

FINANCIAL ADVISOR TRAINING SEMINAR

Client Retention & Asset Allocation Module

Date: _____ | Facilitator: _____

DONE	CORE COMPETENCY	STRATEGY & KEY TAKEAWAYS	FOLLOW-UP ACTION
	Risk Profiling	Utilizing behavioral finance questionnaires to identify psychological risk tolerance vs. financial capacity.	
	Tax-Loss Harvesting	Systematic review of non-qualified accounts to offset capital gains and improve net returns.	
	Estate Transition	Facilitating multi-generational meetings to secure beneficiary relationships and legacy planning.	
	Compliance Update	Reviewing Reg BI requirements and documentation standards for fiduciary responsibility.	
	Portfolio Rebalancing	Implementing threshold-based rebalancing to maintain target asset allocation during volatility.	

WORKSHOP FIELD NOTES

Record specific client scenarios or technical questions here...

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