KNOW NO BOUNDS

PARAGON RESOURCES

Resource Tools
Available for Licensing

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

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

INTRODUCTION

Whether you are a corporate brokerage, banking, clearing, fund, or annuity entity OR a coaching/consulting firm, this document includes a listing of our tools available for licensing. These valuable "how-to" resources help advisors and their teams transition from the conceptual to the practical in taking their business to new heights. We can work with you to customize the tools so they reinforce your specific resources, terminology and corporate messaging. Once you have had a chance to review the library, please contact us to schedule a call so we can put together a personalized proposal. Alternatively you can email the form with your checkmarks to info@KnowNoBounds.net or info@ParagonResources.com. We thank you for the opportunity of working together.

IMPORTANT NOTATIONS

- With the exception of the **KNOW™ Service Toolbox**, resources listed in the library are available a-la-carte and each includes instructions on how to utilize within a practice.
- The word "Toolkit" indicates there is more than one tool and these packages are inclusive; they cannot be broken up and priced individually.
- All our resources should be reviewed by your compliance department prior to launching within your system.

LICENSING

- Our deliverables include a non-exclusive licensing of our intellectual property where appropriate. This will be executed through co-branding with your firm where an "About our Partners" remains throughout the content as well as our copyright.
- We will be happy to review any existing firm contracts regarding this matter.
- Our tools and content come for the programs listed below. Call us for more information on in-person workshops and speaking engagements.
  - KNOW™ Service
  - KNOW™ Connections
  - KNOW™ Team
  - KNOW™ Plan
  - KNOW™ Revenues

CUSTOMIZATION

- As mentioned above, in order to maximize value, we can customize many of our tools and resources to you and your firm. Each firm utilizes different technology, software and contact management systems; each firm has an individual name for your intranet information, and each firm has individual ongoing themes and messaging to their advisory teams.
- A conference call to learn more about you and your firm allows us to subsequently customize some of our materials to reinforce your brand, your technology, and your messaging.

FEES

- Our tools and resources vary across the spectrum from simple one pagers to more extensive toolkits. Pricing is dependent on your specific topics of interest.
- Our fees are in part dependent on the extent of your distribution. Please provide us with the number of advisors at your organization.
- By checking the appropriate boxes based on your needs and establishing a conference call, we can design a customized proposal and fee structure for your organization.

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KNOW™ Service Toolbox

- Our **KNOW™ Service** tools were designed to complement our book, ***KNOW Service: 5 Steps to 5-Star Service for Financial Professionals***. These tools are only available as a package for those who have purchased the book. The book itself provides all the detailed "how-to" instructions on working through the process and using the forms, tools and templates.
- The most impactful way to add value to advisory teams and increase your ROI is to launch the book and tools through an in-person workshop or at your sales conference. The presentation will revolve around the KNOW™ Service process and introduce participants to the tools and forms that would then be available on your Intranet site.
- See pages 9-10 for a listing of the KNOW™ Service Tools.
- For volume BOOK purchases, we offer the discounts outlined below. The DOWNLOAD tools are priced based on your distribution; please let us know the number of advisors at your organization and we will create a customized package for you.
- Additional information can also be found at www.BoundlessPublishing.com.
- Please contact us for more information.

Book Quantity	Book Pricing
1-5	$55.00 (regular price)
6-20	$44.00 (20%)
21-50	$41.25 (25%)
51-100	$38.50 (30%)
101-200	$35.75 (35%)
201+	$33.00 (40%)

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PARAGON RESOURCES

Resource Library

Sales & Marketing Resources Business Development & New Client Acquisition	Request Quote
■ The DNA of Value - Unique Value Proposition - Positioning Toolkit o Elevator speech o Story creation o Points of distinction worksheets	☐
■ Closing Resource	☐
■ Prospect Fact Finder	☐
■ Referral Based Growth (from our KNOW™ Connections Program) o Referral Toolkit o Overcoming the Challenges o Center of Influence List Development o Referral-Based Question Bank o Developing your COI Target and Feeder List o Contact to Champion Process o Referral Plan Checklist o 3 Methods of Making the Ask o Sample Referral Plan Process o Sample COI Profile Sheet o Sample Referral Language and Scripts o Referral Letter Templates o Tracking Tool	☐
■ Organic Growth Toolkit: o Client Fact Finder o Opportunity Snapshot Worksheet o Profiling Initiative Campaign and Question Bank o Reconnecting: No Contact for 12 Months o Assets Elsewhere: Second Opinion o Risk Review o Beneficiary Review/Legal Document Update o Contact for Quarterly Review o Commitment Meeting / Client Feedback o Expanding the Household: Multigenerational Relationship Building o Penetration of Services o Tracking Tool	☐
■ Traditional Marketing o Creating Your Marketing Plan and Checklist o Marketing Budget & Tracking Tool	☐
■ New Business Toolkit o Integrating the 4 Key Business Development Opportunities o Samples & Worksheets	☐

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PARAGON RESOURCES

Practice Management Resources: Team Development & Human Capital Management	Request Quote
■ Reasons for Teaming Worksheet	☐
■ Personal Discovery Questionnaire - What Team is Right for Me?	☐
■ Business Needs Inventory & Analysis Worksheet	☐
■ Sample Organizational Charts & Structural Formation Tool	☐
■ Workload Capacity Gap Analysis	☐
■ First Steps to Teaming Checklist	☐
■ Initial Partner Conversation Topics	☐
■ Role Analysis: o Are the Right People in the Right Roles? o Defining Roles & Responsibilities Worksheet	☐
■ Sample Hiring Process and Instructions	☐
■ Sample Functional Job Descriptions and Worksheets	☐
■ Effective Interview Techniques	☐
■ Partnership Viability Questionnaire	☐
■ Team Partnership Agreement Checklist (trial vs. formal)	☐
■ Sample Compensation/Equity Plan	☐
■ Sample Team Member On-boarding Process & Checklist	☐
■ Sample Team Positioning Introduction letter	☐
■ Designing a Personal & Professional Development Plan o Performance Review Tool o Performance Review Process	☐
■ Developing Team Engagement Toolkit o Personal Team Fact Finder o Designing a Reward & Recognition Plan	☐
■ Management & Leadership o Analysis: Should you Manage or Should you Lead o Is it time for a Practice Manager/COO? o Leadership Traits and Tips	☐
■ Team Communication Resource Kit & Checklist o Sample Weekly/Monthly Agenda o Sample Morning Huddle o Sample Priority Process o Developing a Team Charter (Code of Conduct)	☐

Client Relationship Management Proactive Service	Request Quote
■ Creating Your Client Communication Plan o Creating Your Long Term Service Calendar o Brainstorm Topics for Connection Opportunities Worksheet o Sample: 12-Month Service Calendar Plan	☐
■ Creating Your Client Appreciation Plan o Customized vs. Non Customized Appreciation o Sample: Appreciation Ideas o Sample: Signature Connection Services o Client Appreciation Event Checklist o Checklist: Items to Bring to Client Event o Sample: Tool to Track Cost of Client Appreciation & Gifts	☐
■ Ideal Client Experience Toolkit - Internal Service Menu o Client Experience Ideas o Client Experience Observations & Suggestions o Client Communication Plan Worksheet o Appreciation Brainstorming Resource o Sample Service Menu & Worksheet	☐
■ Segmented Service Commitment Toolkit o Integrating Connection Opportunities with Service Offerings o Developing Your Service Commitment Agreement with Sample	☐
■ Introducing Your New Service Plan to CURRENT Clients o Letter: Invitation for Commitment Meeting o Sample: Getting to Know You Form – Interests/Hobbies/Passions o Script: Commitment Meeting o Sample: Service Agreement o Letter: Thank You for Commitment Meeting o Letter: Phase-In New Service ■ Introducing Your New 5-Star Service Plan to Prospects	☐
■ Client On-boarding Toolkit o Sample Welcome Packet Ingredients o Letters: Team Welcome & Service Associate Welcome o Script: Establish Commitment Meeting o Script: Commitment Meeting o Script: Statement Follow-Up Communication o Letter: Internet Access - Web Registration Communication o Letter: Accurate Reporting o Letter: Attorney/Accountant Name Integration o Script: Important Documentation & Intro to Estate Planning o Checklist: Estate Planning o Sample Estate Planning Account Tracking Tool o Checklist: New Client o Checklist: On-boarding Process	☐
■ Client Meetings: Running High Impact Meeting Toolkit	☐

o Letter: Schedule Appointment o Letter: Appointment Confirmation o Sample: Meeting Agenda o Checklist: Meeting Appointment o Sample: Client Appointment Discovery & Notes o Letter: Follow-Up and Thank You o Sample: Client Meeting Process	
■ Client Fact Finding / Profiling Toolkit o Sample Fact Finder (Professional, Financial, Personal) o Sample: Fact Finding Campaign o Client Profiling Delivery method: Mail o Letter: profile/Update Request o Client Profiling Delivery Method: Telephone Interview/Script o Client Profiling Delivery method: In-person Meeting o Sample: Fact Finding Question Bank	☐
■ Client Feedback Toolkit o Client Satisfaction Survey Instructions o Letter: Client Satisfaction Survey o Sample: Client Satisfaction Survey o Letter: Thank You & Follow-Up to Survey o Client Exit Interview Instructions o Script: Client Exit Interview o Letter: Follow-Up to Client Exit Interview	☐
Practice Management Resources: **Business Planning, Segmentation, Systematization**	**Request Quote**
■ Assessment Tools - Ask about our Performance Insights Process™	☐
■ Master Inventory Checklist o What Does Your Business Need? o Defining Your Core Business Worksheet	☐
■ Defining Success Toolkit o Personal Success o Professional Success	☐
■ Business Plan Toolkit (From our KNOW™ Plan Program) o Business Plan Team Agenda and Sample Talking Points o Vision/Mission Worksheets o Assessing your Workload-Capacity Gap o Developing Business Goals and Strategies o Transitioning a Goal- Based Plan to an Activity-based plan o People, Technology & Knowledge Resource Brainstorming Activity o Developing Personal Goals - Accountability o Setting Benchmarks & Tracking Tool o Business Planning Tips, Tools, Templates & Worksheets	☐
■ Business Renovation Worksheets	☐

■ Client Segmentation Toolkit o Client Scorecard o Question Guide for Defining Segmentation Criteria o Segmentation Criteria Sample - Best Clients o Defining Your Ideal Client Relationship o Finding Opportunity within your Segmentation Process o Migration Strategies	☐
■ Account Migration Toolkit o When and How to Migrate Relationships o Sample Process o Sample Letter	☐
■ Time and Task Management Resource Kit o Creating Your Ideal Day/Week/Month o Must Dos and Priority System o Block Time Process o Habits of Successful Financial Professionals	☐
■ Driving Efficiency - Process Development o Client Relationship Lifecycle Tool - Developing Processes o Process Inventory Checklist o Brainstorm: Letter Construction & Ideas for Standardized Letters and Scripts o Sample Library of Resources (incl. letter examples) o Question Guide for Compiling your Library of Resources o Sample SOP (Weekly/Monthly To Do List; Sample Client Meeting Process; New Account Checklist; Year-End Checklist) o SOP Guidelines & Tips	☐
■ Service Model Assessment Toolkit o Client Feedback Toolkit (See Client Service Menu) o Service Model Assessment Meeting Instruction - Team o Service Model Assessment Meeting Discussion - Team o External Partner Assessment Campaign Instructions o Script: External Partner Assessment Meeting	☐
■ Business Succession Toolkit (no legal or valuation services provided) o Defining YOUR Reasons - Personal Questionnaire o Creating your Transition Process o Sample Transition Letter o Checklist	☐
■ Service Model Assessment Toolkit o Client Feedback Toolkit (as above) o Service Model Assessment Meeting Instruction - Team o Service Model Assessment Meeting Discussion - Team o External Partner Assessment Campaign Instructions o Script: External Partner Assessment Meeting	☐

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PARAGON RESOURCES

Know™ Service Toolkit

All instructions for these resources are available in our Know Service Book; therefore the purchase of these tools needs to be in combination with the book itself. Please contact us for more information, volume discounts, and the best ways to maximize your ROI on these value added tools.

Step 1: Analyze

- Client Scorecard
- Question Guide for Defining your Segmentation Criteria
- Segmentation Criteria – Best Clients
- Defining Your Ideal Client Relationship
- Opportunity List
- Elimination/Migration List

Step 2: Assemble

- Client Experience Ideas
- Client Experience Observations & Suggestions
- Client Communication Plan Worksheet
- Appreciation Brainstorming Resource
- Sample Service Menu & Worksheet

Step 3: Assemble

- People, Technology & Knowledge Resource Brainstorming Activity
- Sample Library of Resources
- Question Guide for Compiling your Service Resources
- Sample Letter to External Resources (COIs)
- Sample Client Service Job Description

Step 4: Activate

Creating Your Long-Term Service Calendar

- Creating Your long term service calendar -Brainstorm Topics for Connection Opportunities Worksheet
- Sample: 12-Month Service Calendar Plan
- Checklist: 1st of the Month To-Dos for Service Associate
- Checklist: Monday To-Dos for Service Associate

Introducing Your New 5-Star Service Plan to CURRENT Clients

- Letter: Invitation for Commitment Meeting
- Sample: Getting to Know You Form – Interests/Hobbies/Passions
- Script: Commitment Meeting
- Sample: Service Agreement
- Letter: Thank You for Commitment Meeting
- Letter: Phase-In New Service (

Introducing Your New 5-Star Service Plan to Prospects

Introducing Your New 5- Star Service Plan to NEW Clients - Client On-boarding

- Sample: Welcome Packet Ingredients
- Letter: Team Welcome
- Letter: Service Associate Welcome
- Script: Establish Commitment Meeting

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

PerformanceInsights.com

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

■ Script: Commitment Meeting
■ Script: Statement Follow-Up Communication
■ Letter: Internet Access – Web Registration Communication
■ Letter: Accurate Reporting Communication
■ Script: Important Documentation & Introduction to Estate Planning
■ Checklist: Estate Planning
■ Sample: Estate Planning Account Tracking Tool
■ Checklist: New Client
Client Meetings: Running High Impact Meeting Toolkit
■ Letter: Schedule Appointment
■ Letter: Appointment Confirmation
■ Sample: Meeting Agenda
■ Checklist: Meeting Appointment
■ Sample: Client Appointment Discovery and Notes
■ Letter: Follow-Up Thank You
Client Profiling & Fact Finding
■ Sample: Profiling Campaign
■ Client Profiling Delivery Method: Mail
■ Letter: Profile/Update Request
■ Client Profiling Delivery Method: Telephone Interview/Script
■ Client Profiling Delivery Method: In-Person Meeting
■ Sample: Client Update Form
■ Sample: Profiling Questions
Additional Tools
■ Brainstorm: Ideas for Standardized Letters and Scripts
■ Sample: Tool to Track Cost of Client Appreciation & Gifts
■ Checklist: Client Event
■ Checklist: Items to Bring to Client Event
Step 5: Assess
Client Feedback and Assessments
■ Client Satisfaction Survey Instructions
■ Letter: Client Satisfaction Survey
■ Sample: Client Satisfaction Survey
■ Letter: Thank You & Follow-Up to Client Satisfaction Survey
■ Client Exit Interview Instructions
■ Script: Client Exit Interview
■ Letter: Follow-Up to Client Exit Interview
External Partner Feedback and Assessments
■ External Partner Assessment Campaign Instructions
■ Script: External Partner Assessment Meeting
Team Feedback and Assessments
■ Service Model Assessment Meeting Instruction
■ Service Model Assessment Meeting Discussion
☐ YES, I am interested in the KNOW™ Service Tools

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.