

# Portfolio Assessment Checklist

The following checklist can be used to help assess the health of your client's portfolio of investments. Answer the following questions about your client's investment portfolio to help determine what type of assistance will be needed.

## OVERVIEW

- Portfolio clearly follows an investment policy statement / strategy? Yes No
- Current investments align with client's objectives? Yes No
- Are there any style drift concerns? Yes No n/a
- Portfolio lacks tax management or efficiency? Yes No
- Portfolio's communication obstructed by unclear or untimely reporting? Yes No n/a

## DIVERSIFICATION

- Portfolio has an appropriate level of risk given time horizon and clients risk tolerance level? Yes No
- Client knows needed levels of asset class diversification? Yes No
- Portfolio is missing asset classes or products? Yes No n/a
- Portfolio includes under-performing investments relative to appropriate index or peer group? Yes No n/a
- Portfolio investments have fallen out of the top quartile as measured against peer group? Yes No n/a
- Portfolio includes overlapping investments or management styles? Yes No
- Portfolio currently lacks active monitoring, adjusting, or rebalancing? Yes No n/a

## REVIEW OF PORTFOLIO MANAGERS

- Portfolio Manager(s) have underperformed peer group over 1, 3, 5 and 10 year period as measured against peer group? Yes No n/a
- Fund has recently undergone a change in manager(s)? Yes No n/a

Fund has excessive expenses or trading activity as measured against peer group?

PORTFOLIO WATCH LIST			
Fund/Investment Name	Sell	Watch	Comment

**CLIENT SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**ADVISOR SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

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