

PORTFOLIO MANAGEMENT MINDSET SCORECARD
INTEGRATED ADVISORY



**LEADING CPA FIRMS UNDERSTAND
THE POWER OF INTEGRATION**

WE INTEGRATE THE FUTURE OF CLIENT NEEDS
INTO THE HISTORY OF CLIENT RELATIONSHIPS

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Portfolio Management Mindset Scorecard

Mindsets relating to portfolio management can be difficult to evaluate. To address this issue, we have created the Scorecard below. We have taken eight of the key areas of portfolio management and built context around the different levels of service and experience for each. This will help to define your mindset in relative terms across these key areas and assess where you are today in relation to where you aspire to be. With this information we can make recommendations to help you reach these goals.

Completing the scorecard:

1. For each mindset, pick the number that best represents you currently and put it in the "Score" column.
2. Then, choose the number that represents where you'd like to be 90 days from now (or at some point in the future that works for you and your goals) and put it in the "Goal" column.
3. Share your scorecard with your financial planner who will help you outline actions to reach your goals.

MINDSET	1	2	3	4	5	6	7	8	9	10	11	12	SCORE	GOAL
Diversification	I do not know what I hold in my portfolio - I leave that to my fund manager.			I know the types of investments in my portfolio, but not how it is divided up.			I know the general mix of investments in my portfolio, but not why that mix is right for me.			I understand why my portfolio has the mix that it does and believe it helps me to achieve my goals.				
Transparency	I cannot access the contents of my portfolio without the help of my advisor.			I can see my portfolio at a high-level, but cannot see exactly what I own - I might be able to find it with some research online.			I can look up the contents of my investments, but the information likely won't be current unless I get it from my advisor.			I can quickly access the contents of my portfolio to see exactly what I am invested in.				
Income	The income generated from my investments is inconsistent and I do not rely on it to meet my needs.			My portfolio generate income, but usually I have to sell investments to help meet my needs.			My portfolio usually generates the income I need, but there are times when I need to sell investments to cover the shortfall.			I know how much income to expect from my portfolio and it is sufficient to meet my needs.				
Tax Efficiency	I am not taking advantage of tax-sheltered accounts to the extent that I know I could be.			I am taking advantage of tax-sheltered accounts, but am not sure if I am doing so to the fullest extent.			I take advantage of tax-sheltered accounts and my advisors let me know when I need to make changes.			I understand and take full advantage of tax-sheltered accounts with the help of my advisory team.				
Compensation	I am not sure how my advisors are compensated, and do not know if they provide good value.			I am not sure how my advisors are compensated, but feel they provide good service for the fees I see.			I am very happy with my advisor and have a general idea of how they are compensated.			I know how my advisors are compensated and know they provide good value for the cost.				
Service	My advisor supports a few key aspects of my needs. I have other advisors I see for my other needs.			My advisor provides me with a variety of services and refers me to specialists who can help with my other needs.			My advisor provides me with a comprehensive service offering and has colleagues from other disciplines s/he works with to support me.			My advisor provides me with a comprehensive service offering and works with the other members of my advisory team.				
Communication	My advisor communicates with me when there are important issues I need to address.			My advisor communicates with me regularly. Our interactions provide some value to me.			My advisor communicates with me proactively and regularly. Our interactions provide value to me.			My advisor communicates with me proactively and regularly. Our interactions are personal and provide great value to me.				