

# FINANCIAL ADVISOR INTRODUCTION LETTER TO CLIENT

Dear [Supervisor's Name],

I trust this letter finds you well. I am writing to discuss a matter that is of great importance to me and, I believe, to my continued contribution to [Your Company's Name]. I have thoroughly enjoyed my time here and take pride in the work we've accomplished together.

Over the past [time period], I have dedicated myself to [specific achievements and responsibilities]. I am grateful for the opportunities provided and the support from the team. However, considering my commitment and the evolving responsibilities, I am seeking a salary adjustment.

Market trends and the increased scope of my role lead me to believe that an adjustment would be a fair reflection of my contributions. I have conducted research, and the industry standard for my position is [provide relevant data]. Therefore, I kindly request a salary increase to align with these benchmarks.

I am open to discussing this matter further and would appreciate the opportunity to meet at your earliest convenience. I believe that this adjustment will not only recognize my dedication but also motivate me to contribute more effectively to the success of [Your Company's Name].

Thank you for your time and consideration. I look forward to discussing this matter further.

Sincerely,  
[Your Full Name]

# Sample Financial Planner Client Introduction Letter

**Chao Zhang**



## **Sample Financial Planner Client Introduction Letter:**

**Financial Planning** Michael Toten, 2006      *Successful Hiring for Financial Planners* Caleb Brown, 2018-01-18 From determining your hiring needs to crafting an effective job description identifying and vetting top talent to making the right compensation offer *Successful Hiring for Financial Planners* is a straightforward guide that provides practical wisdom and real world experience for how to effectively execute the hiring process for your first or next financial planning hire in your growing advisory firm Inside this guide you will learn How to develop an appealing career track When you should begin the hiring process How to let your firm's culture recruit for you The art and science of screening candidates How to overcome common hiring struggles Practical tips to handle underperformers How to develop a succession plan *Successful Hiring for Financial Planners* delivers a comprehensive plan to help your firm grow so you can serve the consumers who are in need of your guidance the most

**Getting Started as a Financial Planner** Jeffrey H. Rattiner, 2010-05-21 There has never been more opportunity for financial planners or more reasons for financial professionals to consider switching the direction of their careers into this lucrative field Today's planners will cash in on the huge surge of baby boomers preparing for retirement in the decades ahead And as the number and complexity of investments rises more individuals will look to financial advisers to help manage their money In the new paperback edition of this guide Jeffrey H Rattiner a practicing financial planner and educator provides a complete systematic turnkey framework for the aspiring planner to follow Starting from the key question Why do you want to be a financial planner the author guides you through the development of an effective infrastructure and client management system for your practice The many essential concepts are clearly illustrated with examples from practicing professionals Throughout this handbook Rattiner provides personal insights on how and why a planner must develop a solid understanding of client needs before building a comprehensive financial plan *Getting Started as a Financial Planner* has everything one needs to know from how to set up a practice and communicate with clients to how to manage investments and market services in order to launch a career in financial planning and to attain success in this high growth profession

*Guerrilla Marketing for Financial Advisors* Jay Conrad Levinson, Grant W. Hicks, 2003 Through the eyes of two Guerrilla Marketers this book shows you Guerrilla Marketing ideas to help you build your business and make more as a financial advisor than you ever thought possible Jay Conrad Levinson author of the highly successful Guerrilla Marketing series of books has teamed up with financial advisor consultant and coach Grant W Hicks CIM FCSI to uncover all aspects of marketing for financial advisors This work is a collection of fourteen years of researching and testing the best ideas for financial advisors Grant's educational website [www.financialadvisormarketing.com](http://www.financialadvisormarketing.com) has additional resources to help any advisor at any level become more successful This easy to read book will be an abundance of resources advisors need to dramatically change and grow their business Inside you will find nine chapters including samples and templates to help build your business The following is a chapter summary that will take the reader through forty business and marketing ideas

principles and examples that have been used successfully and step by step on how to apply them to your business

- 1 Build a Better Business and Marketing Plan
- 2 Getting New Clients from Outside Sources
- 3 Getting New Clients from Internal Marketing
- 4 Welcoming New Clients
- 5 Wowing Clients
- 6 Mastering Service for All Clients
- 7 Taking Your Business to the Next Level
- 8 Marketing Principles for Financial Advisors
- 9 Guerrilla Marketing Tools and Marketing Action Plan Worksheets

If you want to be a successful advisor in your market and improve your client service levels then Guerilla Marketing For Financial Advisors is your marketing blueprint It is time for advisors to take action

*The Financial Planning Competency Handbook* CFP Board,2013-04-03 Whether you re studying to become a financial planner or a practitioner looking for a comprehensive reference to help serve your clients needs this is the ultimate guide Developed by Certified Financial Planner Board of Standards Inc CFP Board the Financial Planning Competency Handbook gives you everything you need to meet the daily challenges of your current or future profession This all inclusive handbook covers the entire list of nearly 90 vital topics on integrated financial planning including such major components as General Principles of Finance and Financial Planning Insurance Planning Employee Benefits Planning Investment and Securities Planning State and Federal Income Tax Planning Estate Tax Gift Tax and Transfer Tax Planning Retirement Planning Estate Planning Principles of Communication and Counseling And more

CFP Board Financial Planning Competency Handbook CFP Board,2013-04-03 Whether you re studying to become a financial planner preparing for the CFP exam or a practitioner looking for a comprehensive reference to help serve your clients needs this is the ultimate guide Developed by Certified Financial Planner Board of Standards Inc CFP Board the Financial Planning Competency Handbook gives you everything you need to meet the daily challenges of your current or future profession The book comes with access to nearly 400 practice questions online as well as the option to upgrade to a 28 Credit Continuing Education test for CFP professionals based in the United States This all inclusive handbook covers the entire list of nearly 90 vital topics on integrated financial planning including such major components as General Principles of Finance and Financial Planning Insurance Planning Employee Benefits Planning Investment and Securities Planning State and Federal Income Tax Planning Estate Tax Gift Tax and Transfer Tax Planning Retirement Planning Estate Planning Principles of Communication and Counseling And more

AMA Handbook of Business Letters Jeffrey Seglin,Edward Coleman,2012-07-15 Though the fundamentals of letter writing have remained the same the way we communicate in business is constantly evolving With the understanding that consistently professional correspondence is essential to success in any industry The AMA Handbook of Business Letters offers readers a refresher course in letter writing basics including focusing the message establishing an appropriate tone and getting your readers attention You ll also receive tips that apply to all written forms of communication on things like salutations subject lines signatures and formatting Jeffrey Seglin communications director and professor of Harvard University s graduate and professional school and author Edward Coleman provide over 370 customizable model letters divided into categories reflecting various aspects of business such as

sales marketing public relations customer service human resources credit and collection purchasing permissions and confirmations With helpful appendices listing common mistakes in grammar word usage and punctuation the latest version of this adaptable book extensively updated with more than 25 percent new material will assist professionals through every conceivable business correspondence with confidence      **Master the Media to Attract Your Ideal Clients** Derrick

Kinney,2004-09-27 Praise for Master the Media to Attract Your Ideal Clients This book is a marketing masterpiece It should be required reading for all financial professionals Janine Wertheim Chief Marketing Officer Securities America Inc Marketing is the lifeblood of any practice The media is the most effective and cost efficient way to market Unfortunately most practitioners only dream of media attention No more Derrick Kinney delivers on his promise to help you master the media Harold Evensky CFP author Wealth Management This fast moving practical book gives you a step by step process to multiply your results and dramatically increase your exposure and name recognition A classic Brian Tracy President Brian Tracy International author Create Your Own Future Kinney offers an easy and effective how to approach for financial producers to gain recognition and credibility by becoming media sources If you want to take your business to the next level this book can help you get there Gail S Waisanen CLU Editor Life Insurance Selling Derrick Kinney has built an effective marketing system that every advisor can use to help grow their business and attract more profitable clients John J Bowen Jr CEO CEG

Worldwide LLC columnist for Financial Planning      **Managing Your Tax Season** Edward Mendlowitz,2016-11-07 Is tax season at your firm a head long scramble to the finish line Do you want to start your next tax season with a system that reflects thoughtful planning and training Get fresh insight into tax preparation and very likely result in significant improvements to your current system You will learn to analyze your existing tax season system and target problems so that work will be more efficient errors will decrease and personnel including you will feel less stressed Most importantly a well run tax season will make your clients happier and more loyal Every firm has a tax season system whether documented or not Tax season management expert Edward Mendlowitz shares specific ideas for improving each aspect of your system including how to Staff creatively with seasonal staff interns and by outsourcing Maximize the effectiveness of the tax organizers you send to clients Communicate effectively with clients about the value of your service Use pre year end planning to develop tax and financial planning opportunities Empower your preparers to do more return work Make reviews run smoothly Conduct a post tax season assessment of your process Bill for the real value of your return preparation and even increase your fees Numerous sample checklists letters charts and Excel tax comparison worksheets will help you implement this guidance in your next tax season Having a world class tax department is possible for every firm and this resource will help you make that goal a reality Topics Discussed Improving tax season system Tax return preparation processes Managing seasonality issues Staffing solutions Getting the most out of technology Year end planning for tax clients Staff tax training program Assignment scheduling Client appointments Preparation and review Billing Determining fees E filing Extensions Tax auditsClient

satisfaction retention and referrals      *SMART Marketing* Larry Biederman ,2018-12-08 *SMART Marketing* By Larry Biederman When Larry Biederman joined Merrill Lynch in the 1960s he tried the standard sales tactics and like half of all financial advisors was in danger of failing and quitting But when he tweaked his process he ended up in the top 5% of brokers in his firm and went on to fifty years of a successful and fun career In this book Biederman explains his five marketing steps to enjoyably build and expand your financial advisory practice From identifying prospects developing a relationship providing superior service and more each step comes with a clear explanation scripts case studies and closing action steps for you to implement in your own business Highlighting independent research and his personal experiences Biederman shares proven advice for every financial advisor no matter your experience level You can earn your dream client s investment business and build a career that provides success and fulfillment Tired and boring sales tactics will get you tired and boring results if you get any results at all By using your own creativity and passion you ll not only have success you ll have fun A brisk guide to working smarter not harder this book is key to your success      *Deena Katz's Complete Guide to Practice Management* Deena B. Katz,2010-05-13 Deena B Katz CFP a preeminent authority on practice management and an internationally recognized financial adviser presents a comprehensive guide to running a professional financial planning practice To create this book Katz updated revised and combined her two acclaimed books *Deena Katz on Practice Management* 1999 and *Deena Katz s Tools and Templates for Your Practice* 2001 In this newly expanded volume she presents the essentials on how to help a practice thrive side by side with the tools and templates needed for the everyday operation of your firm This new volume offers guidance on practice management issues setting up an office systems and technology administration and staffing marketing growing as the market changes hanging on to clients for the long term succession planning when the time comes This comprehensive resource provides sample forms worksheets templates letters brochures and collateral materials developed and refined by top wealth managers and planners From keeping the business running well by designing dynamic collateral material to considering plans for retirement Deena B Katz guides advisers through every challenge a financial planning business will face      *Fee-Only Financial Planning* John E. Sestina,2002-02-28 J K Lasser Pro TM Before You Plan Consult J K Lasser Innovative Planning That Benefits Professionals and Clients What does it take to be a successful fee only financial planner According to John Sestina acclaimed father of fee only financial planning the only special qualifications are a genuine desire to help people an ability to listen and a commitment to lifelong learning *Fee Only Financial Planning* introduces financial planners to the newest fastest growing niche in the financial planning field fee for service rather than commission based planning Fee only planning is attractive to the growing number of clients who want to avoid the long term payments lack of objectivity limited choices or conflict of interest that can occur with a commission based payment structure In his comprehensive how to guide and easy to use reference John Sestina provides in depth coverage of the financial planning field He covers such topics as The advantages and disadvantages of fee only planning for both client

and planner Making the transition from commission based to fee based planning Building a profitable practice with varied client bases Tailoring to your own work style the system Sestina developed over 35 years of successful private practice Developing and maintaining productive client relationships For professionals wondering whether fee only financial planning is in their future or for anyone in financial services who wants to stay current Fee Only Financial Planning is an eye opening introduction to one of the financial world's freshest richest entrepreneurial careers *The AMA Handbook of Business Letters* Jeffrey L. Seglin, Edward Coleman, 2002 This book CD ROM reference for professionals teaches letter writing basics and offers style and grammar guidelines along with some 365 sample letters for sales marketing and public relations vendor and supplier issues credit and collections transmittal and confirmation personnel matters and every other business situation Appendices list frequently misused words punctuation guidelines abbreviations and telephone and online grammar hotlines The CD ROM contains all of the sample letters from the book which can be customized for immediate use Seglin teaches magazine publishing in the graduate department of writing literature and publishing at Emerson College Annotation copyrighted by Book News Inc Portland OR **Professional Financial Advisor II** John De Goey, 2006 Sweeping changes have hit the financial services industry at the same time as more and more Canadians are turning to professionals to invest their money Consumers want to work with qualified professionals but are often left to work with narrow product based sales representatives **Investment Advisers** United States. General Accounting Office, 1990 **The Keys to the Ladies' Room** Adri Miller-Heckman, 2012-12-20 The Keys to your future success Women are a goldmine of opportunity for any financial advisor looking to accelerate business growth The key is knowing what women want and how to apply that knowledge to attract more female clients and generate more referrals This book is your personal roadmap to making that shift With the Keys to the Ladies Room you will discover how easy it can be to Understand the difference in how men and women relate to money and convert that knowledge to create a more purpose driven business model Develop your personal story which inspires more trust and confidence with both prospects and clients faster Share what you do in a way that leaves the listener sitting up and craving for more Incorporate a more purpose driven process that engages both clients and prospects simultaneously uncovering more assets and opportunities Articulate your true value as a financial advisor and its not what you think that wins you the big business With time tested scripts and practical step by step guidance from a former Smith Barney National Training Officer this book promises to transform your marketing and accelerate business growth by attracting more women clients and creating more loyal raving fans This book is destined to start a new revolution in the financial services industry Adri has artfully combined the strengths of women with the experience and wisdom of men to create a new refreshing business model for financial advisors She speaks directly to what advisors need and what clients want This is a must read for any financial professional looking to create a deeply meaningful and highly profitable advisory practice Barbara Stanny Bestselling author of Prince Charming Isn't Coming Overcoming Underearning and Secrets of Six

Figure Women **Financial Therapy** Bradley T. Klontz, Sonya L. Britt, Kristy L. Archuleta, 2014-09-10 Money related stress dates as far back as concepts of money itself Formerly it may have waxed and waned in tune with the economy but today more individuals are experiencing financial mental anguish and self destructive behavior regardless of bull or bear markets recessions or boom periods From a fringe area of psychology financial therapy has emerged to meet increasingly salient concerns Financial Therapy is the first full length guide to the field bridging theory practical methods and a growing cross disciplinary evidence base to create a framework for improving this crucial aspect of clients lives Its contributors identify money based disorders such as compulsive buying financial hoarding and workaholism and analyze typical early experiences and the resulting mental constructs money scripts that drive toxic relationships with money Clearly relating financial stability to larger therapeutic goals therapists from varied perspectives offer practical tools for assessment and intervention advise on cultural and ethical considerations and provide instructive case studies A diverse palette of research based and practice based models meets monetary mental health issues with well known treatment approaches among them Cognitive behavioral and solution focused therapies Collaborative relationship models Experiential approaches Psychodynamic financial therapy Feminist and humanistic approaches Stages of change and motivational interviewing in financial therapy A text that serves to introduce and define the field as well as plan for its future Financial Therapy is an important investment for professionals in psychotherapy and counseling family therapy financial planning and social policy **The New Business of Consulting** Elaine Biech, 2019-04-30 Everything you ever wanted to know about consulting a practical roadmap for aspiring entrepreneurs Seismic changes occurring in the workforce are leading to more and more people entering the world of contract freelance and contingency work Rapid changes in demographics and advances in technology have led companies and talent to engage in profoundly new ways and consulting is one of the keys to success The New Business of Consulting is authentic and practical and shares the knowledge and skills required to start and grow a successful consulting business From how to make a smooth career transition to how to determine a consulting fee to how consultants inadvertently create a bad reputation it covers everything you need to know to thrive and flourish in this competitive field Covers contemporary topics such as how to achieve success in the gig economy Discloses a reliable technique to land the clients you want Presents options to help you balance your life and your business Prepares you for naming your business managing critical financial issues and building a client relationship Shows you how to take your income and impact beyond working as a solopreneur The crucial start up days of a consulting business may be frenetic and fraught with questions This new edition provides sanity and answers all the questions It includes practical tools templates and checklists that you can download and implement immediately **Sales Prospecting Strategies and Skills** Stanis Benjamin, 2016-06-08 STANIS BENJAMIN Director of Centre for Communication and Sales Training CCST has had experience in different levels of the insurance business starting as an agent and has spent almost 30 years in the insurance industry working with various clients from individuals to



corporations Strategies And Skills for prospecting is a guide to fundamentals of sales prospecting This book gives you an insight to how sales people in similar environments can end up with different sales results while offering a creative and magical solution in prospecting clients for a thriving insurance sales career The sales prospecting philosophy shared here is everything that any sales professional can practice to rise above the crowd by doing ordinary activities with extraordinary enthusiasm Learn the secrets of his effective skills and techniques mixed with his light sense of humour to catapult your career at a speed you have never imagined      **Tools & Techniques of Practice Management** ,2004

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