



## Are you prepared to have an effective conversation with your clients about their portfolio?

Meetings with your clients will be more productive if you follow a logical progression of uncovering investor goals, progress to discussing if portfolio performance did or didn't meet goals, and finishing with how a portfolio will be positioned with new assets or how existing assets can be used going forward.



### 1

#### What is happening in your client's life?

- **Changes in lifestyle**—new spouse or children, a new job (or loss of job), changes with parents or extended family, or other events that have a financial impact
- **New challenges**—paying for college, building a business, or other large annual outflows of cash
- **New opportunities**—acquisition of real estate, large expenditures on vacations, vehicles, or other dream purchases

#### What are your client's goals?

- **Saving for short-term needs**—What does your client want to purchase or what expenses have to be covered in the near future?
- **Long-term planning**—Is your client thinking of a lifestyle change, such as moving, retiring, arranging for long-term care for themselves or loved ones?
- **Estate planning**—Does your client have health directives and an estate plan in place? Has your client spoken to an attorney about a will, trust arrangements and beneficiary information?
- **Retirement planning**—Is your client retired, about to be retired, or otherwise in a position where alternative sources of monthly income need to be found?

Do you have a clear understanding of your client's short-term and long-term Investment Goals?

What is currently happening in your client's life?

What are your client's concerns for the future?

Have you carefully evaluated your client's portfolio performance and considered:

- How well did your client's individual investments and overall portfolio perform?
- How did your client's portfolio perform based on established and known parameters?

Know your client's risk profile.

- What types of investments does your client own and what is missing?
- Do you have information on-hand about appropriate new investment ideas to introduce to your client?

#### Client Goals

### 2

#### Portfolio Performance

- **Income**—Are investments generating enough income to meet client's daily needs?
- **Growth**—Is your client satisfied with overall portfolio growth and the real inflation-adjusted return on investments?
- **Goals**—Review how portfolio performance is meeting goals and if your client is satisfied with how portfolio performance helped achieve needs and goals so far.

### 3

#### Investment Positioning

- **Rebalance**—Are there any winners to sell or laggards to target for reinvestment?
- **Manage volatility**—Is the portfolio diversified enough to tolerate severe market downturns?
- **Increase investments**—Is there additional capital to deploy from bonuses, asset sales, or an inheritance?
- **Diversify**—Are there alternative investments opportunities?

#### How are the investment positions addressing:

- Need for more income
- Desire for more diversification
- Plans for capital growth

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