New Client Process

Custodian

(SCHWAB/TD)

The custodian will house client assets that are managed by Financial Planning Concepts, Inc. They process trades and issue trade confirmations along with monthly statements.

Client

Investment Advisor

(FINANCIAL PLANNING CONCEPTS, Inc.)
Works with client to develop Investment
Policy Statement. Ensures client portfolio is
constructed consistent with objectives and
customized to fit client needs. Responsible
for making all investment decisions on client
account(s).

Account Coordinator

Responsible for setting up client account(s) with the custodian.