Client Meeting Prep and Coordination

THEMED MEETINGS

SYSTEMATIC MEETING STRUCTURE

Annual: Investment Review and Rebalancing (IRR)
Semi-Annual: IRR and Goal Tracking
Trimester: IRR, Goal Tracking, and Mid-Point Review
Quarterly: IRR, Goal Tracking, Mid-Point Review, and Tax Planning

KEY MANAGEMENT GROUP
Unlocking Your Potential

Investment Review and Rebalancing

Objective: Thorough review of investments, MAR, full rebalance of accounts and update the financial planning data.

Agenda:

1. Opportunities
2. Goal Based Advice - Review status of goals
   - Update planning data
   - Collect planning fee
3. Covering Essentials - Review cash flow
4. Ensuring Lifestyle
   - Review of risk assessment and account level suitability towards goals
   - Implement investment solutions to better achieve goals
   - Review qualified contributions, distributions, and systematic payments
   - Complete managed account review (MAR)
5. Preparing for the Unexpected - Review insurance
6. Leaving a Legacy
7. Client Essentials
   - Suitability review, digital engagement, DPOA, Trusted Person, etc
8. Action Items
9. Referrals

Goal Tracking

Objective: Thorough review of client goals and goal achievement strategies

Agenda:

1. Opportunities
2. Goal Based Advice - Review status of goals
   - Delivery of financial plan
3. Covering Essentials - Review cash flow
4. Ensuring Lifestyle
   - Confirm investment strategy and make recommendations
5. Preparing for the Unexpected - Review insurance
   - Current coverage, reporjections, etc.
6. Leaving a Legacy
   - Ensure DPOA and Trusted person on file
   - Review professionals (accountant, ect.)
   - Estate Planning
   - Review beneficiaries
7. Client Essentials
   - Suitability review, digital engagement, DPOA, Trusted Person, etc
8. Action Items
9. Referrals

Mid-Point Review

Objective: Review of client goals, strategies, and investments

Agenda:

1. Opportunities
2. Goal Based Advice - Review status of goals
3. Covering Essentials - Review cash flow
4. Ensuring Lifestyle
   - Confirm investment strategy and make recommendations
5. Preparing for the Unexpected -Review insurance
6. Leaving a Legacy
   - Ensure DPOA and Trusted person on file
7. Client Essentials
   - Suitability review, digital engagement, banks, etc
8. Action Items
9. Referrals

Tax Planning

Objective: Review of clients goals, strategies, and investments (affluent clients meet with third-party CPA)

Agenda:

1. Opportunities
2. Goal Based Advice - Review status of goals
3. Covering Essentials - Review cash flow
4. Ensuring Lifestyle
   - Confirm investment strategy and make recommendations
   - Review of client personal tax situation and tax lose selling
   - Review qualified contributions, distributions, and systematic payments
5. Preparing for the Unexpected -Review insurance
6. Leaving a Legacy
   - Ensure DPOA and Trusted person on file
7. Client Essentials
   - Suitability review, digital engagement, banks, etc
8. Action Items
9. Referrals