

CORPORATE & STRATEGIC PARTNERS - CUSTOMIZED CONTENT 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

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.