



## FRESH LOOK AGREEMENT

This is an agreement between Fountain Strategies, LLC, a California limited liability company (“We”), and \_\_\_\_\_ (“You”).

**Preface.** The term “Financial Planning” can include both *life planning* services and *investment management* services. Fresh Look focuses upon life planning services; it is designed to help those who seek a second opinion or a better way to proceed with their life planning and who do not require investment account management beyond the scope of review and general guidance.

**Advisory Services.** We will work with you for a period of **one calendar month** to help you design your personal retirement plan, working from shared access to your password-protected online account at MoneyGuidePro. This may include collection, analysis, and arrangement of your data; suggesting changes which may serve to improve the quality and amount of your retirement resources; and setting up “What If?” comparisons from which you can choose the most suitable course of action. **This service does not include Investment Management.** At or before the end of one calendar month service period, you can print the plan directly from MoneyGuidePro for personal use.

**Your Responsibilities – Provision of Information.** The value and usefulness of the life planning services described above rely upon your active participation in determining your financial planning objectives, identifying your acceptable tolerance for taking investment risk, and your willingness to consider a few or several “What If?” possibilities.

**Length of Agreement.** This Agreement will remain in effect for one calendar month from the date of this agreement and then terminate. **This Agreement is not renewable.** If you elect to continue with Fountain in either a Financial Planning and Investment Management relationship or a Financial Planning Only



relationship, you will not be required to pay the \$500 initial setup fee for those plans.

This agreement will be governed by and construed in accordance with the laws of the State of California without giving effect to any conflict or choice of law provisions.

**Our Fee.** Our fee for **Fresh Look** is **\$500**, which shall be paid in one \$500 installment at the outset. Payment shall be made by **check payable to Fountain Strategies LLC** and either mailed to Fountain Strategies LLC or provided directly to Fountain. This agreement may be terminated by either party by written notice. If either party decides to sever the relationship with Fountain prior to the end of the one-month service period, the client will be refunded on a pro-rata basis contingent on the number of days. The balance will be refunded by check within 30 calendar days of the effective date of termination. Termination will require written notice explaining the reason for termination. Advisor does not require prepayment of fees of more than \$500 per client and six months or more in advance. Lower fees for comparable services may be available at other firms and practitioners.

**Privacy and Confidentiality\*** You hereby acknowledge that you have received and reviewed a copy of our Privacy Policy. Except as otherwise agreed in writing or as required by law, we will keep confidential all information concerning your identity, your financial affairs, and your investments.

**Disclosures\*** You hereby acknowledge that you have received and reviewed a copy of our Form ADV Part 2, as well as a copy of this Agreement. Clients are entitled to a full refund should termination of the contract occur within five (5) business days if the firm brochure (Form ADV Part 2) is not provided 48 hours prior to signing the agreement pursuant to California Code of Regulation, Section 260.235.4(c).

*\*Privacy Policy & Advisor Disclosure docs (ADV Part 2) are available on our website:*  
<http://fountainstrategiesllc.com/library>

A conflict of interest exists between the interests of Fountain and the interests of clients as Fountain offers both financial planning and investment management services. When providing financial planning services, Fountain has an incentive to recommend itself for investment management services as Fountain receives



additional compensation. Fountain mitigates this conflict of interest by disclosing this conflict to you and disclosing that “Clients are under no obligation to act on any of the adviser's recommendations or effect such recommendations through the adviser pursuant to California Code of Regulation, Section 260.235.2(a)(2).” Our fiduciary obligation is to always act and recommend in the clients’ best interest.

Nothing in this agreement shall in any way constitute a waiver or limitation on any rights which the Client may have under any relevant federal or state securities laws.

**Assignment.** We acknowledge that we are prohibited from assigning our advisory obligations within this agreement to another party without your written consent.

**Signatures:**

---

Client date

---

Client date

---

Advisor: Douglas M. Roesser, CFP® date