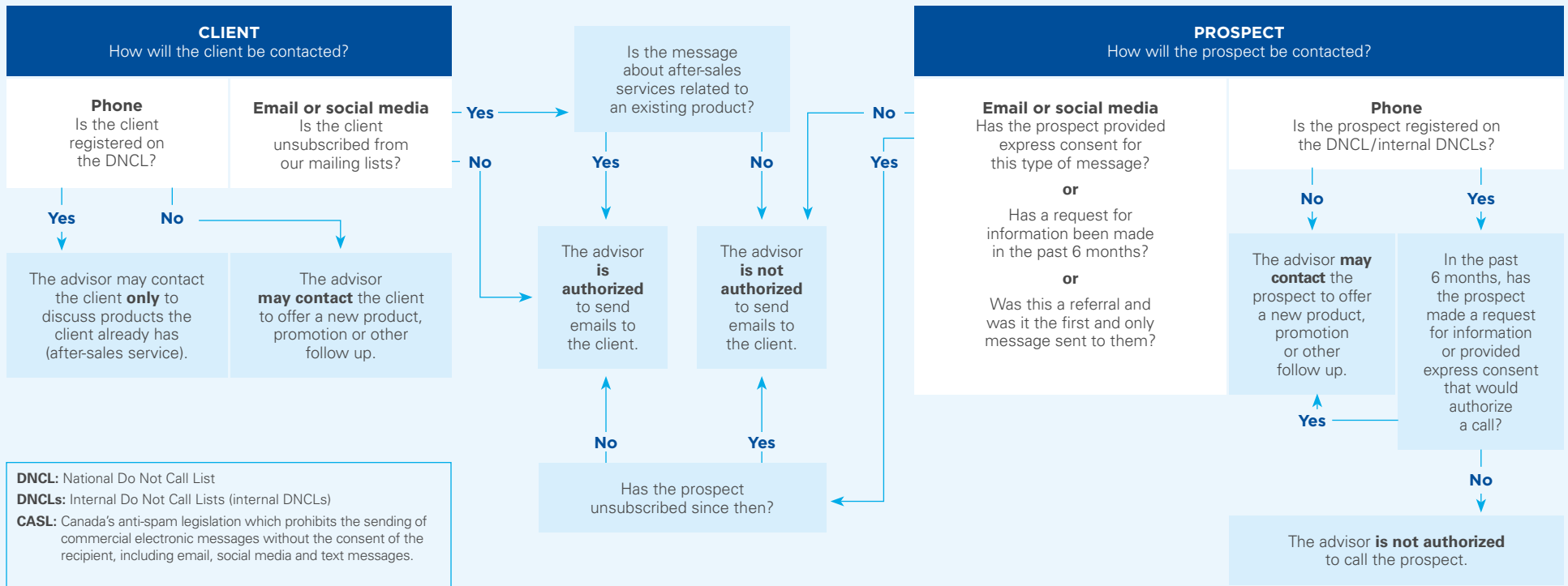


Decision tree - Solicitation

First solicitation contact by the advisor. Is this a client or a prospect?



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Useful information

The same rules apply to a client who has signed a contract in the past 18 months or to an individual who has requested information about a product or service in the past 6 months. **Make sure to record this information, it is important.**

Useful information

The following information must appear in your email:

- Your business name and the name of any person on behalf of whom you are sending the message
- A current mailing address and phone number, an email address and a website address
- Accurate contact information which will be valid for at least 60 days after the message is sent
- **There must be a mechanism for unsubscribing**

If the message is being sent after a referral:

- the message must explain that it is being sent due to a referral; and
- only one message may be sent to the referred contact.

Useful information

Calls may be made:

- Monday to Friday, 9:00 am to 9:30 pm
- Saturday and Sunday, from 10:00 am to 6:00 pm

Your number must be displayed, **you cannot block it.**

You must state your name, title and company at the beginning of the conversation.

At the prospect's request, you must provide a phone number (local or toll free), email or mailing address.

Messages left on voicemail must be responded to within 3 business days. **Your voicemail greeting must state this response time.**