

Name: _____

Name: _____

Cyndie Barone, CFP® & Associates, LLC
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Engagement Letter for Preparation of Tax Returns

Thank you for selecting Cyndie Barone, CFP® & Associates to prepare and file your tax returns. This letter contains the terms of our engagement and extent of our services.

We will prepare your tax returns using information you provide. Although we may ask for verification of items, we do not audit submitted data. It's important you retain all documents and data supporting items stated on your return. This includes, but isn't limited to: accurate mileage logs, records and receipts for business expenses and income, and charitable donations. All returns are subject to audit by tax authorities. We are not responsible for the disallowance of any unsupported deductions discovered during an audit or for any resulting taxes, penalties and interest. Please be aware penalties of \$100,000 can be imposed for failing to disclose "reportable transactions" or for supplying false information.

At times we must use our judgment in resolving issues where tax law is unclear, or where there are conflicts between taxing authorities' interpretations of the law. To avoid penalties there must be reasonable legal basis for the position taken. In this case, the position will be disclosed on Form 8275 or 8275-R, which is filed with the return.

Carefully review your completed return. By signing the e-file authorizations, you acknowledge you have examined the returns and deem the information documented to be accurate. E-file authorizations must be signed and returned to us prior to your return being e-filed. We cannot transmit any returns until we have received signed authorizations and payment for our services.

We work hard to protect your information. Email is not always a secure means of transmission; hence, we cannot accept or send confidential documents by email. Confidential information sent via email will be rejected both for security purposes and to remain compliant with state law. For this reason, we provide complementary access our client portal. Whereas emails may be intercepted by unintended parties, we are unable to guarantee that emails will be read only by the addressee, therefore, we disclaim and waive liability for unintentional disclosure of emails; further, you agree we have no liability for loss or damages resulting from such.

If you pay for services by credit card, know your information is used for processing purposes only. We use a third party processing company to transact fees for service. We do not retain, share or use your credit card information for secondary purposes and exercise reasonable care to prevent disclosure or other use of your credit card information, other than as permitted by the Credit Card Association Rules.

The IRS is now asking us to identify clients to help reduce consumer fraud. Therefore, know that we will be requesting driver's license or state issued ID information.

If services are terminated for nonpayment or for other reasons by either party, the engagement is deemed complete even if your return is incomplete. You agree to compensate us for all work performed and reimburse us for any out-of-pocket expenses; additionally, due to liability issues, we are unable to supply partially prepared returns.

Fees for preparing returns do not include: responding to tax agency inquiries, additional copies, subsequent consultations, amendments caused by late, omitted or changed information, nor requests by you for third party income verification.

INFORMATION RECEIVED IN THE SAME MONTH IN WHICH THE RETURN IS DUE, MAY BE EXTENDED AND WILL BE SUBJECT TO A SURCHARGE.

Client Agrees To:

1. Certify you have documents supporting the information used to prepare returns including but not limited to: charitable contributions, business use of auto and unreimbursed business expenses.
2. Retain backup documents on file for at least five years.
3. Notify preparer of corrections and/or correspondence received from tax authorities.
4. Notify us of life changing events that may affect your tax situation as they occur such as: marriage, change in dependents claimed, or sale of a home et al.
5. Pay additional fees for changes in preparation and out-of-pocket expenses we incur due to changed or additional information provided after your return is completed and uploaded or mailed to you.

Preparer Agrees To:

1. Prepare the return based on information and documentation you provide.
2. Inform you about information discovered affecting other tax years. However, we cannot be held responsible for identifying all items nor for returns we have not prepared.
3. Provide a copy of the return along with your documentation.
4. Treat any information received as confidential and subject to disclosure only at your written request or as compelled by law.

Please answer the following:

Did you receive unreported tips?

- Yes
- No

Did you receive alimony?

- Yes
- No

Did you sell stocks, bonds, or mutual funds?

- Yes
- No

Did you take a retirement distribution?

- Yes
- No

Did you receive unemployment compensation?

- Yes
- No

Did you receive lottery or gambling wins?

- Yes
- No

Did you make charitable contributions?

- Yes
- No
- I have receipts

Did you use your car/truck for business purposes?

- Yes
- No
- I have documentation

Do you have unreimbursed business expenses?

- Yes
- No
- I have documentation.

Do you use your cell phone for business?

- Yes
- No

Do you need to issue anyone a 1099-MISC?

- Yes
- No
- They were issued.

Do you have employees, household employees or any people who work for you?

- Yes
- No

Did you receive a subsidy or credit to help pay for health insurance?

- Yes
- Amount received _____.
- No

Did you have health insurance the entire year?

- Yes
- No
- Part year

Do you have a foreign bank or investment account with more than a \$10,000 balance?

- Yes
- Yes, more than \$50,000.
- No

Is email communication acceptable?

- Yes
- No

Please provide bank information for direct deposit and your email address:

Routing: _____

Account: _____

Financial Institution Name: _____

Savings Account:

Checking Account:

Email Address: _____

Email Address: _____

HOLD HARMLESS & DISCLOSURE

In signing this form, you certify the information you provided to Cyndie Barone, CFP & Associates, LLC (herein called Service Company or we) is true and complete. Further, you hold the Service Company harmless from any and all liability pertaining to your withholding, overlooking or providing erroneous information regarding the preparation of your tax return, and/or estimated tax payments (herein as et al) whether intentionally or unintentionally. You state you have in your possession all statements, logs, contemporaneous records, receipts, reports, backup materials, appointment calendars or letters supporting the information as stated on your tax return, et al.

Should your returns, et al, be selected for review by a taxing authority we are available upon your request to assist in such matters; the extent of such services and fees will be determined at that time. However, if you are selected for review or if you receive a notice requesting a response regarding a return, et al, we have prepared and such request is not due to your erroneous, overlooked or withholding of information, whether intentionally or unintentionally, we will respond at your request, to clarify, assist, support and negotiate on your behalf in all such matters, the final outcome of which is determined by said taxing authorities. Be aware it is your responsibility to notify us of such contact, as the taxing authorities do not always provide such information to the preparer.

You agree and acknowledge that Cyndie Barone, a registered representative of Lincoln Financial Securities Corporation is also providing me with tax preparation services. It is understood and agreed that Cyndie Barone, while providing me with tax services is not acting in any way as an investment advisor or registered representative of the Broker Dealer.

Cyndie Barone’s tax services are an “outside business activity” not within the scope of her relationship with the Broker Dealer. No legal or tax advice is being provided to me by the Broker Dealer or its affiliates. Therefore, it is understood and agreed that I will hold the Broker Dealer (including its successors, affiliates, and their respective officers, agents and directors) harmless from any and all losses, liabilities or other damages which may have occurred or may occur as it relates to Cyndie Barone’s providing me with tax services.

I hereby acknowledge and agree that at all times Cyndie Barone is not acting in a fiduciary capacity while providing me with these or any services.

Sign Here: _____

Date: _____

Printed Name: _____

Sign Here: _____

Date: _____

Printed Name: _____