Checklist for a World-Class Client Experience

1 Service Model

- [ ] Strong value story that leads with outcome-based Financial Planning
- [ ] Holistic offerings: Financial Planning, Investment Management, Tax Planning and Prep, Risk Management, Estate Planning
- [ ] Easily-articulated investment management process
- [ ] Review frequency that meets the clients' needs without feeling like a burden to either party
- [ ] Transparent fees
- [ ] Segmentation: aligning the needs of various client groups with the service you provide in a profitable way; consistent, uniform service implementation across each tier
- [ ] Team approach for service delivery

2 Onboarding

- [ ] Error-free paperwork; few if any Not In Good Order (NIGO) projects
- [ ] Red carpet welcome: thank you letter, referral reminder, new client reference material, client preference questionnaire
- [ ] 45 day implementation progress meeting -- status of transfers, reminder of what transferred where
- [ ] Onboarding call/meeting to walk through technology
- [ ] Call or virtual meeting when first statement occurs to assure that the client is comfortable with the new statement
- [ ] Opportunity to meet the team
- [ ] New client welcome dinner for top-tier clients

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- [ ] Call or virtual meeting at 6 months to reeducate client on client portals and access and assure they are using technology at an optimal level for that client

3 Reviews

- [ ] Goal and planning- focused, not performance focused
- [ ] Strong CRM Utilization and Workflows: review date due, workflow to update, client overdue list
- [ ] Proactive communication to schedule when due
- [ ] Meeting confirmation email when appointment set
- [ ] Holistic meeting agenda, sent in advance
- [ ] Review prep checklist process with supporting workflows
- [ ] Confirmation call 24-48 hours in advance
- [ ] Warm welcome (greeted by name, welcome sign, preferred beverage, snacks, etc)
- [ ] Meeting notes and follow-up actions entered into CRM promptly
- [ ] Meeting recap email/letter sent to client
- [ ] Accommodating/offering meeting preference: virtual, in office, or other

4 Appreciation

- [ ] Annual or semi-annual large events: Holiday Open House, BBQ and Fireworks, Halloween Trunk or Treat for the grandkids, Baseball Game Outing, etc
- [ ] Quarterly small events: Valentine’s Spa Day, Golf Tournament, Historical Bus Tour, etc
- [ ] Quarterly passion events for clients based on shared interest with advisor
- [ ] Create a “Client Community”: Travel Club, Widow Group, Art/Food/Wine tasting Club, Charitable Events, etc
- [ ] Retirement parties for top-tier clients
- [ ] Referral thank you letter

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5 Communication

- [ ] Trade alert emails
- [ ] Weekly e-newsletters
- [ ] Quarterly lifestyle newsletters
- [ ] Market/news alert emails and calls
- [ ] Birthday calls or letters, handwritten, hand-addressed with a stamp
- [ ] Anniversary calls or letters, handwritten, hand-addressed with a stamp*
- [ ] Sympathy cards , handwritten, hand-addressed with a stamp
- [ ] Random acts of kindness*
- [ ] Outreach phone calls to check in*
- [ ] Holiday greetings
- [ ] Updated auto-attendant and voicemails when out for holidays, vacation, inclement weather, etc.
- [ ] Social media updates for announcements, education, and pictures of client events
- [ ] Consistently-followed standards for formatting written communication

6 Technology

- [ ] User-friendly client portal with account aggregation and access to financial plan
- [ ] Online appointment scheduling
- [ ] Video or web-based meetings available

7 Education

- [ ] Semi-annual or quarterly economic and market update meetings/webinars/conference calls
- [ ] Quarterly classes on topics in the areas of Estate Planning, Tax Planning, and Risk Management
- [ ] A robust website that includes easy access to various educational content as blogs, videos, archived newsletters, etc.

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8 Service

- [ ] Incoming phone calls: 3-4 rings before live answer, warm greeting, updated voicemail greetings, enjoyable hold music
- [ ] Consistently-utilized service tracking system in CRM to document status updates and resolutions
- [ ] Defined resolution target times for each tier; escalation rules to advisor when appropriate
- [ ] Communicating expected response times to clients; then exceeding these expectations
- [ ] A+ team members with a service mindset
- [ ] Accurate mail processing (inbound and outbound)
- [ ] Accurate and easy-to-understand statements

9 Feedback

- [ ] Client Advisory Council
- [ ] Client Surveys
- [ ] Event Evaluations

10 Environment

- [ ] Office space that is clean, well-maintained, with up-to-date décor
- [ ] Comfortable and welcoming waiting space
- [ ] Private meeting space with doors and soundproof walls
- [ ] Front desk that is clear of clutter and without documents containing personal information in sight
- [ ] Location that is easy to find, has ample parking, and is accessible by those with all levels of physical abilities
- [ ] Professional look for virtual meetings: background, appropriate lighting, camera location and angle

CARSON
COACHING

Carson Coaching
14600 Branch St.
Omaha, NE 68154

carsongroup.com
800.514.9116
coaching@carsongroup.com