F.O.R.M. Introduction

Overview

F.O.R.M. stands for Family/Occupation/Recreation/Message. By gathering this information you will:

- Increase your awareness of the lifestyles and interests of your A clients.
- Be better able to serve these clients by understanding their particular needs, desires and goals.
- Apply some basic principles that will allow you to attract additional preferred clients.
- Gain knowledge about your clients that your competitors do not have.
- Begin shifting to client-focused relationships.

What's in it for you?

- Learn more about your preferred clients.
- Provide customized attention and services that meet the individual needs and situations of each client.
- Introduce your clients to the first of many changes that you will be implementing.
- Once you have compiled all the relevant information on your clients, you will be in a position to be more responsive to their specific interests and circumstances.
- By being more responsive to clients needs, you will begin to create advocates for your business.

Actions

- For each A client, describe the following:
    - Occupation
    - Age
    - Marital Status
    - Number of children
    - Number of grandchildren
    - Interests

- If you are able to complete this description, that is excellent – you can go on to look at your system for meeting with clients. But remember, the elements of F.O.R.M. should be considered every time you choose to work with a new client. Be sure you gather this information on all new clients.
- If you are NOT able to complete this description, if you do not know your clients individual interests, or if you are unsure about the details, then you need to gather this information. You can do so in two ways:
    - Gather information about your clients' lifestyles and interests when you see or meet with them, meetings, through your call rotation, and via your staff (who are often a great resource for information about your clients.)
    - Complete the F.O.R.M. Campaign.
- F.O.R.M. Campaign
    - Review the template samples provided and customize them so that you are satisfied with the text and layout.
    - Send the first letter and the questionnaire to all of your AAA, AA and A clients.
    - Print a list of all the clients who were sent a questionnaire. As each questionnaire is returned, cross the client off the list. Place all of the questionnaires in a single file folder with the checklist.
    - Two weeks after the first letter was sent, send the second reminder letter to those who have not yet returned the questionnaire.
    - Two weeks after you mail out the reminder letter, determine who has not yet returned the questionnaire. Personally contact each A client that has not responded, and explain why you consider this information important. Mail one last questionnaire to these valued clients.
- Now that you have the F.O.R.M. information for each A client, log the information into your contact relationship manager (the Pareto Platform has a dedicated place for F.O.R.M. information in each Relationship Journal).
- Analyze the data and prepare a demographic overview of your client-base. Create a chart mapping the characteristics that your clients share. For example, you may find that of your 25 A clients, 23 are married, 14 are retired, 11 are small business owners, 16 have grandchildren, 9 are avid gardeners and all enjoy golf and travel. You will use this information to deliver customized client service packages and to decide how to market your business.

August 22, 2007

Name
Address
City, State, Zip

Dear Jane,

In order to help you stay organized with the flood of financial documents you receive, please find enclosed a portfolio binder.

Your binder contains file tabs for mutual fund and investment correspondence, tax papers, insurance documents, legal documents like your Will, time-sensitive documents such as maturing CDs, and your statements.

Also, I’ve included a confidential questionnaire for you to complete at your leisure. Your responses to this survey will allow me to keep you up-to-date with relevant and timely information. A stamped return envelope is included for your convenience.

Please bring this binder, and your PFPS binder, with you to our future meetings. This will ensure that we continually prepare you for the Critical Financial Events that may occur in your life.

Sincerely,

Advisor's Name

Enclosure

PS. The next documentation you receive will be your quarterly investment statement. Please call if you have any questions.

Help Us to Serve You Better

Name
Address
Phone Number

What is the best time of day to contact you?

____

We have the following email address on file for you. Insert Client's Email Address

Is this correct? θ Yes θ No If not, what is your current email address?

____

May we use it to send you information? θ Yes θ No

Describe the most important quality you feel a financial advisor must possess:

____

____

Are you pleased with the level of service we provide? θ Yes θ No
Would you recommend us to a friend, family member or associate? θ Yes θ No

How well do you understand the financial planning services we offer?	❑Poor	❑Fair	❑Excellent
How effectively do we respond to your questions and concerns?	❑Poor	❑Fair	❑Excellent
How useful is the information we send you?	❑Poor	❑Fair	❑Excellent

What do you feel our firm could do to improve our level of service?

____

We are planning a series of workshops and functions, some with a financial theme, some focusing on other interesting topics. Which of the following topics interest you?

❑Retirement Planning	❑Golf	❑Antique Collecting/Refinishing
❑Tax Savings Strategies	❑Internet	❑Bird Watching/Photography
❑Estate Planning	❑Art/Music	❑Gardening/Landscaping
❑Education Plans	❑Adventure Travel	❑Interior Design/Renovating
❑Global Investing	❑Wine Making/Testing	❑Hiking/Mountain Biking
❑Travel	❑Food/Wine/Cooking	

Do you have any suggestions for topics? Do you (or someone you know) have an interesting topic you would like to talk about at one of our functions?

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Who is your accountant? ___________________

Firm_________________________

Who is your lawyer? ___________________ Firm

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Would you like us to recommend an accountant or lawyer to you? θ Yes θ

No

What are your hobbies and interests?

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