

**FINANCIAL ADVISER INFORMATION FORM**

Name Marion Steward  
Title CERTIFIED FINANCIAL PLANNER™ licensee  
Company Financial Steward Associates  
Address 2919 Valmont Rd Ste 109  
City Boulder State and Zip CO 80301  
Broker/Dealer Affiliation LPL Financial

**Services Provided**

- 1. I provide the following services:
  - Cash management, budgeting
  - Education planning
  - Tax planning
  - Investment review and planning
  - Retirement planning
  - Estate planning
  - Comprehensive written financial plans & strategies
  - Insurance needs in these areas:
    - Life
    - Disability
    - Health
    - Long-term care
    - Property/casualty
- 2. Financial planning services  do  do not include recommendations for specific investments of investment products. ( Not Applicable)
- 3. I  do  do not offer assistance with insurance and investment implementation.
- 4. I  do  do not offer continuous, ongoing financial planning services.
- 5. I  do  do not take either full or limited discretionary authority over the management of assets.
- 6. I  do  do not offer legal services.
- 7. I  do  do not provide tax preparation services.

**Background and Experience**

*1. My Licenses and Certifications*

Insurance:

- Life/Health Insurance
- Disability Insurance
- Property/Casualty
- Fixed Annuities

Investment Adviser:

- Registered Investment Adviser or Rep (SEC)
- Registered Investment Adviser or Rep, state of CO, CA

Securities:

- General Securities
- Mutual Funds
- Limited Partnerships
- Variable Annuities

Other:

- CERTIFIED FINANCIAL PLANNER™ (CFP®)
- Chartered Financial Consultant (ChFC)
- Chartered Life Underwriter (CLU)
- Other \_\_\_\_\_

2. My Professional Associations

- Financial Planning Association (FPA)
- National Association of Personal Financial Advisers (NAPFA)
- Other: \_\_\_\_\_

3. My Education

- Bachelor      Area of Study      Economics and French, UC Berkeley
- Master            Area of Study      \_\_\_\_\_
- Other              \_\_\_\_\_

Areas of competence and specialization

- 4. I have been offering comprehensive financial planning services for 24 years. I specialized in retirement plans for the previous 9 years.
- 5. I have completed 30 financial planning continuing education units (CEUs) in the last 2 years.
- 6. I will provide you with references if requested.
- 7. I  have  have not ever been cited by a professional or regulatory governing body for disciplinary reasons.  
Explain: \_\_\_\_\_
- 8. To my knowledge I have the following conflict of interest:  
Recommendations may be made for products that pay normal and customary commissions or fees.  
If you choose to implement the plan through me, I would receive that compensation.  
Other: \_\_\_\_\_  
\_\_\_\_\_

My Method of Compensation

- 1. I may be compensated on the basis of:  
 fees                     commissions     fees &/or commissions  
 other                    Explanation: The method of compensation depends upon the services you have chosen.
- 2. My clients' interests come first. I will only recommend products based on what is in their best interests, and not based on which would give me more earnings.
- 3. An affiliate of my firm, or a member of my firm  does  does not act as a general partner, participate in or receive compensation as a general partner, from investments that I may recommend to you.

Securities offered through LPL Financial, Member FINRA/SIPC. Investment advice offered through Financial Steward Associates, a registered investment advisor and separate entity from LPL Financial.

**FINANCIAL ADVISER INFORMATION FORM**

Name Heather Williams  
Title CERTIFIED FINANCIAL PLANNER™ licensee  
Company Financial Steward Associates  
Address 2919 Valmont Rd Ste 109  
City Boulder State and Zip CO 80301  
Broker/Dealer Affiliation LPL Financial

**Services Provided**

- 1. I provide the following services:  
 Cash management, budgeting                       Estate planning  
 Education planning                                       Comprehensive written financial plans & strategies  
 Tax planning strategies                                   Insurance needs in these areas:  
 Investment review and planning                       Life     Disability  
 Retirement planning                                       Long-term care
- 2. Financial planning services  do  do not include recommendations for specific investments of investment products. ( Not Applicable)
- 3. I  do  do not offer assistance with life insurance and investment implementation.
- 4. I  do  do not offer continuous, ongoing financial planning services.
- 5. I  do  do not take either full or limited discretionary authority over the management of assets.
- 6. I  do  do not offer legal services.
- 7. I  do  do not provide tax preparation services.

**Background and Experience**

*1. My Licenses and Certifications*

Insurance:

- Life Insurance
- Health Insurance
- Disability Insurance
- Property/Casualty
- Fixed Annuities

Investment Adviser:

- Registered Investment Adviser or Rep (SEC)
- Registered Investment Adviser or Rep, state of CO, CA

Securities:

- General Securities
- Mutual Funds
- Limited Partnerships
- Variable Annuities

Other:

- CERTIFIED FINANCIAL PLANNER™ (CFP®)
- Chartered Financial Consultant (ChFC)
- Chartered Life Underwriter (CLU)
- Other \_\_\_\_\_

2. My Professional Associations

- Financial Planning Association (FPA)
- National Association of Personal Financial Advisers (NAPFA)
- Other: \_\_\_\_\_

3. My Education

- Bachelor      Area of Study      Finance, Metro State University of Denver
- Master          Area of Study      \_\_\_\_\_
- Other              \_\_\_\_\_

Areas of competence and specialization

- 4. I have been a Certified Financial Planner™ certificant for 4 years. I've been working in the Financial Planning industry for over 7 years.
- 5. I have completed 30 financial planning continuing education units (CEUs) in the last 2 years.
- 6. I will provide you with references if requested.
- 7. I  have  have not ever been cited by a professional or regulatory governing body for disciplinary reasons.  
Explain: \_\_\_\_\_

8. To my knowledge I have the following conflict of interest:

Recommendations may be made for products that pay normal and customary commissions or fees.  
If you choose to implement the plan through me, I would receive that compensation.  
 Other: \_\_\_\_\_  
 \_\_\_\_\_

My Method of Compensation

- 1. I may be compensated on the basis of:  
 fees                     commissions     fees &/or commissions  
 other                    Explanation: The method of compensation depends upon the services you have chosen.
- 2. My clients' interests come first. I will only recommend products based on what is in their best interests, and not based on which would give me more earnings.
- 3. An affiliate of my firm, or a member of my firm  does  does not act as a general partner, participate in or receive compensation as a general partner, from investments that I may recommend to you.
- 4. I am compensated by Financial Steward Associates with a salary and bonus profit sharing.

Securities offered through LPL Financial, Member FINRA/SIPC. Investment advice offered through Financial Steward Associates, a registered investment advisor and separate entity from LPL Financial.