



SAMPLE ENGAGEMENT LETTER

This letter may be used for the initiation of
Leading Member Advice by a licensed
professional

IMPORTANT INFORMATION ABOUT THIS DOCUMENT

This document or the text contained within it does not constitute legal advice. We encourage you to seek your own professional advice to find out how the Corporations Act 2001, association requirements and other applicable laws apply to you, as it is your responsibility to determine your obligations.

Examples in this text are purely for illustration; they are not exhaustive and are not intended to impose or imply particular rules or requirements. It is your sole responsibility to determine the suitability of the advice you are providing to your client.

This is not an advice document.

This text has been designed to provide guidance in relation to the initiation of Leading Member advice to a client.

You may reproduce all or any part of this text in hard copy and/or in electronic format, without asking for permission from LightYear Docs.

Adviser/Accountant Name

Firm Name

Address

City, State, Postcode

Date

Client Name

Address

City, State, Postcode

Dear Mr./Ms. [Client Name]:

Thank you for the opportunity to meet with you and discuss your financial situation. This letter outlines the specific terms of the financial planning engagement between:

Adviser Name and Client Name

If the scope or terms of the financial planning engagement change, they should be documented in writing and mutually agreed upon by all parties to the engagement.

Please be assured that all information that you provide will be kept strictly confidential. During the financial planning engagement, I may, on occasion, be required to consult with other third-party professionals at which time I will obtain your written permission to disclose your personal information.

As discussed previously, this engagement will include all services required to upgrade your existing self-managed superannuation (SMSF) structure to the new "Leading Member" structure. Specifically, we will work with you to:

- Review your current lifestyle and financial goals and objectives;
- Determine **how important** it is to you that your superannuation benefits and other assets are **secured for your bloodline of lineage**;
- Discuss the benefits and risks associated with upgrading your current SMSF structure to the Leading Member structure;
- Determine who shall act as the Leading Member (or Leading Members) of your SMSF;
- Review and make any necessary changes to your current estate planning arrangements, including binding death benefit nominations and pensions, where applicable;
- Present a written financial plan that will be reviewed in detail with you. It will contain recommendations designed to meet your stated goals and objectives and the Leading Member advice provided;

- Develop an action plan to implement the agreed upon recommendations; and
- Refer you to other professionals, as required, to assist with implementation of the action plan. Please be advised that I do not receive a referral fee from any other professionals to whom I may refer you.

This will be an on-going professional relationship. Whilst the advice that we intend to provide is, in this instance, limited to Leading Member advice, our existing arrangements with you will be retained.

The services described above will be charged at **insert fee arrangements**. This includes the development and delivery of your Leading Member financial plan, unlimited email communication and a review meeting. We will discuss payment of this fee during our next meeting.

I look forward to working with you and helping you upgrade your current financial plan to ensure ongoing certainty and security of your assets – everything you have worked so hard for.

Sincerely,

Name of Professional

Acceptance:

I, **adviser name**, accept the terms of this engagement letter.

Date:

I, **client name/s**, accept the terms of this engagement letter.

Date