Vanguard

Client relationships

Sample

Setting client expectations document

How to get the most value out of your advisor relationship

Here are some practical tips to consider as you begin your new relationship with me as your financial advisor.

Practical questions to ask

- What services do you provide?
- What can I expect from you?
- How often will we meet?
- How are you compensated?
- When will you contact me?
- How often do we review my portfolio and its performance?
- How often do we review progress toward my goals?

When to contact me

You'd be surprised how often clients experience a financial, personal or life change and don't think to contact their financial advisor. It's a good idea to get in touch with me, especially in the following instances:

Personal or life changes, including:

- Marriage
- Divorce
- Birth or death in the family
- Lawsuit

Financial changes, including:

- Inheritance
- Significant debt repayment that may free up cash
- Work-related bonus or stock options
- Buying or selling a primary residence, or vacation or rental property

Business changes, such as:

- Purchase or sale of a business
- Other business-related or large-flow expense

Estate planning issues, including:

- Asset transfer
- Generational planning
- Estate taxes
- Charitable giving
- Business succession
- Trust formation

Be a well-prepared client

The financial advisor/client relationship can be similar to a doctor/patient relationship. Success in both is based on mutual respect, honesty and trust.

Before we meet, think carefully about the nature of the discussion and what you wish to accomplish. Prepare any questions you have in advance. During the meeting, take notes and ask questions until you are comfortable with a concept or suggestion. However, don't feel compelled to reach a decision right away. I encourage you to discuss your questions and concerns with me before making a decision.

Remember, my job is to look out for your best interests and help you achieve your financial goals. Establishing a mutually open, honest relationship is an important step in realizing those goals.

www.abcadvisors.com
100 Main Street, City, Province A1A 1A1
info@abcadvisors.com
123-456-7890
Hours: Monday to Friday, 9 a.m.–5 p.m.

This material is for informational purposes only. This material is not intended to be relied upon as research, investment, or tax advice and is not an implied or express recommendation, offer or solicitation to buy or sell any security or to adopt any particular investment or portfolio strategy. Any views and opinions expressed do not take into account the particular investment objectives, needs, restrictions and circumstances of a specific investor and, thus, should not be used as the basis of any specific investment recommendation.

INADJ_CA 112017