Client File | Check List

Client Name: ____________________________________

EVERY CLIENT's FILE

- ☐ Advisor disclosure form
- ☐ "Reason Why" letter
- ☐ Documentation when a client declines advice or decides not to act on recommendations
- ☐ File follow-ups: Notes or additional comments

LIFE INSURANCE

- ☐ Needs analysis (including objectives, goals and priorities)
- ☐ Risk tolerance assessments for UL policies (Investment Profile)
- ☐ Proposals and recommendations (illustrations used)

INVESTMENT

- ☐ Risk tolerance assessments / Investment Profile
- ☐ Proposals and recommendations (illustrations used)

NOTES:

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