XYZ Firm Service Standards

» We always greet clients in a positive, courteous, and professional manner; when answering the phone we identify ourselves so clients know with whom they are speaking.

» We answer the phone within three rings.

» If clients are on "hold" for longer than 2 minutes, we check-in to ask if they would like to continue holding or leave a message.

» When we are unavailable to take an incoming client call, we put our phone on "Do Not Disturb" so that the call tree skips our line and minimizes client wait times.

» We practice active listening when speaking with clients about their needs and requests. We listen for the "deeper need" and ask questions to clarify if we're not sure we understand a request or think the client may actually need something different.

» When we initially receive a service request, we confirm with the client that we received the request and inform them of normal processing or resolution times, when they can expect completion, and any potential delays that may arise in the process.

» We regularly communicate with clients to update them of the status of their service request, account transfer, and other items, especially if it is taking longer than expected.

» We always "close the loop." When a service item is completed, we let the client and their advisor know.

» We think "two steps ahead" for the client. What do they not know they need yet – but we can anticipate?

» We review all written client communication before sending to ensure it is accurate and without typos.

» We use a standard firm email signature and letter template for written communications.

» We update our email autoresponder and voicemail when we will be out of the office for a full day or more. We indicate expected return date and indicate how the sender/caller may receive immediate assistance if needed.

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XYZ Firm Service Standards (cont)

» We respond to client requests in a timely manner:

  – A+ Clients: within 2 business hours

  – A Clients: within 4 business hours

  – All other clients, within 24 hours.

» We strive to resolve service issues in a timely manner:

  – A+ Clients: within 24 hours

  – A Clients: within 36 hours

  – All other clients, within 48 hours.

» We process all checks same-day and account transfer forms within 24 hours of receiving them.

» We strive for 100% accuracy when submitting paperwork to custodians and vendors; NIGO (not-in-good-order) paperwork should be under 5% of all documents submitted.

» We use the “Get Back” rule. When we don’t know the answer, we let the client know that we will research their question and get back to them.

» When we are closed during normal business hours, we update our main voicemail, individual voicemails, and put a sign on the front door.

» We end all client interactions in a positive and professional way, and always thank the client.