Client Meeting Notes Templates

☐ Phone ☐ In-Person

______________________________ ______________________________
First Name Last Name

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Location [if applicable]

______________________________ ______________________________
First Name Last Name

_______/_______/___________
Date of Meeting mm/dd/yyyy

Purpose of Meeting

☐ **New Client**

- ☐ Obtained KYC Information and documented conversation with respect each KYC item (Risk Tolerance, Time Horizon, and Investment Objectives).
- ☐ Reviewed NAAF disclosures with client.
- ☐ Reviewed Agent compensation with client including DSC schedules if applicable.

☐ **Existing Client**

- ☐ We have reviewed and confirmed KYC information on file with client.
- ☐ Do you need to rebalance the client's portfolio to meet the client's stated risk tolerance and financial objectives? Yes___ No___ NA___

☐ **Type of Transaction**

- ☐ Purchase
- ☐ Reviewed Client Time Horizon
- ☐ Reviewed client and fund Risk Tolerance
- ☐ Reviewed Commission Structure
- ☐ Reviewed fund specific information and Prospectus
- ☐ If purchase used borrowed funds, I have reviewed the Leverage Disclosure and the Leverage Details Worksheet with the client.

☐ **Redemption**

- ☐ Reviewed and documented the reason for the redemption.
- ☐ Reviewed any applicable fees associated with the transaction.

Specific Details of Meeting Discussion

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Advisor Initials

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Client Initials