New Client Intake Process

INDIVIDUAL INVESTORS - WEALTH MANAGEMENT



1

VALUES MEETING

OUR PURPOSE:
Determine if we may
be a match

WHAT WE DO:

- We learn what's important to you
- We learn why you are seeking an advisor

WHAT YOU DO:

- You learn about our investment philosophy
- You learn how we are compensated

MEETING DETAILS:

- Meet with chief investment officer
- Meeting Length: 1 hour

2

DIAGNOSTIC MEETING

OUR PURPOSE: Understand you and your financial goals

WHAT WE DO:

- We ask questions to learn your story (goals, family, background, work, etc.)
- We assess your risk profile

WHAT YOU DO:

- You provide your financial documents
- You share your financial goals

MEETING DETAILS:

- Meet with chief investment officer and investment consultants
- Meeting Length: 2 hours

3

PROPOSAL MEETING

OUR PURPOSE: Share the investment proposal with you

WHAT WE DO:

- We present your investment proposal and financial planning opportunities
- We explain fees and any tax implications

WHAT YOU DO:

- You ask questions
- You are able to request modifications to the proposal

MEETING DETAILS:

- Meet with chief investment officer and investment consultants
- Meeting Length: 2 hours

4

IMPLEMENTATION MEETING

OUR PURPOSE: Align and initiate your investment strategy

WHAT WE DO:

- We clarify any investment strategy modifications
- We gather your communications preferences

WHAT YOU DO:

- You confirm your investment plan
- You sign implementation paperwork

MEETING DETAILS:

- Meet with investment consultants
- Meeting Length: 2 hours

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