



ELITE ADVISOR

PERFORMANCE PLAN



ADVISORS[®]
EXCEL

LEADERSHIP

Rate the following on a scale of 1 to 5, 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	N/A
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	N/A
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	N/A
My firm has a systematic plan to engage and grow team members personally and professionally.	1	2	3	4	5	N/A
I demonstrate a very reasonable work-life balance and mandate that my staff do the same.	1	2	3	4	5	N/A
If asked, my staff would say they fully understand our company's goals and vision.	1	2	3	4	5	N/A
I am a noticeably better leader than I was three years ago.	1	2	3	4	5	N/A

TOTAL SCORE: _____/30



BRANDING & IMAGE

Rate the following on a scale of 1 to 5, with 1 (Least True) – 5 (Most True)	
I am proud of our company's name, logo, look and feel.	1 2 3 4 5 N/A
I commit a portion of our annual marketing budget to branding efforts (i.e., separate from prospecting efforts).	1 2 3 4 5 N/A
Our firm is a well-known, household name in our market.	1 2 3 4 5 N/A
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 N/A
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 N/A
Prospective clients in our market know how we are different from other competing firms.	1 2 3 4 5 N/A
Our office space projects the right feel and environment needed to attract our ideal client.	1 2 3 4 5 N/A

TOTAL SCORE: ____/35



MARKETING & CLIENT ACQUISITION

Rate the following on a scale of 1 to 5, 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 N/A
Our company has a defined annual marketing budget.	1 2 3 4 5 N/A
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 N/A
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 N/A
We capture all leads to use to grow and nurture a large ongoing prospect list.	1 2 3 4 5 N/A
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 N/A
We test at least one new marketing or client acquisition strategy each year.	1 2 3 4 5 N/A

TOTAL SCORE: _____/35



SALES

Rate the following on a scale of 1 to 5, 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 N/A
Our sales process has a proprietary name that is marketed throughout all our company's prospecting efforts.	1 2 3 4 5 N/A
Our sales process includes a branded, tangible deliverable that can be shown and referenced throughout.	1 2 3 4 5 N/A
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 N/A
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 N/A
Our office has a sales management program in place to train, hold accountable and grow our associate advisors.	1 2 3 4 5 N/A
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 N/A

TOTAL SCORE: _____/35



TECHNOLOGY

Rate the following on a scale of 1 to 5, 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 N/A
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 N/A
We fully utilize a robust CRM to track all client accounts, systematize client communication and maximize additional sales opportunities.	1 2 3 4 5 N/A
We leverage video technology, allowing us to stay virtually “face-to-face” with our clients throughout our sales process.	1 2 3 4 5 N/A
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 N/A
We utilize a Managed Service Provider (MSP) to handle I.T. management, computer network technical support and information security.	1 2 3 4 5 N/A
Our firm is fully insulated from cyber-security threats, and our clients’ financial information is fully protected.	1 2 3 4 5 N/A

TOTAL SCORE: _____/35



SERVICE & OPERATIONS

Rate the following on a scale of 1 to 5, with 1 (Least True) – 5 (Most True)	
I am 100% excited about the team I currently employ.	1 2 3 4 5 N/A
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 N/A
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 N/A
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 N/A
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 N/A
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 N/A
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 N/A

TOTAL SCORE: _____/35

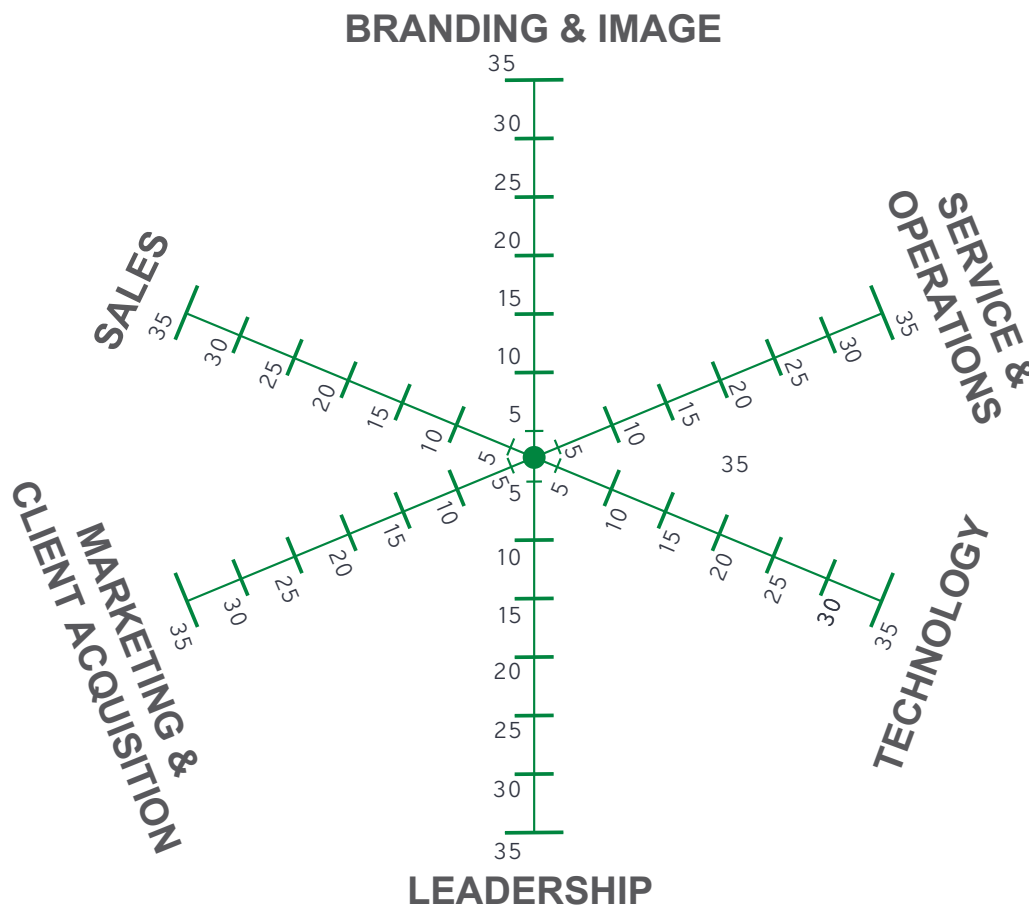


YOUR BALANCE

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.



(NOTE: 5 POINTS = 1 NOTCH ON THE DIAGRAM ABOVE)



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

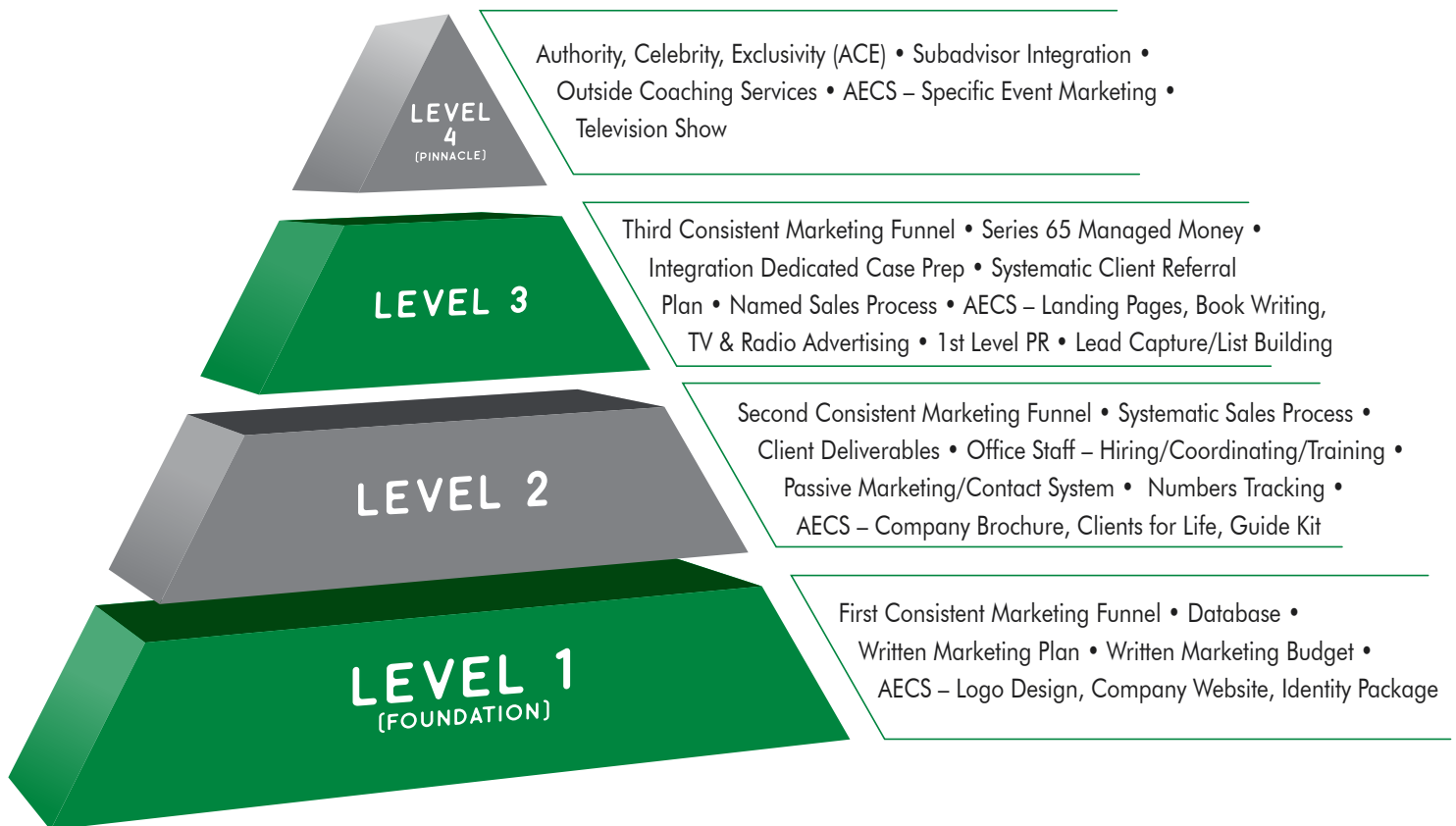
ARE YOU A LIFESTYLE OR A GROWTH FIRM?



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		3
12	8	
13	9	
14	10	
15	11	
16	12	
17	13	
18	14	
19	15	
20		
21		
22		
23		
24		
25		

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

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

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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