Professional Development

Realize Your Potential

31-103 (CRM2)

GETTING YOU LEGISLATION-READY

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ADVISOR PRACTICE EVALUATION FORM

INTANGIBLE VALUE PROVIDED

CONCRETE SERVICES PROVIDED

Financial Management		Asset Management		Tax Planning		Risk Management	
Mortgage & Debt Analysis		Portfolio/Pension Analysis		Tax Analysis		Life Insurance –Term/Perm	
Cash Flow Analysis		Diversified product offering		Tax Return Coordination		Critical Illness & Disability	
Cash Flow Projection		Retirement/Education/Savings		In Depth Personal Tax Planning		Long Term Care Insurance	
RRSP/Leverage Loans		Repositioning/Rebalancing		Business Tax Planning		Other	
Regular Reviews		Regular Reviews		Regular Reviews		Regular Reviews	
Retirement Planning		**Estate Planning**		**Life Transition Planning**		**Engagement Process**	
Retirement Income Analysis		Estate Planning Analysis		Eldercare Issues		Deep client discovery	
Assessment of Objectives		Wills and POA		Workplace Transitions		Client Action Plan	
Retirement Expenses Analysis		Charitable Giving		Healthy Living		Regular status reports	
Retirement Cash Flow Projection		Business Succession Planning		Referral to other professionals		Consistent communication	
Regular Reviews		Regular Reviews		Regular Reviews		Proactive problem resolution	

CLIENT SEGMENTATION

TOTAL CLIENTS	TOTAL A CLIENTS	TOTAL B CLIENTS	TOTAL C & D CLIENTS

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CLIENT EQUILIBRIUM TEST

CLIENT NAME:________________ FOR PERIOD ENDING________________

INTANGIBLE VALUE PROVIDED

CONCRETE SERVICES PROVIDED

Financial Management		Retirement Planning	
Asset Management		Estate Planning	
Tax Planning		Life Transitioning Planning	
Risk Management		Engagement Process	

COMMENTS

FEES

What fee structure / compensation method do you use with this client?

- Fee-Only ☐
- Embedded Fees ☐
- Commissions ☐

	FEES	COMMISSIONS
Fees charged (fund company 1)		
Fees charged (fund company 2)		
Fees charged (fund company 3)		
Fees charged (all others)		
All other fees paid		
TOTAL		

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THE LITMUS TEST

CLIENT NAME:________________________

		Yes	No
Intangible Value	I have conducted a deep discovery of this client and have provided a tailored and formal financial plan to meet all their goals.		
	My years in the industry and expertise are above average in my market.		
	I have expanded my services to include support beyond financial advice for this client.		
	I have set, communicated and abide by high service standards with this client.		
Concrete Services	The value I am providing to this client is spread over four or more categories of concrete services.		
	The products and services I am providing to this client sufficiently support and/or address most of their life goals.		
	The concrete services I provide to this client could not easily be converted to a do-it-yourself approach (i.e. self directed investing vs. estate planning)		
	This client does not focus only on performance.		
Fees	My client knows the exact dollar amounts of all their fees and charges.		
	My client's assets do not currently include embedded fees.		
	I would feel comfortable explaining how the fees charged balance with the value and services I have provided this client.		
	Upon seeing the fees my client has incurred, I do not feel they are likely to obtain a second opinion from a competitor.		
Other	I am the sole and only advisor this client uses.		
	I have created a relationship involving a high level of trust with this client.		
	The impact of this client moving their assets elsewhere would not significantly affect my business.		
	I have communicated at least 6 times with this client in the last 12 months.		
	Total		

Comments:

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31-103 GAME PLAN - CLIENT

CLIENT NAME:______________________

Services not currently being provided that this client would most benefit from:		

Action Plan for the next 12 months:

Responsibilities/Requirements: :	
Who:	What:

Notes:

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31-103 GAME PLAN - PRACTICE

Client Type	2013	2014	2015
A			
B			
C & D			

My top 3 Concrete Services that II will add/improve upon over the next 12 months are:

1:__________________________ 2.__________________________ 3.__________________________

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VALUE SUMMARY

Client: ______________________________ Date: ______________________________

	Services Provided	History

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CONVERSATION PLANNER

Client: ______________________________ Appointment Date: ____________________	
Introduction	
Value provided	
Highlight the Changes	
State your fees	
Summary of benefits	

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