

Participant Pre-Call Worksheet for Advisor Services

Practice Management Considerations

Confidentiality and Conflicts of Interest

Prior to communicating with an Advisor, the Participant should determine whether he or she must disclose confidential information in order to have a meaningful discussion with the Advisor.

If confidential information must be disclosed, the Participant should take steps to ensure that both the Participant and the Advisor may comply with their professional obligations.

- I will not divulge confidential information during the call – I have a general inquiry only
(Complete Part 1 – Preparation for a General Inquiry only)

- I will divulge confidential information during the call – I have a client file-specific inquiry
 - I have obtained and documented client consent to this disclosure
 - I have provided appropriate notice and information to the Advisor so that he or she can satisfy his or her obligations under the *Rules of Professional Conduct* or the *Paralegal Rules of Conduct* (as applicable) to conduct an appropriate conflict check
(Complete Part 2 – Preparation for the Client File-Specific Call)

Part 1: Preparation for the General Inquiry

Inquiry – What is my specific question? What do I need help with?

Part 2: Preparation for the Client File-Specific Call

Inquiry – What is my specific question? What do I need help with?

Current Status

Facts – What are the material facts relevant to the inquiry? Have I made assumptions?

Efforts to date – What research have I conducted on this issue to date?

Goal/Desired Outcome – What does the client need? What does the client want? What instructions do I have from the client right now?

Obstacles and Risks Identified