



# ELITE ADVISOR

## PERFORMANCE PLAN



**ADVISORS**  
EXCEL

Since forming around a kitchen table in 2005, Advisors Excel has maintained a relentless focus on integrity, innovation and independence. We have sought to redefine the role of the independent marketing organization in our industry – helping you, one of the most elite financial advisors in the country, provide financial strategies for your valued clientele.

The value Advisors Excel provides begins with identifying the goals and objectives of each individual professional the company works with. With that objective in mind, Advisors Excel commits its time, money and resources to achieving it. Not merely because it is profitable to do so, but because doing so ultimately helps real people and real families gain a measure of comfort in their ability to live the lives they've envisioned for themselves.

The advisors, like yourself, who Advisors Excel is fortunate to work with, find success when you help your clients create the financial freedom that can allow them to pursue their passions in retirement. That's why, at Advisors Excel, business growth is about creating freedom – for you and the families and individuals you serve through your business.

Enclosed in the Elite Advisor Performance Plan is a guide for you to create the business of your dreams. However, the first step in any plan is knowing the current condition of your business. Like any high-performance machine, your business must have a periodic diagnostic to keep it at a peak level of performance. A diagnostic helps determine what areas of your business are in top working order while at the same time identifying key areas that need attention and improvement. This diagnostic starts with a deep review to do on your own, rating where you believe you are in the 6 key aspects of your business. You'll then review some key metrics from this past year to compare to industry benchmarks and where you want to be in the future. Next, set your goals for the following 12 months ... setting the bar for where you want to be one year from now. This can sound daunting at first, but rest assured, this is a quick self-diagnostic, that you simply answer with honest ratings on where you believe your balance is in your business.

After you complete the first two sections, your Annuity Marketing team will take over. You return the first two sections to your team. They will then schedule a time for your coach and you to review your assessment and deliver a diagnosis on the state of your business. Your coach will take you through solutions to implement for areas that you agree have performance gaps in your business. Then your coach will help you decipher your key metrics and help you lay out a complete marketing plan for the next 12 months. Now, this won't be a "gut-feeling" marketing plan. This will be a data-driven marketing plan based on your and other top financial professionals' past experiences.

Lastly, your coach will help you get to "Your Focus Three" and finalize your Performance Plan. Over the years, we've seen a consistent theme from financial professionals that experience the most growth. Instead of trying to improve every tiny aspect of their business at once, these advisors focus on a limited number of implementation steps. This has helped them avoid paralysis some professionals feel when they focus on too much. Instead they made incremental improvements to their business that have equaled massive growth. Your coach will help do the same, getting you to THREE top things to focus on going forward until they're completely implemented. Your coach will then follow up at least monthly, helping as much as possible to get you the right resources and tools to implement Your Focus Three and grow over the next 12 months.

Now, let's get started building a plan to grow the business of your dreams! Please sign and date below so we know you own this plan. Thanks for allowing us to partner with you on your dreams, your business dreams and your family's dreams!

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Owner

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Date



# ELITE ADVISOR

## PERFORMANCE PLAN

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**The Business Owner Diagnostic and  
Plan for Elite Financial Advisors**

## BRANDING & IMAGE

| Rate the following on a scale of 1 to 5,<br>with 1 (Least True) – 5 (Most True)                                                                                                  |                       |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|
| I am proud of our company's name, logo, look and feel.                                                                                                                           | 1    2    3    4    5 |
| I commit a portion of our annual marketing budget to branding efforts (i.e., separate from prospecting efforts).                                                                 | 1    2    3    4    5 |
| Our firm is a well-known, household name in our market.                                                                                                                          | 1    2    3    4    5 |
| Our firm's print materials (EX. business cards, letterhead, envelopes, brochures, folders, notecards, etc.) are high-end and represent our organization with excellence          | 1    2    3    4    5 |
| Our firm's supporting marketing materials (Ex. sales sheets, seminar PowerPoints, website, digital advertising etc.) maintain a consistent, high-end look and feel across media. | 1    2    3    4    5 |
| Prospective clients in our market know how we are different from other competing firms.                                                                                          | 1    2    3    4    5 |
| Our office space projects the right feel and environment needed to attract our ideal client.                                                                                     | 1    2    3    4    5 |

TOTAL SCORE: \_\_\_\_\_/35



## SERVICE & OPERATIONS

| Rate the following on a scale of 1 to 5,<br>with 1 (Least True) – 5 (Most True)                                                                                                                                            |           |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| I am 100% excited about the team I currently employ.                                                                                                                                                                       | 1 2 3 4 5 |
| When needing to hire, I have a systematic process by which I obtain (and retain) great talent, and when needing to fire, I make decisions definitively and know my company's legal obligations regarding any terminations. | 1 2 3 4 5 |
| Team members are cross-trained and team roles are fully documented in an office manual ensuring our firm is never at a standstill because of the loss (temporary or otherwise) of a given team member.                     | 1 2 3 4 5 |
| Our clients receive proactive communication throughout the sales process – keeping them fully informed of exactly what is going on until contracts are issued.                                                             | 1 2 3 4 5 |
| We have our clients categorized, and they receive tiered service, communications and invitations to client events based upon the opportunity they represent to our firm.                                                   | 1 2 3 4 5 |
| We maintain a deliberate and well-marketed client event calendar. Multiple times a year we provide ongoing client events in different categories, including education, referral and appreciation.                          | 1 2 3 4 5 |
| We employ a systematic client referral/introduction plan and we're happy with the percentage of our business that comes from those activities.                                                                             | 1 2 3 4 5 |

**TOTAL SCORE:** \_\_\_\_\_/35



# TECHNOLOGY

| Rate the following on a scale of 1 to 5,<br>with 1 (Least True) – 5 (Most True)                                                           |           |
|-------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| We offer our clients online portal access to their accounts, giving them the freedom to check account values at their convenience         | 1 2 3 4 5 |
| We leverage financial planning software in our sales process to help illuminate needs and demonstrate the power of our recommendations.   | 1 2 3 4 5 |
| We fully utilize a robust CRM to track all client accounts, systematize client communication and maximize additional sales opportunities. | 1 2 3 4 5 |
| We leverage video technology, allowing us to stay virtually “face-to-face” with our clients throughout our sales process.                 | 1 2 3 4 5 |
| We use e-app platforms to ensure our business is submitted in good order and issued as quickly as possible.                               | 1 2 3 4 5 |
| We utilize a Managed Service Provider (MSP) to handle I.T. management, computer network technical support and information security.       | 1 2 3 4 5 |
| Our firm is fully insulated from cyber-security threats, and our clients’ financial information is fully protected.                       | 1 2 3 4 5 |

**TOTAL SCORE:** \_\_\_\_\_/35



# LEADERSHIP

| Rate the following on a scale of 1 to 5,<br>with 1 (Least True) – 5 (Most True)                                                                                        |                       |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|
| Our team holds effective weekly meetings in which I am a participant but not required to be the coordinator or facilitator.                                            | 1    2    3    4    5 |
| I attend at least two professional development conferences or events per year (aside from continuing education courses) to help myself grow as a leader.               | 1    2    3    4    5 |
| I am regularly involved in a network of other like-minded top advisors – exchanging best practices, lessons learned and leadership skills I can employ in my practice. | 1    2    3    4    5 |
| My firm has a systematic plan to engage and grow team members personally and professionally.                                                                           | 1    2    3    4    5 |
| I demonstrate a very reasonable work-life balance and mandate that my staff do the same.                                                                               | 1    2    3    4    5 |
| If asked, my staff would say they fully understand our company's goals and vision.                                                                                     | 1    2    3    4    5 |
| I am a noticeably better leader than I was three years ago.                                                                                                            | 1    2    3    4    5 |

**TOTAL SCORE:** \_\_\_\_\_/35



# MARKETING & CLIENT ACQUISITION

| Rate the following on a scale of 1 to 5,<br>with 1 (Least True) – 5 (Most True)                                                                                         |                       |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|
| Our company operates by a well-thought-out, comprehensive annual marketing plan using data-driven marketing decisions vs. operating by instinct, emotion or “gut feel.” | 1    2    3    4    5 |
| Our company has a defined annual marketing budget.                                                                                                                      | 1    2    3    4    5 |
| We have at least three productive client acquisition strategies or funnels operating simultaneously at all times, not including referrals or existing client business.  | 1    2    3    4    5 |
| Our team tracks the results and exact return on investment of each client acquisition (i.e., prospecting) strategy we deploy.                                           | 1    2    3    4    5 |
| We capture all leads to use to grow and nurture a large ongoing prospect list.                                                                                          | 1    2    3    4    5 |
| We are actively leveraging digital marketing as one of our current marketing strategies through direct response seminars and/or lead generation or lead nurturing.      | 1    2    3    4    5 |
| We test at least one new marketing or client acquisition strategy each year.                                                                                            | 1    2    3    4    5 |

**TOTAL SCORE:** \_\_\_\_\_/35



## SALES

| Rate the following on a scale of 1 to 5,<br>with 1 (Least True) – 5 (Most True)                                                                 |                       |
|-------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|
| Our firm utilizes the same systematic, documented sales process for every prospect walking through our doors.                                   | 1    2    3    4    5 |
| Our sales process has a proprietary name that is marketed throughout all our company's prospecting efforts.                                     | 1    2    3    4    5 |
| Our sales process includes a branded, tangible deliverable that can be shown and referenced throughout.                                         | 1    2    3    4    5 |
| Our sales process is holistic and allows us to effectively address prospects' entire financial picture – positioning solutions for all assets.  | 1    2    3    4    5 |
| Our sales process clearly communicates the decisions we expect prospects to make in each appointment so as to avoid prolonging the sales cycle. | 1    2    3    4    5 |
| Our office has a sales management program in place to train, hold accountable and grow our associate advisors.                                  | 1    2    3    4    5 |
| Our sales process is documented to the point of allowing additional service, sales or associate advisors to thrive inside our model.            | 1    2    3    4    5 |

**TOTAL SCORE:** \_\_\_\_\_/35

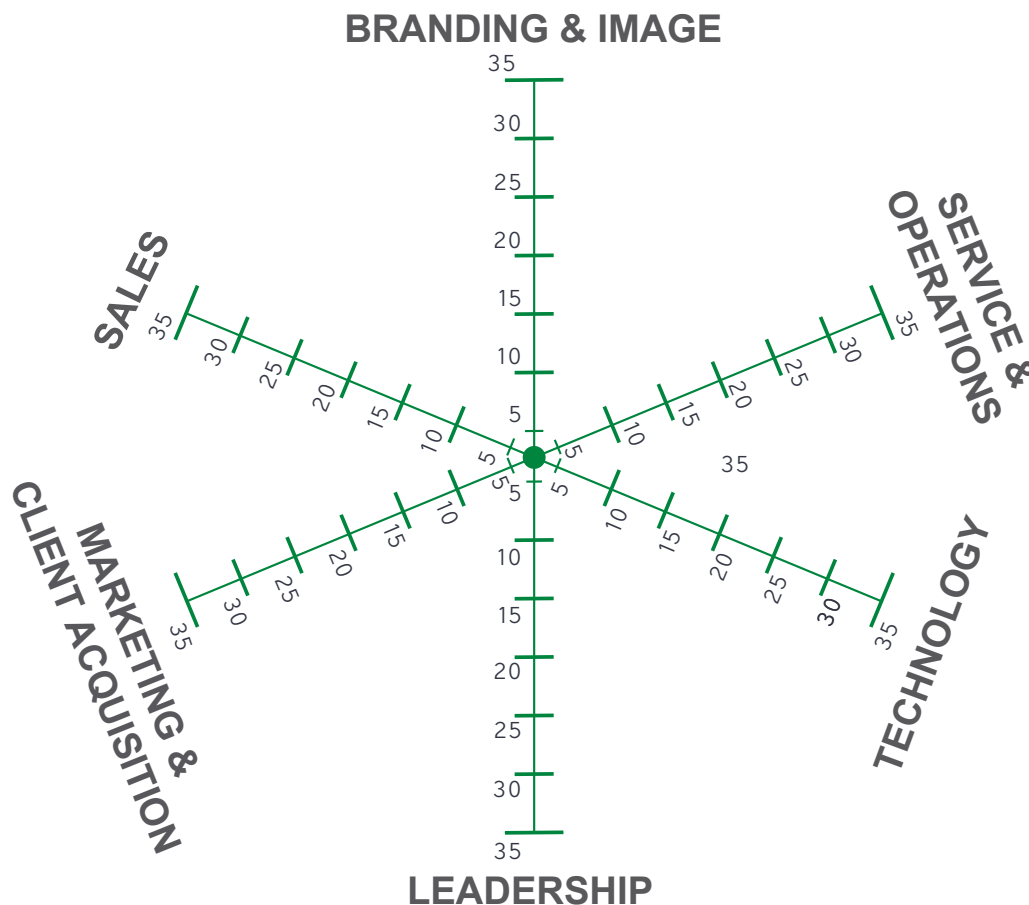


# YOUR BALANCE

We believe that advisors “excel” when they move from being good sales people to becoming great business owners. We have identified six critical components to running a successful, high-performing financial advisory business.

In order to build and maintain a high-performance business, it’s critical that each of these six components are working at optimum efficiency. For example, if your marketing is great and funneling more high-quality prospects through your doors than you can handle but your sales process is broken, you will never ultimately build an elite, long-lasting business. Similarly, maybe both your sales and marketing processes are working great, but you are out of balance in your personal life – working 70 plus hours a week and struggling as a leader. If so, you will never achieve your maximum potential as a business owner.

To determine the current balance of your business, take your scores from the following pages and plot them on this wheel. Start from the center, and use the key mark to chart your current status in each category. Then connect the dots to see how balanced your business is (or isn’t.) If you have serious deviations or “flat spots,” you will now understand why your business doesn’t “roll along” as smoothly as it could.



## KEY METRICS

|               | Last 12 Months | Next 12 Months | INDUSTRY BENCHMARKS                            |
|---------------|----------------|----------------|------------------------------------------------|
| 1st Appt. Set |                |                | Annuity Marketing team will help build a plan. |
| Stick Rate    |                |                | 75% of 1st appointments set, show              |
| Closing Rate  |                |                | 30% of 1st appointments seen, closed           |

## NEXT 12 MONTHS

1. \_\_\_\_\_ Overall Production
2. \_\_\_\_\_ FIA Production
3. \_\_\_\_\_ AUM Production
4. \_\_\_\_\_ Life Production
5. \_\_\_\_\_ Medicare Production
6. \_\_\_\_\_ Time Off Goal
7. \_\_\_\_\_ Other

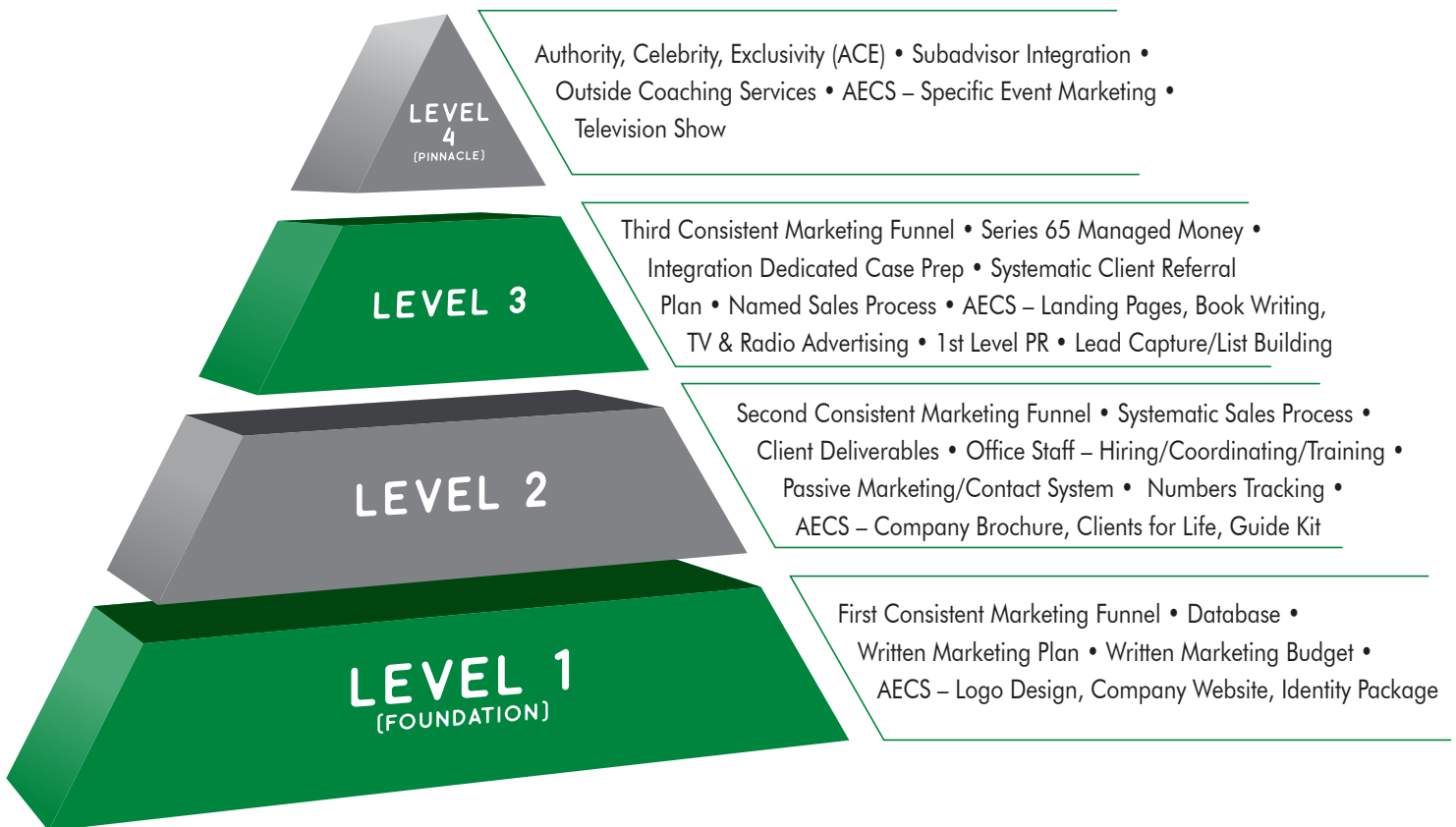
## ARE YOU A LIFESTYLE OR A GROWTH FIRM?



**STOP HERE!** Please submit portion completed up to this point to your Annuity Marketing team. Your team will coach you through the rest of the plan.



# THE AE PYRAMID



**THE BUILDING BLOCKS TO GROWING  
A FINANCIAL ADVISOR FIRM ON A STRONG FOUNDATION**



# IMPLEMENTATION BIG BOARD

| "BRAINSTORM" → "PRIORITIZE" → "FOCUS" |    |   |
|---------------------------------------|----|---|
| 1                                     | 1  | 1 |
| 2                                     |    |   |
| 3                                     | 2  |   |
| 4                                     |    |   |
| 5                                     | 3  |   |
| 6                                     | 4  | 2 |
| 7                                     |    |   |
| 8                                     | 5  |   |
| 9                                     | 6  |   |
| 10                                    | 7  |   |
| 11                                    | 8  | 3 |
| 12                                    | 9  |   |
| 13                                    | 10 |   |
| 14                                    | 11 |   |
| 15                                    | 12 |   |
| 16                                    | 13 |   |
| 17                                    | 14 |   |
| 18                                    | 15 |   |
| 19                                    |    |   |
| 20                                    |    |   |
| 21                                    |    |   |
| 22                                    |    |   |
| 23                                    |    |   |
| 24                                    |    |   |
| 25                                    |    |   |

"IT'S NOT A KNOWLEDGE PROBLEM,  
IT'S AN IMPLEMENTATION PROBLEM."

– Brian Moran, author of "12-Week Year"

## YOUR FOCUS THREE

1. \_\_\_\_\_

- Why is this important to you?

---

---

- What are next steps needed to complete?

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

2. \_\_\_\_\_

- Why is this important to you?

---

---

- What are next steps needed to complete?

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

3. \_\_\_\_\_

- Why is this important to you?

---

---

- What are next steps needed to complete?

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

**"A MAN WHO CHASES MANY RABBITS, CATCHES NONE."**

– Confucius

# PROOF OF PROGRESS

“The Steps You've Taken to Build the Business of Your Dreams”

|    |  |    |  |    |  |
|----|--|----|--|----|--|
| 1  |  | 26 |  | 51 |  |
| 2  |  | 27 |  | 52 |  |
| 3  |  | 28 |  | 53 |  |
| 4  |  | 29 |  | 54 |  |
| 5  |  | 30 |  | 55 |  |
| 6  |  | 31 |  | 56 |  |
| 7  |  | 32 |  | 57 |  |
| 8  |  | 33 |  | 58 |  |
| 9  |  | 34 |  | 59 |  |
| 10 |  | 35 |  | 60 |  |
| 11 |  | 36 |  | 61 |  |
| 12 |  | 37 |  | 62 |  |
| 13 |  | 38 |  | 63 |  |
| 14 |  | 39 |  | 64 |  |
| 15 |  | 40 |  | 65 |  |
| 16 |  | 41 |  | 66 |  |
| 17 |  | 42 |  | 67 |  |
| 18 |  | 43 |  | 68 |  |
| 19 |  | 44 |  | 69 |  |
| 20 |  | 45 |  | 70 |  |
| 21 |  | 46 |  | 71 |  |
| 22 |  | 47 |  | 72 |  |
| 23 |  | 48 |  | 73 |  |
| 24 |  | 49 |  | 74 |  |
| 25 |  | 50 |  | 75 |  |

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