



Information-Gathering Checklist

To fully understand the prospect's financial considerations, gather as much information as possible, which can include:

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- Client goals and objectives for the assets

 - Financial, investment, and bank statements

 - IRS Form 1040 – the client's federal income tax return form

 - Risk tolerance and other investment factors

 - Income needs

 - Charitable intentions

 - Legacy considerations

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Pre-Meeting Checklist

- Create a meeting agenda to include:
 - Objective of the meeting
 - Individuals attending, including their organization and titles
 - Topics to be covered
 - Allow time for discussion and questions

- Have all documents/proposals ready to go

- Double-check attendee list and responses, and be sure to know the names and backgrounds of everyone attending

- If the meeting is virtual, ensure all devices are operating and that everyone has the correct link to attend

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Tax Considerations Checklist

Consider a tax checklist to help identify areas of opportunity to optimize taxes, including:

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- Ways to manage overall tax liability

 - Capital gains budgeting

 - Tax gain and loss harvesting

 - Tax transition

 - Sale of a business or home

 - Charitable contributions or intentions

 - Discussion of future tax-law uncertainty

92%

92% of high net worth and ultra high net worth investors expect tax planning from their wealth manager. Only 25% say they receive it.¹

¹ Source: The After-Tax Advisor, Eaton Vance, September/October 2020

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Your List of Pitch Questions

Before the Meeting: Questions To Ask

Will a spouse/partner be attending?

70% of married women will become widows, and 70% of widows will change financial advisors within a year of their partner's death.¹

Should other family members attend?

71% of baby boomers have never discussed wealth transfer with their financial advisor. 64% of wealthy investors have not talked with family members about passing wealth – only 17% say their heirs are very well informed about it.²

What is the goal for their wealth?

It's essential to understand basic factors, such as time horizon, income needs, how investment decisions are made, charitable initiatives, etc. that might impact the recommendation.

Do you have an advisor? Are you happy with the experience they are delivering?

If you know who you're competing against, you can tailor your pitch to differentiate yourself.

During the Meeting: Questions To Answer

What are your fees?

Be confident in what your fees are and what value you offer to your clients.

What is your role vs. the role of the investment management partner?

Be sure your prospect understands that their relationship is with you and that the investment management partner offers specialized investment expertise and other investment-related services.

How will this help me reach my goals?

Keep the conversation value-oriented and always tie back to client goals and objectives.

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¹ Source: "Women as the next wave of growth in US wealth management," McKinsey & Company, July 2020

² Source: The Decade of Generational Wealth, Fidelity Institutional