

FINANCIAL ADVISOR CLIENT MEETING CHECKLIST

01 Review client portfolio

Client background:

- Gather personal information (age, occupation, etc.)*
- Understand client's financial goals (retirement, estate plan, etc.)*

Financial status:

- Compile financial statements (income, expenses, etc.)
- Review investment contributions and performance
- Know amount available to invest
- Understand distributions, terms of policies, and exercise options
- Identify gaps and/or opportunities in financial plan

Previous interactions:

- Check notes from previous meetings*
- Understand the status of previous action items*
- Know client's meeting preferences (drinks, location, etc.)

02 Create goal-driven agenda

Objectives:

- Define primary meeting objectives
- Identify decisions that need to be made

Discussion topics:

- List out discussion topics that support client's goals and situation
- Prioritize the most critical issues
- Flag any upcoming events and/or educational material

Client feedback and alignment:

- Allow client to give input on meeting objectives and discussion topics
- Send final agenda to client*

03 Gather docs & data

Financial reports:

- Prepare updated financial statements (balance sheets, income statements, etc.)
- Gather portfolio performance reports

Client documents:

- Collect any documents provided by client for review (tax returns, estate plan, etc.)

Market data:

- Compile market trends
- Understand economic indicators
- Flag relevant news

04 Provide recs

Investment strategies:

- List recommendations aligned with client's risk tolerance, goals, and market
- Identify alternatives and possible outcomes

Financial planning:

- Develop recommendations based on client's goals and changes in their situation
- Include projections and potential outcomes to discuss

Concerns:

- Anticipate and prepare for potential reservations or questions

05 Conduct dry run

Key points and data:

- Understand objectives
- Rehearse primary discussions
- Deliver financial status and recommendations

Responses:

- Practice answers to anticipated questions
- Prepare for difficult conversations or objections

Technology:

- Check presentation and video conferencing tools

06 Host meeting

Notes:

- Take detailed notes, capturing key information, goals, action items, etc.*

Objectives:

- Confirm goals and agenda
- Start conversation with high-priority items

Presentation:

- Discuss portfolio performance, updates, and any new recommendations using visual aids if necessary

Engagement:

- Listen to client, address concerns, and ensure they feel heard and valued

Next meeting:

- Propose a date and time for the next meeting or follow-up call

07 Follow-up with client

Summary:

- Send summary of the meeting to the client via email; include key discussion points, recommendations, and any action items*
- Highlight any decisions made, outstanding items, and next steps*

System updates:

- Log client meeting notes in downstream software system (CRM, databases, document vaults)*
- Create/delegate tasks, assigning due dates to ensure timely completion*

Next steps and progress:

- Track the progress of workflow (tasks and subtasks)*
- Keep client informed of any updates or changes

**Deliver a better client experience by using Zeplyn's AI to automate these time-consuming, manual tasks.*