Review Meeting Letter – No Action Required

*These letter templates may be used with your D clients, depending on your practice and client classification. It’s intended to help Advisors streamline the review process for lower-tier clients who’re 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.*

Dear Client:

Some of the most important work I do for you, as your financial Advisor, is to understand your financial situation and the things in life that truly matter – to you. An *annual review*, helps us to ensure that your money continues to work hard for you, supporting you to achieve your unique financial goals. This is especially important if a major life event has recently occurred.

Please take a moment and give a quick read through the list below:

* Home Purchase
* Retirement
* Family Changes
* Kids go to College
* New Baby or Grandchild
* Wedding
* Illness or Disability
* Elderly Parent Care
* Inheritance
* Lifestyle Downsize
* Travel
* Sale of Business

If you have experienced any of these *Critical Life Events* – I encourage you to be reach out a time to discuss them with us. Not only does this give us a chance to discuss the past year, it also gives us a very important opportunity to identify emerging financial needs, reasons to update your portfolio or even to add on to your financial plan. If there has been no change – and you are good with the investment plan you’ve got in place, there is no need to meet.

If you have changes or updates we need to discuss, please call my Wealth Coordinator, (NAME), to arrange a covenient time for us to meet. You can reach her/him by calling (XXX) XXX-XXXX or by email to (EMAIL ADDRESS).

Wishing you a great balance of the year and an excellent year ahead.

Sincerely,

Advisor Name

Advisor Title

Encl.

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