



# Supporting Client Capacity for Investment Decision-Making: Promising Practices

There are many different strategies and promising practices that you can use to support your clients' capacity for investment decision-making. Here are a few. You should work with your clients and their support people to get to know your client's needs.

## Before the meeting

- Provide a meeting agenda and list of documents.
- Consider font type and size.
- Avoid acronyms and clarify confusing terminology or concepts.
- Consider best time of day for your client.
- Ask about assistive devices that may foster participation.
- Support access to the meeting location.

## During the meeting

- Reduce distractions and background noise.
  - Modify the office/meeting space.
  - Try different communication strategies (e.g. visual diagrams or memory cues).
  - Speak directly with the client.
  - Speak clearly, allow for pauses, rephrase if needed.
  - Use scenarios or role play stories to gauge investment knowledge, experience, and risk tolerance.
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- Plan for adequate meeting length. Consider multiple meetings.
  - Offer food or drinks (for in-person meetings).
  - Take breaks as needed.
  - Be a good listener.
  - Be aware of signs of potential abuse or undue influence.

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