**Initial Contact Script**

*Below is the script we recommend for making initial contact with a prospective client once the referring client has provided the personal introduction via email.*

*Your goal for this initial call is to schedule a meeting with the prospective client that will allow you to gather the information necessary for you to formulate a second opinion on that person’s finances. This meeting will also be your opportunity to determine whether you would be able to add significant value to the prospective client’s financial life.*

*In response to your offer to schedule this meeting, the prospective client will answer with a yes, a no or a maybe. Each answer should prompt a specific response from you, as scripted below.*

“Hello, Mr./Ms. Prospective Client, << referring client’s full name >> asked me to contact you, and I promised him/her that I would. I’m his/her personal chief financial officer, <<advisor full name>>.

“<< Referring client’s first name >> spoke highly of you and thought that you might be able to benefit from our second-opinion service. He/She wanted you to know about the sophisticated wealth management process that we use in assisting clients in reaching their financial goals.

“<< Referring client’s first name >> wasn’t sure if you would be interested in getting together to review your current investment plan, but he/she thought you’d be the best person to make that decision.”

*The person will respond in one of three ways, each of which requires a different response from you.*

***“No.”*** *The prospective client will typically want to decline because he or she already has a financial advisor. If this is the case, have this script ready about getting a second opinion:*

“That’s great that you have a financial advisor.

“We find that with today’s volatile market and changing tax laws, many people would like to have a second opinion to make sure that they’re on track to achieving their financial goals. I would be more than happy to get together and see if that makes sense for your situation.

“We don’t take clients unless we can add substantial value to their financial lives, so if your financial advisor is already doing a great job, certainly we would recommend that you continue to work with him or her.

“Would you like a second opinion on your finances?”

***“Maybe.”*** *You will seldom get this response, but when you do, it is most often because the prospective client has hesitation about the cost. If so, respond in this way:*

“There’s no cost to get together in our initial consultative meeting, which we call the Discovery Meeting, because we are looking to see if we can add substantial value. We never take any clients unless we’re sure that we can add this kind of value to their financial lives.”

***“Yes.”*** *Schedule a specific date and time to get together. Explain that you will send the prospective client a follow-up letter outlining the financial information and records you would like him or her to bring to the meeting in order to make the meeting extremely productive.*