# 2 EXPLORE

*Making contact and exploring the client, the business, the value and the offer*

## 2 EXPLORE

### STEP 2 - EXPLORE

**Making contact and exploring the client, the business, the value and the offer**

Welcome to the second step in the Client Engagement Process Skills Goodie Bag.

'Explore' is the second of six easy steps designed to help you support your advice business and streamline your client engagement process.

It contains a comprehensive set of templates for businesses that are making contact and exploring the client, the business, the value and the offer.

**What's it all about?**

Explore is about making the process of first engaging with the potential client as easy as possible, with a range of material ready to be supplied including:

- Checklist and collection forms for initial telephone enquiry
- Exploratory meeting client information pack – with agenda, travel guide, introduction and more
- Exploratory meeting business information pack – with checklists, guide, explaining the business and next steps.

The tools are designed to provide each member of your team with the right document required for that stage of the engagement process, including team member scripts, data collection, and client communications.

**What's in it for you?**

This step also includes additional forms to be used if the client is ready to move to the discover stage. These tools include:

- Confirmation letter of agreement to proceed to the discover stage
- Confirmation letters where the client won't proceed to the discover stage

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# 2 EXPLORE

| 1. | EXPLORE | | TOOL TYPE |
|---|---|---|---|
| **Purpose** | Making contact and exploring the client, the business, the value and the offer | | |
| **2.1** | **Making contact** | | |
| | **2.1.1** | Checklist for taking initial telephone enquiry | Checklist |
| | **2.1.2** | Personal details form for initial telephone enquiry | Data collection |
| | **2.1.3** | Exploratory meeting confirmation letter | Client comms |
| **2.2** | **Exploratory meeting client information pack** | | |
| | **2.2.1** | Exploratory meeting preparation guide | Client prep guide |
| | **2.2.2** | What to think about | Client prep guide |
| | **2.2.3** | Agenda for exploratory meeting | Agenda |
| | **2.2.4** | Client-focused business introduction | Marketing |
| | **2.2.5** | Travel guide | Client comms |
| | **2.2.6** | Team intro sheet | Client comms |
| **2.3** | **Exploratory meeting business information pack** | | |
| | **2.3.1** | Checklist for exploratory meeting preparation | Checklist |
| | **2.3.2** | Checklist for greeting potential client | Checklist |
| | **2.3.3** | Guide to exploratory meeting | Team member guide |
| | **2.3.4** | What's important to the client information capture form | Data collection |
| | **2.3.5** | Explaining the business and your value | Team member script |
| | **2.3.6** | Explaining the process | Team member script |
| | **2.3.7** | Gaining agreement to proceed to the discover stage | Team member script |
| | **2.3.8** | Explaining the next steps | Team member script |
| | **2.3.9** | Agreement to proceed to the discover stage | Agreement |
| | **2.3.10** | Additional details form | Data collection |
| | **2.3.11** | Confirmation letter of agreement to proceed to the discover stage | Client comms |
| | **2.3.12** | Confirmation letter where recommendation is not to proceed to the discover stage | Client comms |
| | **2.3.13** | Confirmation letter where the client decides not to proceed to the discover stage | Client comms |

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*Transforming Business*

**TOOL 2.1.1:** Checklist for taking initial telephone enquiry | Making contact
**PURPOSE:** A checklist to be used by team members engaged in the initial telephone enquiry from a potential client.
**Business tool for internal use only (not for client use/view)*

**CHECKLIST FOR TAKING INITIAL TELEPHONE ENQUIRY**

- ❑ Answer phone call as per our telephone protocols.
- ❑ Listen to caller's reason for contacting us.
- ❑ Where the enquiry is advice related ask the caller permission to ask a few simple questions and capture some basic information including:
    - o The caller's full name
    - o Their postal, email address and telephone contact number
    - o If they have been recommended by someone? If yes, ask who referred them.
    - o The main reason for them calling today
- ❑ Responses to each of these questions should be documented on the personal details form for initial telephone enquiry Step 2.1.2(this can be recorded in templates provided or directly into your CRM system such as Xplan, Coin or InfoTech).
- ❑ Initial assessment of (business name) being able to satisfy the caller's needs to be completed (assessment process included in Step 2.1.2).
- ❑ If we are not able to satisfy these needs, the caller should be advised of a specific advice partner who is better equipped to service the client. Contact details of advice partner should be provided to caller.
- ❑ If we believe we can help the caller (as a potential client), continue with the checklist.
- ❑ Explain to potential client that you would like to make an appointment with a specialist adviser to discuss in detail their situation and the reasons they are looking for advice.
- ❑ Once a date and time is agreed, explain that you will forward an exploratory meeting information pack which includes: a meeting preparation guide, a guide of what to think about, meeting agenda, business introduction, travel guide and a team intro sheet.
- ❑ Ask if the potential client will be accompanied by anyone else at the exploratory meeting.

**TOOL 2.1.1:** Checklist for taking initial telephone enquiry | Making contact
**PURPOSE:** A checklist to be used by team members engaged in the initial telephone enquiry from a potential client.
**Business tool for internal use only (not for client use/view)*

- ❑ Ask how the potential client will be travelling to the meeting. Advise that you will include travel details in their information pack to make it easy to get to our office.

- ❑ Ask if the potential client would prefer to receive the information pack by mail or email, and make a note of their preference.
- ❑ Invite the potential client to ask any other questions they may have andrespond appropriately.
- ❑ Advise the potential client to contact you prior to the exploratory meeting if they have any other queries and that you are looking forward to meeting them on (meeting date).
- ❑ Input all appropriate details into electronic diaries (including meeting room reservation) and transfer details from the personal details form to potential client data file.

**PLEASE NOTE:**

If the caller asks for or insists on being put through to a particular adviser, inform the caller that they are not available right now and that you will pass on a message for them to call you at their earliest convenience. In the meantime, ask the caller if you could please ask a few questions and record some important information to pass onto the adviser.

Then follow above process.

**TOOL 2.1.2:** Personal details form for initial telephone enquiry | Making contact

**PURPOSE:** This data collection form is for team members engaging in initial telephone enquiry to record basic information about the caller (this can then be uploaded electronically).

**Business tool for internal use only (not for client use/view)*

**PERSONAL DETAILS FORM**

Full Name:

Postal

Address: City:

Postcode:

Email:

Telephone Contact:

Date of initial telephone contact:

Preferred method to receive exploratory meeting info pack (2.2):

D Email or D Post

**RECOMMENDED BY**

Name:

Other Details:

**MAIN REASON FOR CONTACT**

**TOOL 2.1.2:** Personal details form for initial telephone enquiry | Making contact

**PURPOSE:** This data collection form is for team members engaging in initial telephone enquiry to record basic information about the caller (this can then be uploaded electronically).

**Business tool for internal use only (not for client use/view)*

## INITIAL ASSESSMENT OF CALLER

Does the caller's needs appear to fit the advice and service we offer?

*Rate from 1 (does not fit) to 10 (perfect fit)*______

Does the person/business who recommended the caller have a good record of recommending clients that fit with our business?

*If so, rate from 1 (very poor record) to 10 (exceptional record)*______

Is the caller's manner and personality an ideal fit with our business?

*Rate from 1 (does not fit) to 10 (perfect fit)* ______

Are there any other factors learned in the telephone contact that would indicate the client is a good fit (or not) with our business?

*Rate from 1 (does not fit) to 10 (perfect fit)*______

Comments:

**PLEASE NOTE:**

***In the above assessment if 'rating' totals less than 19 points the caller should be referred to an appropriate advice partner. If 'rating' total is 20 points or more, the team member can continue with initial telephone enquiry checklist.***

**TOOL 2.1.2:** Personal details form for initial telephone enquiry | Making contact

**PURPOSE:** This data collection form is for team members engaging in initial telephone enquiry to record basic information about the caller (this can then be uploaded electronically).

**Business tool for internal use only (not for client use/view)*

**INTERNAL INFORMATION**

Senior Adviser:

Meeting date/time agreed:

- ☐ Adviser diary completed
- ☐ Meeting room reserved
- ☐ Client information pack forwarded by Δ Email or Δ Post on (date):
- ☐ Name of person(s) (and relationship to caller) also attending exploratory meeting:

**TOOL 2.1.3:** Exploratory meeting confirmation letter | Making contact

**PURPOSE:** This is a client communication template to confirm the client's agreement to participate in an exploratory meeting to discuss their current circumstances and advice needs. To be sent within 24 hours of the initial telephone enquiry.

**Client facing tool to be cut below the dotted line and embodied into personalised branded document*

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Dear <*client name*>,

It was great talking to you today and learning a little about what you are looking for.

We believe that the best results are only achieved if they are based on a strong relationship and a deep understanding of each other. Therefore, in order for us to potentially work together and help you achieve what's important, we need get to know each other a little more.

As discussed, we are pleased to confirm our exploratory meeting on <*date/time*>.

This meeting will be held at our office where will get a better understanding of your situation and what you are looking to achieve. It will also provide you with an opportunity to get to know us and explore how we could help you make it happen.

Please allow 1 hour and 15 minutes for this meeting.

To get the most from our time together, please find enclosed the exploratory meeting information pack including:

- Exploratory meeting preparation guide
- Things to think about before we meet
- Meeting agenda
- Brief overview of our business
- Travel guide to our office
- Brief introduction to our team

You have advised us that <*accomplice name and relationship*> will be accompanying you at this meeting.

Participating in our discussion with you will be <*consultant's name*>, your Senior Financial Consultant and <*adviser's name*>, your Associate Adviser.

**TOOL 2.1.3:** Exploratory meeting confirmation letter | Making contact
**PURPOSE:** This is a client communication template to confirm the client's agreement to participate in an exploratory meeting to discuss their current circumstances and advice needs. To be sent within 24 hours of the initial telephone enquiry.
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At the conclusion of our discussion, we will advise you of the next steps required to help you address your personal and financial needs, now and in the future. Please contact us if you have any queries prior to our meeting.

We greatly appreciate the opportunity to assist you in your successful financial future and look forward to meeting you.

*<Sign off>*

**TOOL 2.2.1:** Exploratory meeting preparation guide | Exploratory meeting client information pack

**PURPOSE:** This is a client communication template to confirm the client's agreement to participate in an exploratory meeting to discuss their current circumstances and advice needs. To be sent within 24 hours of the initial telephone enquiry.

**Client facing tool to be cut below the dotted line and embodied into personalised branded document*

**EXPLORATORY MEETING PREPARATION GUIDE**

**The objectives of the exploratory meeting:**

1. To explore your current situation, where you believe you have a need for advice and to help us understand what you want to achieve, now and in the future.
2. To provide you with an insight into how we can potentially work together and what you can expect from a relationship with us.
3. For both of us to assess all the relevant information and determine whether it is appropriate that we proceed to the next step.

**How should I best prepare for this discussion?**

For us to create the most benefit for you, please review the 'what to think about' client preparation guide contained in your information pack. This guide is designed to help you think through some of the key components of our discussion prior to our meeting.

**What information and documentation should I bring with me?**

As the main objective of this meeting is to get to know each other better, there is no need to bring a lot of documentation. However, if there is information and/or documentation that you would like to share at this stage, please bring it with you.

**How much time should I allow?**

You should set aside one hour and fifteen minutes. We may not need all that time however, it is best to allow for it.

**TOOL 2.2.1:** Exploratory meeting preparation guide | Exploratory meeting client information pack

**PURPOSE:** This is a client communication template to confirm the client's agreement to participate in an exploratory meeting to discuss their current circumstances and advice needs. To be sent within 24 hours of the initial telephone enquiry.

**Client facing tool to be cut below the dotted line and embodied into personalised branded document*

**How much is this meeting going to cost me?**

The exploratory meeting is at our cost. However, if we both agree to proceed to the next step(s) there will be an applicable fee, which will be clearly explained during our meeting.

**How do I get to your office?**

To make it easy to find us, travel details and our office location are contained in the travel guide included in your 'exploratory meeting information pack'.

**TOOL 2.2.2:** What to think about | Exploratory meeting client information pack
**PURPOSE:** Client preparation guide designed to assist the client's thinking around the key issues for discussion at the exploratory meeting, included in the 'exploratory meeting client information pack'.
**Client facing tool to be cut below the dotted line and embodied into personalised branded document*

## WHAT TO THINK ABOUT PREPARATION GUIDE

The following questions are designed to help you prepare for our upcoming exploratory meeting.

Please answer the questions below as best you can. Keep in mind, this is all about you and the life you want to live. The more time you spend thinking about what you really want, the better chance we have of helping you make it happen.

**YOUR LIFE TODAY**
What are the things that you really enjoy about your life today?

What are the things you enjoy **least** about your life today

If you had a magic wand and could change anything about your current financial situation, what would that be?

**TOOL 2.2.2:** What to think about | Exploratory meeting client information pack
**PURPOSE:** Client preparation guide designed to assist the client's thinking around the key issues for discussion at the exploratory meeting, included in the 'exploratory meeting client information pack'.
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**WHAT'S IMPORTANT?**

What's really important to you in your life today?

What's really important to you for your future?

What keeps you awake at night?

If you woke and your house was on fire, what 3 items would you save?

**TOOL 2.2.2:** What to think about | Exploratory meeting client information pack
**PURPOSE:** Client preparation guide designed to assist the client's thinking around the key issues for discussion at the exploratory meeting, included in the 'exploratory meeting client information pack'.
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What do you see are your biggest challenges/hurdles when it comes to your future life and financial success?

**YOUR DREAMS**
What are your future dreams and aspirations?

Do you have a plan to achieve your future dreams and aspirations?

It is a Tuesday at 10am 15 years from now, what are you doing?

**TOOL 2.2.2:** What to think about | Exploratory meeting client information pack

**PURPOSE:** Client preparation guide designed to assist the client's thinking around the key issues for discussion at the exploratory meeting, included in the 'exploratory meeting client information pack'.

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If you were financially secure right now, and did not need to work another day to earn an income, what would you do differently to what you are doing now?

**ANYTHING ELSE?**

Is there anything else you would like to discuss at our meeting?

**TOOL 2.2.3:** Agenda for exploratory meeting | Exploratory meeting client information pack

**PURPOSE:** An agenda for the exploratory meeting to guide the initial discussion between a potential client, the senior adviser and other appropriate team members, included in the 'exploratory meeting client information pack'.

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**AGENDA FOR EXPLORATORY MEETING**

***<Meeting time>***
***<Meeting date>***
***<Business name>***
***<Business address>***

**1. Welcome, introductions and meeting objectives**

**2. Your story**
- Your current circumstances
- What's important to you
- What advice you believe you need
- Anything else you would like to discuss

**3. How we help**
- A brief overview of our business and how we can potentially help you
- How we work together
- The roles of our team
- What we can expect from each other

**4. Questions and next steps**
- Anything that is on your mind
- The next steps to keep moving forward

**5. What to expect**
- Additional basic information that we need to collect
- Date and time for our next discussion to be agreed, if appropriate

**TOOL 2.2.4:** Client focused business introduction | Exploratory meeting client information pack

**PURPOSE:** A brief introduction to market your business to the potential client included in the 'exploratory meeting client information pack'.

**Client facing tool to be cut below the dotted line and embodied into personalised branded document*

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## A BRIEF INTRODUCTION

### OUR PROMISE - TO YOU

Our promise is that working together is all about you and helping you put in place a plan for a better life. Achieving this is central to everything we do. If we do not believe we can deliver this promise, we will not proceed to work together and will advise you of a more suitable alternative.

### OUR CORE VALUE - ACHIEVING YOUR GOALS

The value we deliver is working together to help you get results that may be more difficult to realise if you did it yourself. We are committed to helping you achieve the things that are important to you, and sustaining them. We promise to always act in your best interests and to treat you and your money as if it was our own.

### OUR SERVICES - HOW WE CAN SERVE YOU

Central to our service is providing advice suited to your individual needs. We will ensure you understand our advice, why it is appropriate and how it will contribute to your success. We will regularly discuss your progress and ensure you always remain on track.

### OUR CLIENTS - WHO WE CAN SERVE

We specialise in working with people just like you. We have built our business around understanding the specific challenges and advice needs you may have.

As a result, our advice specialists and client management teams know exactly what needs to be done and how to do it exceptionally well.

We only work with people who are committed to working towards their goals and are prepared to achieve this on an ongoing basis.

**TOOL 2.2.4:** Client focused business introduction | Exploratory meeting client information pack

**PURPOSE:** A brief introduction to market your business to the potential client included in the 'exploratory meeting client information pack'.

**Client facing tool to be cut below the dotted line and embodied into personalised branded document*

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**OUR TEAM - DEDICATED TO YOU**

You will have full access to our team of keen enthusiastic specialists whose sole purpose is to achieve results that mean something to you. A brief introduction to our people is included in this pack.

**OUR HISTORY- WHY WE DO IT**

We understand firsthand how challenging it is to manage the competing priorities in our busy lives. The ability to help you overcome these challenges, improve your financial wellbeing and enable you to enjoy the rewards of all your hard work is the reason we are in business!

Success for us is when we put you in a better position than you could achieve on your own.

**TOOL 2.2.5:** Travel guide | Exploratory meeting client information pack
**PURPOSE:** A guide for the client to locate and travel to our office. This is to be included in the 'exploratory meeting client information pack'.
**Client facing tool to be cut below the dotted line and embodied into personalised branded document*

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## TRAVEL GUIDE

We are located at <*business address*>.

**If you are driving:**
<Car parking is available in XY car park located XY around our office. Entrance is from XY Street. You will collect a parking ticket on entry to the car park. (Include any other relevant instructions, including parking fees, to make driving to your office easy. Add details on all available parking within proximity to your office)>

**If you are taking public transport:**
<Our office is located only a four-minute walk from XY Railway Station which is on the XY rail line. Or, you may wish to take tram number XY, and get off at stop XY. Take the XY street exit from the station and turn sharp left into XY Street. Our office is located on the left hand side and we are on XY level.>

If you have any trouble finding us, please call us on <*phone number*> to get you back on the right track.

*Add map of your business location here*

**TOOL 2.2.6:** Team intro sheet | Exploratory meeting client information pack
**PURPOSE:** Client communication introducing the team of dedicated people who form part of the business. This is to be included in the ‘exploratory meeting client information pack’.
**Client facing tool to be cut below the dotted line and embodied into personalised branded document*

**THE TEAM OF PEOPLE DEDICATED TO YOU**

Embarking on a journey to a better life is a big step. Knowing there is a team of people dedicated to supporting you along the way can make all the difference.

Our people are our lifeblood. They are all highly qualified and have the relevant industry specialisation and expertise required to help you get results. However, in addition to their amazing credentials, they realise that our business is based on building long-term, deep relationships. They make it their mission to genuinely get to know you, understand your challenges and be available to support you no matter what life dishes up.

The real success in any work we do together is based on us getting to know each other. As a starting point, here is a brief introduction to the people who will be proud to be on your team.

**Hi, I am <*name*>:**

I am the principal adviser in our business.

*<Include your brief introduction and a photo. You can make it as formal or informal as you see appropriate. Remember to keep it real and personable. Provide some insight that people will enjoy and make them excited about meeting you.>*

(Add a professional photo so people can see you are real.)

(Include an introduction for each team member. If you have a large team, you may only wish to include those who will be working with each client.)

**TOOL 2.3.1:** Checklist for exploratory meeting preparation | Exploratory meeting business information pack
**PURPOSE:** A checklist to be used by team members engaged in the preparation for the exploratory meeting with the client.
**Business tool for internal use only (not for client use/view)*

## CHECKLIST FOR EXPLORATORY MEETING PREPARATION

### PRIOR TO EXPLORATORY MEETING

- ☐ Meeting time and date has been agreed with the potential client
- ☐ Exploratory meeting confirmation letter has been prepared
- ☐ Exploratory meeting client information pack has been prepared including:
    - Exploratory meeting preparation guide
    - What to think about
    - Agenda for exploratory meeting
    - Client focused business introduction
    - Travel guide
    - Team intro sheet
- ☐ Exploratory meeting confirmation letter and client information pack has been sent (as per their preference for post or email)
- ☐ Personal details of potential client have been entered in system
- ☐ Exploratory meeting has been entered in team member calendars
- ☐ Meeting room reserved in system
- ☐ Exploratory meeting slide presentation pack to be personalised (if appropriate)

### DAY OF EXPLORATORY MEETING

- ☐ Team members involved to review the exploratory meeting preparation guide
- ☐ Welcome card/sign for potential client to be displayed in reception area (if appropriate)
- ☐ Team member at reception desk is aware of client arrival
- ☐ Meeting room to be organised with required furniture and technology
- ☐ Meeting room set up with agenda, notepads, pens and water

**TOOL 2.3.2:** Checklist for greeting potential client | Exploratory meeting business information pack
**PURPOSE:** A checklist to be used by team members engaged in the greeting of a potential client prior to exploratory, discovery and/or advice presentation meeting.
**Business tool for internal use only (not for client use/view)*

## CHECKLIST FOR GREETING POTENTIAL CLIENT

### UPON ARRIVAL OF POTENTIAL CLIENT

- ☐ Team member at reception desk to greet potential client by name and introduces themself
- ☐ Team member at reception desk shows potential clients to meeting room and explains that they will inform the <adviser/s> of their arrival. Then ask the client if they would like any refreshments
- ☐ Team member at reception desk notes what refreshments the client requested in the CRM system/software
- ☐ Personal client manger and all other team members involved in exploratory meeting informed of potential client arrival and collect everything they need for the meeting (ie. client file)
- ☐ Personal client manager welcomes potential client and introduces themself
- ☐ Personal client manager invites potential client to watch a brief presentation introducing the business while refreshments are being arranged (if appropriate)
- ☐ Team member at reception desk arranges refreshments and delivers them to the meeting room. Potential client advised that the senior adviser and the associate adviser will join them shortly
- ☐ Senior adviser and associate adviser join potential client in meeting room, provide a warm welcome, introduce themselves and, together with personal client manager, commence discussion as per exploratory meeting agenda

**TOOL 2.3.3:** Guide to exploratory meeting | Exploratory meeting business information pack
**PURPOSE:** A team member guide for those engaging in the exploratory meeting with the potential client. This guide encompasses the entire exploratory meeting and should be reviewed in conjunction with checklist for exploratory meeting preparation and checklist for greeting the client.
**Business tool for internal use only (not for client use/view)*

## GUIDE TO EXPLORATORY MEETING

### INTRODUCTION AND OBJECTIVES

The senior adviser commences discussion and reconfirms the objectives of the exploratory meeting. These objectives have been included in the exploratory meeting preparation guide forwarded to the potential client prior to the meeting. The objectives of the exploratory meeting are:

1. To explore what the potential client wants to achieve, to understand their current situation and to identify where there may be opportunity to provide advice and help them put in place a plan for their future.

2. For the potential client to learn about our business and how we can work together to help them achieve the things that are important.

3. For both parties to assess all information and determine whether it is appropriate that we progress to the next step.

Potential client to be asked if they are comfortable with these objectives and invited to ask any questions they may have.

### THE CLIENT'S STORY

The senior adviser to invite the potential client to tell their story (you can refer to their responses from the exploratory meeting preparation guide (2.2.2):

- What's really important to you now and in the future? (Health, current lifestyle, buying a house, saving for retirement, funding parents aged care, structuring philanthropy etc.)
- What are your current circumstances? (Family, health, dependants, home ownership, business, occupation, recreational activities etc.)

Where do you see your need for advice? What are the priority issues you believe you need help with at the moment?

**TOOL 2.3.3:** Guide to exploratory meeting | Exploratory meeting business information pack
**PURPOSE:** A team member guide for those engaging in the exploratory meeting with the potential client. This guide encompasses the entire exploratory meeting and should be reviewed in conjunction with checklist for exploratory meeting preparation and checklist for greeting the client.
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**THE BUSINESS STORY**

The senior adviser to provide a brief overview of the business, how we work together and the roles of each team member.

Refer to the following team member scripts:

- Client-focussed business introduction from the exploratory meeting client information pack (2.2.4)
- Explaining the business and the value of our business (2.3.5)
- Explaining the process (2.3.6)

**QUESTIONS, ADDITIONAL DISCUSSION AND NEXT STEPS**

The senior adviser to invite the potential client to ask any questions they have about the business, the value, the process, etc. and assess whether the potential client is appropriate for the business. The criteria to be used in this informal assessment will include:

- Advice needs of the potential client
- Personality/character fit with the business
- Potential client comprehension of the value the business can deliver
- The source of potential client referral

Where the senior adviser believes the business would like the potential client to proceed to the next step, explaining the next steps using the team member script (2.3.8)

Where the senior adviser believes the potential client is not a good fit with the business, it should be respectfully explained and, if appropriate, an advice partner recommended to address their immediate advice needs.

**TOOL 2.3.3:** Guide to exploratory meeting | Exploratory meeting business information pack
**PURPOSE:** A team member guide for those engaging in the exploratory meeting with the potential client. This guide encompasses the entire exploratory meeting and should be reviewed in conjunction with checklist for exploratory meeting preparation and checklist for greeting the client.
**Business tool for internal use only (not for client use/view)*

## GATHERING ADDITIONAL INFORMATION

Where there is agreement to proceed to the next step the senior adviser and associate adviser thank the client for meeting, explain that they enjoyed the discussion and look forward to meeting with them again soon. The senior adviser hands the meeting over to the personal client manager to gather some additional personal details and agree on a time and date for the discovery meeting.

Refer to the following tool:

- Additional details form (2.3.10)

**TOOL 2.3.4:** What's important to the client information capture form | Exploratory meeting business information pack

**PURPOSE:** A data collection form to be used by team members engaged in the exploratory meeting with the potential client to record the details of what is important in their lives today and in the future. The questions need to be relevant to your specific clients. This can be used as an alternative to or in conjunction with your own data collection form to collect additional client information.

**Client facing tool to be cut below the dotted line and embodied into personalised branded document*

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## WHAT'S IMPORTANT INFORMATION FORM

Name:

Date:

**General**

What is really important to you;

a) In your life today

b) In your life in the future

**Family**

What would you like to do to support your children or parents over the next 10 years?

**TOOL 2.3.4:** What's important to the client information capture form | Exploratory meeting business information pack

**PURPOSE:** A data collection form to be used by team members engaged in the exploratory meeting with the potential client to record the details of what is important in their lives today and in the future. The questions need to be relevant to your specific clients. This can be used as an alternative to or in conjunction with your own data collection form to collect additional client information.

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**Lifestyle**

What does your ideal lifestyle look like over the next 10 years?

**Assets**

How important is home ownership to you?

What does your dream home look like over the next 10 years?

**TOOL 2.3.4:** What's important to the client information capture form | Exploratory meeting business information pack

**PURPOSE:** A data collection form to be used by team members engaged in the exploratory meeting with the potential client to record the details of what is important in their lives today and in the future. The questions need to be relevant to your specific clients. This can be used as an alternative to or in conjunction with your own data collection form to collect additional client information.

**Client facing tool to be cut below the dotted line and embodied into personalised branded document*

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How important are things like cars, boats, holidays or a holiday house?

**Career/business**

What are your career/professional aspirations?

Would you like to own your own business at some time in the future?

**Retirement**

What is your ideal lifestyle in your retirement years?

**TOOL 2.3.4:** What's important to the client information capture form | Exploratory meeting business information pack

**PURPOSE:** A data collection form to be used by team members engaged in the exploratory meeting with the potential client to record the details of what is important in their lives today and in the future. The questions need to be relevant to your specific clients. This can be used as an alternative to or in conjunction with your own data collection form to collect additional client information.

**Client facing tool to be cut below the dotted line and embodied into personalised branded document*

What would you like to do to support your children in your retirement years?

What is your dream home in retirement years?

**Further information that's really important**

**TOOL 2.3.5:** Explaining the business and the value of your business | Exploratory meeting business information pack

**PURPOSE:** A team member script for the senior adviser in the exploratory meeting with the potential client. This is a guide to delivering the business story with an emphasis on how the client is the central focus of what the business does. The senior adviser should use these guidelines to develop their own presentation and script.

**Business tool that can also be a client facing tool if the client wishes to have a copy. Cut below the dotted line and embody into personalised branded document*

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## EXPLAINING THE BUSINESS AND THE VALUE OF OUR BUSINESS

### OUR MISSION - OUR PROMISE TO YOU

Our promise is that working together is all about you and helping you put in place a plan for a better life. Achieving this is central to everything we do. If we do not believe we can deliver this promise, we will not proceed to work together and will advise you of a more suitable alternative.

### OUR CORE VALUE - ACHIEVING YOUR GOALS

The value we deliver is working together to help you get results that may be more difficult to realise if you did it yourself. We are committed to helping you achieve the things that are important to you, and sustaining them. We promise to always act in your best interests and to treat you and your money as if it was our own.

What you can expect from us is:

- Provide advice that is the most appropriate for your specific needs
- Ensure you clearly understand the advice and how we believe it will improve your situation
- Keep you informed of your progress towards achieving all your important milestones; and
- Evolve our relationship over the long term and provide ongoing guidance and support to get results that matter to you.

**TOOL 2.3.5:** Explaining the business and the value of your business | Exploratory meeting business information pack

**PURPOSE:** A team member script for the senior adviser in the exploratory meeting with the potential client. This is a guide to delivering the business story with an emphasis on how the client is the central focus of what the business does. The senior adviser should use these guidelines to develop their own presentation and script.

**Business tool that can also be a client facing tool if the client wishes to have a copy. Cut below the dotted line and embody into personalised branded document*

**OUR SUPPORT – HOW WE HELP YOU**

We work together by:

- Ensuring we have an in-depth understanding of what's important to you, your current circumstances and your future aspirations. This will provide us with the platform to design advice that's appropriate and in the order that is a priority to you.
    - Clearly explaining our advice and ensuring you fully understand it.
- Meeting regularly and keeping you up to date on your progress (face-to-face, phone calls or otherwise) to ensure you stay on track and to provide solutions when you have strayed.
- Keep you in the loop at all times. This involves keeping in contact and sharing important information, identifying relevant opportunities and keeping you abreast of what you need to know that may impact your ongoing future success.

**QUESTIONS**

Invite the potential client to raise any questions or discuss anything on their mind.

**THINGS TO NOTE**

Capture any important information that may require future action.

**TOOL 2.3.6:** Explaining the process | Exploratory meeting business information pack
**PURPOSE:** A team member script for the senior adviser to follow in the exploratory meeting with the potential client. This guide provides a framework for clarifying the experience a client will have from the enquiry stage to having a long-term relationship with the business. This should be used as a guide to develop your own personalised version.
**Business tool that can also be a client facing tool if the client wishes to have a copy. Cut below the dotted line and embody into personalised branded document*

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## EXPLAINING THE PROCESS- THE CLIENT'S EXPERIENCE

### EXPLORE

**Making contact and exploring you, the business, the value and the offer.**

We are now in the exploratory stage of the process. This is where we have the opportunity to explore as much as possible about you, and assess if we are able to help you with your future planning and success.

We also encourage you to find out as much as possible about us. This stage is about both of us making an informed decision whether to proceed. The next step is what we call the discovery stage. This is where you have further opportunity to explain in more detail your current circumstances, financial position and your future aspirations.

As previously explained, today's meeting is at our cost. However if you decide to proceed to the next step<*there will be costs involved*>.We will outline exactly what they look like once we have a better understanding of how we can help.

### DISCOVER

**Discovering your objectives, goals, issues and reconfirming your experience**

The discover stage is where we dig deeper and further uncover what you want to achieve, better understand your current situation, and gain clarity around your values and aspirations. As we continue to find out more about you, we will be in a better position to prepare the most appropriate advice to help you get the results you are looking for.

The discovery meeting normally entails a <2> hour appointment, where at the conclusion of this appointment we provide you with an indicative fee to go to the next step in the process.

**TOOL 2.3.6:** Explaining the process | Exploratory meeting business information pack
**PURPOSE:** A team member script for the senior adviser to follow in the exploratory meeting with the potential client. This guide provides a framework for clarifying the experience a client will have from the enquiry stage to having a long-term relationship with the business. This should be used as a guide to develop your own personalised version.
**Business tool that can also be a client facing tool if the client wishes to have a copy. Cut below the dotted line and embody into personalised branded document*

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**PROPOSAL**

**Preparing and presenting the advice and understanding the proposal**

At the conclusion of the discover stage, we should be in a position to commence preparing your advice. There are a number of steps we follow in this stage and we will explain them in detail further down the track.

We may need to contact you during this stage in the process to verify information you have provided or to gather new information.

We will also provide you with an indicative timeframe, depending on what needs to be done.

We will deliver your advice in a simple presentation which will include:

- The key components of the advice
- Why this advice is appropriate for you
- How this advice will progress you to achieve your goals
- Some of the finer details that are relevant to your situation; and
- Any risks or concerns you need to be aware of relating to our advice.

All our advice is provide in writing in a document called a statement of advice. This provides you with the opportunity to review all the details of the advice at your convenience. Making sure you fully understand what we have proposed and why we have proposed it essential in the overall success of us working together.

**FORMALISE**

**Actioning the proposal and formalising the relationship**

At the conclusion of the advice presentation meeting, or shortly after, you will need to inform us of your intention to proceed. The step that follows is one of the most important, which is transforming the advice and recommendations into actions that will yield results.

Of course, you may have questions that need answering before this decision is made. It is a big decision! After your consideration and any further discussion, there may also be some refinements to our advice that are appropriate before we continue.

**TOOL 2.3.6:** Explaining the process | Exploratory meeting business information pack
**PURPOSE:** A team member script for the senior adviser to follow in the exploratory meeting with the potential client. This guide provides a framework for clarifying the experience a client will have from the enquiry stage to having a long-term relationship with the business. This should be used as a guide to develop your own personalised version.
**Business tool that can also be a client facing tool if the client wishes to have a copy. Cut below the dotted line and embody into personalised branded document*

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**DEMONSTRATE**

**Demonstrating we care through ongoing progress meetings, reporting and communication**

Our role is to continue working together on an ongoing basis, to make sure you achieve all that is important to you well into the future. Planning is not a one-off event, it is an ongoing process. It involves continuous monitoring, tweaking, shifting and altering to stay relevant to the changing world we live in.

We will remain in close contact to ensure you remain on track at all times. There are a number of ways we do this, including:

- Keeping you informed of your progress through reports, updates and commentary etc., where relevant at the time
- Meeting with you on a regular <6 month> basis to discuss any changes to your situation, reconfirm or refine your goals and aspirations, and review how the advice and our recommendations have contributed to your progress and your ongoing success
- Communicating with you regularly via email, telephone and our regular publications
- Being available for you to call at any time to discuss your progress, any change in circumstance or anything else that is on your mind; and
- Invite you to relevant events during the year which may be of interest.

**TOOL 2.3.7:** Gaining agreement to proceed to the discover stage | Exploratory meeting business information pack
**PURPOSE:** A team member script for the senior adviser to follow in the exploratory meeting to gain agreement from the potential client to proceed to the discovery meeting. This should be used as a guideline to developing your own personalised version.
**Business tool for internal use only (not for client use/view)*

## GAINING AGREEMENT TO PROCEED TO THE DISCOVER STAGE

After the senior adviser has explained how they can be of value to the client and the process that needs to be followed, they need to assess if it's appropriate for the potential client to proceed to the discover stage.

**DEMONSTRATE**

Does the potential client's needs appear to fit the advice and what our business offers?

*Rate from 1 (does not fit) to 10 (perfect fit)* ______

From your initial understanding of the priority advice needs of the potential client are we equipped to deliver?

*Rate from 1 (not equipped) to 10 (totally equipped)* ______

Is the client's manner and personality an ideal fit for the business?

*Rate from 1 (does not fit) to 10 (perfect fit)* ______

Are there any other factors learned in the meeting that would indicate the client is a good fit (or not) for our business?

*Rate from 1 (does not fit) to 10 (perfect fit)* ______

Comments:

**Please note:** In the above assessment, if the 'rating' totals less than 19 points a recommendation that the potential client see an appropriate advice partner should be made. If the 'rating' total is 20 points or more, the senior adviser should continue to gain agreement to progress to the discovery meeting.

**TOOL 2.3.7:** Gaining agreement to proceed to the discover stage | Exploratory meeting business information pack

**PURPOSE:** A team member script for the senior adviser to follow in the exploratory meeting to gain agreement from the potential client to proceed to the discovery meeting. This should be used as a guideline to developing your own personalised version.

**Business tool for internal use only (not for client use/view)*

**DEMONSTRATE**

Now with a basic understanding of your circumstances, your goals and what you believe are your priority needs for advice, we believe we can help you and invite you to proceed to the next step – the discovery meeting.

As explained, at this meeting we will have the opportunity to find out more about each other enabling us to determine whether we are in a position to deliver significant value and work together towards your ongoing success.

Also as explained, if you progress to the next step<*the investment you will need to make in your ongoing success is… outline yourfees*>

Are you ready to proceed to the next step and keep progressing towards ultimately achieving the things you said are important to you?

**IF THERE IS AGREEMENT TO PROCEED**

I have really enjoyed our discussion today. As part of taking the next step, we need you to sign an agreement to proceed, obtain some additional personal and financial information and confirm a time and date for our next discussion.

I look forward to catching up again and continuing on this journey with you.

**IF THERE IS AGREEMENT TO PROCEED**

Discuss the reasons why the potential client has decided not to progress to the discovery meeting and address the issues raised.

Where there is no change in their decision, thank them for meeting with us, invite them to call you or the personal client manager if they have any queries or change their decision.

Let the client know you will be in contact again (if appropriate) in a few months.

Accompany them to the entrance/lift.

**TOOL 2.3.8:** Explaining the next steps | Exploratory meeting business information pack
**PURPOSE:** A team member script for the personal client manager to use in the exploratory meeting with the potential client. This guide provides a framework for clarifying the next steps where the potential client is to proceed to the discovery step. This should be used as a guideline to develop your own personalised version.
**Business tool for internal use only (not for client use/view)*

## EXPLAINING THE NEXT STEPS

### TODAY

- ☐ Firstly, I would like to obtain some additional personal information and gain your written agreement to proceed to the discoverstage
- ☐ The additional personal information form is to be completed
- ☐ The agreement to proceed to the discover stage is completed
- ☐ A time and date for the discovery meeting is agreed. Preferably the date is agreed for around <two weeks> after the exploratory meeting

### WITHIN THE NEXT FEW DAYS

Within the next few days, you will receive a letter confirming your agreement to proceed and the details of the discovery meeting. It will also include the discovery meeting information pack, which contains a meeting preparation guide, what to think about prior to our meeting, and an outline of what we will cover.

### WITHIN THE NEXT 7 DAYS

As we explained, the discovery meeting provides us with a further opportunity to understand how we can work together, as well as make an informed decision whether it is appropriate to proceed to the next step – the preparation of your advice. You should allow up to <2> hours for thismeeting.

We will also outline the next steps to keep movingforward.

In the meantime, we are always available to answer any questions you have.

**TOOL 2.3.8:** Explaining the next steps | Exploratory meeting business information pack
**PURPOSE:** A team member script for the personal client manager to use in the exploratory meeting with the potential client. This guide provides a framework for clarifying the next steps where the potential client is to proceed to the discovery step. This should be used as a guideline to develop your own personalised version.
**Business tool for internal use only (not for client use/view)*

Invite the potential client to ask any questions they have before concluding the meeting.

Explain how enjoyable it was meeting with the potential client and show excitement about the potential results you can achieve together. Accompany them to the entrance/lift.

**FOLLOWING THE CONCLUSION OF THE MEETING**

Personal client manager is responsible for gathering all notes taken during the exploratory meeting, scanning these documents and storing in your CRM system/software. Hard copies of all notes are placed in hard copy file (or scanned and saved, depending on your business protocols).

Dates and the time of the discovery meeting are entered in the senior adviser and associate adviser's calendars and meeting room booked.

**NOTES**

Personal client manager notes that may require future action:

**TOOL 2.3.9:** Agreement to proceed to the discover stage | Exploratory meeting business information pack
**PURPOSE:** Agreement to be used by the personal client manager at the conclusion of the exploratory meeting for the client to proceed to the discovery meeting.
**Client facing tool to be cut below the dotted line and embodied into personalised branded document*

## AGREEMENT TO PROCEED TO THE DISCOVER STAGE

### AGREEMENT

I/We agree to proceed to the next step, and participate in the discovery meeting with <business name>. The objectives of this meeting and the associated fees have been explained and I/we understand that this step is crucial to ensure any advice that is prepared is specific to my/our circumstances and addresses my/our needs.

Name:
Signature
: Date:

Name:
Signature
: Date:

**TOOL 2.3.10:** Additional details form | Exploratory meeting business information pack
**PURPOSE:** Data collection to be used by personal client manager in exploratory meeting to gather additional personal information from the potential client. To be used in conjunction with the personal details form completed in initial telephone enquiry. This can be captured in your electronic CRM system/software.
**Client facing or business internal only tool. To be cut below the dotted line and embodied into personalised branded document*

**ADDITIONAL PERSONAL DETAILS FORM**

| | |
|---|---|
| Name: | date of birth: |
| Partner: | date of birth: |
| | |
| Child's name: | date of birth: |
| Child's name: | date of birth: |
| Child's name: | date of birth: |
| Child's name: | date of birth: |
| | |
| Parent's name: | date of birth: |
| Parent's name: | date of birth: |
| Parent's name: | date of birth: |
| Parent's name: | date of birth: |
| | |
| Pet name and type: | |
| Pet name and type: | |

**TOOL 2.3.10:** Additional details form | Exploratory meeting business information pack
**PURPOSE:** Data collection to be used by personal client manager in exploratory meeting to gather additional personal information from the potential client. To be used in conjunction with the personal details form completed in initial telephone enquiry. This can be captured in your electronic CRM system/software.
**Client facing or business internal only tool. To be cut below the dotted line and embodied into personalised branded document*

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**OTHER INFORMATION**

Preferred mode of contact: D Email or D Post Preferred

refreshments:

What they enjoy outside of work i.e. activities/ entertainment/ recreation / hobbies:

Other:

**TOOL 2.3.11:** Confirmation letter of agreement to proceed to the discover stage | Exploratory meeting business information pack

**PURPOSE:** Client communication confirming the potential client's agreement to proceed to the discovery stage and participate in the discovery meeting. To be sent within 24 hours of the exploratory meeting.

**Client facing tool to be cut below the dotted line and embodied into personalised branded document*

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Dear<*first name*>,

RE: The next exciting stage in your journey – the discovery phase

We enjoyed meeting with you today and gaining an initial understanding of what's important in your life, the advice you are seeking and how we may help make it happen.

As explained, the next step is to explore in greater detail your current situation and exactly where you would like to be positioned in the future. We will also explain what happens next and outline what our relationship would look like moving forward.

We agreed to meet again at our offices on <*date/time*>. You should allow <two> hours for this meeting.

To use our time wisely, please find attached your discovery meeting information pack, including;

- Discovery meeting preparation guide
- What to think about
- Agenda for discovery meeting
- Travel guide <only include if this is the first time to the office>

Participating in our discussion with you will be <*name*> your senior financial adviser, <*name*> your associate adviser and myself.

We greatly appreciate the opportunity for further discussion with you and look forward to the prospect of working together and helping make a difference in your life.

If you have any questions prior to our meeting, please let us know.

<*Sign off*>

**TOOL 2.3.12:** Confirmation letter where recommendation is **not** to proceed to the discover stage | Exploratory meeting business information pack

**PURPOSE:** Client communication confirming the business recommendation that the potential client does **not** proceed to the discover stage. To be sent within 24 hours of the exploratory meeting.

**Client facing tool to be cut below the dotted line and embodied into personalised branded document*

.......................................................................

Dear*<first name>*,

RE: A more suitable option to help you achieve what you want

We enjoyed meeting with you today and gaining an initial understanding of what's important to you, the advice you are seeking and how we may be able to help.

As explained at the conclusion of our discussion, we do not believe we are the appropriate business to satisfy your current and future advice needs.<Add the reason/s why you chose not to pursue this relationship>

However, we do recommend one of our advice partner businesses, which are equipped to satisfy your immediate advice needs. Their contact details are:

*<Advice partner business name>*

*<Address>*

*<Telephone>*

*<Email>*

*<Name of appropriate contact and position>*

We greatly appreciate the opportunity to have met with you and trust your experience with *<advice partner name>* will assist your progress towards the solutions you are looking for. In the future if you believe we may be of assistance, we would be delighted to hear from you.

*<Sign off>*

**TOOL 2.3.13:** Confirmation letter where the client decides **not** to proceed to the discover stage | Exploratory meeting business information pack
**PURPOSE:** Client communication confirming the potential client's decision not to proceed to the discover stage. To be sent within 24 hours of the exploratory meeting.
**Client facing tool to be cut below the dotted line and embodied into personalised branded document*

Dear *<first name>*,

RE: Confirming your decision not to proceed with our support

We enjoyed meeting with you today and gaining an initial understanding of what's important to you, the advice you are seeking and how we may be able to help.

As agreed at the conclusion of our discussion, you do not believe we are able to support you with your current and future advice needs. We believe we can only be of real value based on an ongoing long-term relationship, which is not what you are looking for <add any other relevant information based on the discussion>.

However, we do recommend one of our advice partner businesses, which are equipped to satisfy your immediate advice needs. Their contact details are:

*<Advice partner business name>*

*<Address>*

*<Telephone>*

*<Email>*

*<Name of appropriate contact and position>*

We greatly appreciate the opportunity to have met with you and trust your experience with *<advice partner name>* will assist your progress towards the solutions you are looking for.

In the future if you believe we may be of assistance we would be delighted to hear from you.

*<Sign off>*