

Sample Timeline and Activities for New Clients

Activity	Type of Meeting	Amount of Time	When	Purpose
Initial conversation	In person or phone	45-60 min	Day 1	General discussion; get to know each other; determine potential for fit
Follow up conversation(s)	In person or phone	30-60 min	W/in 7-10 days of day 1	Further determine potential; more detailed discussion of client's needs, goals, risk tolerance
Determination of whether to work together	NA	NA	W/in 7-21 days	Client decision on whether to move forward
Sharing of documents	Phone, mail, email	NA	Days 21-28	Client shares existing brokerage statements and, as desired, other financial documents Client completes Client Profile (balance sheet and cash flow statement), if desired Dann Asset reviews Client's investments; broader financial position as requested Dann Asset delivers firm and TD Ameritrade disclosure documents Dann Asset drafts Investment Policy Statement (IPS); timeline to address other financial issues, if requested Client reviews and approves IPS; timeline for other financial issues as desired
Entering into Investment Advisory Agreement	Phone, mail, email	NA	W/in 28 days	Begin the investment advisory relationship
Opening TD Ameritrade account(s)	Mail, email	NA	W/in 21-35 days	Clients may retain existing brokerage accounts if desired
Begin investment program	NA	NA	W/in 35 days	Begin investing consistent with IPS
Initial investment program updates	Phone, email	15 min	Varies	Keep client apprised of progress
First quarterly report provided; follow ups as requested by Client	Email, phone	As needed	W/in 120 days	Part of Dann Asset standard quarterly reporting cycle; check in with Client; confirm happy with reporting and progress