

# 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

- 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

## 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.

## 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

