Portfolio Assessment Checklist

The following checklist can be used to help assess the health of your client's portfolio of investments. Answer the following questions about your client's investment portfolio to help determine what type of assistance will be needed.

OVERVIEW

Portfolio clearly follows an investment policy statement / strategy? ☐Yes ☐No

Current investments align with client's objectives? ☐Yes ☐No

Are there any style drift concerns? ☐Yes ☐No ☐n/a

Portfolio lacks tax management or efficiency? ☐Yes ☐No

Portfolio's communication obstructed by unclear or untimely reporting? ☐Yes ☐No ☐n/a

DIVERSIFICATION

Portfolio has an appropriate level of risk given time horizon and clients risk tolerance level? ☐Yes ☐No

Client knows needed levels of asset class diversification? ☐Yes ☐No

Portfolio is missing asset classes or products? ☐Yes ☐No

Portfolio includes under-performing investments relative to appropriate index or peer group? ☐Yes ☐No ☐n/a

Portfolio investments have fallen out of the top quartile as measured against peer ☐Yes ☐No ☐n/a

group? Portfolio includes overlapping investments or management styles? ☐Yes ☐No ☐n/a

Portfolio currently lacks active monitoring, adjusting, or rebalancing? ☐Yes ☐No

REVIEW OF PORTFOLIO MANAGERS

Portfolio Manager(s) have underperformed peer group over 1, 3, 5 and 10 year period as measured against peer group? ☐Yes ☐No ☐n/a

Fund has recently undergone a change in manager(s)? ☐Yes ☐No ☐n/a

Fund has excessive expenses or trading activity as measured against peer group? ☐Yes ☐No ☐n/a

PORTFOLIO WATCH LIST

Fund/Investment Name	Sell	Watch	Comment

CLIENT SIGNATURE: ____________________________ **DATE:**_________

ADVISOR SIGNATURE: ___________________________ **DATE:**_________