Our Client Service Pledge

The Allinotte Gagnon Wealth Advisory Group

Let's connect

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Branch Location

BMO Nesbitt Burns
Capital Centre
269 Laurier Ave. West, Suite 201
Ottawa, Ontario K1P 5J9

Client Name: ______________________________ Date: ______________

The Allinotte Gagnon Wealth Advisory Group strives to provide an excellent client experience for each and every client. The questions below will help us to understand your unique requirements so that our team is better able to provide you with the services best suited to your needs.

We are passionate about your financial success. We offer a highly personalized and integrated approach to ensure the growth, preservation and transfer of your wealth to those you care about.

1. Contact

Personal Contact

Ideally, how often would you like to be contacted?

☐ Quarterly ☐ Semi-annually ☐ Annually

Where would you like to be contacted?

☐ Home Phone ☐ Business Phone

☐ Other ______________________________

Portfolio Reviews

How often would you like an all encompassing discussion about your portfolio?

☐ Semi-annually ☐ In Person ☐ Telephone
☐ Annually ☐ In Person ☐ Telephone

2. Likes/Dislikes

Your past investing experiences, both positive and negative, may influence our professional relationship. Please tell us what you liked or disliked about your experience with a previous investment advisor.

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Do you have any remarks or observations that might be helpful to us as we work together to achieve your investment goals?

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____

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BMO Wealth Management
BMO Nesbitt Burns

The Allinotte Gagnon
Wealth Advisory Group

3. Wealth Management Services

Our team offers a full menu of wealth management services to assist you in managing your financial affairs. We may have already discussed some of these options; however some of the following services may complement your needs.

Please check those that are important to you.

Offered by BMO Nesbitt Burns:

Family Issues

- ☐ Your financial security
- ☐ Assisting your parents
- ☐ Assisting your children or grandchildren

Protecting Your Lifestyle

- ☐ Powers of attorney
- ☐ Disability income
- ☐ Survivor income
- ☐ Your personal healthcare
- ☐ Critical illness insurance
- ☐ Long-term care insurance

Your Retirement Plan

- ☐ Your retirement lifestyle plan
- ☐ Your income options in retirement
- ☐ Your company pension options
- ☐ Transition away from your business

Creating a Legacy

- ☐ Distributing your assets in a tax-efficient manner
- ☐ Reviewing your wills and trusts
- ☐ Preserving and protecting your estate

Philanthropy and Giving Back

- ☐ Your giving strategy
- ☐ Private foundations
- ☐ Donor advised funds
- ☐ Charitable giving

Offered by our partners at BMO Financial Group:

- ☐ Personal Banking Services (including personal loans and mortgages)
- ☐ Commercial/Small Business Banking (including business loans)
- ☐ Private Banking (including estates, wills and trusts)
- ☐ MasterCard Services (Canadian/US)

We protect the privacy of your personal information. From time to time we may be contacted by your other professional advisors to release information pertaining to your account at BMO Nesbitt Burns. (Particularly during tax time)

I authorize BMO Nesbitt Burns to release information to the following people:

	Name	Tel	Email
Banker:			
Accountant:			
Lawyer:			
Other:			

For which matters have you sought professional advice in the past?

☐ Wills/Estate Planning ☐ Powers of Attorney
☐ Trusts ☐ Insurance
☐ Other ______________________________

Are you a cottage or vacation property owner?

☐ Yes ☐ No
Location ______________________________

Consolidation of Investments

Some clients hold investments with more than one institution. In many cases, consolidating your accounts with one institution is beneficial, especially with respect to optimal asset allocation, simplified reporting and fees paid.

If you have investments with more than one institution, would you be interested in discussing with us the potential benefits of consolidating your investments at BMO Nesbitt Burns?
☐ Yes ☐ No

Our Team

We have taken great care to assemble an outstanding team and each individual plays an important role in meeting your financial goals. The members have different roles; however, we will work closely together for the common goal of serving you.

Our Education

Keeping abreast of the marketplace and product or service evolution requires a commitment of our time. In order to ensure that we are always remaining current, both Mark and Dale are committed to a minimum of 10 hours of continuing education every year.

Full Range of Services

We believe that our primary role as your Wealth Advisor is to act as the quarterback for your financial future. Therefore, we will provide or facilitate access to a wide range of services supporting a broad range of needs.

Portfolio Review

All sound investment programs require a regular review. The purpose of this check-up is three-fold: to look at your investment portfolio against any changes that may occur in your personal circumstances, to keep you up to date of any issues that may affect your financial future and to ensure that you are on track to achieving your long-term goals.

Retirement Plan

In order for us to best evaluate your situation, we will need to complete your Financial Plan to ensure you are prepared for your future.

"Know Your Client"

As your investment professionals, it is our fiduciary responsibility to learn as much about your financial situation as possible in order to best serve your needs. We are committed to remaining current on our knowledge of your financial lives by re-documenting and updating your client account agreement and other paperwork every three years.

Responsiveness and Competence

You can expect that any call made to our office will be returned by one of our team members on the same day or no later than the next business day. No call goes unanswered between the hours of 8:00 a.m. and 5:00 p.m. While we work hard to execute all business transactions without error, we will strive to resolve any problems within three business days. If that is not possible, we will contact you to provide you with a status report within that time period.

Client Communication

We believe that the interest of our clients are best served when they are educated on key fundamental financial concepts and issues. While it is our role to look out for your best interests, we feel it is important that you understand that we are partners in the decision-making process. This means we will provide you with pertinent information concerning your own unique circumstances in a timely manner.

Client Commitment

In this Client Service Pledge, we have outlined our service commitment to you. However, our relationship is a two way street. We ask that you commit to meeting us a minimum of once a year, face to face, and provide us with all of the relevant information we need to ensure that we are managing your financial affairs as holistically as possible. It is only with full disclosure that we can fulfill our pledge to provide you with the best service possible.

By signing below, I acknowledge the receipt of this Client Service Pledge and my willingness to providing the Allinotte Gagnon Wealth Advisory Group with updates on changes in my financial circumstances in a timely manner.

Client Signature ______________________________ Date ____________________

Client Signature ______________________________ Date ____________________

We became financial advisors more than 20 years ago because we wanted to help people. It is very rewarding for us to be able to work with people like you. One of our team's value added services is that we make ourselves available to friends and family of our clients to provide a fresh opinion and no obligation reviews of their current strategy. If you think someone you know could benefit from hearing about our process and the services we offer, please consider mentioning our team to them.

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