



**Demming Financial Services Corp.**



## The Financial Planning Sequence *For Review Clients*

Planner Actions	Client Actions	
<b>Notifies</b> Client that annual appointment is due.	<b>Schedule</b> <a href="#">Jim</a>	<b>Makes</b> appointment.
<b>Provides</b> Client with checklist of documents and data required for providing relevant data.	<b>Data Gathering</b> <a href="#">Jim</a>	<b>Returns</b> requested information
<b>Compiles</b> data received from Client, with appropriate asset values	<b>Asset Evaluation</b> <a href="#">Ann</a>	
<b>Reviews and Analyzes</b> client's total financial position. Identifies both financial and personal goals and objectives, identifies financial problems. Assesses client's risk/reward profiles, evaluates asset disposition and cash flow, investment philosophy, risk management, tax management, estate planning and realism of goals and objectives	<b>Analysis</b> <a href="#">David</a> , <a href="#">Craig</a> , <a href="#">David Jr.</a>	
<b>Develops Financial Plan</b> with assistance from other advisors and consultants as required. Reviews alternatives, strategies and investment/financial vehicles. Formulates recommendations to achieve objectives consistent with client resources and attitudes.	<b>Plan Formulation</b> <a href="#">David</a> , <a href="#">Craig</a> , <a href="#">David Jr.</a>	<b>Provides Feedback</b> to allow planner to fine-tune the plan.



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<b>Preparation of the Plan Document</b> containing 13 elements	<b>YOUR PLAN DOCUMENT</b> <a href="#"><i>David, Craig, David Jr.</i></a>	
<b>Presents Final Plan</b> with specific implementation schedule.	<b>Plan Presentation</b> <a href="#"><i>David, David Jr.</i></a>	<b>Approves Plan</b> , with agreed upon modifications, if any. Engages planner to assist in implementation. Authorizes steps necessary to implementation
<b>Assists Client in Implementation</b> and coordinates financial team activities	<b>Plan Implementation</b> <a href="#"><i>Pat, Kathy, Brenda</i></a>	<b>Continues to work with planner</b> and other members of financial planning team to accomplish goals.
<b>Monitors Plan Progress</b> and advises client on factors which could affect the plan progress	<b>Periodic Investment Monitoring</b> <a href="#"><i>David, Pat</i></a>	<b>Consults with planner</b> as necessary

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