



FROM THE PRESIDENT & CEO OF UNITED PLANNERS:

Welcome to the United Planners website. This section of our website is dedicated to providing clients and potential clients of our registered Financial Services Representatives information and important disclosures about their choice of broker-dealer firms.

We are an Investment Advisory and Independent Broker-Dealer firm. United Planners was founded in 1987 in Scottsdale, Arizona. Our business philosophy is to provide the highest level of personalized investment advisory and securities brokerage services to a select group of industry professionals. Our vision and resolve is to be,

*“...A PARTNERSHIP OF QUALITY INVESTMENT PROFESSIONALS MUTUALLY  
COMMITTED TO EXCEEDING CLIENT EXPECTATIONS”.*

As an Investment Advisory and Independent Broker-Dealer firm, we provide your Financial Services Representatives access to a wide array of non-proprietary investment products and support services which assist him or her in their practice. Because of this relationship with your Representative, you will complete a United Planners Client Agreement when establishing an investment account.

As a broker-dealer registered with the Financial Industry Regulatory Authority (FINRA), and as a Registered Investment Advisor (RIA) registered with the Securities Exchange Commission (SEC), we are subject to certain laws and regulations regarding the manner in which we conduct and supervise business. Regulations require that we maintain certain personal information regarding you and your investment experience. Such information is confidential (see our Privacy Policy which is available here in this section of our website or by request).

Although your relationship is mainly with your individual Financial Services Representative, there are a few times that you will receive correspondence directly from United Planners. As your Client Agreements are established through us, we will send a letter to advise you of the account registration and investment profile. Each year end we will also send you a mailing which will allow you to update your personal or financial information. Changes or updates to these mailings can be made directly with your Representative.

We want to thank you for taking the time to learn more about United Planners. Our Home Office can be reached by calling 800-966-8737.

Best Regards,

A handwritten signature in blue ink, appearing to read 'Michael A. Baker'.

Michael A. Baker, CPA  
President & CEO  
United Planners Financial Services

