McClelland_Robert_425

THANK YOU FOR YOUR INPUT

This survey will be returned to Acti*Fi*, an independent consultant working on behalf of your financial advisor. We appreciate your input and will be working with your advisor to pass along any feedback which we feel will be helpful in improving service.

Overall Satisfaction

1)
Please rate your overall satisfaction with your relationship with your financial advisor.

- ❍ Very Satisfied
- ❍ Somewhat Satisfied
- ❍ Neutral
- ❍ Somewhat Dissatisfied
- ❍ Very Dissatisfied

Overall Satisfaction

2)
To what extent do you agree or disagree with the following statements?

	Strongly Agree	Somewhat Agree	Neutral	Somewhat Disagree	Strongly Disagree	I Don't Know
My advisor is trustworthy.	❍	❍	❍	❍	❍	❍
The advice my advisor provides is helping me create a better financial future.	❍	❍	❍	❍	❍	❍
My advisor gives me peace of mind.	❍	❍	❍	❍	❍	❍
My advisor takes a proactive approach to managing our relationship.	❍	❍	❍	❍	❍	❍
My advisor fully understands my goals for the future.	❍	❍	❍	❍	❍	❍
My advisor regularly reviews my objectives to understand if my needs have changed.	❍	❍	❍	❍	❍	❍
My advisor puts the needs of me and my family first when making recommendations regarding our plan or portfolio.	❍	❍	❍	❍	❍	❍
The range of services that my advisor provides meets all of my financial needs.	❍	❍	❍	❍	❍	❍
The frequency with which my advisor contacts me meets my needs.	❍	❍	❍	❍	❍	❍
My account is handled with few errors.	❍	❍	❍	❍	❍	❍
I would recommend the services of my financial advisor to family, friends and colleagues.	❍	❍	❍	❍	❍	❍

Your Expectations

3) The following list contains a series of items that may or may not be important to you in your relationship with <u>any</u> financial advisor. <u>Please rate each based on its importance to you</u>.

	Critical	Somewhat Important	Neutral	Not Very Important	Not at all Important
Working with an advisor who is	❍	❍	❍	❍	❍

trustworthy is...					
Working with an advisor who helps me to create a better financial future is...	❍	❍	❍	❍	❍
Working with an advisor who gives me peace of mind is...	❍	❍	❍	❍	❍
Working with an advisor who takes a proactive approach to managing our relationship is...	❍	❍	❍	❍	❍
Working with an advisor who fully understands my goals for the future is...	❍	❍	❍	❍	❍
Working with an advisor who regularly reviews my objectives to understand if my needs have changed is...	❍	❍	❍	❍	❍
Working with an advisor who puts my needs first when making recommendations is...	❍	❍	❍	❍	❍
Having access, through my advisor, to a range of services that meets all of my financial needs is...	❍	❍	❍	❍	❍
The frequency with which my advisor contacts me is...	❍	❍	❍	❍	❍
The accuracy with which my account is handled is...	❍	❍	❍	❍	❍

Your Expectations

4)
In a 12-month period, how often do you expect to meet (either face-to-face or by telephone) to discuss your wealth management needs?

❍ 0
❍ 1
❍ 2
❍ 3
❍ 4
❍ 5+

5)
Of the meetings indicated above, how many do you feel should be face-to-face, rather than by telephone? If you prefer all meetings to be face-to-face, select the same number as above.

- ❍ 0
- ❍ 1
- ❍ 2
- ❍ 3
- ❍ 4
- ❍ 5+

6)
In the last 12 months, how often did you meet with your advisor (either face-to-face or by telephone) to discuss your wealth management needs?

- ❍ 0
- ❍ 1
- ❍ 2
- ❍ 3
- ❍ 4
- ❍ 5+

7)
Do you feel it is important for your advisor to provide you with educational opportunities about the markets, investments and insurance, such as newsletters or workshops?

- ❍ Yes
- ❍ No
- ❍ I don't know

8)
Are you comfortable discussing your wealth management needs with someone on your financial advisor's team other than your advisor?

- ❍ Yes
- ❍ No
- ❍ I don't know

Communication and Needs

9)
Which, if any, of the following would you be interested in learning more about from your advisor? If you are not familiar with the concept, simply select 'I don't know'.

	Yes	No	I don't know
Critical illness insurance	❍	❍	❍
Disability insurance	❍	❍	❍
Life insurance	❍	❍	❍
Long-term care insurance	❍	❍	❍
Mortgage services	❍	❍	❍
Risk management (insurance)	❍	❍	❍
Tax preparation services	❍	❍	❍
Trust services	❍	❍	❍

10) Please rate the following communications (or activities), that you receive from your advisor, in terms of their value to you.

	Very Valuable	Somewhat Valuable	Of Little Value	Not at all Valuable	I Don't Know
Face-to-face review meeting	❍	❍	❍	❍	❍
Telephone review meeting	❍	❍	❍	❍	❍
Quarterly newsletter - The McClelland Financial Group Newsletter	❍	❍	❍	❍	❍
Educational workshops (e.g. lunch & learns, McClelland University)	❍	❍	❍	❍	❍
Website - www.tmfg.ca	❍	❍	❍	❍	❍
Educational videos	❍	❍	❍	❍	❍

11)
With which, if any, of the following professional advisors do you work? Beside each, indicate your level of satisfaction with your relationship with that individual.

	Very Satisfied	Somewhat Satisfied	Neutral	Somewhat Dissatisfied	Very Dissatisfied	Not Applicable
Insurance advisor	❍	❍	❍	❍	❍	❍
Other financial professional (stockbroker, financial	❍	❍	❍	❍	❍	❍

planner, investment advisor)						
Lawyer	❍	❍	❍	❍	❍	❍
Accountant	❍	❍	❍	❍	❍	❍
Personal banker (branch-based advisor who helps you with investments or other banking products)	❍	❍	❍	❍	❍	❍

12)
If you indicated that you work with another financial professional, including The McClelland Financial Group of Assante Capital Management Ltd., with how many financial professionals do you work?

❍ 2
❍ 3
❍ 4
❍ 5+

Communication and Needs

13) When was your Will last updated?

____

14)
Or,

❍ I don't know
❍ I don't have a Will

15) When did you last review your life insurance requirements?

____

16)
Or,

❍ I don't know

❍ I don't have life insurance

17)
When did you last hold a family meeting to discuss plans for your estate?

18)
Or,

❍ I don't know
❍ Never

About You

19)
How would you prefer to receive <u>written</u> communications from your advisor?

❍ By mail
❍ By e-mail
❍ No preference

20)
How many years have you been working with The McClelland Financial Group of Assante Capital Management Ltd.?

❍ <1
❍ 1 - 2
❍ 3 - 5
❍ 6 - 9
❍ 10+

21) What is the total value of your investable assets, excluding your home? (Include mutual funds, stocks, bonds, GICs, RRSPs etc.)

- ❍ <$100,000
- ❍ $100,000 - $249,000
- ❍ $250,000 - $499,999
- ❍ $500,000 - $749,000
- ❍ $750,000 - $999,000
- ❍ $1,000,000+

22) What percent of the above assets is managed by The McClelland Financial Group of Assante Capital Management Ltd.?

- ❍ <10%
- ❍ 10 - 24%
- ❍ 25 - 49%
- ❍ 50 - 74%
- ❍ 75 - 99%
- ❍ 100%

23) Which, if any, of the following types of insurance do you have in place?

- ❑ Life
- ❑ Long-term care
- ❑ Disability
- ❑ Critical Illness
- ❑ Funeral
- ❑ Travel
- ❑ Other
- ❑ None of the above

24)
Have you referred anyone to your advisor in the last 12 months?

- ❍ Yes
- ❍ No

About You

25)
What one thing could your financial advisor do differently to enhance the level of service that is provided?

THANK YOU FOR TAKING THE TIME TO COMPLETE THIS SURVEY

To allow your advisor to respond to your specific needs, your name would be appreciated. As a thank-you, you will be entered in a draw to receive the gift outlined in the cover e-mail. If you would like to be entered in the draw but prefer to keep your name confidential please check the box below and your name will be removed before surveys are returned to your advisor.

26)
Please type your name.

____

27) Place a check in the box below if you do not want your name on the summary of responses.

❑ When providing survey responses to my advisor, please exclude my name from my survey. I prefer my response to remain anonymous.