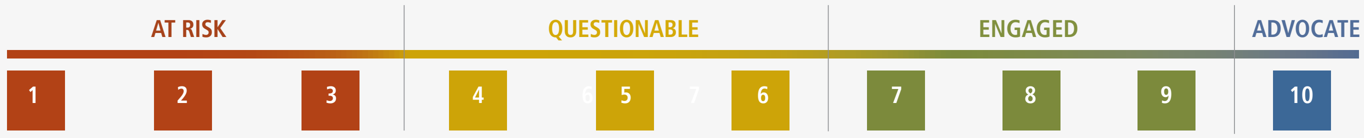
The At-Risk Client Assessment™



A CLIENTWISE WORKSHEET

About ClientWise LLC

ClientWise is the premier business and executive coaching firm working exclusively with financial professionals. We specialize in helping clients optimize growth and maximize revenue by acting as a knowledgeable partner in accomplishing specific and significant business results. Our full-service coaching program empowers financial advisors, wholesalers, managers and executives to enhance performance through customized, action-oriented solutions based on each client's specific vision and situation.

Our certified coaches are members of the International Coach Federation (ICF). They adhere to ICF's strict code of ethics and have the experience and insight to work with you on the unique challenges and opportunities you face each day.

Drawing from an in-depth knowledge of the financial industry, ClientWise's mission is to professionally develop industry leaders and consistently raise the bar for industry service, commitment and integrity. Simply put, our singular focus is to help you get **clear**, get **focused**, and get **results**.

Get **Clear**. Get **Focused**. Get **Results**.™

The At-Risk Client Assessment™

Name

Date

The At-Risk Client Assessment™

High client satisfaction rates and low client attrition levels are critical elements of a successful business. Financial advisors know this intuitively, yet often fail to properly assess the level of engagement of each client. As a result, clients who are "at-risk" of departing the firm usually go unnoticed until it's too late. There are several tell-tale signs of a dissatisfied or disengaged client however, and advisors should be proactive in identifying the often-times passive indicators that a client is checked-out. Some clients will be forth right with their dissatisfaction, but most will not; it is the latter who present the greater hazard.

Use the At Risk Client Assessment™ on the following pages to identify whether a client is at-risk, questionable, engaged, or an advocate. Even if you have a seemingly pleasant relationship with a client, it is a worthwhile exercise to reflect on the status of their relationship with your firm. Review each of the definitions and attach a score to each client/household. Then, identify the best outcome you hope for moving forward, the specific action that will be taken to move powerfully towards that outcome, and the team member who will own the action step.

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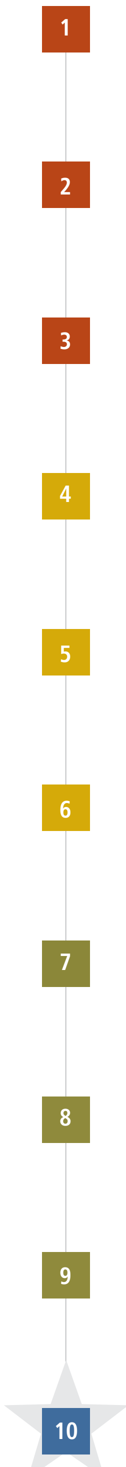

AT RISK 1-3 *(1 is most At Risk)*
Client appears to have disengaged from the relationship with your firm. Client has repeatedly ignored advisor's call and has canceled, or failed to commit to, scheduled review meetings. Client has become combative around advice provided and/or fees. Other decision makers have been introduced who have disrupted the rapport built between the advisor and the client.

QUESTIONABLE 4-6 *(4 is most Questionable)*
Client has become uncharacteristically more difficult to reach, is rescheduling, canceling or not committing to appointments. Or, client continues to be engaged with your firm but has introduced an additional decision-maker to the relationship who appears combative and/or skeptical of your guidance.

ENGAGED 7-9 *(9 is most Engaged)*
Client meets regularly with your firm, rarely canceling appointments or questioning your advice or fees. Client may ask questions or inquire about his or her own accounts or plan, but does so because he/she is thoughtful and cares about his/her financial well-being. Client may be a "raving fan" constantly singing your praises to others, or may simply show his or her appreciation by continuing to do business with your firm.

ADVOCATE 10
Client meets regularly with your firm and values the advice, guidance and services provided by the advisor. Client understands the advisor's value proposition and regularly introduces the advisor to qualified, potential clients within his or her network. Client maintains an open line of communication with the advisor and the advisor's office.

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The At-Risk Client Assessment™

Name/Household	At Risk 1-3 Questionable 4-6 Engaged 7-9 Advocate 10
	1 2 3 4 5 6 7 8 9 10
	1 2 3 4 5 6 7 8 9 10
	1 2 3 4 5 6 7 8 9 10
	1 2 3 4 5 6 7 8 9 10
	1 2 3 4 5 6 7 8 9 10
	1 2 3 4 5 6 7 8 9 10
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	1 2 3 4 5 6 7 8 9 10
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Best Outcome	Specific Actions To Take	Team Members Involved

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ClientWise Financial Services Clients

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