

# Logos Financial Group LLC

## *Educational Seminars / Speaking Engagements Agreement*

**Client Name:**

**Client Name:**

**THIS AGREEMENT** between Logos Financial Group LLC ("Advisor" or "LFG") and the Client, is in effect from the time Advisor receives and accepts a copy of this Agreement executed by the Client. By signing this Agreement, the Client acknowledges engaging the Advisor to provide Educational Seminars and Speaking Engagements for the client.

1. **Appointment as Advisor:** The Client hereby retains the Advisor and Advisor hereby agrees to provide Financial Education services to the client in accordance with the terms and conditions set forth below.

2. **Service(s) Available**

### **Educational Seminars / Speaking Engagements**

We may provide seminars for groups seeking general advice on investments and other areas of personal finance. These seminars are purely educational in nature and do not involve the sale of any investment products. Information presented will not be based on any individual's need, nor does LFG provide individualized investment advice to attendees during these seminars.

3. **Fiduciary Statement:** Logos Financial Group LLC acknowledges fiduciary status for itself and its Advisors. Logos Financial Group LLC and its Advisors adhere to basic standards of impartial conduct. In particular, under this standards-based approach, Logos Financial Group LLC and its Advisors give prudent advice that is in the customer's best interest, avoid misleading statements, and receive no more than reasonable compensation.

4. **Confidential Relationship:** Information received by Advisor from Client will be kept confidential by Advisor in a manner consistent with applicable law and with the Advisor's Privacy Policy, which Client acknowledges receiving, and will be sent to Client annually, as required by law. All information or advice furnished by Advisor to Client shall be treated as confidential and not be disclosed by Client except as required by law.

5. **Code of Ethics** Client acknowledges that Advisor has made Client aware that Advisor has a Code of Ethics, which is described on Advisor's Form ADV, Part 2, and which will be provided to Client upon request.

6. **Fees:** The fees shall be calculated and paid in accordance with the rate and payment terms and conditions set forth in the attached fee schedule. (Schedule A).

7. **Electronic Communications Acceptable:** The Client *consents to electronic delivery of required disclosure documents* and other communications by the Advisor. Such consent will remain effective unless revoked by the Client. The Advisor may transmit information by email in text, PDF, Microsoft Word, or other formats

# Logos Financial Group LLC

## *Educational Seminars / Speaking Engagements Agreement*

that can be readily viewed, printed, and saved. The Client has provided the Advisor with one or more valid email addresses that the Advisor may use to communicate with the Client. The Client may revoke its consent to receive communications electronically at any time by notifying the Advisor in writing.

I (We) consent to electronic delivery of required disclosure documents.

Initial(s) \_\_\_\_\_ Email Address \_\_\_\_\_

Initial(s) \_\_\_\_\_ Email Address \_\_\_\_\_

8. **Receipt of Form ADV Part 2:** Client acknowledges receipt of Part 2 of Form ADV; a disclosure statement containing the equivalent information; or a disclosure statement containing at least the information required by Part 2A Appendix 1 of Form ADV, if the client is entering into a wrap fee program sponsored by the investment adviser. If the appropriate disclosure statement was not delivered to the client at least 48 hours prior to the client entering into any written or oral advisory contract with this investment adviser, then the client has the right to terminate the contract without penalty within five business days after entering into the contract. For the purposes of this provision, a contract is considered entered into when all parties to the contract have signed the contract, or, in the case of an oral contract, otherwise signified their acceptance, any other provisions of this contract notwithstanding. The Client shall be provided with an updated Form ADV, Part 2 on an annual basis and the Part 2B when material changes occur. Advisor's Form ADV, Part 2A, is also currently available on [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

I (We) confirm receipt of Form ADV Part 2A and 2B and the firm's Privacy Policy.

Signature \_\_\_\_\_

Signature \_\_\_\_\_

9. **Limited Liability:** The Advisor, its officers, directors, employees, and agents shall not be responsible for any loss, claim, cost or liability incurred by reason of any independent act or omission by any broker, dealer, custodian or other third parties. However, the Advisor may be responsible for any act or failure to act by a third party, if it was pursuant to the Advisor's instructions to the third party or involved a violation of applicable laws or breach of fiduciary duty. This provision only applies to independent acts by the third party.
10. **Non-waiver of Rights by Client:** Federal and state securities laws impose certain obligations on persons acting in good faith, and as such, nothing in this Agreement shall result in any waiver of any or all of the rights which the Client shall otherwise enjoy under the federal and state securities laws.
11. **Termination/Assignment:** Neither party may assign this agreement without the prior written consent of the other party. This agreement shall be in effect until either party gives written notice to the other party of its intention to terminate the agreement.

# Logos Financial Group LLC

## *Educational Seminars / Speaking Engagements Agreement*

12. **Governing Law:** This Agreement shall be governed by and construed in accordance with the laws in the state of Texas except to the extent that the federal securities laws shall otherwise be controlling.
13. **Venue:** In the event that any dispute shall arise by and between the parties, it is hereby agreed that any litigation, cause, suit, mediation or any other proceeding shall take place in the state of California, or another location reasonably accessible to the client.
14. **Client Conflicts:** If this Agreement is with more than one client, our Services shall be based upon the joint goals as communicated to us by the Clients, collectively. We shall be permitted to rely upon instructions and/or information we receive from either party, unless and until such reliance is revoked in writing to us. We shall not be responsible for any claims or damages resulting from such reliance or from any change in the status of the relationship between Clients.
15. **Miscellaneous:** All paragraph headings in this Agreement are for convenience of reference only, do not form part of this Agreement, and shall not affect in any way the meaning or interpretation of this Agreement. If any provision herein is or should become inconsistent with any present or future law, rule or regulation of any governmental or regulatory body having jurisdiction over the subject matter of this Agreement, such provision shall be deemed to be rescinded or modified in accordance with any such law, rule or regulation. In all other respects, this Agreement shall continue and remain in full force and effect. No term or provision of this Agreement may be waived or modified unless in writing and signed by the party against whom such waiver or modification is sought to be enforced. This Agreement contains the entire understanding between Client and Advisor concerning the subject matter of this Agreement. To the extent that this Agreement is inconsistent with any other agreement governing the Client's Account, the provisions of this Agreement shall govern. Client agrees that this Agreement shall be binding upon Client's heirs, executors, administrators, and personal representatives. All notifications required to be sent shall be sent: if to Advisor, to the Advisor's address contained in this Agreement or such other address as may later be designated; if to Client, to Client's address as provided to Advisor at the time this Agreement is entered into, or such other address as may later be designated.
16. **Effective Date:** This Agreement will be effective upon execution by both the Advisor and the Client.

### Signatures

*By signing below, I acknowledge that I have received and agree to abide by all the terms and conditions set forth in this Client Agreement with Advisor.*

\_\_\_\_\_  
Client's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Client's Signature (if applicable)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Authorized Officer (Advisor's Acceptance)

\_\_\_\_\_  
Date

# Logos Financial Group LLC

## *Educational Seminars / Speaking Engagements Agreement*

### Schedule A – Fee Schedule

#### **Educational Seminars/ Speaking Engagements**

Seminars are offered to organizations and the public on a variety of financial topics. Fees range from free to \$500 - \$2,500 per seminar. Half of the fees are due prior to the engagement, and the other half is to be paid the day of, no later than the conclusion of the seminar by electronic funds transfer or debit/credit card. The fee range is based on the content, amount of research conducted, the number of hours of preparation needed, and the number of attendees. In the event of inclement weather or flight cancellation, the Speaker shall make all reasonable attempts to make alternative travel arrangements to arrive in time for the presentation. If travel proves impossible, or the event is otherwise canceled, the Speaker's fee is waived, but the Client will still be responsible for reimbursement of any non-refundable travel expenses already incurred.

Should the Client cancel the event within 30 days of the event (with the exception of weather or similar unforeseen causes), the Client will be responsible for reimbursement of any non-refundable travel expenses already incurred and a prorated fee for any work conducted in preparation of the event, based on the percentage of work done and the flat fee agreed upon by both parties. Should any fees collected in advance exceed the amount of work conducted, LFG will provide a prorated refund via electronic funds transfer or check within 30 days from the notice of termination.

Educational Seminars and Speaking Engagements may be provided pro-bono at LFG's discretion.

**Subject of Educational Seminar/Speaking Engagement:** \_\_\_\_\_

**Fee payment for Educational Seminars and Speaking Engagements -**

**\$\_\_\_\_\_ upfront and**

**\$\_\_\_\_\_ upon completion.**

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

# Logos Financial Group LLC

## *Educational Seminars / Speaking Engagements Agreement*

### Privacy Policy

Logos Financial Group LLC (“Logos Financial Group LLC”) recognizes that our relationships with current and prospective clients are based on integrity and trust. We work hard to maintain your privacy and to preserve the private nature of our relationship with you. We place the highest value on the information you share with us. Logos Financial Group LLC will not disclose your personal information to anyone unless it is required by law or at your direction. We will not sell your personal information.

We want our clients to understand what information we collect, how we use it, and how we protect your personal information.

#### Why We Collect Your Information

We gather information about you so that we can:

- Help design and implement the investment and financial planning related services we provide you; and
- Comply with the Federal and State laws and regulations that govern us.

#### What Information We Collect and Maintain

We may collect the following types of “nonpublic personal information” (“NPI”) about you:

- Information from our initial meeting or subsequent consultations about your identity, such as your name, address, social security number, date of birth, and financial information;
- Information that we generate to service your financial needs; and
- Information that we may receive from third parties in connection with the services we provide you.

#### What Information We Disclose

We are permitted by law to disclose nonpublic information about you to unaffiliated third parties in certain circumstances. Logos Financial Group LLC may disclose client's NPI: (1) to individuals and/or entities not affiliated with Logos Financial Group LLC, including, but not limited to third-parties that assist in the supervision or management of your account(s) (i.e., broker-dealer, sub-advisers, account custodian, record keeper, etc.); (2) service providers contracted by us in order for us to perform the duties in furtherance of the client's engagement with Logos Financial Group LLC (i.e. client management systems, archiving technology vendors, cloud service providers, etc.); (3) to your authorized representative or power of attorney; (4) when we receive your prior consent; and (5) as otherwise permitted to do so in accordance with the parameters of applicable federal and/or state privacy regulations.

In the event that Logos Financial Group LLC has a change to its client privacy policy that would allow it to disclose non-public information not covered under applicable law, Logos Financial Group LLC will allow its clients the opportunity to opt-out of such disclosure.

#### How We Protect Your Personal Information

Privacy has always been important to Logos Financial Group LLC. We restrict and limit access to client information only to those who need to carry out their business functions. We safeguard client information by preventing its unauthorized access, disclosure, or use. We maintain physical, electronic, and procedural safeguards to protect your confidential personal information. Arrangements with companies or independent contractors not affiliated with Logos Financial Group LLC will be subject to confidentiality agreements.

# **Logos Financial Group LLC**

## *Educational Seminars / Speaking Engagements Agreement*

### Former Clients

Even if we cease to provide you with financial services, our Privacy Policy will continue to apply to you, and we will continue to treat your nonpublic information with strict confidentiality. We maintain all records regarding all former clients for the retention period required by law.

### Contact Us

Clients are encouraged to discuss any questions regarding privacy policies and procedures directly with Terrance Hutchins, Chief Compliance Officer of Logos Financial Group LLC. Please contact Terrance Hutchins at (469) 388-2921.