



ALLIANCEBERNSTEIN®

# The Effective Client Review

## Program Description

The annual client review is one of the best times for an advisor to effectively communicate with an investor. Distinct from the typical portfolio review, a client review expands the conversation from a focus on performance to a consideration of the broader themes of investing and a client's life experiences. Effective client reviews not only improve client service; they bolster client retention and help turn satisfied clients into powerful referral pipelines.

To help a client review achieve its fullest potential, this program explores the vital role that the annual client review plays in building client satisfaction and creating opportunities to expand existing relationships. We address the benefits of conducting client reviews, how to prepare for a review and how to develop an effective capital markets outlook as a key part of a more effective conversation. It then focuses on a process for conducting an effective client review.

### Topics include:

- Why an effective communication plan is needed and tips to overcome the obstacles and client excuses for avoiding annual review meetings
- How annual client reviews affect client satisfaction, service, retention and business efficiency
- How to use the annual review to gain a greater wallet share and to generate referrals
- How to identify and gather the appropriate information needed to prepare for a review
- Tips on ways to organize and utilize suitable resources to construct and update a capital markets outlook in a client-focused presentation
- A seven-step process for conducting a client review, the significance of each step in the review and how to transition from one to the next
- Advice for implementing the next steps discussed during the review process as part of a larger communication plan

This material was created for informational purposes only. It is important to note that not all Financial Advisors are consultants or investment managers; consulting and investment management are advisory activities, not brokerage activities, and are governed by different securities laws and also by different firm procedures and guidelines. For some clients, only brokerage functions can be performed for a client, unless the client utilizes one or more advisory products. Further, Financial Advisors must follow their firm's internal policies and procedures with respect to certain activities (e.g., advisory, financial planning) or when dealing with certain types of clients (e.g., trusts, foundations). In addition, it is important to remember that any outside business activity including referral networks be conducted in accordance with your firm's policies and procedures. Contact your branch manager and/or compliance department with any questions regarding your business practices, creating a value proposition or any other activities (including referral networks).

**For financial representative use only. Not for inspection by, distribution or quotation to, the general public.**

The [A/B] logo is a registered service mark of AllianceBernstein and AllianceBernstein® is a registered service mark used by permission of the owner, AllianceBernstein L.P.

© 2026 AllianceBernstein L.P.