



# The Advisor PACT Monthly Session™

June 16, 2015

Hosted by Mark Little



# Today's Questions

- ✓ I read somewhere that there are 11-steps to implement The Trusted Advisor Toolkit™. I'm not ready for The Toolkit, but could you review those 11-steps to see if there are any concepts I can utilize?
- ✓ How important is it for me to have an Ideal Client Profile? How do I create one?
- ✓ What's the best process for our SMEs to get to know a new client? Should I allow my SMEs to approve new Ideal Clients before we begin working with them?



# Question

I read somewhere that there are 11-steps to implement The Trusted Advisor Toolkit™.

I'm not ready for The Toolkit, but could you review those 11-steps to see if there are any concepts I can utilize?

# Important Concept

The Phrase,  
“Implementing The Trusted Advisor Toolkit™”  
is synonymous with  
“Implementing Truly Comprehensive Financial Services™”  
  
They are one in the same

# 11-Steps to Truly Comprehensive Financial Services™



1

Acquire an effective  
Administrative Manager  
(AM as team  
coordinator)



2

Trusted Advisor has  
"expectations conversation" with  
Administrative Manager  
(what's required of the AM role)  
> AM accepts responsibility



3

Acquire at least one Ideal  
Client



4

Acquire a financial planner  
+ at least one SME  
(Oversight team of at least  
2 SMEs who are willing  
and able to utilize The  
Toolkit Team Workarea and  
to serve as a "team  
player" coordinating with  
other SMEs)



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Administrative Manager  
qualifies for The Toolkit  
Inner Circle™ and  
maintains this minimum  
standard forever



6

Oversight Team fully in  
place  
(FP, TAX, MM, EST,  
INS)



7

Oversight Team ensures  
the Implementation  
Team is fully in place  
(TAX, MM, EST, INS)



8

AM Conducts SME  
Orientations  
(Every SME fully  
understands what's  
expected of them)



9

Functional Team:  
Internally, the delivery of  
Truly Comprehensive  
Financial Services™ has  
fully shifted to Subject  
Matter Experts  
(TA responsible for  
extraordinary meeting  
experience)



10

TA reviews Key  
Performance Measures with  
Subject Matter Experts +  
Administrative Manager at  
least once every 4 months  
(continually increasing value  
to clients and consistently  
moving towards mastery)



11

On average, TA  
conducts at least five  
Initial Client  
Interviews™ per week

# 11-Steps to Truly Comprehensive Financial Services™



Acquire an effective  
Administrative Manager  
(AM as team  
coordinator)

- ✓ Skills Required of a **strong** AM
  - ✓ **Leadership** Skills
  - ✓ Project Management Skills
  - ✓ Attention to detail
  - ✓ Proactive
  - ✓ Resourceful
  - ✓ Self-disciplined
  - ✓ Reliable
- ✓ Capable of being responsible for **forward-progress**. Able to proactively move through these 11-steps **without** prompting
- ✓ AM Schedules training on the **calendar**
  - ✓ The Weekly Session™
  - ✓ The Monthly Advisor Session™
  - ✓ The 23-Action Sequences

# 11-Steps to Truly Comprehensive Financial Services™



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Trusted Advisor has  
"expectations conversation" with  
Administrative Manager  
(what's required of the AM role)  
> AM accepts responsibility

- ✓ AM responsible for making sure their own performance review is on the Trusted Advisor's calendar at least once **every 4-months**
- ✓ AM Ensures this review meeting (and all meetings) are **recorded** for training purposes
- ✓ AM **submits** this meeting recording along with The Interaction Log™ to The Toolkit
- ✓ AM proactively begins implementing The Potential-Client Interaction Time™ Tracker (**PCI Tracker**)

# 11-Steps to Truly Comprehensive Financial Services™



Acquire at least one Ideal  
Client

- ✓ **Assist** TA with The Annual Recurring Revenue Exercise™ (ARR)
- ✓ Insist your TA establish a **firm** Ideal Client Profile (ICP)
- ✓ **Apply** your ICP to all existing clients (see who are Potential Ideal Clients)
- ✓ **Enter** only Ideal Clients into The Toolkit
- ✓ Install “**The Three Meeting Process™**” with every Ideal Client for the next 12-months
- ✓ AM can name (list) **every** Ideal Client’s name without referring to notes



# 11-Steps to Truly Comprehensive Financial Services™

- ✓ AM **proactively initiates** The Deliverables Team Recruitment Process™ to fill SME vacancies until there are at least 2 SMEs utilizing The Toolkit team work area
- ✓ One of the SMEs **must** be a Financial Planning Subject Matter Expert
- ✓ AM holds Financial Planning Subject Matter Expert responsible for implementing **The Master Goal Tracker™**
- ✓ When asked, the AM can clearly **articulate** “what we do” and the value we provide to clients  
(...and will ensure every **SME** is able to do the same)

2

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2 SMEs who are willing  
and able to utilize The  
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to serve as a "team  
player" coordinating with  
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# 11-Steps to Truly Comprehensive Financial Services™

- ✓ AM has demonstrated ability to implement the **basic foundation** of the team workarea (SMEs are able to use The Online Meeting Plans™ to operate as a team)
- ✓ AM has qualified for **The Toolkit Inner Circle™**
- ✓ AM demonstrates ability to **maintain** this standard forever
- ✓ AM has established a weekly goal for processes to be documented using **The Best Way™** method (and has the entire team participating... documenting their own processes using The Best Way™ method)
- ✓ Establish a written “**Interim Plan**” for every Deliverables Checkpoint™ for which you have no Subject Matter Expert in place



Administrative Manager  
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# 11-Steps to Truly Comprehensive Financial Services™



Oversight Team fully in  
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INS)

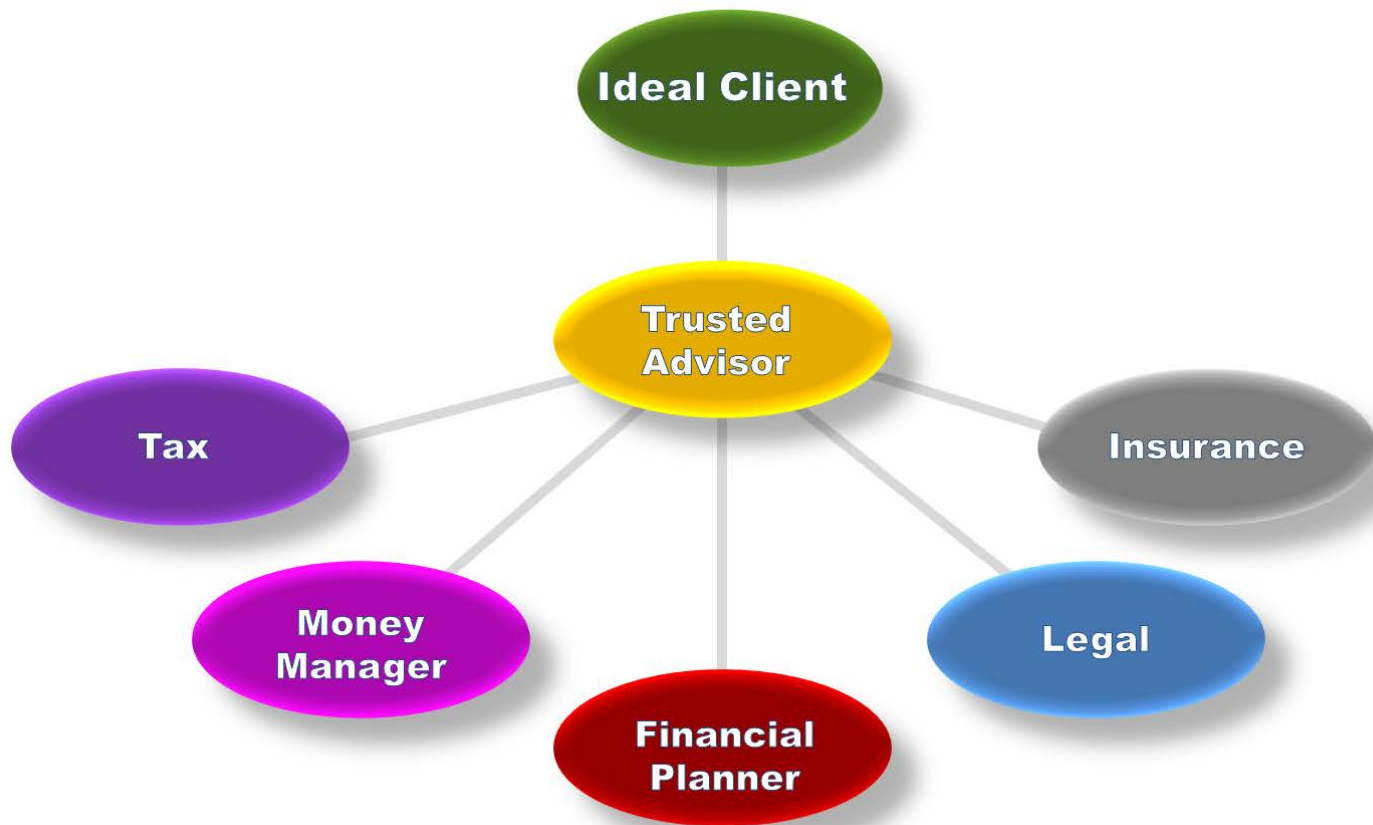
- ✓ AM **proactively initiates** The Deliverables Team Recruitment Process™ to fill all SME vacancies
- ✓ AM is responsible for adding at least one SME every 60-days (keeping the DTRP moving **forward** at all times)
- ✓ Every SME has at least **one** administrative support person (entered into The Toolkit)
- ✓ Arrange 5 team practice sessions using The **Script Binders** (Every SME has fully reviewed all 5 script binders)

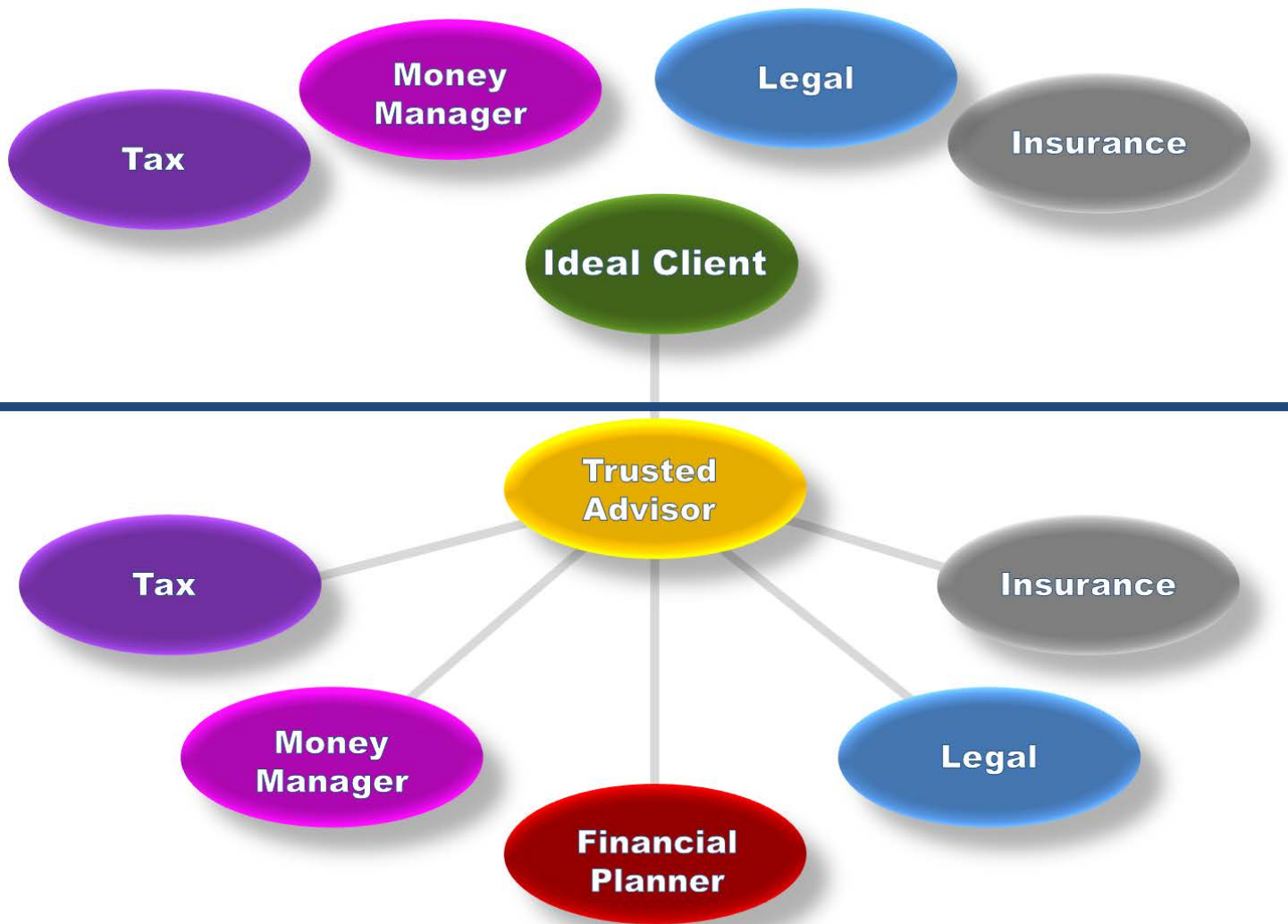
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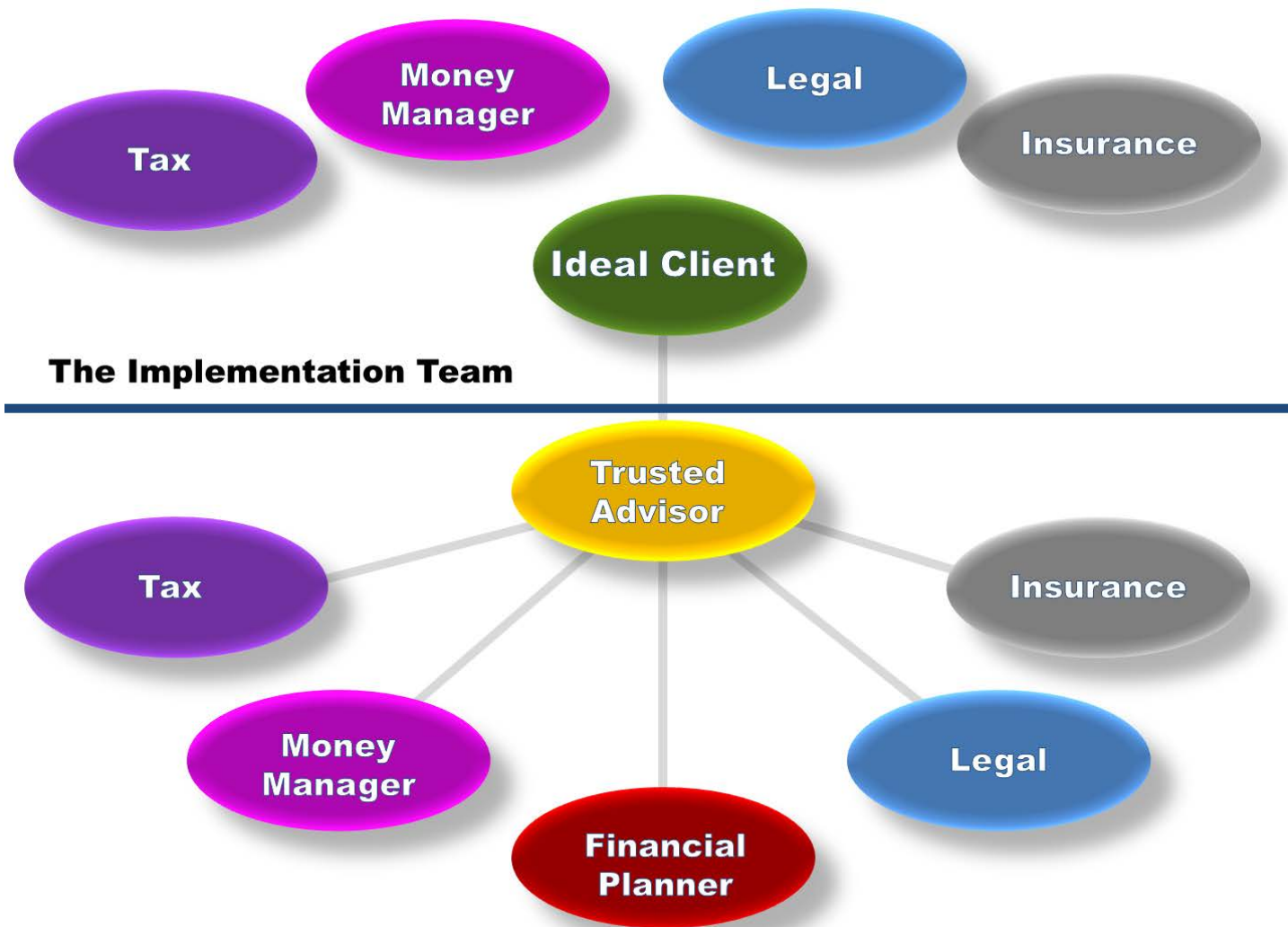


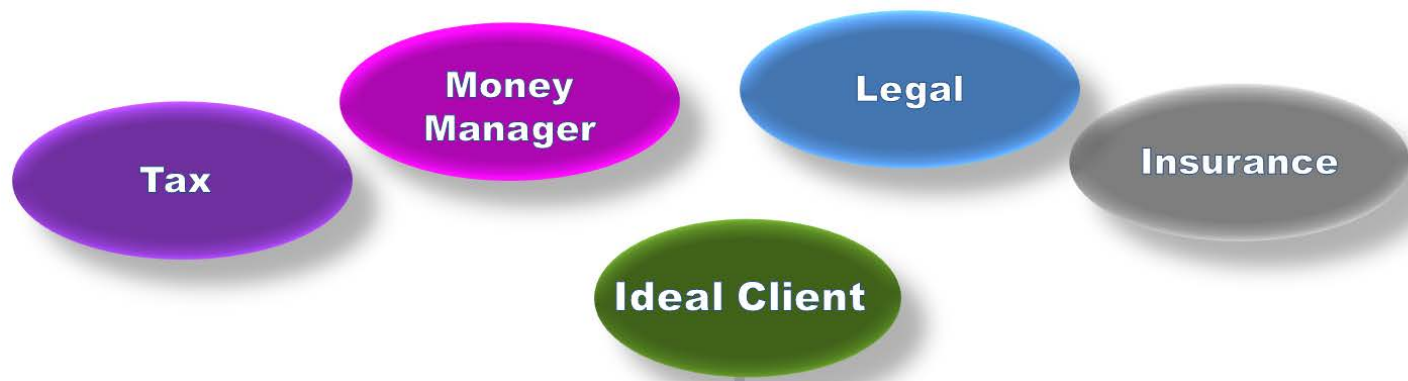
Oversight Team ensures  
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- ✓ Our SMEs have identified every **implementation SME** and provided contact information to our Administrative Manager
- ✓ Each of our SMEs have assessed and **approved** of every implementation SME working for each Ideal Client
- ✓ Each of our SMEs is actively providing arm's-length **oversight** of each implementation SME  
(No recommendation from an implementation SME will be seen by our client unless approved by our Oversight SME)
- ✓ AM implements **The Exception Report™**





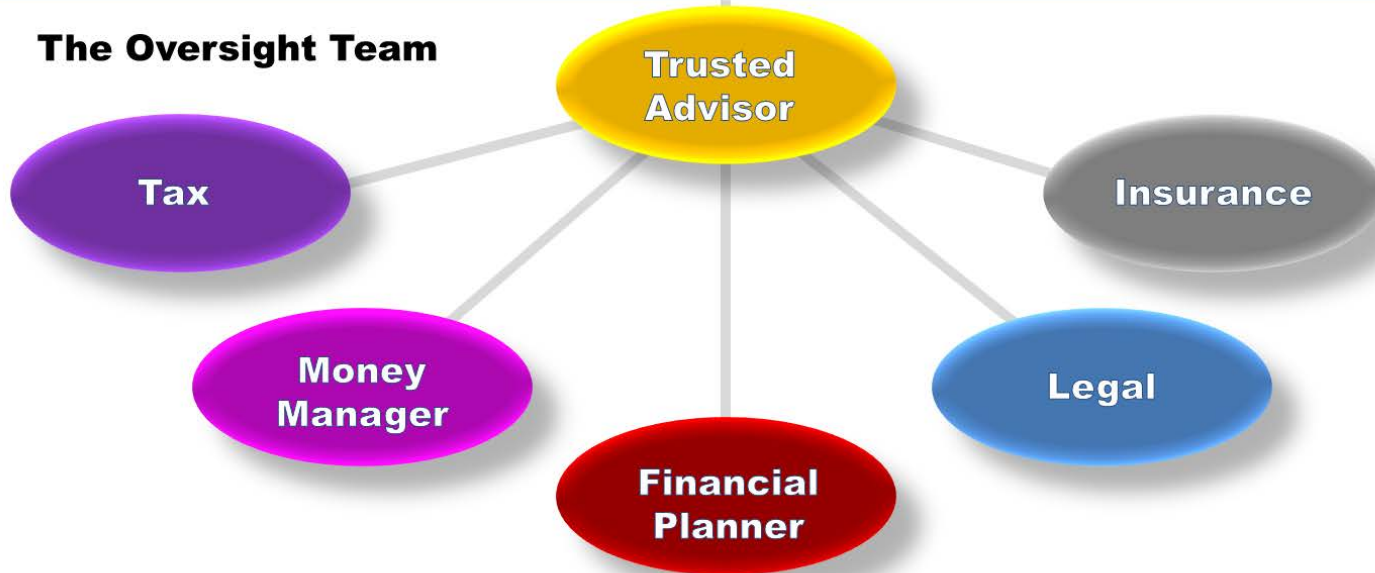




**The Implementation Team**

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**The Oversight Team**







# The Oversight Team

(Your Subject Matter Experts)

1. Creates & Updates this client's comprehensive written lifetime financial **strategy**
2. **Oversees** The Implementation Team  
(ensures all recommendations are well-aligned)
3. **Collaborates** with the other Subject Matter Experts (The Interaction Log™)

**WRITE THIS DOWN**



# The Exception Report™

# 11-Steps to Truly Comprehensive Financial Services™

- ✓ AM conducts orientation for **every** new Deliverables Team Member
- ✓ Every **SME** has seen the orientation video on The Toolkit
- ✓ Every SME **support person** has seen the orientation video on The Toolkit
- ✓ These SME have **all** signed the SME Agreement Form  
(all those forms have been submitted to The Toolkit)
- ✓ AM ensures our TA has 2-hours prep-time scheduled **prior to** every Dry-Run Prep Meeting™ + practice time to ensure an “extraordinary client meeting experience”



8

AM Conducts SME  
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(Every SME fully  
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# 11-Steps to Truly Comprehensive Financial Services™

1. SMEs have each demonstrated they have a proactive professional process **more robust** than our Deliverables Checkpoints™
  2. SMEs are collaborating with each other in-between client progress meetings as evidenced by **The Interaction Logs**™ submitted to our Administrative Manager
  3. SMEs are reviewing the work of the others as evidenced by their contribution during **every** Dry-Run Prep Meeting™
- ✓ AM implements The Solution Log™



9

Functional Team:  
Internally, the delivery of  
Truly Comprehensive  
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fully shifted to Subject  
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(TA responsible for  
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# 11-Steps to Truly Comprehensive Financial Services™

- ✓ AM is responsible for ensuring that a meeting to discuss team-performance improvements is on the advisors calendar at least once **every** 4-months with...
  - ✓ Each SME (one-on-one)
  - ✓ Administrative Manager (one-on-one)
  - ✓ Periodic Deliverables Team Strategy Sessions
- ✓ AM schedules time for TA to prepare in-advance of these meetings (to review Key Performance Measures)
- ✓ AM maintains records for each SME to provide TA prior to this meeting, providing specifics to discuss (what each SME can do to improve client value)



TA reviews Key Performance Measures with Subject Matter Experts + Administrative Manager at least once every 4 months (continually increasing value to clients and consistently moving towards mastery)

# 11-Steps to Truly Comprehensive Financial Services™



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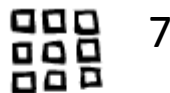
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# 11-Steps to Truly Comprehensive Financial Services™



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## Stage 1 of 3



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Stage 2 of 3



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## Stage 3 of 3

# 11-Steps to Truly Comprehensive Financial Services™



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# Question

How important is it for me to have an Ideal Client Profile?

How do I create one?

# The Essential Elements of an Effective Ideal Client Profile

1. Include **Psychographics**: their personality type, preferences, etc.
2. Include **Behavior** Requirements, including “Financial Delegator”
3. Include **Demographics**: their age, gender, location etc. Must include your **minimum income or asset requirement**
4. Is strictly adhered to. Every Ideal Client meets **every aspect** of your Ideal Client Profile. All other clients are Non-ideal Clients (and do **not** receive Truly Comprehensive Financial Services™)
5. Include your goal for the ultimate **number of Ideal Clients** you will serve

# The Ideal Client Profile

1. Include **Psychographics**: their personality type, preferences, etc.

## Our Ideal Client

*The Client we serve the best has the following qualities:*

- **THEY ARE FINANCIAL DELEGATORS:** Our community of clients appreciate, and are happy to follow, the advice of a team of financial experts coordinated by a single Trusted Advisor.
- **THEY ARE PASSIONATE ABOUT GOALS:** Our clients realize that achieving their goals requires both money and planning. Our community of Ideal Clients appreciates our commitment to pay close attention to all the financial details and proactively recommend the inevitable course corrections, as required, several times each year.
- **THEY ENJOY SIMPLICITY:** Our clients enjoy the simplicity, freedom, and peace of mind that comes from having all of their financial assets under the watchful eye of a single, Trusted Advisor who provides oversight, coordinating all personal financial affairs.
- **THEY VALUE OUR WORK TOGETHER:** Our clients appreciate advice and guidance. Due to the high level of client interaction and attention, our services only make sense for families who have accumulated more \$5,000,000, not including the value of their home
- **THEY LIVE WITHIN 5 MILES OF OUR OFFICES:** Convenience is an important criteria, therefore every Ideal Client lives within 5 miles of our offices at the corner of Prospect Street & Girard Avenue in La Jolla, California.
- **THEY FOCUS ON WHAT'S IMPORTANT:** Our clients delegate financial matters so they can focus their valuable time and energy on the things in their life that are most important to them. Clients who appreciate an advisor who views their role as to protect financial assets, and the financial strategy, allowing clients to focus upon the things which matter most in life.
- **THEY APPRECIATE THE CANDID TRUTH:** Our clients want to hear the truth from us regarding their financial situation...no matter what. Clients who rely upon complete transparency from their advisor.

*Once we have a community of one hundred clients who meet this profile we will not be accepting any new clients.*

# The Ideal Client Profile

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- **THEY FOCUS ON WHAT'S IMPORTANT:** Our clients delegate financial matters so they can focus their valuable time and energy on the things in their life that are most important to them. Clients who appreciate an advisor who views their role as to protect financial assets, and the financial strategy, allowing clients to focus upon the things which matter most in life.
- **THEY APPRECIATE THE CANDID TRUTH:** Our clients want to hear the truth from us regarding their financial situation...no matter what. Clients who rely upon complete transparency from their advisor.

*Once we have a community of one hundred clients who meet this profile we will not be accepting any new clients.*



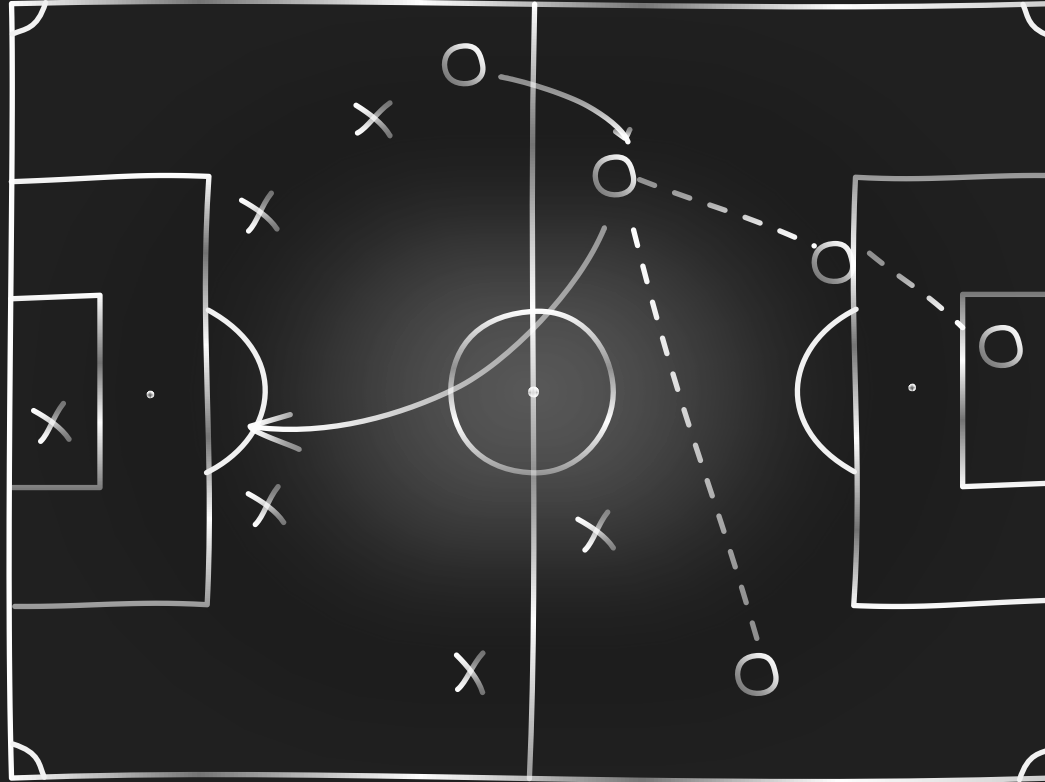
# Question

What's the best process for our SMEs to get to know a new client?

Should I allow my SMEs to approve new Ideal Clients before we begin working with them?

## 2 Issues When On-Boarding a New Subject Matter Expert

1. Introducing new Deliverables Team Member to Ideal Clients
2. Introducing new Subject Matter Experts to your team



# **Introducing New Deliverables Team Members**

Celebrating New Arrivals To Your Team

# Definitions

**Deliverables Team Member (DTM):** Every member of your team who is supporting the Ideal Client experience

TA

DCS

AM

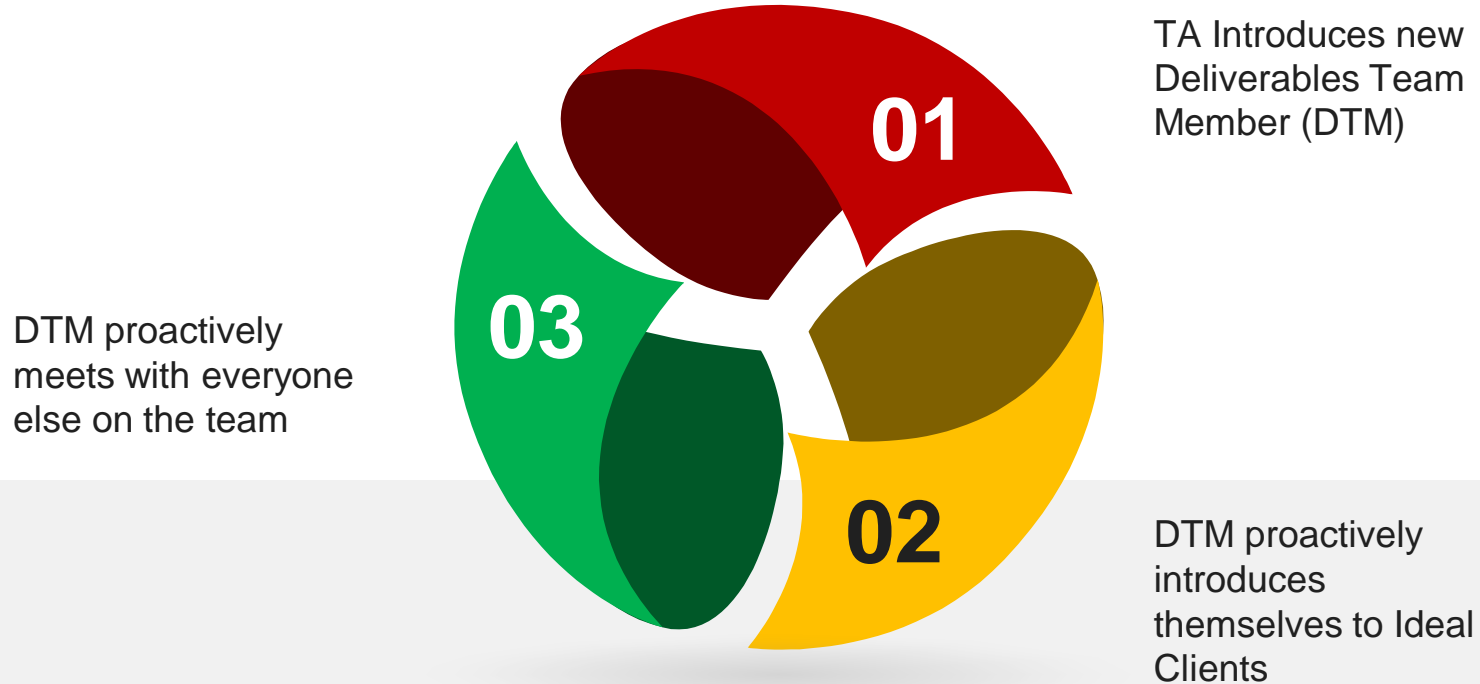
CSAs

SMEs

SME's Support People

**Subject Matter Expert (SME):** A type of Deliverables Team Member, serving Ideal Clients, who is responsible for a narrow field of finance  
(tax, financial planning, investment management, estate planning, insurance)

# Introducing New Deliverables Team Members



# Introducing New Deliverables Team Members

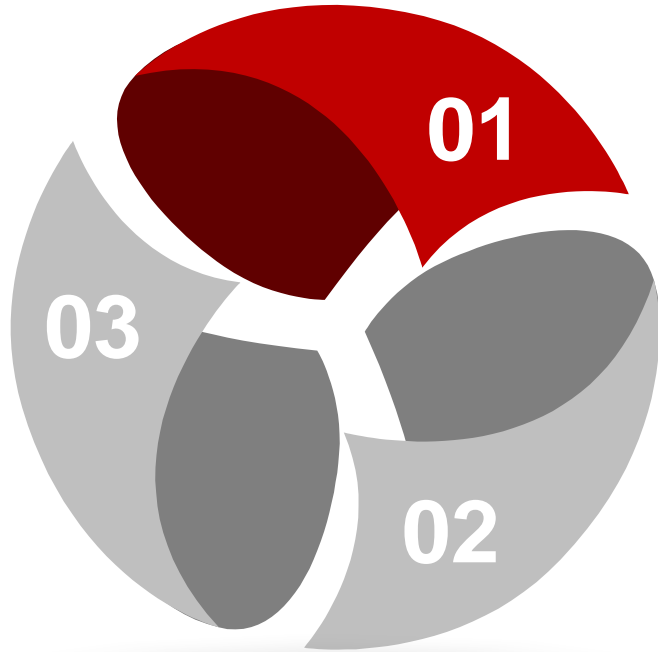


# Introducing New Deliverables Team Members





# Introducing New Deliverables Team Members

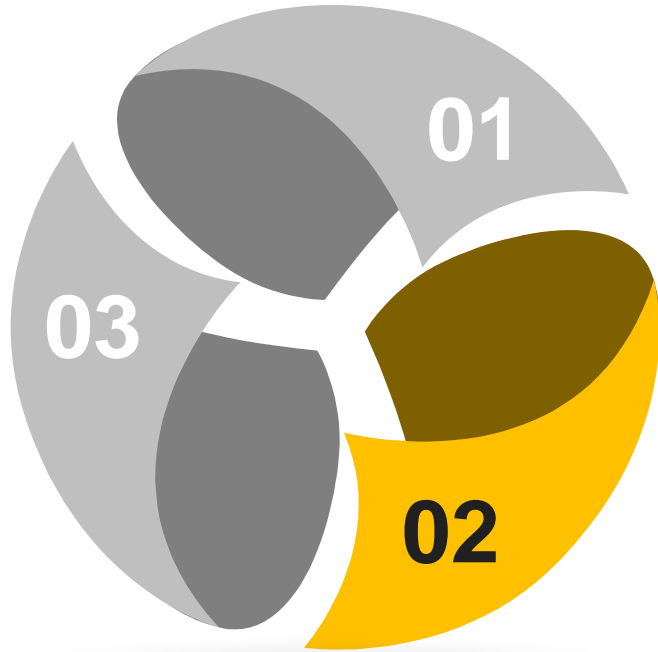


# 01

## TA Introduces

- ✓ TA: Outbound Notifications
- ✓ AM: Updates Website & New Client Welcome Kit
- ✓ DTM: "Sits-in" on every CPM for the first meeting cycle

# Introducing New Deliverables Team Members

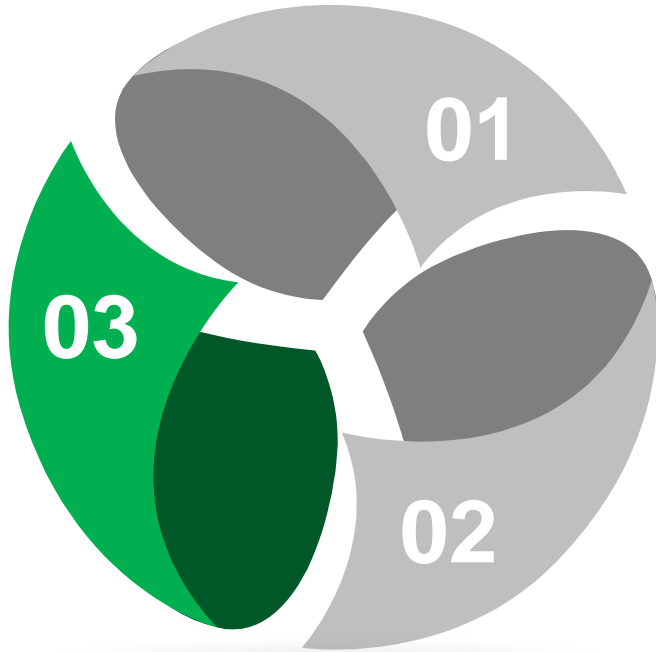


## 02

### DTM Introduces Self

- ✓ DTM: Outbound Notification (thru AM)  
“Excited to meet you... your outcomes with me”
- ✓ DTM follow up call to IC after CPM (with TA.. Meeting FU)

# Introducing New Deliverables Team Members



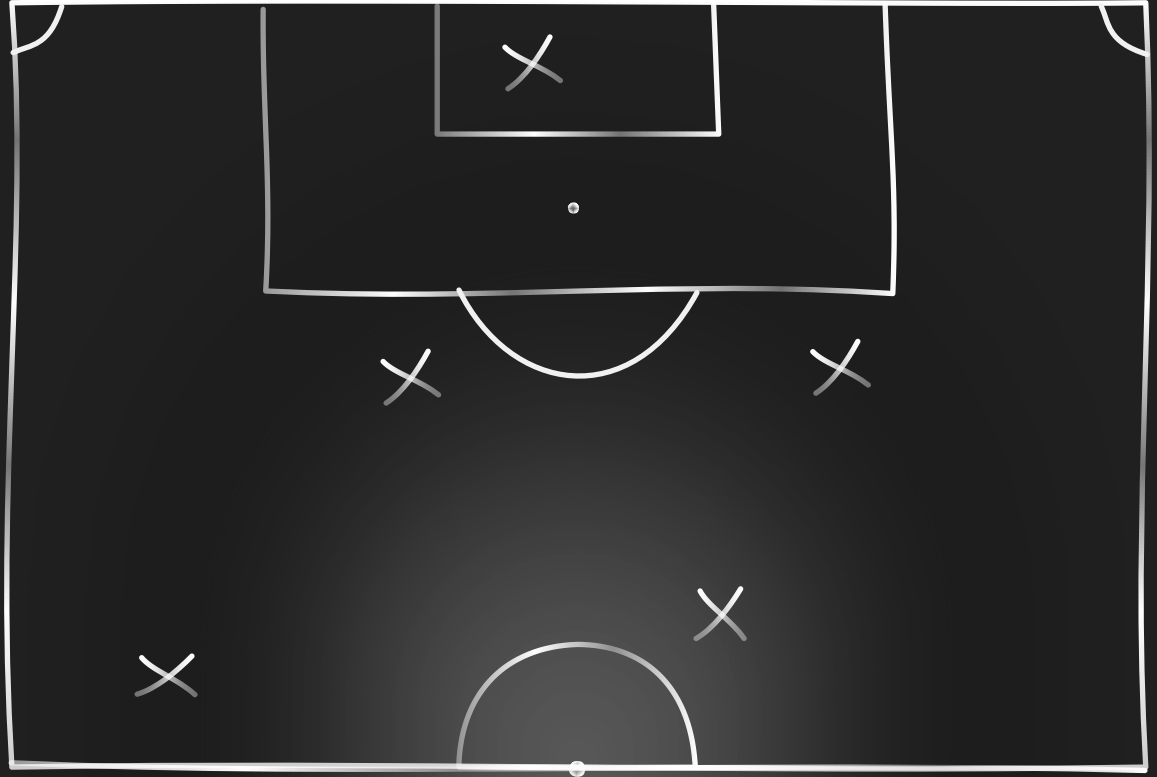
## 03

### DTM Outreach to Team

- ✓ DTM schedules meeting with every SME... run through The Online Meeting Plan™ for next 60 days (from that SME's perspective)
- ✓ Schedules call with every DTM (looking forward to working with you)

# Introducing New Deliverables Team Members (outcomes)

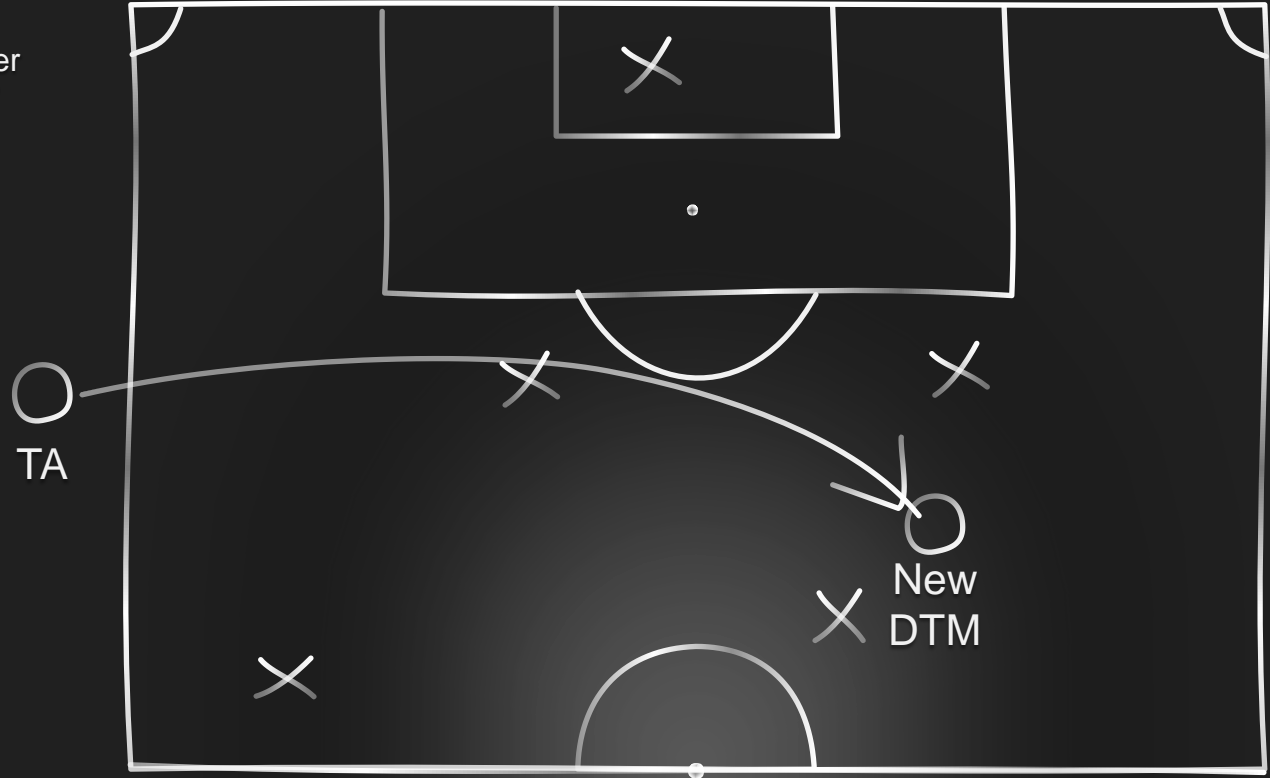
The messages which  
need to be *resounding*...



# Introducing New Deliverables Team Members (outcomes)

TA

- I've sent a new Team Member (a super star) "into the game"

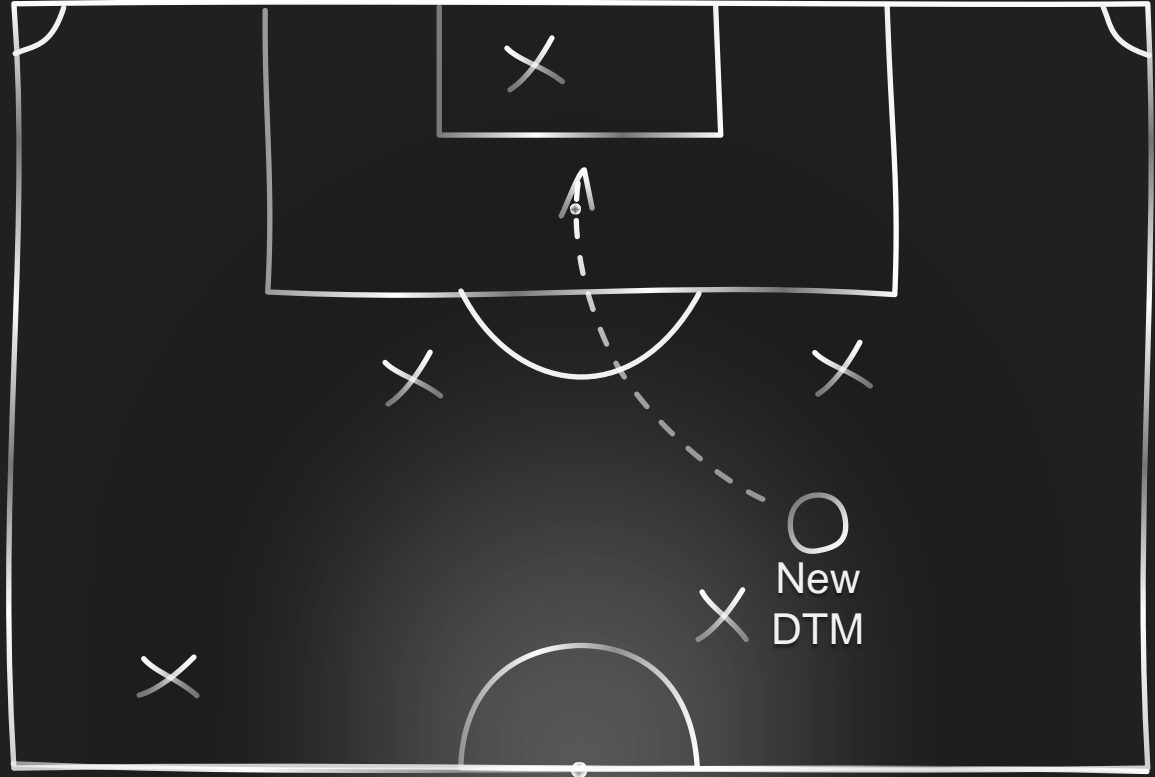


# Introducing New Deliverables Team Members (outcomes)

TA

- I've sent a new Team Member (a super star) "into the game"
- This new DTM is extraordinary

○  
TA



# Introducing New Deliverables Team Members (outcomes)

TA

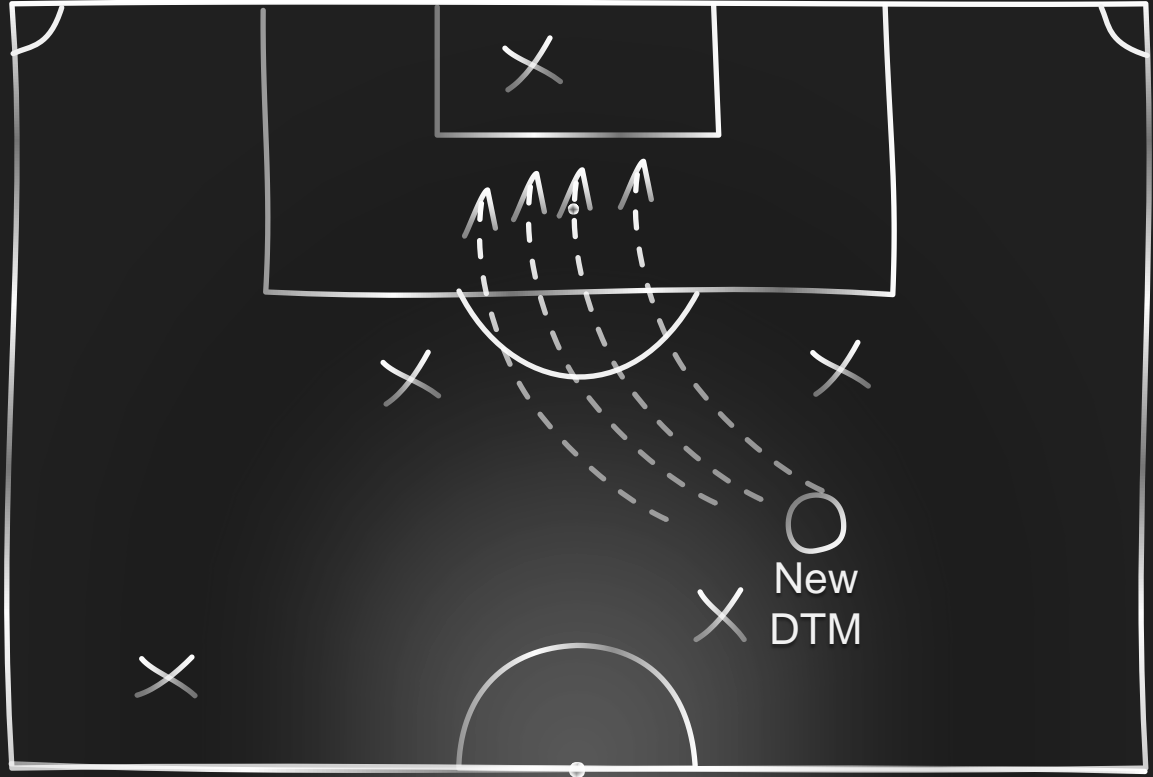
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- This new DTM is extraordinary

New DTM to ICs

- I'm best in class
- Will give 110%  
(I've got your back/  
You can count on me)
- I'm excited to be on the team
- I'm excited to work for you



TA



# Introducing New Deliverables Team Members (outcomes)

## TA

- I've sent a new Team Member (a super star) "into the game"
- This new DTM is extraordinary

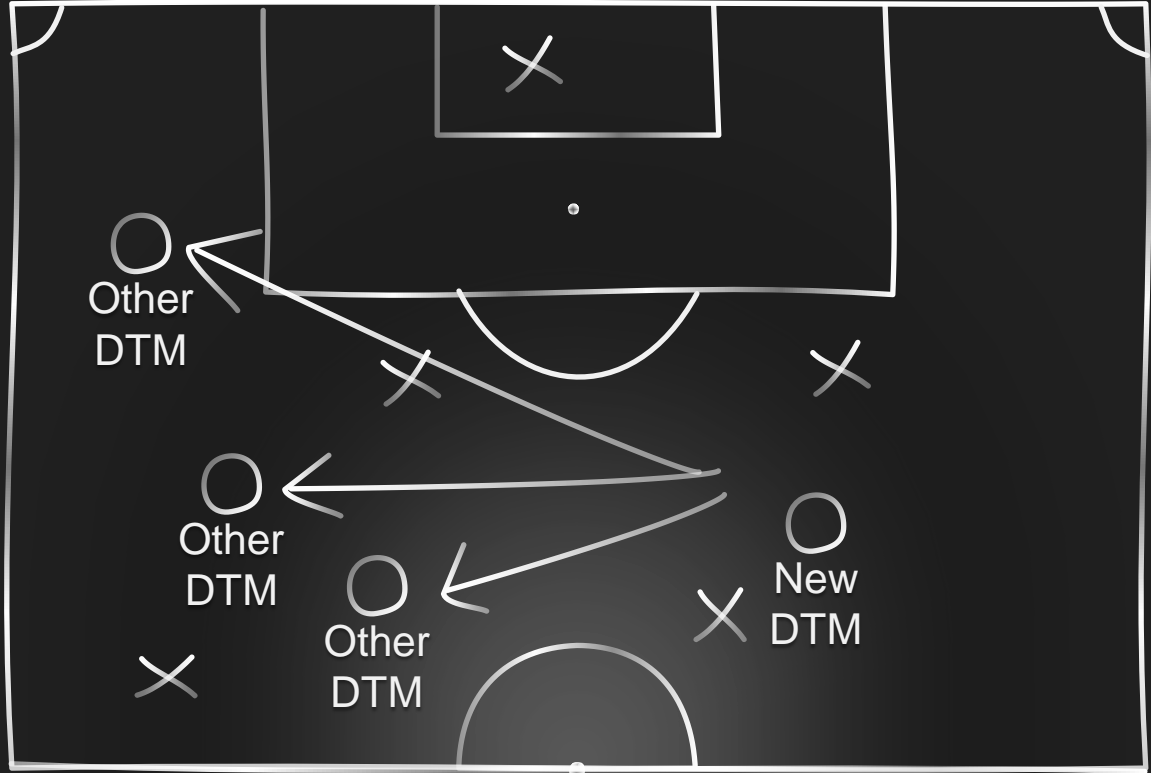
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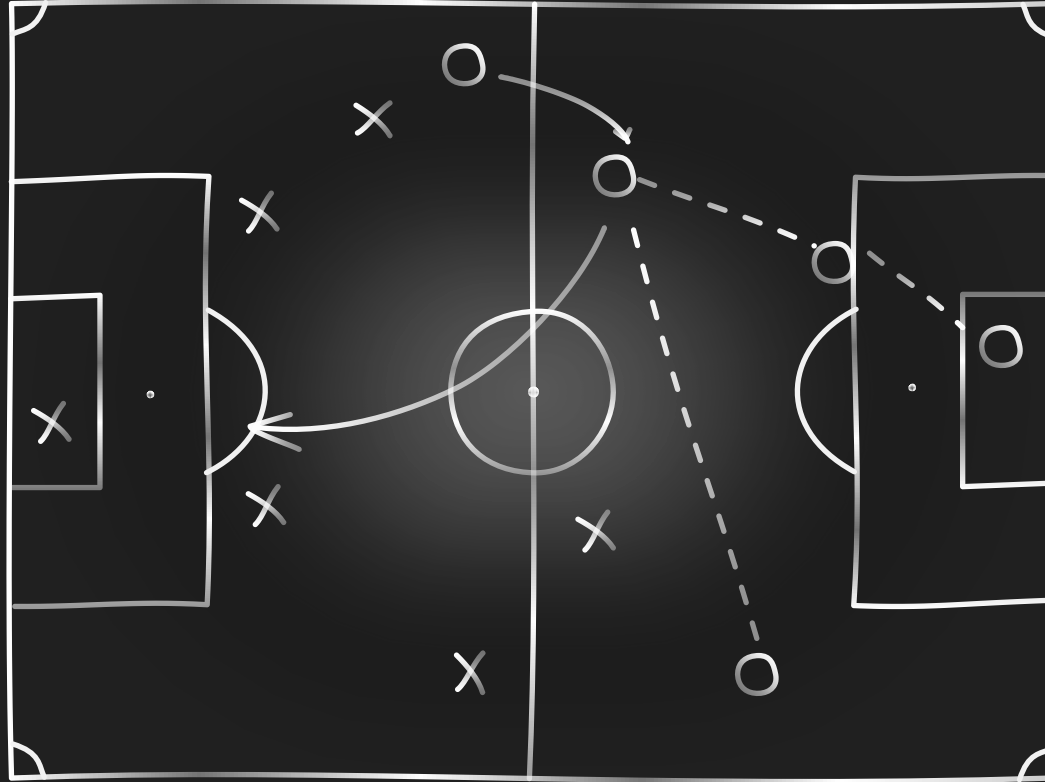
○  
TA

## New DTM to Other DTMs

- I'm excited to be on the team
- I'm excited to work with you
- I'm collegial (but have questions)
- I'm a great team player
- I'll **more than** pull my weight







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