# UPDATES

**TABLE OF CONTENTS**

**SCHEDULE APPOINTMENT**

[SCHEDULE APPOINTMENT CHECKLIST UD3](#_Toc138596345)

[1) Print list of clients needing update appointments UD4](#_Toc138596347)

[2) Call client to schedule appointment UD4](#_Toc138596347)

[3) Schedule appointment on calendar UD6](#_Toc138596348)

4) Schedule on calendar to send reminder to client UD6

5) Schedule on calendar to call client as a reminder of appointment UD8

[6) Schedule literature request for update UD8](#_Toc138596349)

**PREPARE UPDATE**

[PREPARE UPDATE CHECKLIST UD9](#_Toc138596350)

[1) Pull client’s file UD10](#_Toc138596351)

2) Print last update UD10

3) Print brokerage accounts UD11

[4) Review history in contact management system UD12](#_Toc138596352)

5) Check uncompleted activities that will affect update UD13

6) Review additional resources that are pertinent to the topic of update UD14

7) Prepare required minimum distribution paperwork if needed UD14

[8) Call outside companies for values and activities for assets not held internally (eg. annuities, life insurance) UD15](#_Toc138596353)

[9) Update new information obtained for outside assets in your contact management system UD16](#_Toc138596354)

[10) Order notebook for initial update UD16](#_Toc138596355)

[11) Make corrections to client update system UD17](#_Toc138596347)

**Generate Update**

[GENERATE UPDATE CHECKLIST UD18](#_Toc138596356)

[1) Print and review client’s update UD19](#_Toc138596358)

2[) Team leader reviews client’s update UD19](#_Toc138596347)

[3) Advisor reviews client’s update UD19](#_Toc138596359)

4[) Changes made in update system UD19](#_Toc138596347)

[5) Print final copies UD19](#_Toc138596347)

6[) Link update in contact management system UD19](#_Toc138596347)

7[) Complete literature request in contact management system UD19](#_Toc138596347)

8[) Give update to Advisor UD19](#_Toc138596347)

**aPPOINTMENT OVERVIEW**

[APPOINTMENT OVERVIEW CHECKLIST UD20](#_Toc138596362)

[1) Print appointment sheet(s) daily UD21](#_Toc138596364)

2[) Greet clients UD22](#_Toc138596347)

[3) Advisor reviews appointment sheet UD24](#_Toc138596365)

4[) Meeting held with clients UD24](#_Toc138596347)

**APPOINTMENT FOLLOW-UP**

[APPOINTMENT FOLLOW-UP CHECKLIST UD25](#_Toc138596366)

[1) Complete appointment on calendar UD26](#_Toc138596368)

[2) Change last appointment date in contact management system UD26](#_Toc138596369)

[3) Advisor dictates to Copytalk UD26](#_Toc138596370)

4[) E-mail received from Copytalk, letter composed and sent to client UD27](#_Toc138596347)

[5) Print copies of letter and give to team for follow-up UD28](#_Toc138596371)

**MAIL UPDATE**

[MAIL UPDATE CHECKLIST UD29](#_Toc138596372)

[1) Mail update to client – no appointment UD30](#_Toc138596374)

2[) Mail update to client – appointment requested UD31](#_Toc138596347)

3[) Mail update to client – phone appointment UD32](#_Toc138596347)

# SCHEDULE APPOINTMENT CHECKLIST

*This system will be used to schedule appointments with Clients for their updates.*

The following checklist and system is compiled assuming all practices are using some type of contact management software. For optimal effectiveness, we recommend you customize each checklist and system to reflect the actual steps that apply to your software/practice.

CLIENT NAME:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ DATE:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1) \_\_\_\_\_ Print list of Clients needing update appointments. \_\_\_\_ N/A

(Person Responsible)

2) \_\_\_\_\_ Call Client to schedule appointment. \_\_\_\_ N/A

(Person Responsible)

3) \_\_\_\_\_ Schedule appointment on calendar. \_\_\_\_\_ N/A

(Person Responsible)

4) \_\_\_\_\_ Schedule on calendar to send reminder to Client. \_\_\_\_\_ N/A

(Person Responsible)

5) \_\_\_\_\_ Schedule on calendar to call Client as a reminder of appointment. \_\_\_\_\_ N/A

(Person Responsible)

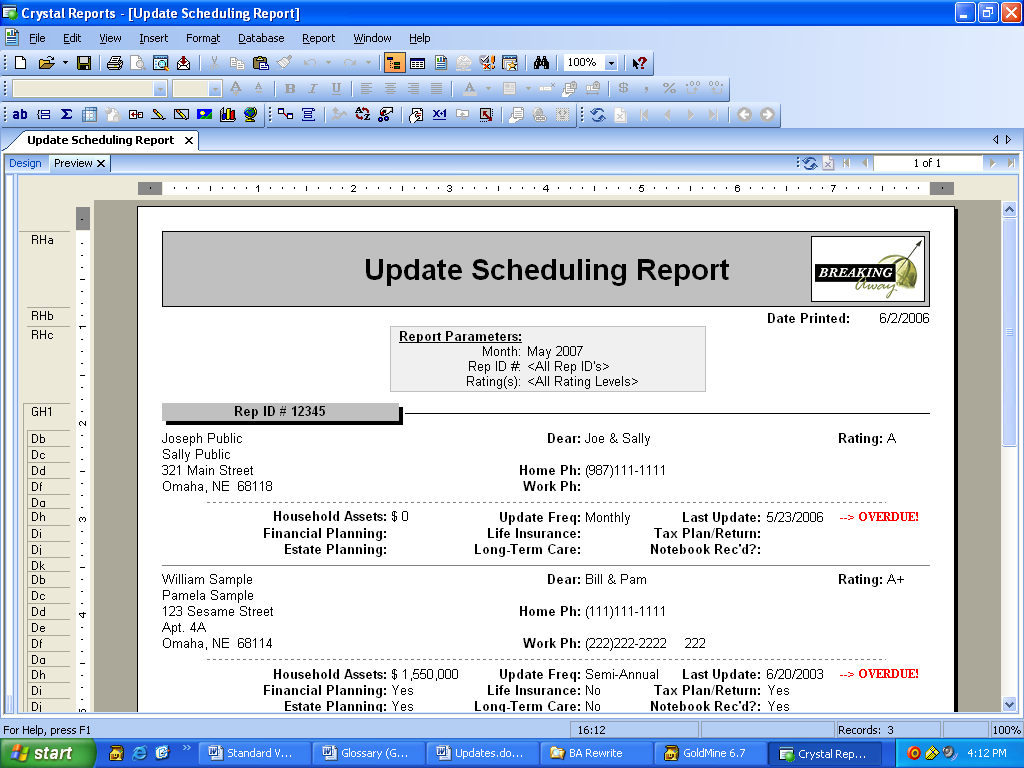
6) \_\_\_\_\_ Schedule Literature request for update. \_\_\_\_\_ N/A

(Person Responsible)

# SCHEDULE APPOINTMENT

# 1) print list of Clients needing update appointments

* 1. **Client**s should be coded in your contact management system to indicate how often they should be seen for updates and when the last update occurred.
  2. If this information is coded correctly, a list can be printed so calls can be made to **Client**s due or over-due for their update appointments.



**Note: A view of this report is only provided as an example of the information contained on the Report used by Carson Wealth Management Group.**

**2) CALL CLIENT TO SCHEDULE APPOINTMENT**

* 1. Determine the week you wish to schedule the **Client**’s update with the **Advisor**.
  2. Scheduling Do’s & Don’ts

2.2.1) Allow only one person to do the scheduling to avoid conflicts.

* + 1. Know the times the **Advisor** has set aside to meet with **Client**s (eg. Tuesday & Thursday from 9:00 a.m. – 5:00 p.m.)
    2. Schedule updates no less than one week in advance.
    3. Updates are usually scheduled one month in advance.
    4. Schedule no more than 5 updates per day unless approved by the individual who does the preparation work for the update appointments.
    5. Update appointments are scheduled for 120 minutes.
    6. Don’t forget to schedule a conference room and any other individuals who should be included in the update (eg. Estate Planner.)

Note: For any appointments that do not have a conference room reserved, if you are holding a meeting and an appointment that was previously booked arrives, you and your **Clients/Prospects** will be asked to forfeit the meeting space to the person who followed the system.

* 1. Call the **Client** using the phone number in your contact management system.
  2. Script.

“Hello, may I speak to {**Client**’s First Name(s)}. This is {Team Member’s Full Name} calling from {Practice Name.} {**Advisor**’s First Name} asked me to call you to set up a time for you to come in to review your portfolio.

We’re currently setting appointments during the week of {Month & Date.} Is there a time of day or day of the week that works best for you? *(Work with the* ***Client*** *to find a suitable time that fits within the* ***Advisor****’s preferred schedule.) (Give* ***Client*** *a specific date and time as a suggestion.)* Does Monday the 13th at 11:00 work for you?

“Great. We’ll see you Monday 13th at 11:00. We look forward to the meeting.”

(If **Client** has been given a notebook to maintain their material from the **Advisor**, ask **Client** to bring in their notebook to be updated. At Carson Wealth Management Group, only A+ and A **Client**s receive a notebook during their **Initial Review/Update Appointment**.) “Please bring in your notebook so we may update it while you meet with {**Advisor**’s First Name.}”

“If you have any questions beforehand or need to reschedule, please call me at {Scheduling Manager’s Direct Line} or {Scheduling Managers toll-free direct line.}”

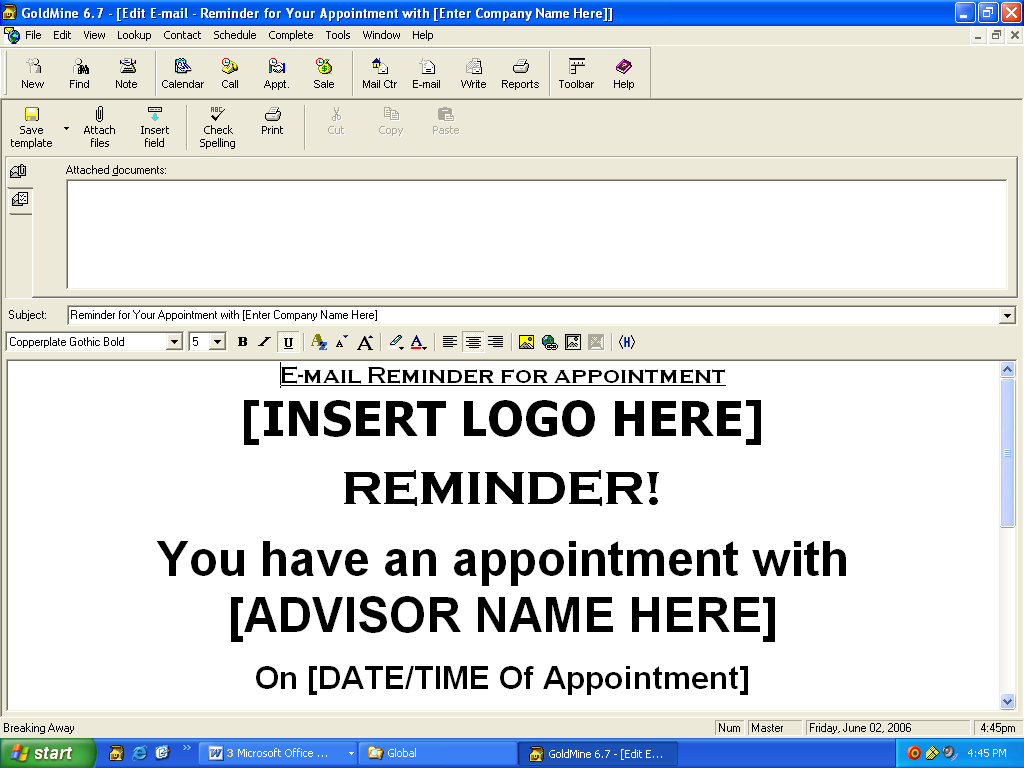
**If scheduling a phone appointment:**

Verify if the **Client** would prefer receiving an update via e-mail or postal service. If e-mail, verify they have software compatible with the documentation you are sending them (eg. Adobe Acrobat Reader.) Also confirm the time zone in the event the **Client** is in another state.

# 3) sCHEDULE APPOINTMENT on calendar

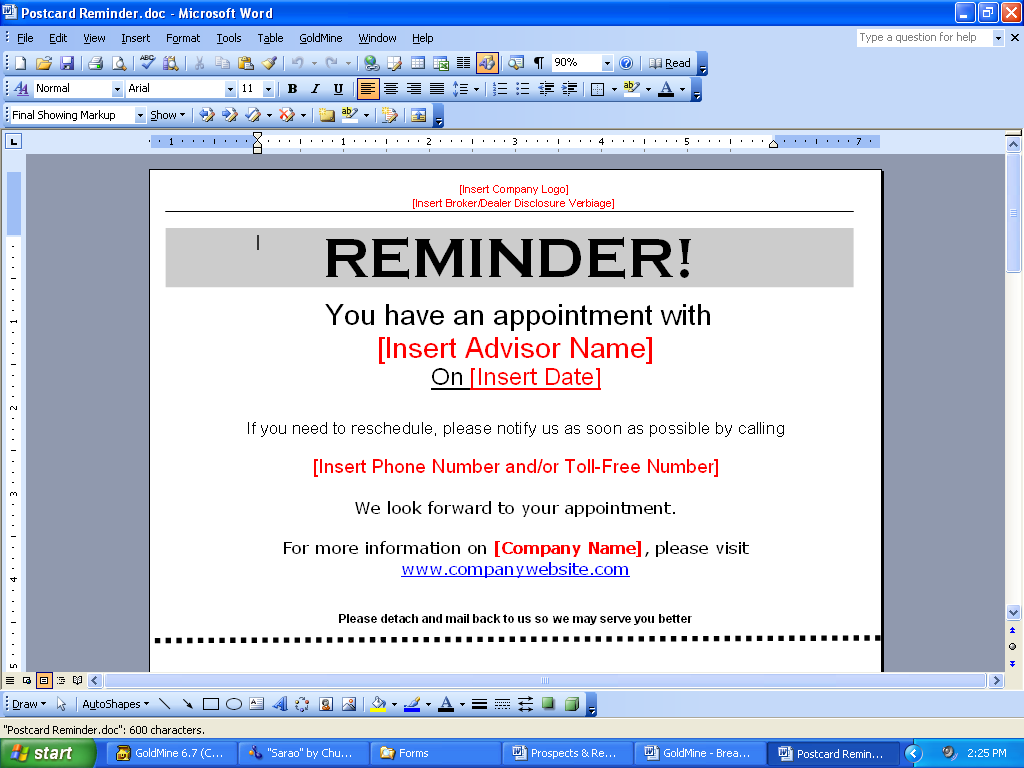
**4) sCHEDULE on calendar to send REMINDER TO CLIENT**

4.1) When the reminder appears on your calendar, send an e-mail or postcard reminder to the **Client.**



**Note: To view the entire letters(s) or form(s), please refer to the Table of Contents in the Forms (FR) section of this Systems Manual.**

**Postcard Reminder**

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**Note: To view the entire letters(s) or form(s), please refer to the Table of Contents in the Forms (FR) section of this Systems Manual.**

4.2) Once the e-mail or postcard has been sent to the **Client**, complete the Next Action.

**5) sCHEDULE on calendar to call Client as a reminder of appointment**

# 6) sCHEDULE LITERATURE REQUEST FOR UPDATE

* 1. Once the appointment has been scheduled you must order an update to be prepared for the meeting. Without this information, no update information will be available for the **Advisor** to review with the **Client** during the meeting.

# PREPARE UPDATE CHECKLIST

*This system will be used to prepare the update for the Client’s update appointment with the Advisor.*

The following checklist and system is compiled assuming all practices are using some type of contact management software. For optimal effectiveness, we recommend you customize each checklist and system to reflect the actual steps that apply to your software/practice.

CLIENT NAME:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ DATE:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1) \_\_\_\_\_ Pull Client’s file. \_\_\_\_ N/A

(Person Responsible)

2) \_\_\_\_\_ Print last update. \_\_\_\_ N/A

(Person Responsible)

3) \_\_\_\_\_ Print brokerage accounts. \_\_\_\_\_ N/A

(Person Responsible)

4) \_\_\_\_\_ Review history in contact management system. \_\_\_\_ N/A

(Person Responsible)

5) \_\_\_\_\_ Check uncompleted activities that will affect update. \_\_\_\_ N/A

(Person Responsible)

6) \_\_\_\_\_ Review additional resources that are pertinent to topic of update. \_\_\_\_\_ N/A

(Person Responsible)

7) \_\_\_\_\_ Prepare required minimum distribution paperwork if needed. \_\_\_\_\_ N/A

(Person Responsible)

8) \_\_\_\_\_ Call outside companies for values and activities for assets \_\_\_\_ N/A

not held internally (eg. annuities, life insurance.) (Person Responsible)

9) \_\_\_\_\_ Update the new information obtained for outside \_\_\_\_\_ N/A

assets in your contact management system. (Person Responsible)

10) \_\_\_\_\_ Order notebook for initial update. \_\_\_\_\_ N/A

(Person Responsible)

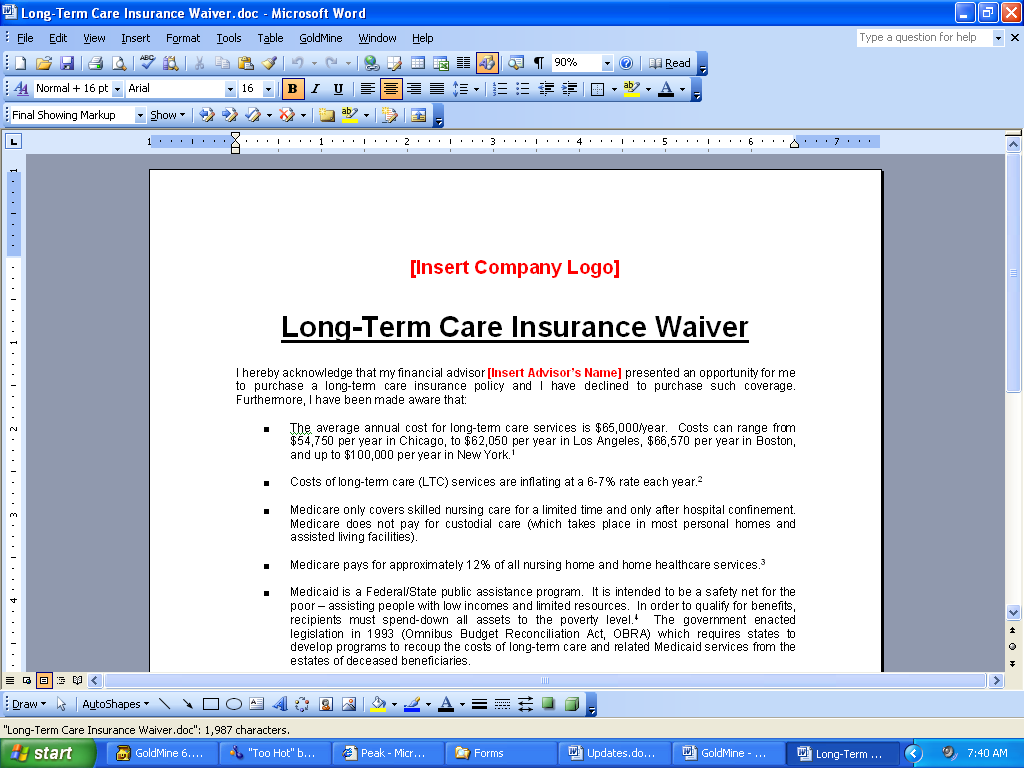
11) \_\_\_\_\_ Make corrections to Client update system. \_\_\_\_\_ N/A

(Person Responsible)

**PREPARE UPDATE**

# 1) pULL CLIENT’s FILE

* 1. See the Office Procedures Section of this Systems Manual for the system on Checking In and Out Files.
  2. Organize the file so recent paperwork filed to the **Client**’s file is in the appropriate section(s) (eg. John’s IRA, Transfer forms attached to all supporting documents and correspondence during transfer.)
  3. Locate LTC Insurance Waiver. This waiver needs to be signed by anyone who has refused LTC Insurance coverage.

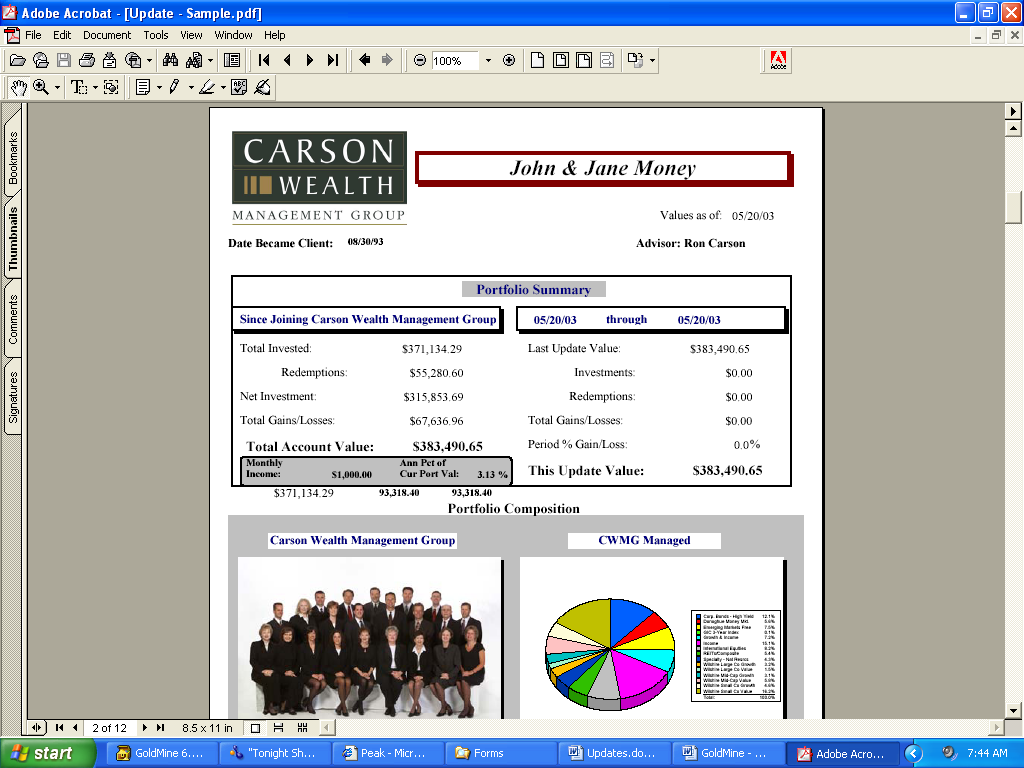
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**Note: To view the entire letters(s) or form(s), please refer to the Table of Contents in the Forms (FR) section of this Systems Manual.**

**2) pRINT LAST UPDATE**

2.1) The Update - Sample available in the Forms Section of this Systems Manual is provided as an example of what is being produced for Carson Wealth. Unfortunately, the software used to produce this document is not available.

**Update - Sample**

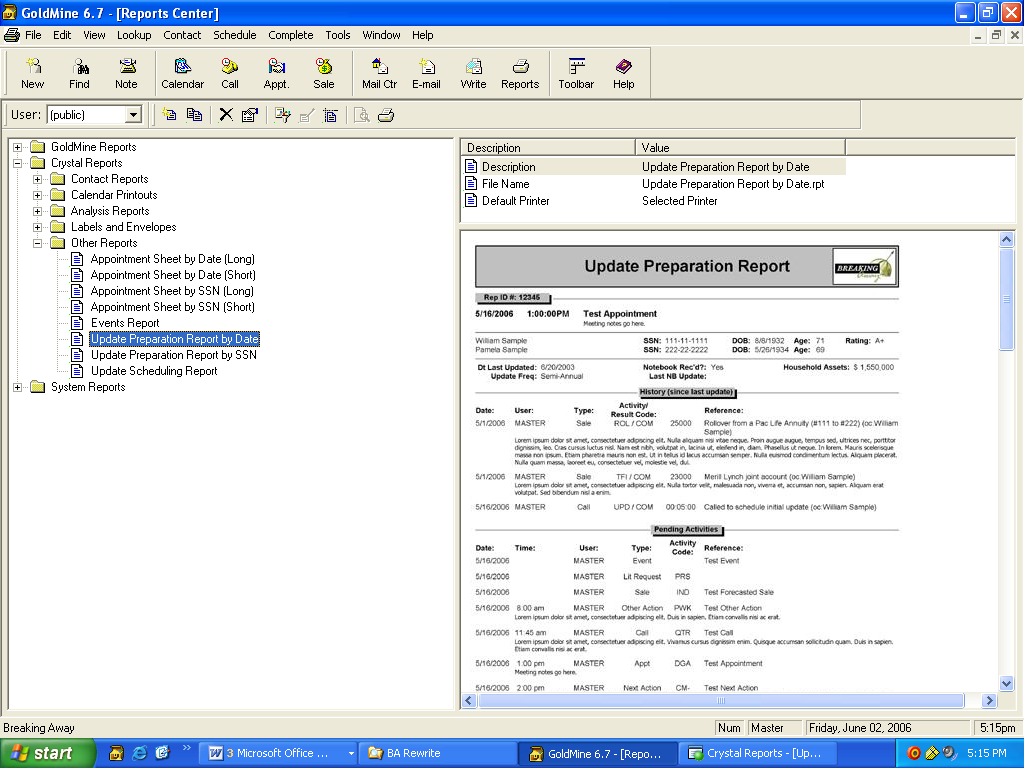


**Note: To view the entire letters(s) or form(s), please refer to the Table of Contents in the Forms (FR) section of this Systems Manual.**

2.2) Some **Advisor**s have used Albridge Solutions with success and you can find additional information at [www.albridge.com](http://www.albridge.com).

**3) PRINT BROKERAGE ACCOUNTS**

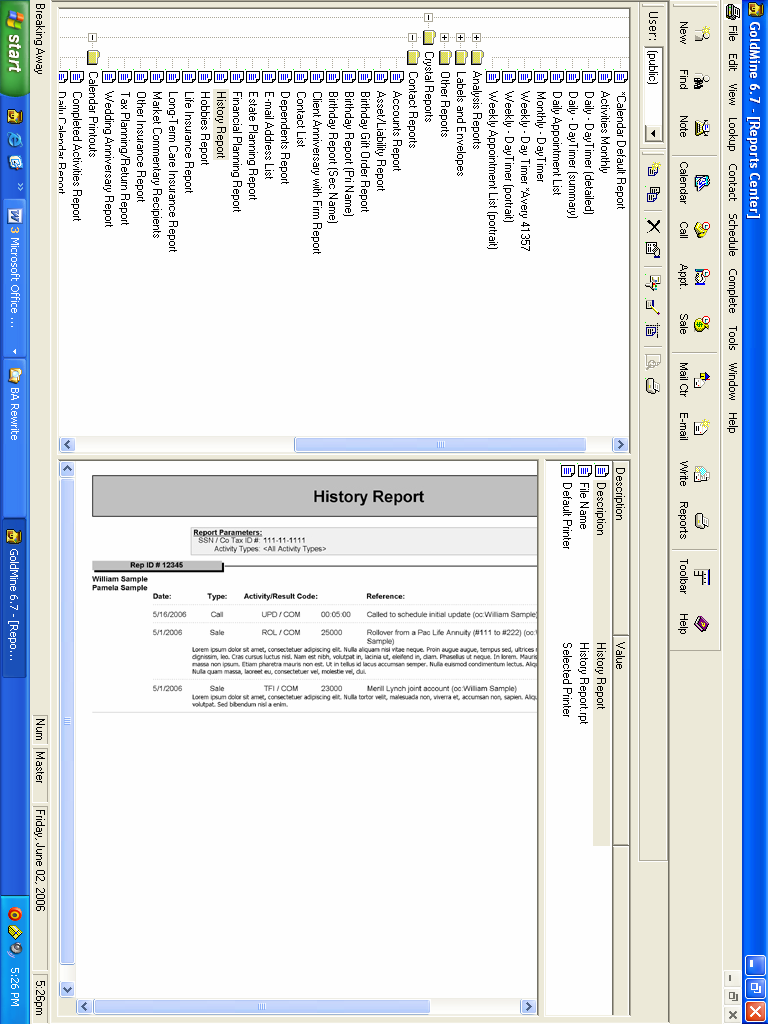
3.1) The software used to view the accounts that your **Broker Dealer** is custodian for will vary greatly between **Broker Dealer**s. Accounts for which LPL is custodian are available to view on BranchNet.



**Note: A view of this report is only provided as an example of the information contained on Reports used by Carson Wealth Management Group.**

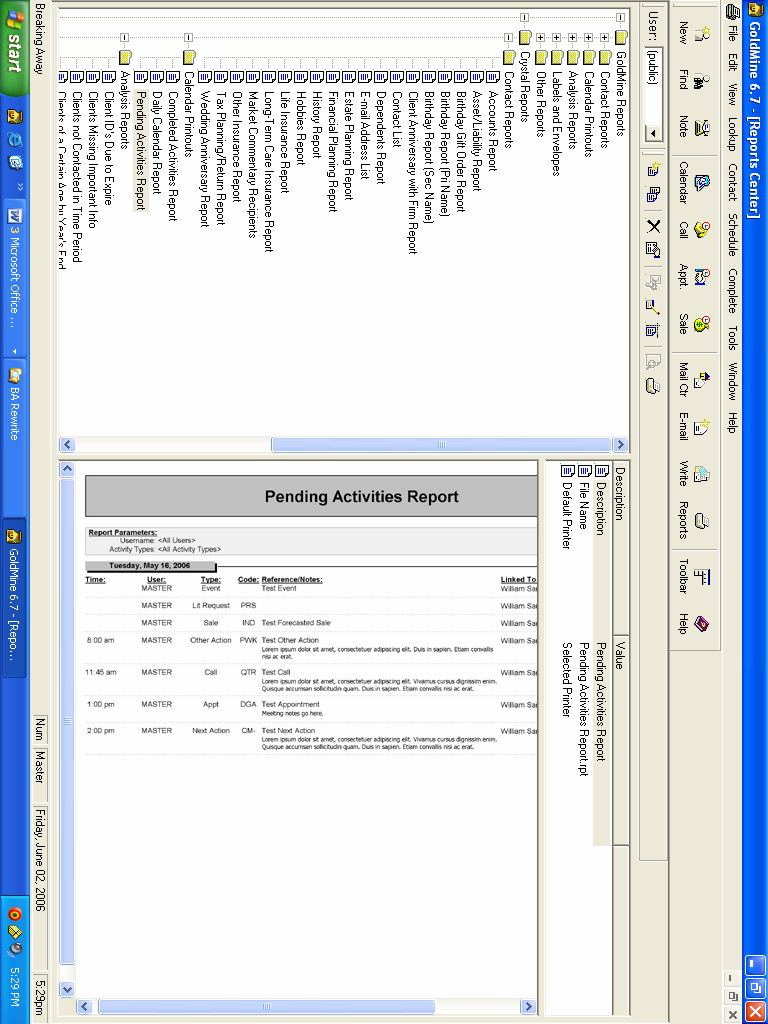
# 4) Review HISTORY in Contact management system

4.1) Review history for activity since the last update (eg. address change, RMD, LTC applied for, accounts transferred in or out, deposits, or withdrawals.)



**Note: A view of this report is only provided as an example of the information contained on Reports used by Carson Wealth Management Group.**

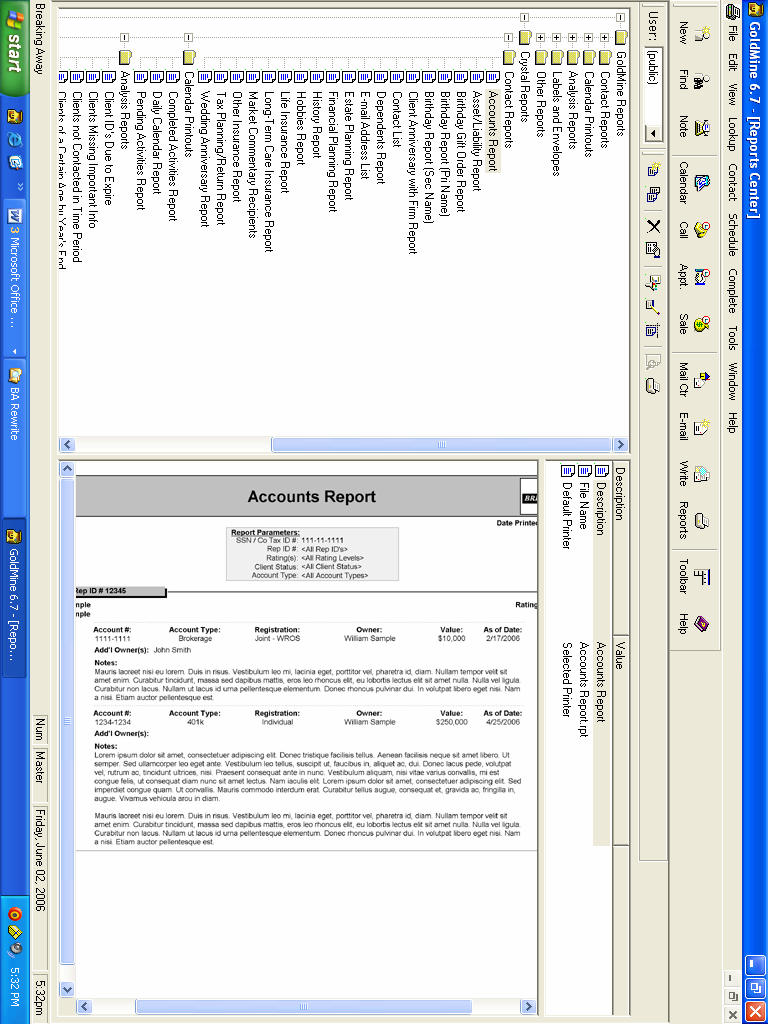
**5) CHECK uncompleted activities THAT WILL AFFECT UPDATE**



**Note: A view of this report is only provided as an example of the information contained on Reports used by Carson Wealth Management Group.**

**6) Review Additional resources that are pertinent to the topic of update**

* 1. At times the **Client** and/or **Advisor** may choose a particular topic for an appointment (eg. Long-term Care.) In this instance, a review of only the reports pertinent to that topic would need to be printed.



**Note: A view of this report is only provided as an example of the information contained on Reports used by Carson Wealth Management Group.**

**7) prepare REQUIRED MINIMUM DISTRIBTUION paperwork IF NEEDED**

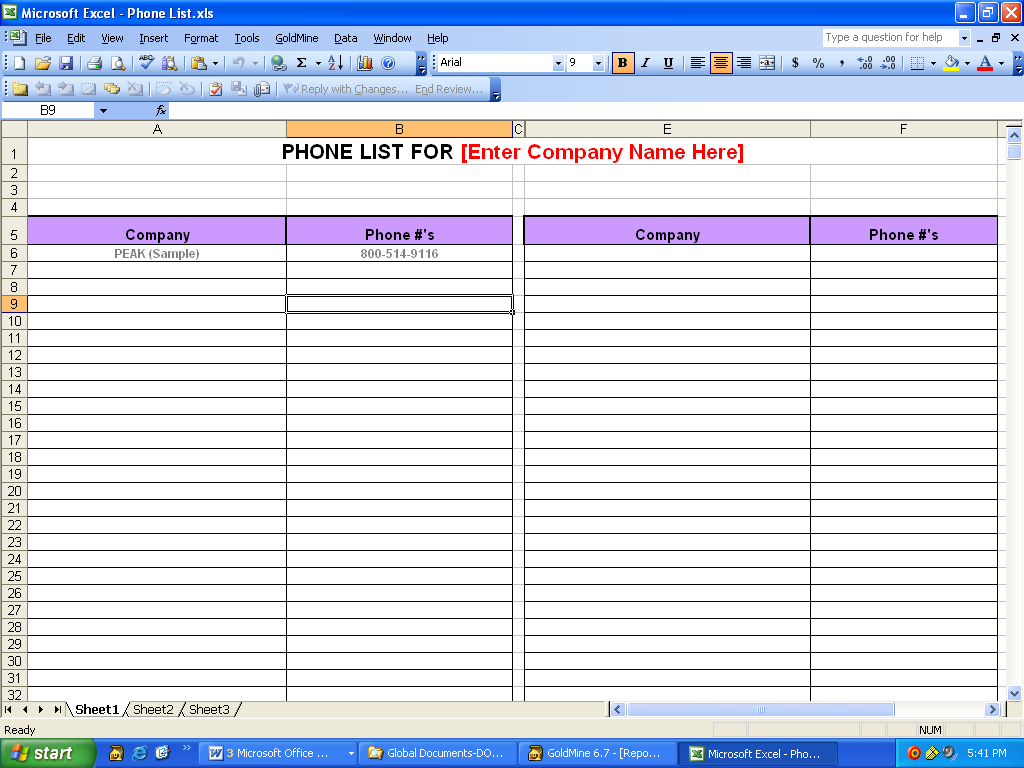
* 1. If the primary or secondary **Client** is over 70.5 AND they have retirement assets, they will need to take a Required Minimum Distribution (RMD) the year they turn 70.5 and each successive year thereafter.
     1. The year the **Client** turns 70.5, they are allowed to defer taking their first distribution until April 1st of the year following the year they turned 70.5. In that second year, they will be required to take their RMD by December 31st.
     2. After the first year, the **Client** is required to take their RMD by December 31st of each year.
     3. The RMD is calculated using tables available on [www.IRS.gov](http://www.IRS.gov). Generally, most **Broker Dealer**s provide **Advisor**s with a list of the **Client**’s required to take their RMD as well as the required amounts using the tables provided by the IRS.

7.2) Use your contact management system to determine the **Client**s ages as well as if they have taken their RMD for the year.

# 8) CALL OUTSIDE COMPANIES FOR VALUES AND ACTIVITIES OF ASSETS NOT HELD INTERNALLY (eg. annuities, life insurance)

8.1) Outside assets can include annuities, life insurance, REIT’s and others. For those assets held outside the custody of your **Broker Dealer**, you will need to call the companies to get updated values and history.

* 1. The some of the information you may want to obtain is as follows:
     + History since last update
     + Current values
     + Cost basis of non-qualified annuities
     + Death Benefits
  2. You will want to maintain your own Phone List for the companies you frequently call.



**Note: To view the entire letters(s) or form(s), please refer to the Table of Contents in the Forms (FR) section of this Systems Manual.**

# 9) Update New information obtained for outside assets in your contact management system

* 1. Enter any activity or history notes received from the outside companies in contact management system.

# 10) ORDER NOTEBOOK FOR INITIAL UPDATES

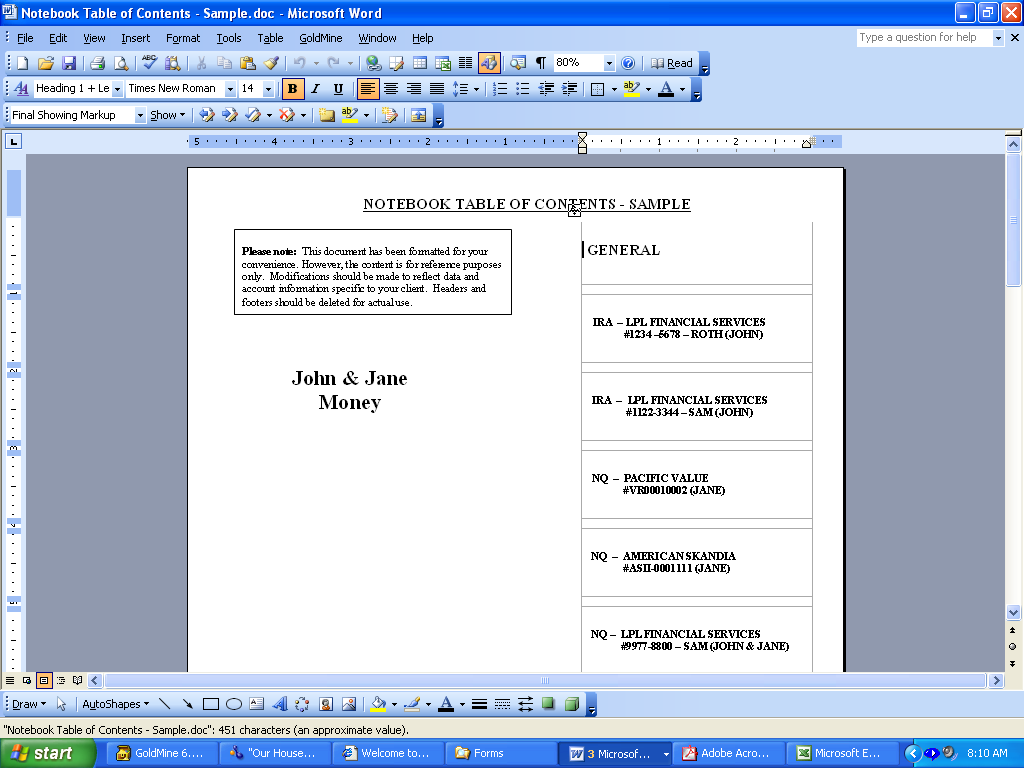
* 1. Determine if a notebook should be ordered.
  2. Only A+ and A **Client**s having their Initial Appointment will receive notebooks.
  3. The supplies needed to assemble the notebook:

10.3.1) **1** – 3-ring, 3” white notebook binder with clear plastic cover

10.3.2) **1** – Personalized front cover – create a template to allow for the easy implementation of this step. This should be personalized with the **Client**(s)’ names.

10.3.3) **1** – Binder Spine to match personalized cover – create a template to allow for the easy implementation of this step.

10.3.4) **1** – Multi-color tab index – a tab will be supplied for each separate account (IRA, NQ, REIT, etc.) as well as a couple other general areas.



**Note: To view the entire letters(s) or form(s), please refer to the Table of Contents in the Forms (FR) section of this Systems Manual.**

10.3.5) **1** – 3-ring pocket folder

* + 1. **1** – Clear sheet protector – this will contain the Welcome Letter the **Client** received when they became a **Client**.

**11) Make corrections to Client update system**

11.1) Using the update software available to you, correct the information from the previous year’s update to reflect the current year information.

# GENERATE UPDATE CHECKLIST

*This system will be used to create the final draft for the Client’s update.*

The following checklist and system is compiled assuming all practices are using some type of contact management software. For optimal effectiveness, we recommend you customize each checklist and system to reflect the actual steps that apply to your software/practice.

CLIENT NAME: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ DATE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1) \_\_\_\_\_ Print and review Client’s update. \_\_\_\_ N/A

(Person Responsible)

2) \_\_\_\_\_ Team Leader reviews Client’s update. \_\_\_\_ N/A

(Person Responsible)

3) \_\_\_\_\_ Advisor reviews Client’s update. \_\_\_\_\_ N/A

(Person Responsible)

4) \_\_\_\_\_ Changes made in update system. \_\_\_\_\_ N/A

(Person Responsible)

5) \_\_\_\_\_ Print final copies. \_\_\_\_\_ N/A

(Person Responsible)

6) \_\_\_\_\_ Link update in contact management system. \_\_\_\_ N/A

(Person Responsible)

7) \_\_\_\_\_ Complete literature request in contact management system. \_\_\_\_\_ N/A

(Person Responsible)

8) \_\_\_\_\_ Give update to Advisor. \_\_\_\_\_ N/A

(Person Responsible)

GENERATE UPDATE

# 1) pRINT and REVIEW CLIENT’s UPDATE

1.1) Print draft of the update for the **Team Leader** and/or **Advisor** to review.

**2) TEAM LEADER REVIEWS CLIENT’s UPDATE**

2.1) **Team Leader** reviews draft of the update and forwards to **Advisor** with recommended corrections.

# 3) Advisor REVIEWS CLIENT’s UPDATE

3.1) **Advisor** reviews draft of the update and forwards to the person who prepared the update with the corrections needed.

**4) cHANGES MADE TO UPDATE SYSTEM**

4.1) Make changes to update as per **Team Leader** and **Advisor**’s suggestions.

**5) pRINT FINAL COPIES**

5.1) Print final copies of the update for **Client** appointment.

* Color copy on high quality paper for **Client**.
* Black and white copy for **Advisor**.

# 6) lINK UPDATE IN contact management system

**7) COMPLETE LITERATURE REQUEST IN contact management system**

**8) GIVE Update TO ADVISOR**

# 8.1) Give Advisor a file containing the old and new update and other pertinent info.APPOINTMENT OVERVIEW CHECKLIST

*This system will be used to hold appointments with Clients in the office.*

Note: The following systems are compiled for offices using Breaking Away/GoldMine as their contact management system. In the event you are using another form of contact management software, the following system may be used as a guideline; however, for optimal effectiveness we recommend you customize this system to reflect the actual steps that apply to your software/office.

CLIENT NAME: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ DATE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1) \_\_\_\_\_ Print Appointment Sheet(s) daily. \_\_\_\_ N/A

(Person Responsible)

2) \_\_\_\_\_ Greet Clients. \_\_\_\_ N/A

(Person Responsible)

3) \_\_\_\_\_ Advisor reviews Appointment Sheet. \_\_\_\_\_ N/A

(Person Responsible)

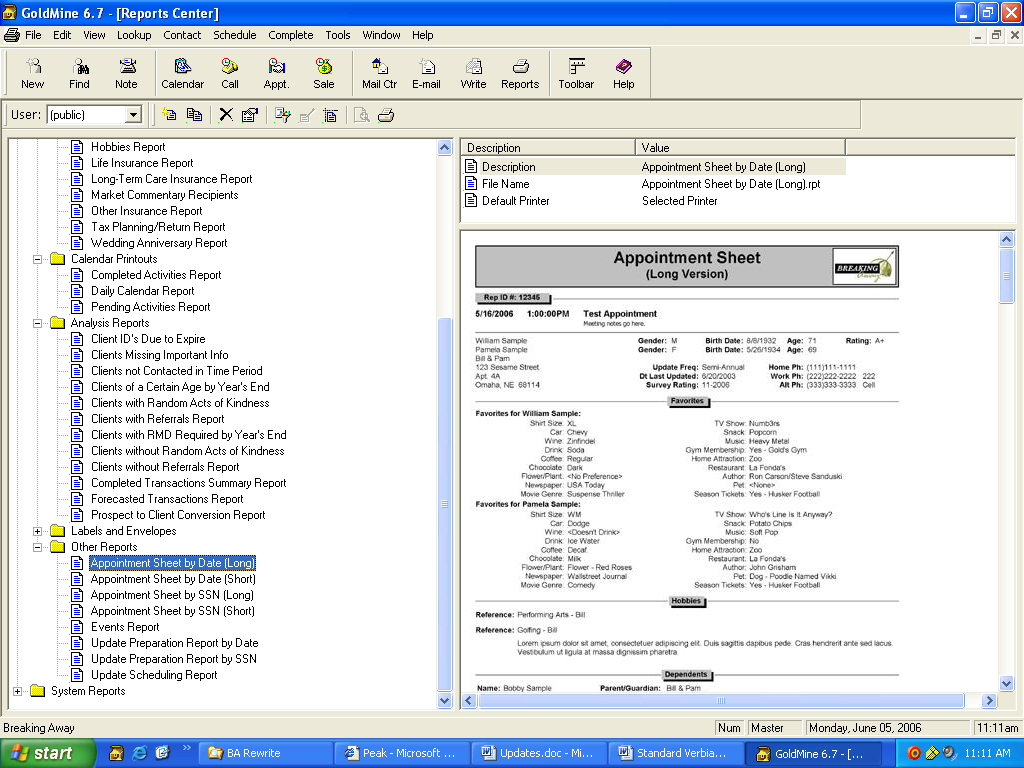
4) \_\_\_\_\_ Meeting held with Clients. \_\_\_\_\_ N/A

(Person Responsible)

# APPOINTMENT OVERVIEW

# 1) Print Appointment Sheet(s) daily

* 1. First thing each morning, the **Appointment Sheet**s should be printed for the appointments that day.

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**Note: To view the entire letters(s) or form(s), please refer to the Table of Contents in the Forms (FR) section of this Systems Manual.**

**Note: A view of this report is only provided as an example of the information contained on Reports used by Carson Wealth Management Group.**

1.2) If the appointment is in the office, give the **Appointment Sheet** to the **Director of First Impressions**.

1.3) If the **Advisor** is holding the meeting off-site, fax or give to the **Appointment Sheet** to the **Advisor**.

1.4) If the **Advisor** is having a phone appointment with the **Client**, give the **Appointment Sheet** to the **Advisor**.

**2) Greet Clients**

2.1) Prior to the **Client** arriving, the **Director of First Impressions** should review the **Appointment Sheet** for the following:

2.1.1) **Client**’s drink preferences.

* + 1. If the **Extensive Personal Questionnaire** has not been completed, one should be presented to the **Client** to complete.
    2. If the **Client** is an A+ or A **Client** who has been sent the Annual Survey but has not returned it, an Annual Survey should be presented to the **Client** to complete.

2.1.4) If more than one **Client** is coming in at the same time, review the **Client**’s picture in contact management system to address them by the correct name when they enter.

2.2) **Client** arrives in the office.

2.2.1) **Director of First Impressions** greets the **Client**s using the following script:

*“Good Morning, Mr & Mrs. {****Client****’s last name.} You must be here for your {insert time of appointment} appointment with {insert* ***Advisor****’s first name.} Please have a seat and I will let {insert the* ***Advisor****’s Name} know you are here.”*

*“While you are waiting, would you like something to drink? We have regular coffee, {insert Company Name} Blend, Crème Brulee or Chocolate Truffle. If you prefer, we also have decaffeinated. We also have a variety of cola drinks, water and seasonal drinks (eg. lemonade in the summer & hot chocolate in the winter.)”*

(Alterations to this script may be made if a drink preference is indicated on the **Appointment Sheet**.)

*“If you would like to read the paper, we have {insert local newspaper name.} Please let me know if you need to use a telephone while you are waiting.”*

2.2.2) **Director of First Impressions** collects the notebook from the **Client** if they have brought it with them.

2.2.3) **Director of First Impressions** makes notes on **Appointment Sheet** of any drink preferences.

2.2.4) Notify the **Advisor** that the **Client** has arrived and deliver the **Appointment Sheet** to the **Advisor**.

2.2.5) Notebook is given to appropriate team member to update.

2.2.6) Deliver the **Client**’s drink choice to them.

2.2.7) Have the **Client** complete any forms they have not completed such as the Annual Survey and/or the **Extensive Personal Questionnaire**.

2.2.8) If the **Client**’s photo is not in the contact management system, take a digital photo of the **Client** and add to contact management system.

2.2.9) If the **Client** wishes to socialize with the **Director of First Impressions**, they should collect as much unique information as possible and record it in contact management system.

# 3) Advisor reviews Appointment Sheet

3.1) **Advisor** reviews the **Appointment Sheet** and the update materials.

3.2) **Advisor** escorts the **Client**s to their office or the reserved conference room.

**4) meeting held with Clients**

* 1. **Advisor** takes time to small talk with **Client**.
  2. **Advisor** answers the **Client**’s unspoken question “How am I doing?” by referring the **Client** to the update material.
  3. Review the **Client**’s investment objective found on the **Appointment Sheet** to determine if risk tolerance has changed. This information will be needed for the follow-up letter.
  4. **Advisor** takes some notes to remind self of the topics discussed.
  5. **Advisor** discusses additional services such as Long-Term Care Insurance, Tax and Estate Planning needs.
  6. Waiver forms are signed if needed.
  7. **Advisor** asks if any additional questions or concerns.
  8. Once meeting is completed:
     1. **Advisor** returns notebook to **Client** which has been updated and returned to the **Director of First Impressions’** desk.

4.8.2) **Advisor** shows the **Client** out.

# APPOINTMENT FOLLOW-UP CHECKLIST

*This system will be used to create and send follow-up letter to Clients after their update appointments.*

The following checklist and system is compiled assuming all practices are using some type of contact management software. For optimal effectiveness, we recommend you customize each checklist and system to reflect the actual steps that apply to your software/practice.

CLIENT NAME: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ DATE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1) \_\_\_\_\_ complete appointment on calendar. \_\_\_\_\_ N/A

(Person Responsible)

2) \_\_\_\_\_ Change last appointment date in contact management system. \_\_\_\_\_ N/A

(Person Responsible)

3) \_\_\_\_\_ Advisor dictates to Copytalk. \_\_\_\_ N/A

(Person Responsible)

4) \_\_\_\_\_ E-mail received from Copytalk, letter composed and sent to Client. \_\_\_\_ N/A

(Person Responsible)

5) \_\_\_\_\_ Print copies of letter and give to team for follow-up. \_\_\_\_\_ N/A

(Person Responsible)

# 

# APPOINTMENT FOLLOW-UP

# 1) Complete Appointment on calendar

* 1. Include notes in contact management system from the main points in the appointment. If sending a letter as follow-up to the **Client,** it may be used for notes in contact management system.

# 2) Change last appointment date in contact Management system

# 3) Advisor dictates TO COPYTALK

Copytalk is a company we use to quickly transcribe notes, letters, minutes, etc. at a very affordable cost. For sales support, they may be contacted at 941-894-0010 or on the internet at [www.copytalk.com](http://www.copytalk.com). A discounted rate has been arranged and may be obtained by accessing [www.joinpeak.com](http://www.joinpeak.com). On the member’s only website, the link is found under Tools of Success. For non-members, the link is found under PEAK Products and Resources.

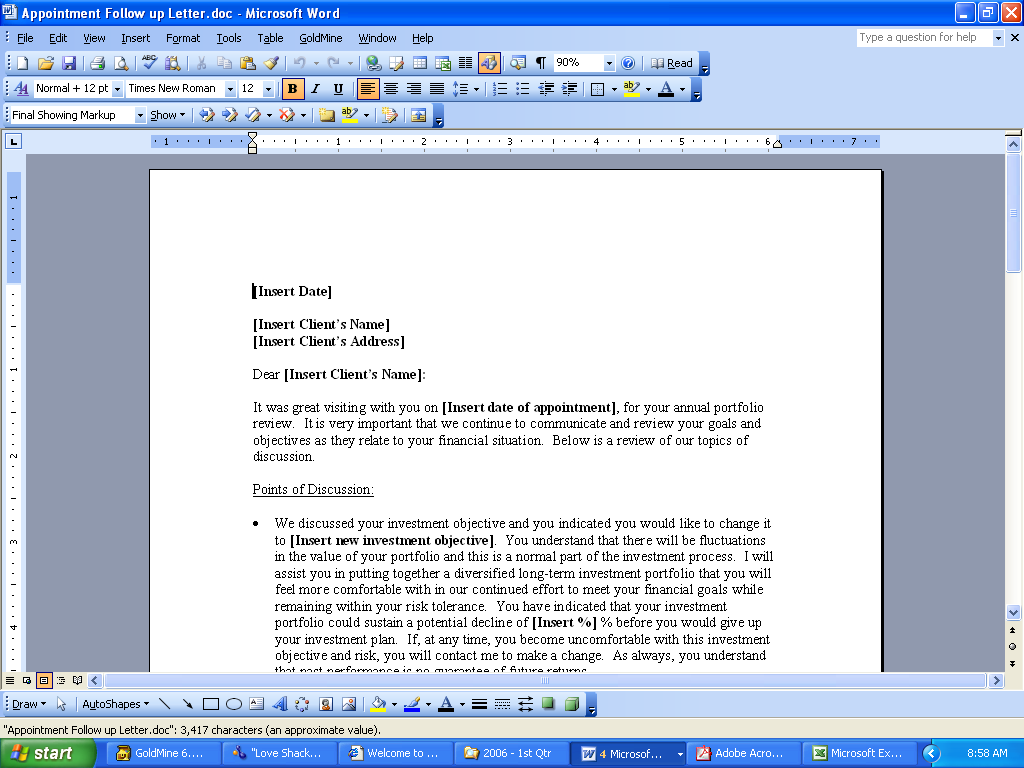
* 1. The **Advisor** dictates a letter reviewing the items discussed during the meeting with the **Client** to Copytalk. The **Advisor** needs to be sure to indicate to Copytalk the name of the staff person the completed transcription e-mail should be sent to.
  2. The **Advisor** will want to specifically mention that the investment objective was discussed, what the objective is and whether a change is being made and to what objective.
  3. Copytalk then transcribes the content of the document and forwards an e-mail back to the **Advisor** and the designated staff member.

**4) E-mail received from copytalk, letter composed and sent to Client**

4.1) Track on calendar the time it takes to mail the letter to the **Client** using the following criteria:

* Meeting Date:
* Letter Dictated:
* Letter Drafted:
* Letter to **Team Leader** for Review:
* Letter to **Advisor** for Review:
* Final Copy Sent to **Client**:
  1. Once the e-mail is received with the dictation, merge the dictated e-mail received from Copytalk into the desired **Template** in contact management system.

**Appointment Follow-up Letter**

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**Note: To view the entire letter(s) or form(s), please refer to the Table of Contents for the Forms(FR) section of your Systems Manual.**

4.3) Print and review the letter for errors.

4.4) Make correction to the letter as needed.

* 1. Print on letterhead and have **Advisor** sign.
  2. Make copies as per your compliance and retention systems.
  3. Address envelope, print label or place letter in window envelope.
  4. Complete action on calendar.

# 5) Print COPIES OF LETTER and give to team for FOLLOW-up

* 1. Any team members mentioned in the body of the letter should also be carbon copied at the bottom of the letter. A copy of the letter or an e-mail containing the letter is to be sent to that referenced individual to follow-up on the outstanding items that pertain to their responsibilities.

# MAIL UPDATE CHECKLIST

*This system will be used when a Client can not or will not come in for an in-person update. The update is then mailed to the Client.*

The following checklist and system is compiled assuming all practices are using some type of contact management software. For optimal effectiveness, we recommend you customize each checklist and system to reflect the actual steps that apply to your software/practice.

1) \_\_\_\_\_ Mail update to Client – no appointment. \_\_\_\_ N/A

(Person Responsible)

2) \_\_\_\_\_ Mail update to Client – appointment requested. \_\_\_\_ N/A

(Person Responsible)

3) \_\_\_\_\_ Mail update to Client – phone appointment. \_\_\_\_ N/A

(Person Responsible)

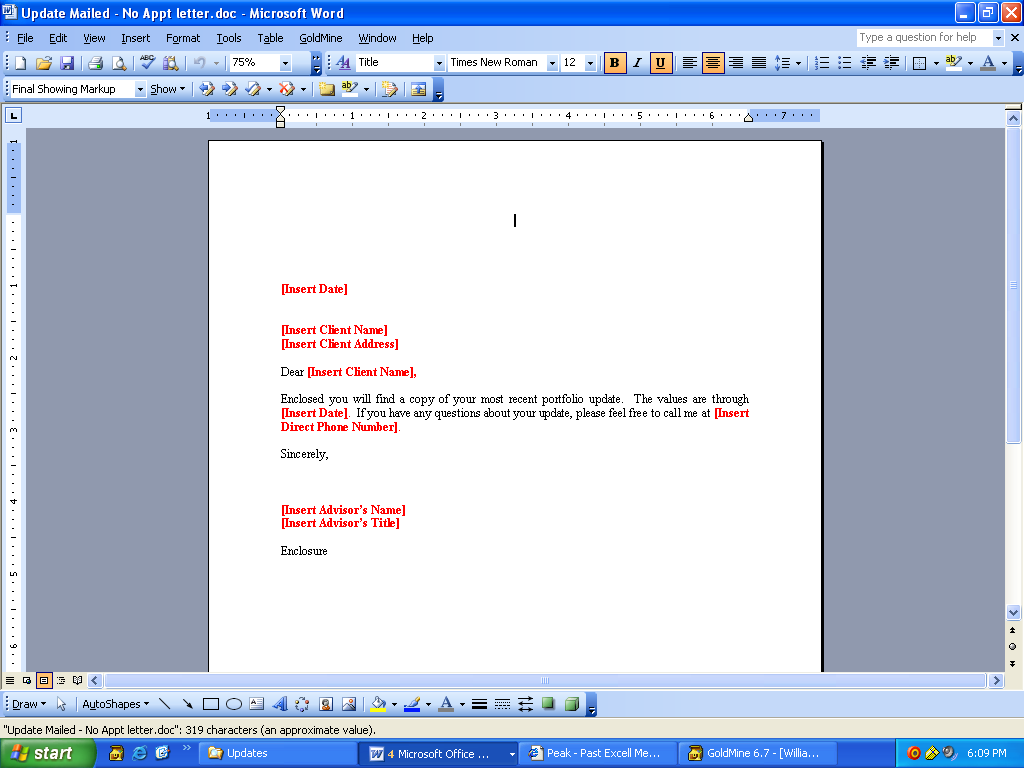
# 

# MAIL UPDATE

# 1) mail update to Client – No appointment

* 1. Print Update Mailed – No Appt letter.

**Update Mailed – No Appt letter**

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**Note: To view the entire letters(s) or form(s), please refer to the Table of Contents in the Forms (FR) section of this Systems Manual.**

1.2) Make correction to the letter as needed.

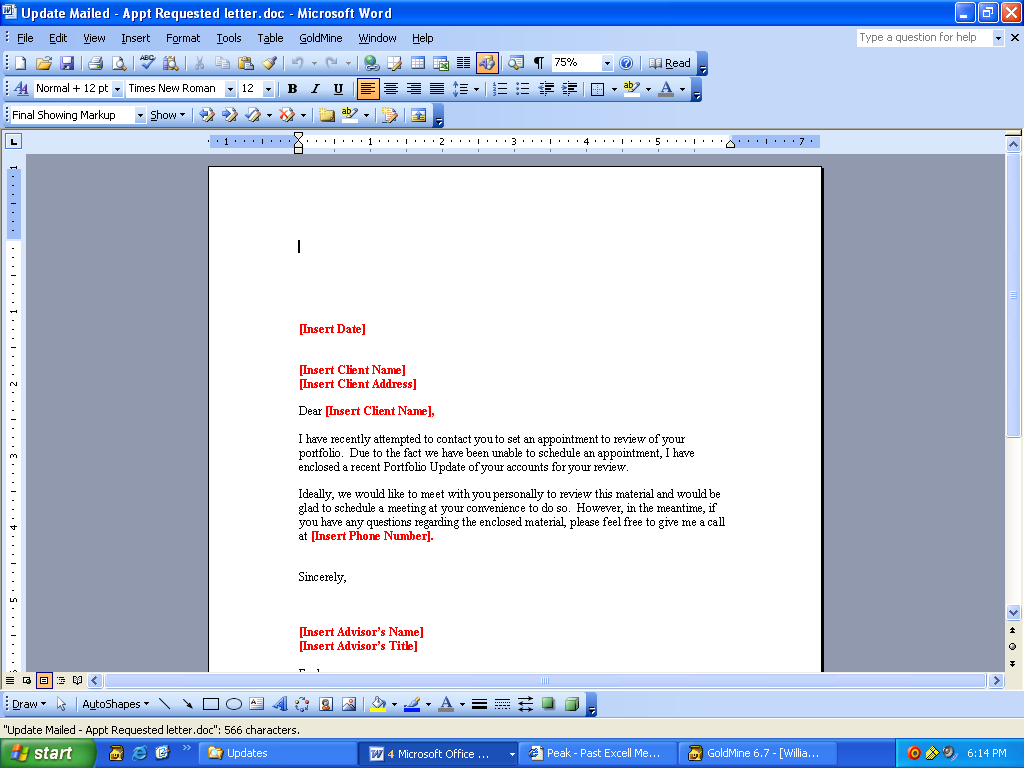
1.3) Print on letterhead and have **Advisor** sign.

* 1. Make copies as per your compliance and retention systems.
  2. Address envelope, print label or place letter in window envelope.

**2) Mail update to Client - APPOINTMENT requested**

* 1. Print Update Mailed – Appointment Requested letter.

**Update Mailed – Appointment Requested letter**

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**Note: To view the entire letters(s) or form(s), please refer to the Table of Contents in the Forms (FR) section of this Systems Manual.**

2.2) Make correction to the letter as needed.

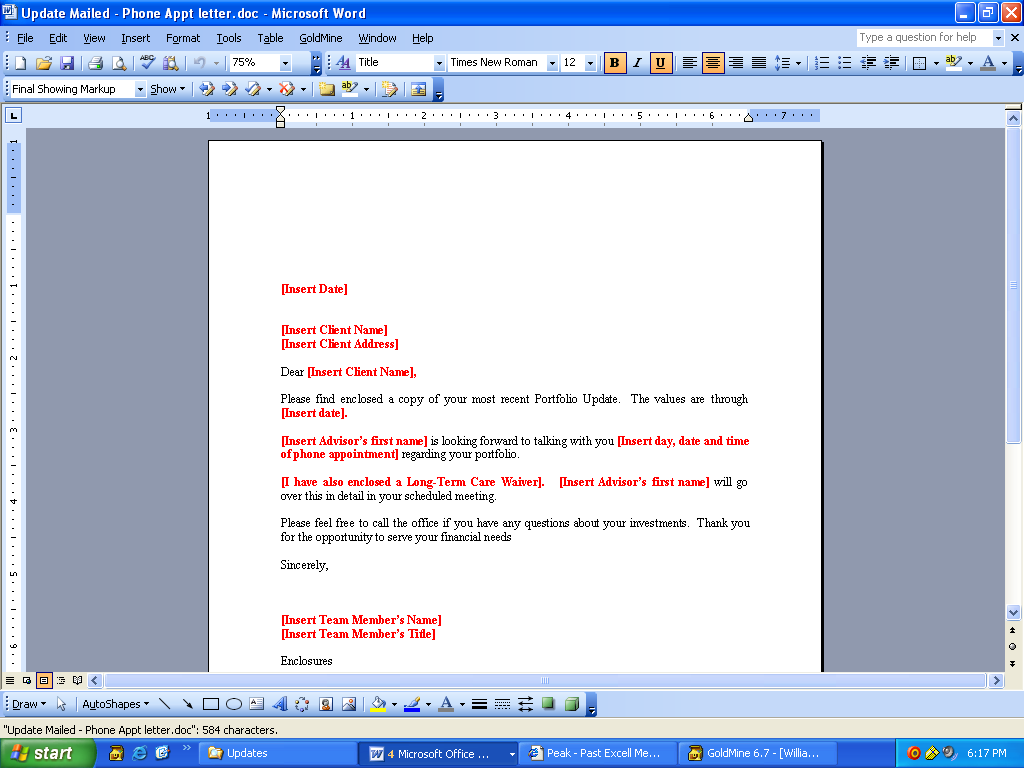
2.3) Print on letterhead and have **Advisor** sign.

* 1. Make copies as per your compliance and retention systems.
  2. Address envelope, print label or place letter in window envelope.

**3) Mail update to Client – phone appointment**

* 1. Print Update Mailed – Phone Appointment letter.

**Update Mailed – Phone Appointment letter**

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**Note: To view the entire letters(s) or form(s), please refer to the Table of Contents in the Forms (FR) section of this Systems Manual.**

3.2) Make correction to the letter as needed.

3.3) Print on letterhead and have **Advisor** sign.

3.4) Make copies as per your compliance and retention systems.

* 1. Address envelope, print label or place letter in window envelope.