



Vanguard®

Client  
relationships



# Sample

## Agenda for initial client meeting

### Meeting agenda and discussion guide

Please take some time to review this agenda and discussion guide before our meeting.

#### Agenda

- Learn about your needs and answer any questions you have.
- Understand your investment objectives, including saving and spending needs, and desired standard of living, along with your personal situation and those of your family members.
- Discuss your current financial picture, including available assets, income, tax situation, legal considerations, and any unique circumstances or concerns.
- Define your investment risk tolerance and time horizon and your personal investment experience.
- Identify members of your professional network who may affect the investment planning process.

#### Documents needed for review

To help prepare your investment analysis and create your wealth management plan, please bring or send me the following documents:

#### Document type and important information

Income records such as T4 forms and tax returns (for last three years)	Names, birthdates, and beneficiary contact information
Most current RRSP and/or TFSA statements	Contact information for any jointly owned accounts
Estimate of monthly credit cards, mortgage, rent and expenses	Insurance policies
Latest investment account and bank statements	Information on outstanding car loans, mortgages and credit card debt

### Questions to consider

Before our meeting, please consider these questions. Your answers will help me understand your investment personality and objectives. We will discuss these questions during our meeting.

### Your investment objectives:

- What are your most important personal and financial goals?
- How would you like to spend your time in retirement?
- If you have a business, how would you like to participate in or “sunset it” over time?

### Your current picture:

- If you currently have a financial plan, how is it invested (e.g. savings accounts, mutual funds, individual securities)?
- If you own a business, what is the type, length of ownership, and growth potential?
- Are there any liabilities?
- What are your estimated future expenses and income (e.g. education expenses, parental care, inheritance)?
- Should I be aware of any business or personal legal considerations or lawsuits?

### Your investment style:

- When you get a bonus or commission, what do you typically do with that money?
- How important to you are tax-sensitive investing strategies?
- Do you consider yourself an aggressive or conservative investor?
- Are there certain asset classes or securities you are interested in or wish to steer clear of?



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