CLIENT INTEREST PROFILE

In transitioning the primary relationship from one advisor to another, whether due to retirement or rightsizing, it's important to transfer as much information as possible from the current advisor to the new advisor – especially small pieces of information that can help the new advisor build rapport. Complete this list of questions to record these non-account related details.

GENERAL CLIENT INFORMATION

Client name: ____________________

Spouse name: ____________________

Birthday: ____________________

Birthday: ____________________

Wedding anniversary date: ____________________

Other marital notes: ____________________

What are these clients like personality-wise? ____________________

Where/how did you meet? ____________________

How long have they been clients? ____________________

Do you meet with them regularly? How often?

____

Communication preference? In person/in office/video call etc.

____

Have you done financial planning with them? How so?

____

Is their estate planning up to date?

____

Who else is on their professional team?

Attorney: ____________________ CPA: ____________________ Other: ____________________

What are their hobbies and interests? ____________________

Where do they vacation? ____________________

Where do they go to school? ____________________

INVESTMENT STYLE

Risk Tolerence: ____________________

Their knowledge of the stock market on a scale of 1-10? __________

How are they allocated? ____________________

How do you invest their accounts? Do they trade on their own? ____________________

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INSURANCE INFORMATION

Have you worked with them on insurance? ______________________________

What are their thoughts on life/ltc/di insurance? ______________________________

FAMILY/FRIENDS

Who are their parents? Any connections there? ______________________________

How many kids do they have? ______________ Additional information? ______________

Names of kids/grandkids: ______________________________

Do they have pets? Names of pets? ______________________________

Are they friends/relatives of other clients? ______________________________

PROFESSIONAL CAREER:

Employment History? ______________________________

Are they retired? ______________ When do they plan to retire? ______________

Do/did they own a business? ______________________________

Succession Plan? ______________ Any failed business ventures? ______________

ANYTHING ELSE:

Any final notes? ______________________________

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