CAPABILITIES AND OPPORTUNITIES

PRESENTED BY

Sarah E. Dale
President & Founder
Know No Bounds, LLC

Krista S. Sheets
President
Paragon Resources, Inc.

Know No Bounds, LLC
Dale@KnowNoBounds.net
Tel: 757.258.0008

PerformanceInsights.com

Paragon Resources, Inc.
KSheets@ParagonResources.com
Tel: 770.319.0310

INTRODUCTION

This document includes a number of ideas and opportunities offered through Know No Bounds and Paragon Resources. We focus on delivering value through actionable ideas that participants can put to work immediately. Our programs all tie in with our People + Process = Performance™ formula along with our FIND-GRIND-MIND Model™. The initiatives of Know No Bounds and Paragon Resources include strategies that emulate the habits of top financial professionals and teams to create an excellent foundation for long-term success.

SPEAKING ENGAGMENTS

Our expertise and experience presents the opportunity for us to conduct speaking engagements for your leaders, your advisors and their support teams. We believe in customizing our programs wherever possible to ensure that we reinforce your message and resources. In-person speaking engagements can be delivered in the form of workshops or keynote addresses; sample topics can be found on pages 5-7.

PERFORMANCE INSIGHTS PROCESS™

A powerful and unique suite of diagnostic tools, our Performance Insights Process™:

- identifies the potential performance barriers that are hindering the ultimate success of an advisory team
- facilitates key decisions that need to be made for the future growth of the practice
- provides a roadmap for specific action

Professional advisors know how important it is to conduct a thorough assessment of a client's situation before making recommendations. They also know the benefits of asking the right questions. In many cases, the assessment itself can be "worth the price of admission" since it helps clients realize where the gaps are in their current financial plan. For this same reason, we utilize assessments when building and developing a high-performance practice.

The assessments utilized through our Performance Insights Process™ cover three critical elements.

Individuals: People are fundamental to maximizing overall performance. This area of the process utilizes the *Strengths and Motivators Assessments* to help ensure that the right people are engaged in the right roles and are highly effective in their interactions with one another and their clients.

Team: In order to properly serve clients, teams are now essential. One key benefit of a team is to orchestrate everyone's talents to achieve a common goal. The *Team Performance Assessment* allows each member to provide their perspective on understanding their current team dynamics and areas where they can increase their effectiveness.

Business: You must KNOW your business intimately if you want to GROW your business. Analyzing all aspects of a practice leads to optimizing its performance and increases long-term viability. Our final diagnostic, *Business Performance Assessment*, solicits each team member's perception of both the efficiency and effectiveness of all core functions of the business.

All of the assessments utilized in the Performance Insights Process™ are administered online and have a foundation of proven practice management expertise for the financial services industry.

KNOW SERVICE BOOK

Co-authored by respective Presidents, Sarah Dale and Krista Sheets, this book is intended for financial professionals in any phase of their career who are committed to providing 5-Star service to their clients. Whether you are a financial advisor, financial planner, insurance specialist, associate advisor, sales assistant, or service associate, the content and resources of this book are both applicable and compelling.

This 200+ page *compliance-reviewed* book is truly a comprehensive solution to driving sales through service. Included is a 5-step process with dozens of sample letters, scripts, checklists, and tools to help financial professionals attract and retain ideal clients and take their businesses to new heights. This action-based resource is a unique solution to changing the practice and can lead to the following dramatic results:

- An increase in both assets managed and revenues generated
- An increase in asset retention, client retention, and loyalty
- An increase in referrals by building client advocacy
- A more efficient practice and team
- Personal satisfaction in doing right by the client

Private Labeling of Know Service book

We'd be happy to provide you with a price for the private labeling of our Know Service book. As this book is self-published, we can customize a cover with your logo at a fairly minimal additional cost; alternatively, you may choose to add a company-branded label or sticker on the cover.

INTRANET RESOURCES: WEBINARS, GUIDEBOOKS, TOOLS

Know No Bounds and Paragon Resources offer both stand-alone webinars and a series of webinars based on the topics of your clients' needs. Our webinar offerings walk participants through "how-to" practices and include a process that is built on over the period of the series. Ideas for topics can be found on pages 8-14 and under "discussion topics for program development" on page 15. To aid with implementation and ensure value, our webinar offerings include a short guide with applicable content based on the subject matter chosen and specific tools. These tools could include templates, scripts, sample resources, and varying activities to help ensure that advisors maximize the content, execute within their practice, and realize real results!

Webinars may be recorded and guides can be distributed to your advisory teams whether or not they participated in the live webinar. This allows you to provide your advisory teams with further self-service value add tools to help them grow their business. We welcome your branding to reinforce our joint partnership, but we ask that the finalized material include our company names, logos, and an "about the authors" section. Note that although we encourage jointly branded webinars and guides, the content itself remains the intellectual property of Know No Bounds and Paragon Resources and is provided without exclusivity.

Licensing of our intellectual property or customized content development is available for your website.

TRUSTED ADVISOR WEBSITE

Know No Bounds and Paragon Resources can offer our services to your advisory teams at preferred partner discounts through your preferred partner program. This would include our assessments, the Know Service book, and our coaching and consulting advisory services.

CONSULTING - EXPERT RESOURCE FOR YOUR MARKETING, TRAINING, AND PRACTICE MANAGEMENT TEAMS

Should you uncover specific needs where we may be able to add value through our consulting services, we would welcome the opportunity to work with you. We are happy to be a resource when you need to brainstorm ideas or overcome specific challenges, etc.

Train the Trainer: We offer train-the-trainer programs to your internal teams, whether marketing, training, or practice management. These programs then allow your internal resources to further deepen their success on program delivery to your advisors.

Content Creation: Should you need assistance in creating content for a newsletter or other value-added resources that you provide for your advisory teams, we would gladly offer assistance in that arena.

NEWSLETTER

Paragon Resources and Know No Bounds provide a free monthly e-newsletter entitled Results-Driven Solutions. The newsletter includes timely and relevant ideas in the areas of new business development, client advocacy, practice management, and team development. If your advisory teams would like to sign up for our newsletter, you could post an additional link on the "Trusted Advisor" website or another area of your Intranet.

Samples of past newsletters can be found at:
http://paragonresources.com/wp/resources/articles/

IN CLOSING

We hope that this document provides helpful information and stimulates discussion amongst your leadership. We believe in our unique approach and are confident that our services will be valuable and produce bottom-line results! Please feel free to call us with any questions.

We look forward to working with you!

Warmest regards,

Sarah and Krista

Speaking Engagement Topics: A Selection of Course Descriptions

KNOW SERVICE: DRIVING REVENUES WITH 5-STAR SERVICE

Building long-term relationships is key to continued sales success, especially in today's ever-challenging environment. This interactive workshop focuses on implementing a proven process to increase revenues and achieve true profitability. Service plays an important role in both developing and retaining clientele; however, few advisors actually devise and execute strategies to consistently deliver distinctive service. This program will show participants how to begin to transform reactive service activities into a proactive model where service drives sales.

RELATIONSHIP RETENTION IN TURBULENT TIMES

The current environment creates a challenging situation for those working with clients on their finances, investments, and legacy. It behooves financial professionals to be engaged in both client acquisition and client-keeping activities if they want to grow their business and maximize this great prospecting opportunity! This presentation provides participants with quick ideas to better articulate their value proposition, increase client loyalty, and generate more referrals.

KNOW PLAN: GROW BY DESIGN, NOT DEFAULT

Business plans with volumes of pages quickly prove to be ineffective and are often buried on a shelf to gather dust! This program helps participants devise an ACTIVITY-based plan that becomes the roadmap and accountability document that is utilized by a team throughout the year. Using our FIND-GRIND-MIND™ model, this program will work through ALL areas of an advisor's business to assess its current effectiveness, establish improvement objectives, and determine the best strategies and activities that will lead to actual results. This program is for those who want to develop new success by design, rather than default.

KNOW TEAMS 101: NEW TEAM FORMATION

Forming a team is one of the most effective ways for financial professionals to grow their business and provide added value to their clients. This interactive workshop provides the initial steps and due-diligence process that advisors should conduct when creating high-performance teams. Developed from our People + Process = Performance™ formula along with our FIND-GRIND-MIND Model™, this program will demonstrate that there is no "one size fits all" solution. Topics include: uncovering the reasons for teaming, identifying the business needs and gaps, defining the roles and responsibilities, determining the right individuals, establishing leadership and decision-making, maximizing processes and best practices, and committing to growth. All of these decisions are critical to the long-term success of the practice.

KNOW TEAMS 201: CREATING THE ULTIMATE RESULTS-DRIVEN TEAM

Teaming began its popularity in the financial services industry several years ago, and as the industry grew in complexity, advisors began to see the benefits of partnering with other financial professionals. Many advisors teamed for the right *reasons,* but often did not perform any *due-diligence* to do so. Today, many teams are reevaluating their situations because they are experiencing growth pains in a challenging industry. Using our People + Process = Performance™ formula along with our FIND-GRIND-MIND Model™, this workshop provides powerful information to help current teams evaluate their current state of affairs and make critical decisions and adjustments to realize their ultimate potential.

KNOW CLIENTS: UNDERSTANDING & MAXIMIZING YOUR RELATIONSHIPS

This workshop helps advisors and teams devise the right client segmentation criteria for their business. With this information, a practice can systematize both marketing and service initiatives and determine a clear ideal client relationship definition to drive new revenues. In order to determine who their best clients are, advisors often randomly create a model that is based solely on asset or revenue numbers. They often set account minimums as the primary basis for taking on a new relationship. This program challenges participants to identify the key *quantitative, qualitative,* and *influence* factors that are IDEAL for the practice, thus attracting the right clientele.

CONNECT WITH CLIENTS. REAP RESULTS.

Service and sales are not two separate entities; they are intricately linked. This session helps participants define a service menu that will help define a system for consistent and customized communication, appreciation, and other important service elements that will drive sales. Being keenly aware of client encounters will enable participants to retain current clients, cultivate new ones, and close business faster and with less effort. This program provides a step-by-step process for creating a distinctive client experience.

PRACTICE MANAGEMENT: FINE-TUNING YOUR BUSINESS WITH INCREASED EFFICIENCY

In today's more complex and ever-changing environment, advisory teams know they need to systematize their practice in order to increase capacity and grow the business. This program provides a number of tools and "best practices" to help maximize time, talent, and resources. The ultimate goal is to transform the business into a well-oiled machine that runs on efficient systems and processes. Participants will receive a foundational structure for developing their own standard operating procedural manual and sample templates to customize to their own practice.

GROWING YOUR BUSINESS THE IDEAL WAY: FINDING OPPORTUNITIES IN A NEW WORLD

This workshop focuses on the "finding" element of our FIND-GRIND-MIND™ model. The session helps advisors look at the three key areas to uncover new business opportunities: organic growth, traditional marketing, and referral-based growth. The program will help participants create an actionable roadmap, goals, strategies, and activities for FINDING new business.

THE DNA OF VALUE: CREATING A DISTINCT YOU!

This program helps participants create their unique value proposition. With a growing number of financial professionals all selling essentially the same products and services, it is more important than ever to be able to differentiate your practice and your team. During this program, attendees will answer five critical questions that will act as the foundation for a compelling story to "sell themselves!" This session is ideal for financial professionals who are new to the industry, as well as those veterans interested in repositioning their practices for continued growth.

BEST PRACTICES: DEVELOPING A REFERRAL-BASED BUSINESS

Traditional marketing can be time-consuming and expensive. Instead, most financial professionals want to grow their business through referrals. In this program, we will turn current marketing efforts inside out and develop an efficient method to grow a practice. The workshop addresses how to overcome "referral discomfort," uncover different avenues for generating referrals, and develop strong ongoing practice management habits.

BEST PRACTICES: MAXIMIZING CURRENT RELATIONSHIPS WITH ORGANIC GROWTH

Statistically, most financial professionals do not manage 100% of their clients' assets. This often results in a business comprised of clients who have unrealized profit potential. The workshop explores opportunities to find "lift and leverage" within an existing practice. Participants will be provided with tools and ideas that lead to both deepening existing relationships and increasing referrals.

FINDING THE LEADER WITHIN

This program, targeted towards managers, uncovers ideas and opportunities on coaching individuals and teams to new levels of success. With the increased time commitment for compliance and administration responsibilities, sales leadership can become secondary. This session provides tools and ideas to manage, lead, and develop the sales force, service associates, and operational support.

BUILDING A CULTURE FOR SUCCESS IN A RETAIL BANK

Transitioning from a "traditional" brokerage environment to a banking structure can be difficult. In this presentation, we address the importance of aligning the varied offerings of the branch banking environment to best serve clients. The session focuses on building relationships with banking counterparts, generating referrals, and establishing best practices for achieving maximum profitability.

UNLOCKING YOUR POTENTIAL: PEOPLE + PROCESS = PERFORMANCE™

This interactive program introduces participants to our Performance Insights Process™. We cover the analysis of a current business for effectiveness and efficiency in all aspects, and provide the information needed to take it to the next level of success. Participants will have a proven method for identifying the performance barriers that are keeping them from achieving their full potential, and the key decisions that they will need to make for future growth.

BEST PRACTICES: SALES ASSISTANT OPPORTUNITIES TO INCREASE LEVERAGE

We believe that the assistant plays an important role in the success equation of a financial professional. In this presentation, we provide tools, tips, and resources to help sales assistants streamline their processes, deepen client relationships, and provide their advisors with additional assistance which can lead to finding new opportunities. As with all offerings, our course work for sales assistants revolves around *actionable ideas that* they can put to work immediately to increase productivity, efficiency, and ultimately, their team's production.

MOTIVATIONAL: OPTIMIZE YOU!

(Can be targeted to sales side or internal firm departments)

Somewhere along the line, life has become so busy and we seem to be in a constant state of “too much to do, too little time, and not enough resources!” Regardless of the generation or the industry, the pace of life has increased. It is therefore more important than ever to take time and smell the roses and find some methods to better manage stress levels that appear to be at record highs around the world. In today’s more complex and ever-changing environment, associates often experience this increase in stress and the work/life equation being out of balance. There is often the need to systematize their responsibilities in order to increase capacity, grow the area, and retain employee sanity! This program explores the vital components to increasing efficiency and provides a number of ideas and best practices to help maximize time and talent and transform the relevant area into a well-oiled machine that runs on systems with satisfied, fulfilled, and loyal associates! The information presented, when consistently implemented, can put your professional and personal life on a new and improved trajectory! We walk you through specific steps to help optimize your life!

INTRANET TOPICS, TOOLS & RESOURCES

1. HUMAN CAPITAL MANAGEMENT

NEW TEAM FORMATION

Forming a team is one of the most effective ways for financial professionals to grow their business and provide added value to their clients, but there is no "one size fits all" solution. This program includes WHY teaming is no longer an option (the reasons for teaming), along with HOW-TO instructional content on identifying the needs of the business, and the initial steps advisors should execute when creating high-performance teams.

- ☐ Discovery Questions - What team is right for me?
- ☐ First Steps to Teaming Checklist

DEFINING ROLES & RESPONSIBILITIES

Ensuring that the right people are in the right roles is fundamental to both short-term and long-term success. This program helps identify the type of individuals required in order to fill the basic needs of the practice and subsequently to grow and evolve their practice. The goal is to create a team of individuals with different but complementary skill sets and talents who enjoy working together.

- ☐ Sample Functional Job Descriptions and Worksheet to Design Own
- ☐ Role Analysis - Are the right people in the right roles?
- ☐ Sample Function / Activity Worksheet

FINDING THE RIGHT PARTNER(S)

For those advisory teams looking to add additional people resources to the SALES side of the practice, due- diligence is critical. Over the last decade, many advisors teamed for the right reasons but often did not perform any due-diligence. This program provides an overview and specific process to ensure that when expanding the team from a sales perspective, advisors work through the pros and cons of partnership viability, capitalize on each advisor's strengths to increase productivity and profit, and think through the moving parts that can create the ultimate dream partnership.

- ☐ Partnership Viability Questionnaire
- ☐ Team Agreement Checklist (including trial period vs. formal commitment)

TEAM COMMUNICATIONS

Ongoing communications are vital to the success of an advisor's newly expanded team. Communication can singularly make or break the success of the team! This program includes best practices to help advisory teams begin to develop and consistently execute their team communication plan.

- ☐ Team Communication Resource Kit (comprehensive team communication plan)
- ☐ Sample Weekly Meeting Agenda
- ☐ Sample Monthly Meeting Agenda
- ☐ Importance of the Morning Huddle
- ☐ Team Charter - Codes of Conduct

SELECTING NEW TEAM MEMBERS

As your business evolves, you will inevitably need to expand your team. This program provides the key steps in selecting the right new team members for your practice. Don't let guesswork be your determining factor. In today's market, you must conduct due-diligence to ensure the right fit.

- ☐ Functional Position Profile
- ☐ Defining Critical Success Factors for the Position
- ☐ Effective Interview Techniques

MAXIMIZING YOUR HUMAN CAPITAL: CREATING AN ENGAGING ENVIRONMENT

Similar to prospecting for new clients, finding the right team members takes time. Once they are on board, you want to ensure you create an environment where they are highly satisfied, productive, and feel appreciated. This program reviews some best practices on engaging your team, creating a culture of reward and recognition, delivering professional development, and performance reviews.

- ☐ Developing Team Engagement (reward and recognition)
- ☐ Personal Team Fact-Finder
- ☐ Individual Performance Reviews
- ☐ Personal and Professional Development Plan

GETTING IT ALL DONE:
PEOPLE = MOST PRECIOUS ASSET; TIME = MOST PRECIOUS COMMODITY

With the human capital in place, you want your individual team members to maximize their time and talent. This program includes tools and resources to help team members understand priorities and balance their multiple responsibilities.

- ☐ Time and Task Management Resource Kit (time-blocking)
- ☐ Sample Priority Process

KNOW PLAN: GROW BY DESIGN, NOT DEFAULT

To achieve business development efficiently, a plan is required. Business plans with volumes of pages quickly prove to be ineffective and are often buried on a shelf to gather dust! These resources help participants devise an ACTIVITY-based plan that becomes the roadmap and accountability document that is utilized by a team throughout the year. Using our FIND-GRIND-MIND™ model, the program resources will work through ALL areas of an advisor's business to assess its current effectiveness, establish improvement objectives, and determine the best strategies and activities that will lead to actual results. This program is for those who want to develop new success by design, rather than default.

- ☐ Business Plan Templates & Tools
- ☐ Sample Goal Sheets

PRACTICE MANAGEMENT: FINE-TUNING YOUR BUSINESS WITH INCREASE EFFICIENCY

In today's more complex and ever-changing environment, advisory teams know they need to systematize their practice in order to increase capacity and grow the business. This program provides a number of tools and "best practices" to help maximize time, talent, and resources. The ultimate goal is to transform the business into a well-oiled machine that runs on efficient systems and processes. Focusing on our Client Relationship Lifecycle™ Model, participants will receive a foundational structure for developing their own standard operating procedural manual and sample templates to customize to their own practice.

- ☐ Client Relationship Lifecycle Tool
- ☐ Question Guide for Compiling Your Resources
- ☐ Sample Library of Resources

2. CLIENT SERVICE

KNOW SERVICE: DRIVING REVENUES WITH 5-STAR SERVICE

In a commoditized industry where advisors sell essentially the same products wrapped up in differing wrappers, successful advisors understand that service is no longer a set of reactive tasks performed by an administrative assistant. Service plays an important role in both developing and retaining clientele; however, few advisors actually devise and execute strategies to consistently deliver distinctive service. Our client service offerings outlined below are designed to show participants how to begin to transform reactive service activities into a proactive model where service drives sales. Building long-term relationships is key to continued sales success, especially in today's ever-challenging environment. These programs focus on implementing proven processes to increase revenues and achieve true profitability by focusing on SERVICE.

CREATING 5-STAR SERVICE BEGINS WITH AN ORGANIZED BOOK OF CLIENTELE

In order to deliver memorable and differentiating service, an advisory team must first begin with a well-segmented book of clients. This program helps advisors and teams devise the right client segmentation criteria for their business. With this information, a practice can systematize both marketing and service initiatives and determine a clear ideal client relationship definition to drive new revenues. In order to determine who their best clients are, advisors often randomly create a model that is based solely on asset or revenue numbers. They often set account minimums as the primary basis for taking on a new relationship. This program challenges participants to identify the key *quantitative, qualitative,* and *influence* factors that are IDEAL for the practice, thus attracting the right clientele.

- ☐ Client Segmentation Tools
- ☐ Sample Client Scorecard
- ☐ Question Guide
- ☐ Developing your "Ideal Client Relationship Definition"
- ☐ Sample Opportunity and Migration Lists

TRANSITIONING CLIENTS TO WHERE THEY ARE BEST SERVED

The days of managing 2000 relationships are long gone! Today, many advisors struggle with how to migrate relationships that no longer fit within their business. This program specifically addresses a number of ideas to help transition clients to a place where they can be better served and the advisor can focus on more ideal and profitable relationships!

- ☐ Account Migration Toolkit

CREATING YOUR CUSTOM CLIENT COMMUNICATION PLAN

The number one complaint of clients in our industry continues to focus on communication. Whether the markets are thriving, crashing, or in normalcy mode, advisors must have a proactive and systematized plan to communicate with their clientele. This program specifically focuses on devising the communication element of the service menu and experience.

☐ Sample Communication Plan

CREATING YOUR SEGMENTED SERVICE MENU

Service and sales are not two separate entities; they are intricately linked. This program helps participants define a service menu that will help define a system for consistent and customized communication, appreciation, and other important service elements that will drive sales. Being keenly aware of client encounters will enable participants to retain current clients, cultivate new ones, and close business faster and with less effort. This program walks through three client connection opportunities and provides a simple process for advisory teams to develop a service menu of deliverables for each of their client segments.

This program provides a step-by-step process for creating a distinctive client experience.

☐ Sample Client Experience Observations & Suggestions

☐ Appreciation Brainstorming Resource

☐ Sample Service Menu including Client Communication and Appreciation Plan

CONNECT WITH CLIENTS. REAP RESULTS.

In order to retain clients in this highly competitive industry, today's advisory teams have to provide truly customized service. The prerequisite to customization is knowledge! This program provides a process and tools to help financial professionals really KNOW their clientele FINANCIALLY, PROFESSIONALLY, and PERSONALLY. We also walk participants through a process to ensure the ongoing collecting, storing, and actual utilization of client information.

☐ Fact-Finder Tool

☐ Profiling Campaign Toolkit

INTRODUCING YOUR SERVICE COMMITMENT TO CLIENTS & PROSPECTS

With a new service strategy in place, it's time for execution! This program focuses on introducing your new formalized service menu and plan to both your prospects and existing clients.

☐ Sample Service Commitment

☐ Sample Letter: Invitation for Commitment Meeting

☐ Sample Get to Know You Form

☐ Sample Commitment Meeting Script

☐ Sample Letter: Thank You for Commitment Meeting

☐ Sample Letter: Phase in New Service

ONBOARDING NEW CLIENTS WITH EFFICIENCY AND EXCEPTIONAL SERVICE

Advisors often talk about service during the prospecting phase, but as business is "closed," a new account is "opened," and the relationship begins, it is vital to ensure that new clients EXPERIENCE that service they heard so much about during the prospecting phase. The first six months of the relationship sets the stage for longevity, loyalty, and the potential for referrals. This program introduces participants to a systematized process to transition new clients into the practice with extraordinary high-touch service!

☐ Sample Welcome Packet and Ingredients

☐ Letter: Team Welcome

☐ Sample Letter: Service Associate Welcome

- ☐ Sample Script: First Statement
- ☐ Sample Letter: Internet Access/Web Registration
- ☐ Sample Letter: Accurate Reporting/Center of Influence Information Gathering
- ☐ Sample Script, Checklist, Account Tracking: Introduction to Estate Planning
- ☐ New Client Checklist

EXECUTING CONSISTENT HIGH-TOUCH SERVICE

Developing a service strategy that includes communication and appreciation is merely the first step; in order to reap the desired results, consistent execution is vital. This program provides a simple methodology (based on each advisory team's client experience plan) which will aid in the actual delivery and follow-through.

- ☐ Sample 12-Month Service Calendar

RUNNING EFFICIENT, HIGH-IMPACT, SERVICE-ORIENTED CLIENT MEETINGS

What could be more important than your face-to-face client interactions? Yet so many advisors wait till the last minute and not only are opportunities lost, but team members' frustrations are hitting new highs! This program introduces advisory teams to a process-driven client meeting methodology that will deliver on your service promises and ensure nothing falls through the cracks.

- ☐ Sample Letter: Client Meeting Scheduled Appointment
- ☐ Sample Letter: Meeting Confirmation
- ☐ Sample Client Meeting Agenda
- ☐ Client Meeting Checklist
- ☐ Sample Client Appointment Discovery and Notes
- ☐ Sample Letter: Follow-up Thank You
- ☐ Sample Client Meeting Full Process

SOLICITING FEEDBACK: IS YOUR SERVICE AS GOOD AS YOU THINK?

Soliciting feedback is critical to ensuring you are at least meeting your client's expectations. This program addresses how-to instructional content to develop and execute a feedback system to ensure that you gain input from clients, centers of influence, and team members. This vital information then allows you to adjust and evolve your service strategy and model for continued success.

- ☐ Sample Client Satisfaction Toolkit (includes instructions, client letter, sample survey, follow-up letter)
- ☐ Client Exit Interview Script and Letter
- ☐ External Partner Assessment Meeting
- ☐ Service Model Assessment Meeting

RUNNING HIGH-IMPACT CLIENT/PROSPECT EVENTS

Running successful client and prospect events can be time-intensive and there is a definite need for planning and detail orientation. This program walks participants through an organized process to plan a memorable event from soup to nuts!

- ☐ Client Event Plan and Checklist

- ☐ Checklist: Items to Bring to a Client Event
- ☐ Sample Compliance Tracking Tool

3. MARKETING AND BUSINESS DEVELOPMENT

THE DNA OF VALUE: CREATING A DISTINCT YOU!

This program helps participants create their unique value proposition. With a growing number of financial professionals all selling essentially the same products and services, it is more important than ever to be able to differentiate your practice and your team. During this program, attendees will answer five critical questions that will act as the foundation for a compelling story to “sell themselves!” This session is ideal for financial professionals who are new to the industry, as well as those veterans interested in repositioning their practices for continued growth.

- ☐ Positioning Toolkit including "how-to" on developing an elevator speech, differentiating story, and points of distinction

BEST PRACTICES: DEVELOPING A REFERRAL-BASED BUSINESS

Traditional marketing can be time-consuming and expensive. Instead, most financial professionals want to grow their business through referrals. In this program, we will turn current marketing efforts inside out and develop an efficient method to grow a practice. The workshop addresses how to overcome “referral discomfort,” uncover different avenues for generating referrals, and develop strong ongoing practice management habits.

- ☐ Referral Toolkit
- ☐ Center of Influence: List Development Toolkit

FROM CONTACT TO CHAMPION: DEVELOPING YOUR CENTERS OF INFLUENCE

Defining sources for referrals is a critical path to creating that referral-only practice. In this program, we show participants how to categorize possible centers of influence and develop those relationships into true advocates of their business.

- ☐ Center of Influence: List Development Toolkit

BEST PRACTICES: MAXIMIZING CURRENT RELATIONSHIPS WITH ORGANIC GROWTH

Statistically, most financial professionals do not manage 100% of their clients’ assets. This often results in a business comprised of clients who have unrealized profit potential. The program explores opportunities to find “lift and leverage” within an existing practice. Participants will be provided with tools and ideas that lead to both deepening existing relationships and increasing referrals.

- ☐ Organic Growth Toolkit

GROWING YOUR BUSINESS THE IDEAL WAY: FINDING OPPORTUNITIES IN A NEW WORLD

This high-level program focuses on the "finding" element of our FIND-GRIND-MIND™ model. The resources help advisors look at the three key areas to uncover new business opportunities: organic growth, traditional marketing, and referral-based growth. The program will help participants create an actionable roadmap, goals, strategies, and activities for FINDING new business. (More specific how-to is delivered in the organic growth and referral-based programs itemized above).

- ☐ Finding Toolkit

DEVELOPING YOUR NEW CLIENT ACQUISITION ATTRACTION AND CONVERSION PROCESS

With a clear definition of an ideal prospect in mind, this program walks participants through creating and optimizing a new client acquisition process. From marketing to their target audience, to fact-finding, qualifying, touching their pipeline, and ultimately closing the business, this program includes ideas and best practices to create a systematized approach to new business.

- ☐ Closing Resource
- ☐ Prospect Fact-Finder

POSITIONING YOU AND YOUR TEAM

When making a change to your team or firm, there are a number of important considerations in positioning your team with clients. This program offers some specific ideas to think through in order to both attract and retain your clientele.

- ☐ Positioning Toolkit

DISCUSSION TOPICS FOR PROGRAM DEVELOPMENT

CORPORATE

- Firm consulting to include: Train-the-Trainer Programs, department development, and general industry expertise
- Managing For Success and Workplace Motivators (Assessment Tools)
- Onboarding for New Advisor/Employee Retention
- Creating Employee Loyalty: Designing & Executing Your Corporate Service Menu
- Integrating Banking and Brokerage

CONSULTING

- Advisory team consulting on practice management, client acquisition, and client development

CLIENT ACQUISITION TOPICS

- Developing and optimizing your client acquisition process
- Understanding your niche and devising your definition of the ideal client relationship
- Developing a marketing strategy for your ‘ideal prospects’
- Devising your “introduction” process for prospects
- Devising your “discovery” process for prospects
- Devising your marketing communication calendar and your “pipeline touch plan”
- Creating specific marketing campaigns
- Developing a “conversion process” for taking your prospect to client status
- Devising your referral and client advocacy strategy and process

CLIENT DEVELOPMENT TOPICS

- Devising and executing your Client Onboarding Process
- Devising your ‘proactive’ service process – the service menu
- Devising your ‘reactive’ service process
- Developing your client communication plan
- Developing your client appreciation plan
- Developing your service calendar
- Devising your client commitment agreement and running a client commitment meeting
- Developing a client feedback survey and system
- Devising your organic growth strategy and process
- Executing a *Know Your Client* Initiative - profiling / fact finding (financial, professional & personal knowledge)
- Running a client appreciation event or seminar

PRACTICE MANAGEMENT TOPICS

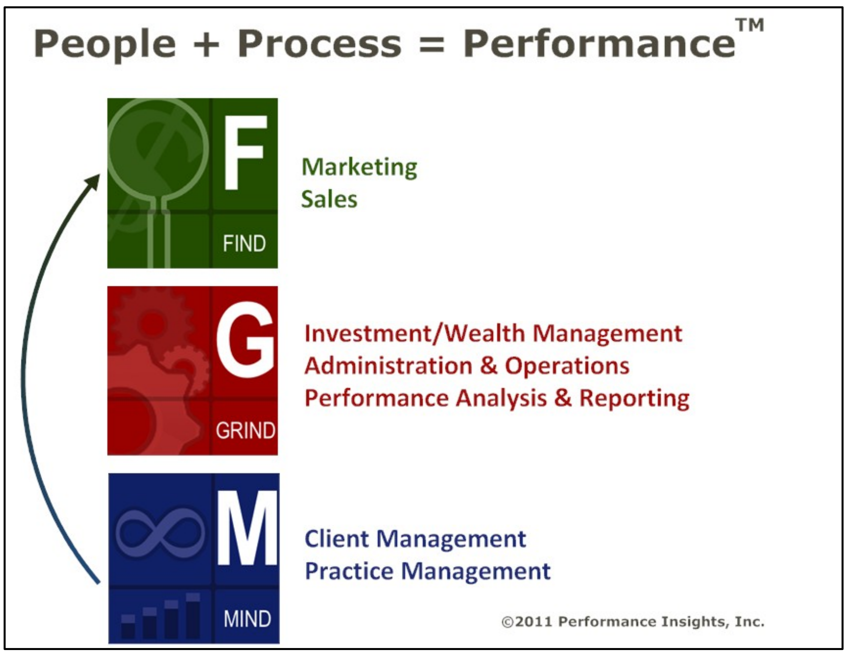
- Developing your activity-based plan
- Developing your team and identifying roles and responsibilities
- Defining the right team structure for your practice
- Segmenting your clientele based on quantitative, qualitative, and influence criteria
- Developing your account migration strategies
- Devising your team communication process
- Developing tools & processes to help support roles stay organized & execute with efficiency
- Developing your standardized monthly and weekly to-do list
- Developing an organized, efficient and impactful client meeting process
- Developing your library of resources
- Developing processes to maximize your internal and external resources

A STRATEGICE PARTNERSHIP TO MEET THE INDUSTRY'S NEEDS

In late 2005, **Paragon Resources** and **Know No Bounds** discovered that we shared the same vision… to help financial services professionals and firms increase their business, optimize their practices, and subsequently make an impact on their lives and those of their clients. Both **Know No Bounds** and **Paragon Resources** have a strong belief in the *team* approach and the importance of maximizing all relationships that impact the success of financial practices and firms. Our clear synergies, complementary talents, expertise, and a passion to make a difference led us down the road to a strategic alliance!

A Powerful Formula to Increase Success:
People + Process = Performance™

For any business to perform at its highest level and achieve maximum profitability there must be an ongoing commitment to invest in **developing both its people and efficient processes**. Know No Bounds and Paragon Resources structure many of our programs and services around this powerful formula: **People + Process = Performance™**.



First and foremost, whether a corporate leader or individual advisor, one must understand the gaps and responsibilities required in order to find the right **PEOPLE** to fill those specific roles. Teams are comprised of INDIVIDUALS who are all driven and motivated by different elements and are gifted with varying talents. Ensuring that the right people are engaged in the right roles and have the right developmental opportunities and environments is essential in *maximizing talent and retaining your most important resource.*

PROCESS is the second key ingredient to success. In today's more complex world, with increased rules, regulations, and administrative requirements, time has become a most precious commodity. Systematizing one's business is essential. Individual advisory teams and firms need to have simple and executable processes in place in order to *maximize their time and resources*.

In working with our corporate and individual clients, we use this powerful formula and model to ensure that we help create ROP… **Return on People** and **Return on Process**… within all areas of the business. To learn more about our offerings and powerful programs, please contact either Sarah Dale (Know No Bounds) or Krista Sheets (Paragon Resources).

SARAH E. DALE - PRESIDENT - KNOW NO BOUNDS

LEADER, CONSULTANT, COACH, AUTHOR, INNOVATOR, SPEAKER

Overview: Founder of KNOW NO BOUNDS and co-author of Know Service, Dale's unique background combines the roles of business development, service, and leadership. Her career has evolved from success working with clients to developing products and programs, implementing strategies for building and leading teams, developing and delivering training and coaching initiatives, creating efficiencies, and growing revenues. Fanatical about people, Sarah is a true advocate for clients, associates, and shareholders. Her creativity, communication skills, and passion to make a difference all add something unique to the individuals, teams, and organizations with whom she works.

Experience: Sarah started her career in the financial services industry in 1990. Her background includes serving as President of a training and online solutions company, where her responsibilities included creating and managing all areas of a small business that provided coaching and development services to financial professionals. Sarah created and delivered business-building content, including virtual programs utilizing web-based technology, printed materials, workbooks, e-books, whitepapers, audio visual CD-ROMs, and live seminars. She utilized her skills in developing fresh, actionable ideas, client acquisition strategies, client development techniques, leadership initiatives, and practice management opportunities.

Sarah also served as director of marketing and training for a regional, full-service investment firm. She served on the management committee responsible for the strategic development and management of the firm and was responsible for forming and running the *Creative Business Development Department*. Her overall responsibility included marketing, advertising, public relations, corporate communications, the web, sales incentive programs, and the development and facilitation of training programs. Additionally, Sarah worked as liaison between the brokerage firm and parent company developing referral programs and exploring areas of integration. She chaired the Private Client Group's annual sales conferences, *Service Plus* Committee, Marketing Committee, and Training and Development teams.

Today, Sarah serves as President and Founder of KNOW NO BOUNDS, a consulting, coaching, and creative solutions company serving the financial services industry. KNOW NO BOUNDS aims to help organizations, teams, and individuals make significant enhancements in their business and their life by generating creative ideas and valuable solutions that produce long-lasting impact ... while having fun in the process!

Education and Personal Background: Native to the south of England, Sarah earned her bachelor's degree from the E. Claiborne Robins School of Business at the University of Richmond. She is also a graduate of the Securities Industry Institute at the Wharton School of Business. While there, she served as senior class representative, and subsequently returned in 2008 to teach a class as part of the SII curriculum. Sarah holds series 7, 9, 10, 63, and life and health licenses. First published in 1995, Sarah co-authored "The Question and Answer Book of Money and Investing," and throughout her career has published numerous articles on financial services-related web sites. In 2007, Sarah co-authored Know Service, 5-Steps to 5-Star Service for Financial Professionals. Sarah served as Vice President of the MathScience Center Foundation Board in Richmond, Virginia. Currently living in Williamsburg, Virginia, her passions include fishing, writing, travel, reading, culinary experimentation, and spending time with her four-legged child, Lord Thompson of Williamsburg! With her family all living across the pond, Sarah is thankful for her friends who have become her American family.

Philosophy: Sarah is described as passionate, loyal, and unique! Her motto is *"have faith, have fun, and love what you do, for life is too short for anything less."* Her goal is to make a difference in everything she does and become a true advocate for each and every client.

KRISTA S. SHEETS - PRESIDENT - PARAGON RESOURCES, INC.
CONSULTANT, AUTHOR, SPEAKER

Overview: President of Paragon Resources, Krista considers herself a Team Architect and Developer who helps financial professionals design team infrastructures for continued success. She consults with teams on partnership viability, identifying team member roles and responsibilities that maximize performance, optimizing the team structure for efficient service, and minimizing practice management issues through proven processes. Krista provides an objective, expert analysis that helps successful investment professionals make wiser decisions on the growth of their practices. She is most effective when working with teams who have a commitment to excellence and internal firm departments who want to be leaders in the industry.

Experience: Krista joined Paragon Resources in January, 1997. Krista has been exposed to many of the practice management issues that plague the industry. With a desire to solve problems and help people work more effectively together, she focuses her work on helping organizations capitalize on their most valuable asset - their people. She has worked with hundreds of teams in all stages of development and with several Wall Street firms building results-driven practice management solutions. In 2003, she became Managing Partner at Paragon Resources and in 2006 became President and Owner. Krista shares her industry expertise by contributing articles and interviews to several trade publications and participating in industry conferences, webinars, and discussion panels. Her first co-authored book, *Know Service*, was published in 2007, and a career high-point in 2008 was presenting to an audience of 1200 Financial Planners in South Africa at the Financial Planners Institute. In 2010, she was an adjunct online professor for Golden Gate University, teaching Business Development Strategies to International Financial Planning Master Graduate Students.

Education and Personal Background: Krista, born and raised in New Jersey, ventured to Boston University where she graduated in three years with a Bachelor of Science in Business Administration. Possessing an entrepreneurial spirit and growing up in a family business, she decided to return to her roots after college to gain more business ownership experience. There, she oversaw all operations of this multi-million dollar business and managed a large staff. From this experience, Krista realized she wanted to learn more about effectively managing and leading people. With a move to Atlanta, Georgia, Krista extensively trained in Human Capital Management and achieved the Certified Professional Behavioral and Values Analyst designations from Target Training International. With her insatiable quest for personal development, she continues to train with highly-respected pioneers of employee performance assessment firms to gain additional expertise in this rapidly growing industry. Currently living in Atlanta, she enjoys life with her friends, three rescue cats, and an adopted dachshund who all have become her "Southern Family." Her passions include gourmet food, wine, nutrition, travel, nature, and helping stray animals in the community. She is a proud Aunt of Kelsey, Nikki G., and Jack.

Philosophy: Krista believes you **must live life with passion and everything else will take care of itself**! "*When we spend our lives doing what we were meant to do, everything else just seems to fall into place.*" Her goal is to help people uncover their true talents so they can achieve personal success, happiness, and fulfillment.