

Fee-Based Financial Planning Internal Work Flow Checklist

What you need to send to Home Office Fee-Based Financial Planning (FBP) Supervision & Administration

Step 1

Deliver the [Fee Based Financial Planning Financial Planning Disclosure Brochure](#) to the client.

- Email, Mail or Hand brochure to the Client
- FOND #61-1219

Step 2

Have the Client(s) sign and date the [Financial Planning Agreement](#).

- Write the full fee being charged
- Prefill the Client's information
- Advisor must sign form
- Client SSN/TIN & Birthday required
- One Agreement per service provided
- If applicable, add Solicitor/[Limited Joint Work](#)

Step 3

Collect the payment from the client. Can pay via check, wire, or NMIS withdrawal.

- Check payable to Northwestern Mutual Wealth Management Company or NMWMC
- Letter of Authorization required if doing NMIS withdrawal
- Call Home Office for wire instructions

Step 4

- Enter the Client and check information into the Plan Supervision System (PSS)
- Mail the check/Letter of Authorization & original Agreement to the Home Office:
Northwestern Mutual
Attn: FBP Supervision & Admin
720 E Wisconsin Ave, S01NE
Milwaukee, WI 53202

Step 5

Present the Plan to the Client. The plan includes:

- PPA 2.0/BPA
- The Legacy Deliverables (Goal Clarity & Goal Achievement)
- Collegiate Funding Services (if applicable)
- Pinnacle Equity Solution (if applicable)
- Horseshoath (if applicable)

Step 6

- Have the Client sign the [Financial Planning Acknowledgment of Receipt Form](#)
- If applicable, enter a second check or form of payment into PSS and mail to the Home Office

Step 7

- Email the PPA or BPA, Legacy Deliverables and Acknowledgment of Receipt to the Home Office for approval
- Email: NMWMC-fbpadmin@northwesternmutual.com

Step 8

Once the FBP Team receives all required items, they will approve the engagement for month end processing:

- Financial Planning Agreement
- Payment
- PPA 2.0/BPA
- Legacy Deliverables (Goal Clarity & Goal Achievement)
- Acknowledgment of Receipt

Step 9

Email the following miscellaneous items to the Home Office if applicable:

- Z Calc output
- Brentmark
- Legacy's Planning Map