**Review Meeting Letter Samples**

*These letter templates may be used with your D clients, depending on your practice and client classification. It is intended to help Advisors streamline the review process for lower-tier clients who are not profitable enough to and/or do not require annual face-to-face Review Meetings[[1]](#footnote-1).*

*In some situations, Review Meetings are not required for these clients and account statements are all that are required to remain compliant. Always check with Compliance to be sure of what you must do to take appropriate care of these clients.*

*Remember: No matter how small these clients are, you are still responsible for them.*

***This letter template is for clients where changes are not required in their portfolio.***

January 3, 2017

Name

Address

Address

Dear [Client]:

**RE: Annual Portfolio Review**

We are pleased to provide you with this Annual Portfolio Review.

* Based on our review of your current portfolio, we do not recommend any changes.

If you have had any changes in your financial situation, financial goals or level of risk tolerance, it is important you inform us immediately so we can continue to provide advice which is suitable and appropriate for your situation.

Please take some time now to carefully review the Portfolio Summary included with this letter. If you have any questions, please call us at (xxx)-xxx-xxxx.

Sincerely,

Advisor Name

Advisor Title

Encl.

***This letter template is for clients where changes are required in their portfolio.***

*You may want to make a follow up with a call two or three weeks after the letter is mailed if you’ve not heard back from the client. Be sure to make note of this outbound follow up call on your CRM.*

January 3, 2017

Name

Address

Address

Dear [Client]:

**RE: Annual Portfolio Review**

We are pleased to provide you with this Annual Portfolio Review.

Based on our review of your current portfolio, we have some recommendations we would like to discuss with you. Please contact us at your earliest convenience so we can discuss this in more detail.

Also, if you have had any changes in your financial situation, financial goals or level of risk tolerance, it is important you inform us immediately so we can continue to provide advice which is suitable and appropriate for your situation.

We encourage you to review the Portfolio Summary included with this letter prior to contacting us so that we can answer any other questions you may have. You can reach us at (xxx)-xxx-xxxx.

We look forward to hearing from you.

Sincerely,

Advisor Name

Advisor Title

Encl.

1. Adhere to industry regulations and firm requirements to operate with this group compliantly. [↑](#footnote-ref-1)