

Practice Development Series

Module 4: Engagement / Activity 1 – Initial Interview

Aligned with the PFA™ Designation Program

Instructions: Using at a minimum two upcoming initial interviews, prepare a summary of everything you know about the prospective client or client. Use the template below to guide you. It is a best practice to prepare for all client and prospective client meetings in this way.

It is a good practice to put the completed page in the prospective client or client file and update your client relationship management (CRM) system with this information.

Initial Interview with: _____		
Date: _____		
Question	Details	Other Notes & Next Steps
How did you meet your prospective client?		
Is your prospective client a warm lead from a client, family member or centre of influence?		



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<p>How did the prospective client make the decision to meet with you?</p>		
<p>What do you know about the prospective client's concerns or potential concerns?</p> <p>What was your prospective client's stated reason for meeting?</p>		



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<p>Does the prospective client have an advisor?</p> <p>What do you know about the prospective client's history of investing?</p>		
<p>What have you sent to the prospective client to prepare them for the meeting (agenda for the meeting, relevant article, a copy of your biography or an introduction letter)?</p>		
<p>Is there anything that makes this meeting different from the initial prospective client meeting described in PD Module 4?</p> <p>If so, what is different?</p>		



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<p>What should you do to prepare for it?</p>		
<p>Is there an immediate need the prospective client is looking for you to solve?</p> <p>What issues did the prospective client identify after receiving the agenda?</p>		
<p>What paperwork do you need for the meeting?</p> <ul style="list-style-type: none">- Client Engagement Letter / Agreement- Fact-finding form- Marketing material- Client agenda items- New account application form- Insurance application form		
<p>What technology do you need for the meeting?</p> <ul style="list-style-type: none">- Is your laptop charged?- Portable scanner?- Portable printer?		

