the State of _____, without regard to its conflict of laws principles. Any dispute arising out of or relating to this Agreement shall be resolved through binding arbitration in accordance with the rules of the American Arbitration Association, with the arbitration to take place in _____ County, _____.

Termination:

Either party may terminate this Agreement upon thirty (30) days written notice. Upon termination, all fees due and outstanding shall become immediately payable. Termination shall not relieve either party from any obligations incurred prior to termination.

Miscellaneous:

This Agreement constitutes the entire agreement between the parties relating to the subject matter hereof and supersedes all prior and contemporaneous agreements, negotiations, and understandings, oral or written. Any amendments must be in writing and signed by both parties. If any provision of this Agreement is held to be invalid or unenforceable, the remaining provisions shall remain in full force and effect.

Signatures:

CLIENT SIGNATURE

FINANCIAL ADVISOR SIGNATURE

Signature: _____

Signature: _____

Original source of this document:

<https://docs-finance.com/financial-advisor-contract-template/>

Did you find this template helpful?

Find more updated templates at:

<https://docs-finance.com/>

[View more templates](#)

This template is intended exclusively for personal, non-commercial use.
If distributed or published, the source must be mentioned.

This template is provided for guidance only and does not constitute legal advice.
It is recommended to consult a legal professional for each specific case.