CLIENT MEETING DOCUMENTATION

(Required to be updated annually at a minimum for each advisory client)

***IARs are required to conduct a regular review of advisory accounts and to meet with each advisory client at least annually to comply with industry regulations and firm policy. This form can be used to document the required reviews with each client meeting and retained in the client file. Be sure to attach any related reports or documentation to support this record.*

Date of Meeting: _______________

I. Client Information	
Client Name(s):	**Account Number(s):**

II. Client Suitability Review	
Check all areas that were reviewed during meeting: ☐ Financial Status ☐ Risk Tolerance ☐ Time Horizon ☐ Goals	**Notes:**

III. Portfolio Review
a. Asset Allocation
b. Investment Performance
c. Advisory Account Fees

IV. Additional Meeting Notes

V. IAR Acknowledgement		
IAR Signature	**IAR Printed Name**	**Date**