EXAMPLE OUTCOME REQUIREMENTS FROM CLIENT MEETINGS

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	INITIAL MEETING	SECOND MEETING	STRATEGY PRESENTATION	IMPLEMENTATION MEETING	ANNUAL REVIEW
GOALS & OBJECTIVES	○ Client(s)' goals & objectives identified and documented	○ Goals & objectives recapped ○ Obtain and document further details, (e.g. clients wish to buy a holiday home; where, when, budget)	○ Goals & objectives recapped ○ Client(s)' verbal confirmation that the plan captures their goals & objectives obtained	○ Ensure clients' understanding of how the financial products meet client(s)' goals & objectives	○ Last year's goals & objectives recapped ○ Current goals & objectives agreed and documented
DATA	○ Getting to know the client(s) undertaken ○ Client data obtained in the meeting documented	○ Fact finding finalised and gaps filled ○ Risk assessment, investment knowledge & experience completed	○ Changes made or to be made to cashflow forecasts documented		○ Changes to circumstances and other data identified and documented
COMPLIANCE	○ Proof of ID & address obtained ○ Fees and charges explained ○ Client Agreement signed ○ Signatures on LoAs (info only) obtained ○ Consent to process data obtained	○ Signatures on LoAs obtained (if outstanding)	○ Agreement to proceed to product recommenda-tions stage obtained ○ Ongoing client agreement signed	○ Agreement to implement specific recommendations obtained ○ Forms and applications signed ○ Transfers of agency signed ○ Ongoing client agreement (if not signed before)	○ Disclosure of fees and charges discussed, and documentation provided ○ Compliance documentation obtained and signed as per Checklist

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	INITIAL MEETING	SECOND MEETING	STRATEGY PRESENTATION	IMPLEMENTATION MEETING	ANNUAL REVIEW
STRATEGY	○ Clients' key issues identified & documented ○ Possible strategies discussed	○ Investment Philosophy introduced or re-capped ○ Cashflow forecast scenarios agreed	○ Possible strategies outlined using cashflow planning tool ○ Planning assumptions validated ○ Tolerance to risk and capacity to loss discussed in relation to strategy ○ Clients' clarity on options available ensured ○ Agreement to implement a specific strategy obtained & documented	○ Clients' understanding of recommendations checked ○ Recommendations, application forms and supporting information discussed and finalised	○ Strategy & cashflow forecast revisited ○ Tolerance to risk and capacity for loss re-discussed and documented ○ Potential changes to strategy discussed and documented ○ Actions agreed and documented
COMPLIANCE	○ Client Journey explained ○ Next steps explained (including homework options) ○ Next meeting agreed ○ Meeting File Note completed	○ Next steps & timeframes explained ○ Meeting File Note completed	○ Commitment to ongoing servicing obtained ○ Next steps & timeframes explained ○ Meeting File Note completed	○ Next steps & timeframes explained ○ Review month or date agreed	○ Value added explained ○ Next steps & timeframes agreed ○ Next review date agreed ○ Meeting File Note completed

RIE SOLUTIONS

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Implement
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