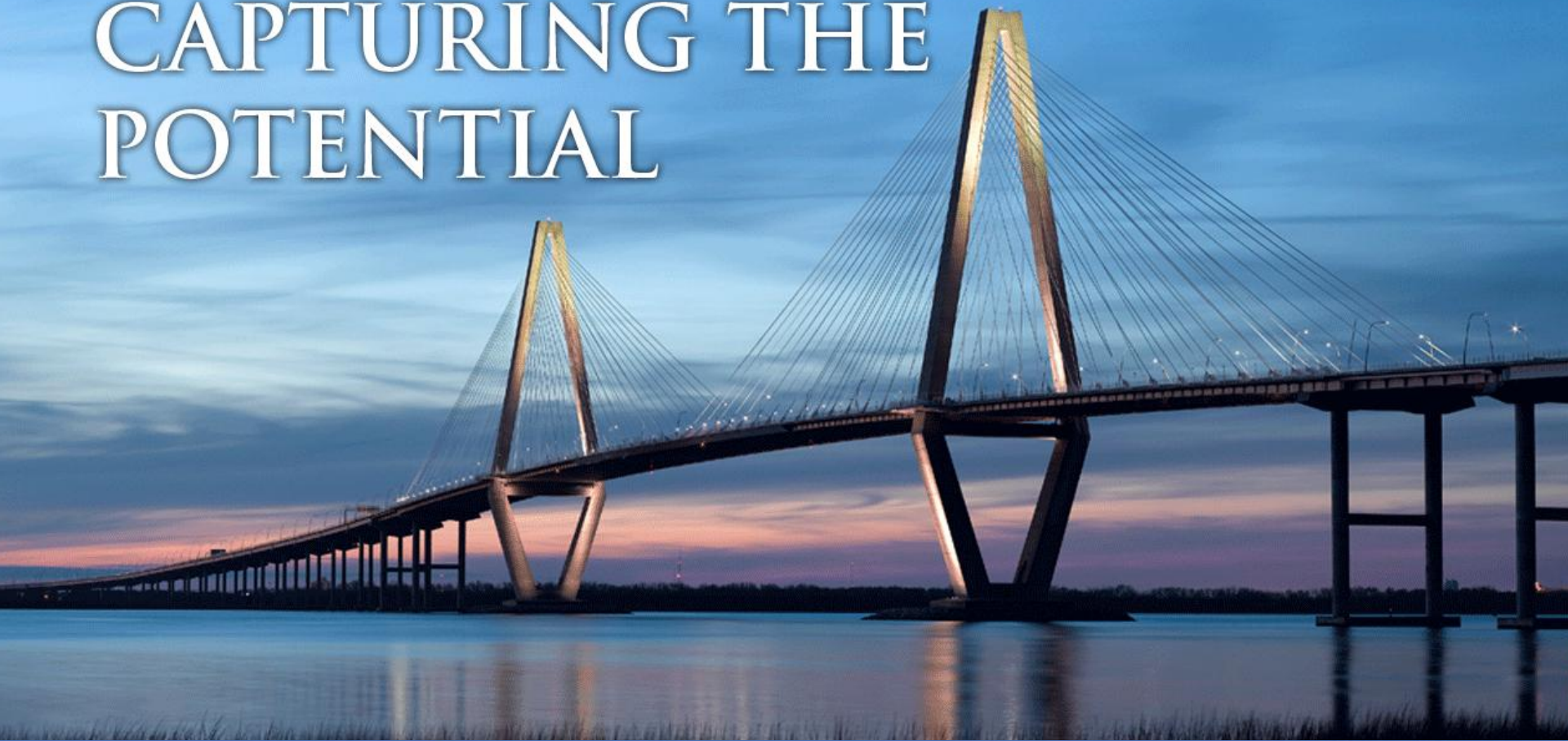




The **#1** Coach for Top Financial Advisors

CAPTURING THE POTENTIAL





In my career, there's
never been a more
disruptive time—
economically,
politically and socially.

The Affluent Are Unsure Where to Turn for Sound Advice

4 out of 5 successful investors are considering switching their financial advisors — but don't.



Source: The Wealth Report, Robert Franks interviewing Russ Alan Prince, September 30, 2008.

Our Commitment:
You will discover how
you can deliver the
right client experience
that the affluent want
today.



CEG's Vision

To help every financial advisor to build a simple and elegant wealth management business that makes them indispensable to the right affluent clients all while building a great quality of life for themselves and everyone around them.



When we **pulled** all the research together, what we found was **simply amazing**. It was what **I wished I had had** when I was a financial advisor. It would have made a **big difference**.



Later in this presentation, we are going to share how you can schedule a complimentary Best Year Ever consultation to accelerate your success.



Four Levels of Affluence

Level	Investable assets
Mass affluent	\$100,000–\$1 million
Affluent	\$1 million–\$5 million
Super-affluent	\$5 million–\$25 million
Ultra-affluent	More than \$25 million



The Nine High-Net-Worth Personalities

– Family Stewards

- Dominant focus is to take care of their families.
- Conservative in personal and professional life.
- Not very knowledgeable about investing.

– Independents

- Seek the personal freedom money makes possible.
- Feel investing is a necessary means to an end.
- Not interested in the process of investing or wealth management.

– Phobics

- Are confused and frustrated by the responsibility of wealth.
- Dislike investing and avoid technical discussion of it.
- Choose financial advisors based on level of personal trust they feel.

– The Anonymous

- Confidentiality is their prominent concern.
- Prize privacy for their financial affairs.
- Likely to concentrate assets with a financial advisor who protects them.

– Moguls

- Control is a primary concern.
- Investing is another way of extending personal power.
- Decisive in decisions; rarely look back.

– VIPs

- Investing results in ability to purchase status possessions.
- Prestige is important.
- Like to affiliate with institutions and financial advisors with leading reputations.

– Accumulators

- Focused on making their portfolios bigger.
- Investments are performance-oriented.
- Tend to live below their means and spend frugally.

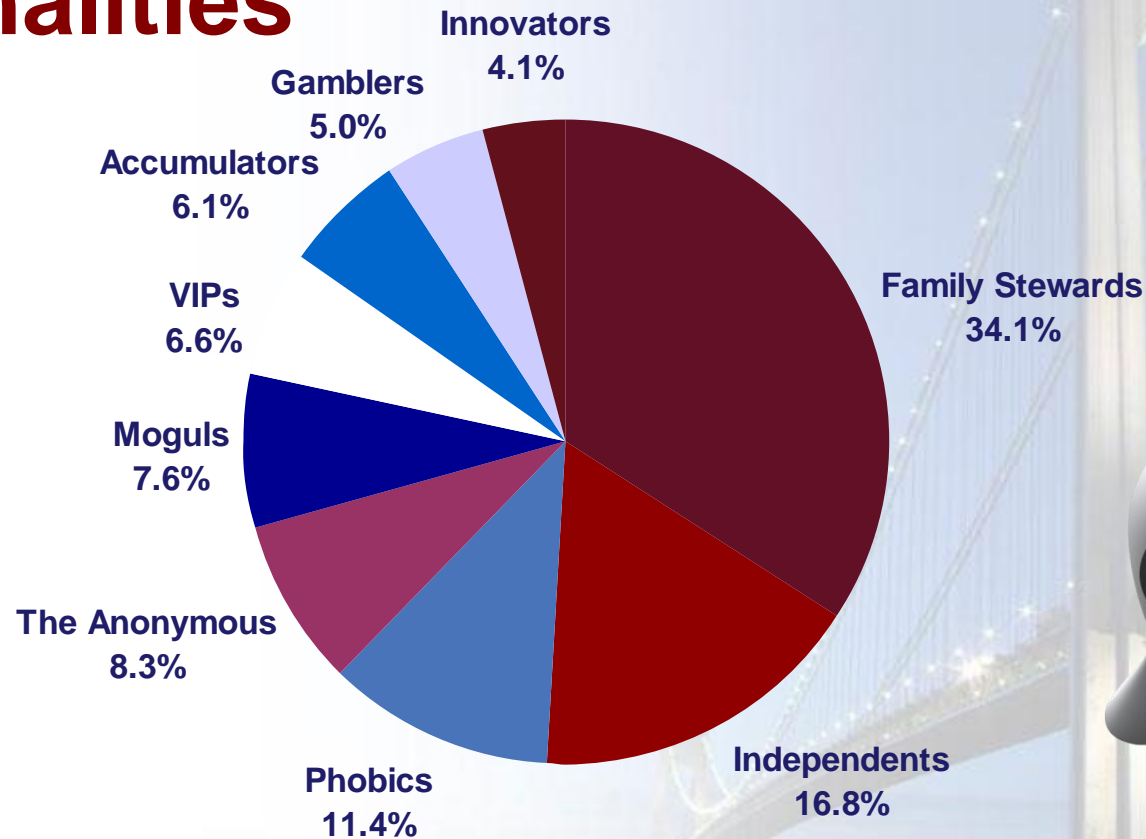
– Gamblers

- Enjoy investing for the excitement of it.
- Tend to be very knowledgeable and involved.
- Exhibit a high risk tolerance.

– Innovators

- Focused on leading-edge products and services.
- Sophisticated investors who like complex products.
- Tend to be technically savvy and highly educated.

Distribution of the High-Net-Worth Personalities

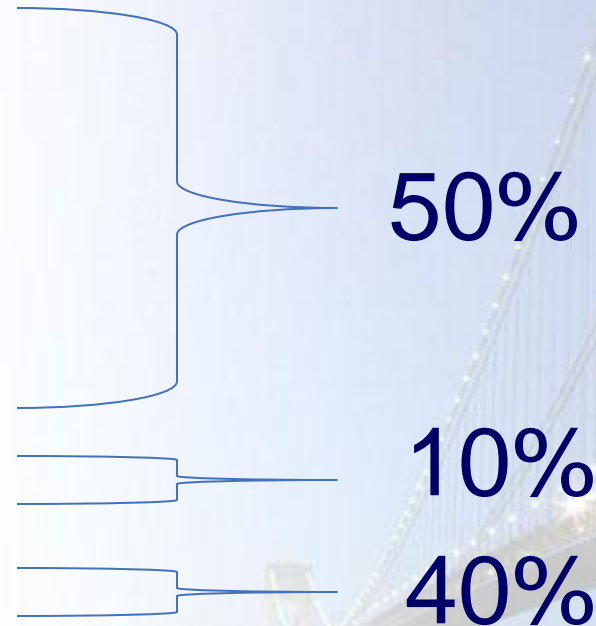


N = 1,417 affluent individuals.

Source: Russ Alan Prince and David A. Geraciotti, *Cultivating the Middle-Class Millionaire*, 2005.

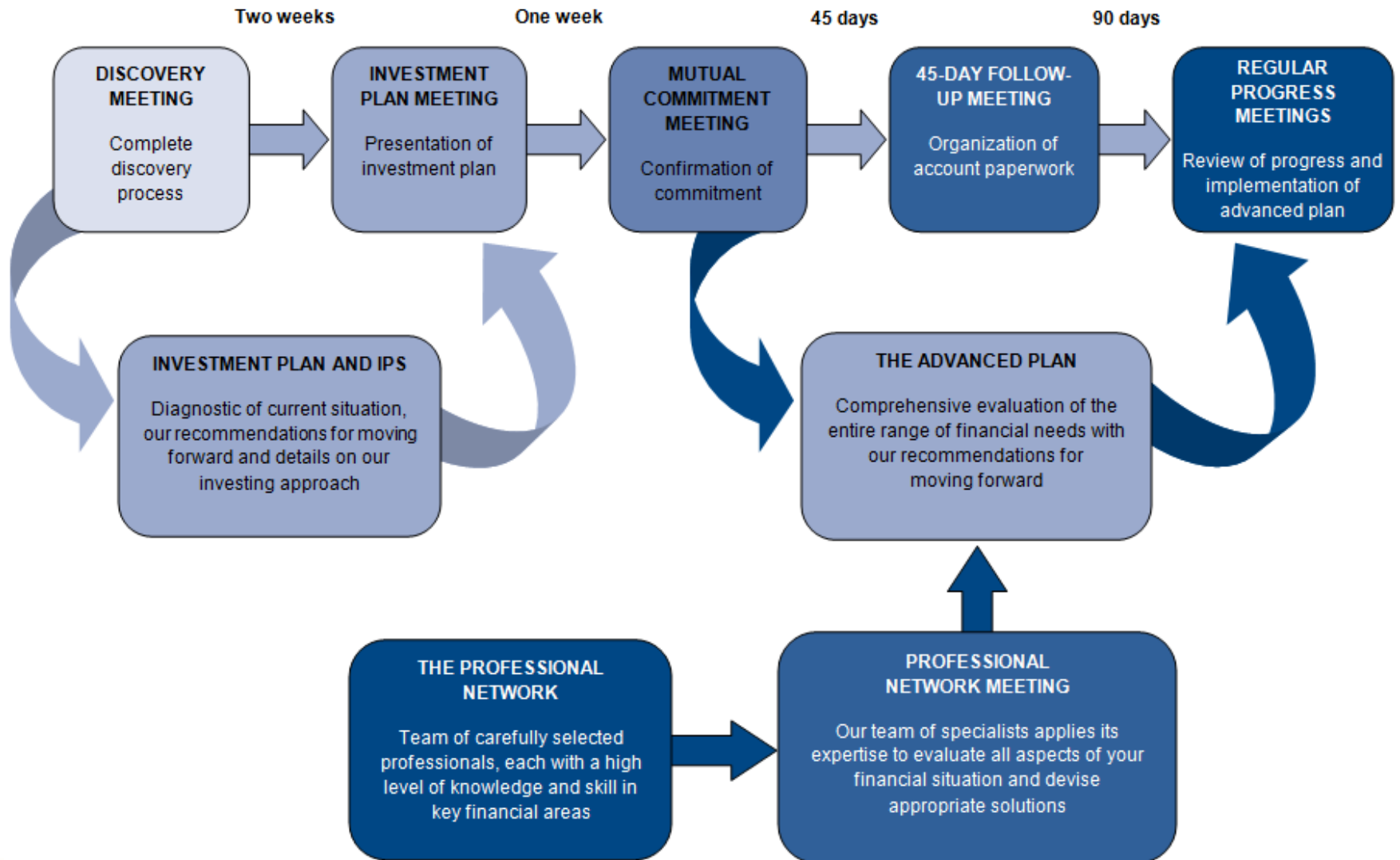
The Affluent Want a Different Advisor Experience

- Character
- Chemistry
- Caring
- Competence
- Cost-effective
- Consultative

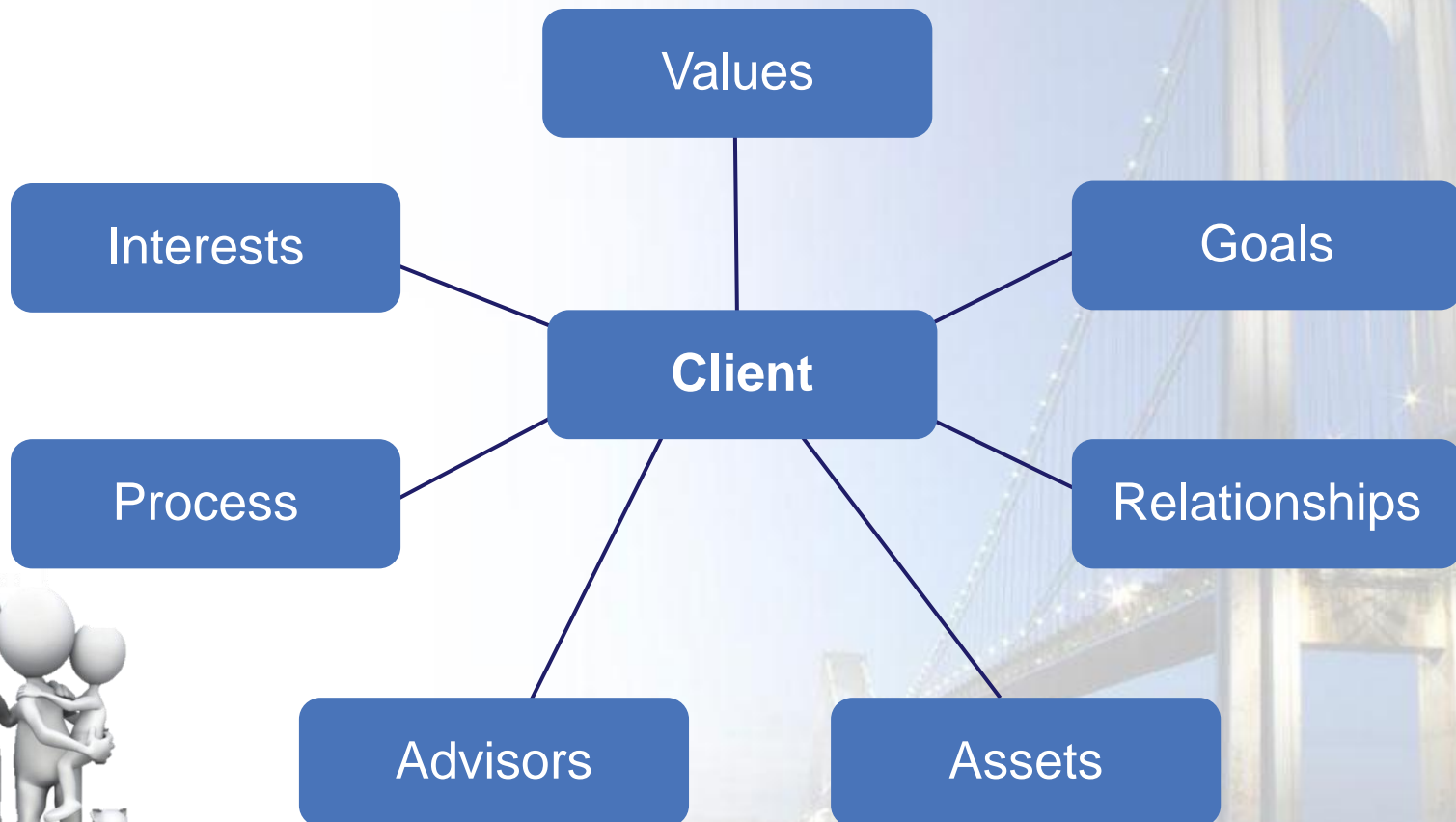




The Wealth Management Consultative Process



The Total Client Profile

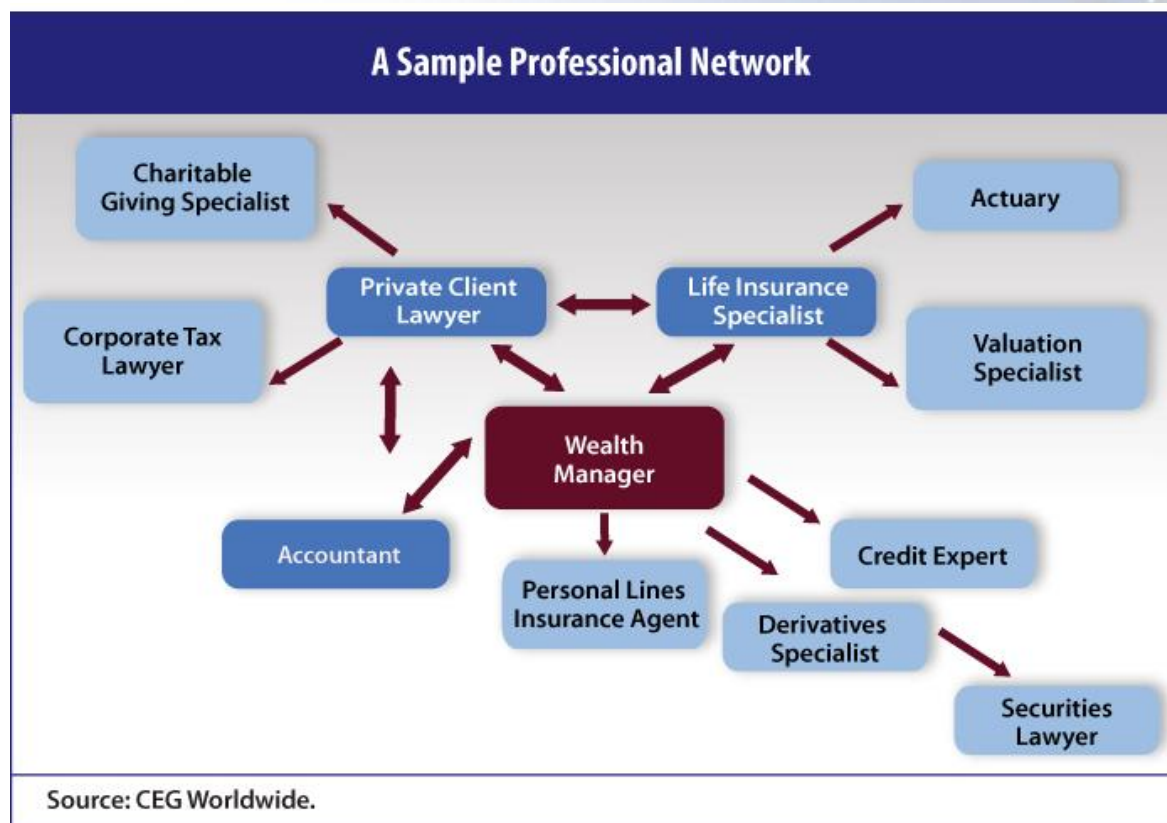


Advanced Planning Services and the High-Net-Worth Personalities

Personality	Wealth Enhancement	Wealth Transfer	Asset Protection	Charitable Gifting
Family Stewards	Not the top motivation	Very high priority, meshes with goal of safeguarding family	High priority, so family future is secured	High priority, where the family is directly involved
Investment Phobics	Not a top priority, often do not understand wealth position	Commonly unwilling to address transfer issues	Fearful of loss of wealth, making this the top goal	Moderate-to-high priority because of charitable involvement
Independents	Moderate priority, contributes to goal of independence	Lower priority	Highly consistent with goal of autonomy	Low priority, impedes achieving top personal goals
Anonymous	Second goal to wealth protection	Interested insofar as intent can be veiled when appropriate	Highly motivated to shield money, protect identity	Moderate, if confidentiality needs can be met
Moguls	Believe wealth equals power, a top goal	Maybe fearful of losing control via wealth transfer	A priority, to maintain position	Moderate-to-high priority, a way of expressing power
VIPs	Believe wealth equals respect and prestige, a top goal	Not highly motivated to transfer wealth, fear loss of status	Wealth protection equated with protection of position	High, achieves goal of status and external regard
Accumulators	Top goal for those motivated to maximize asset values	Lower priority, do not generally want to share wealth	Higher priority, drives asset accumulation goals	Low priority as primary focus is on personal safety
Gamblers	Highly motivated, enhancement is winning	Not generally motivated to transfer assets	Inconsistent with risk-taking mentality, requires adroit positioning	Moderate priority if the cause is seen to be exciting
Innovators	Top priority, interested in new approaches	Lower priority, interested in new approaches	Moderate priority, interested in new approaches	High priority, looking for sophisticated ways to leverage gifts

Source: Russ Alan Prince and Richard L. Harris, *Advanced Planning with the Ultra-Affluent*, 2002.
Analysis: CEG Worldwide.

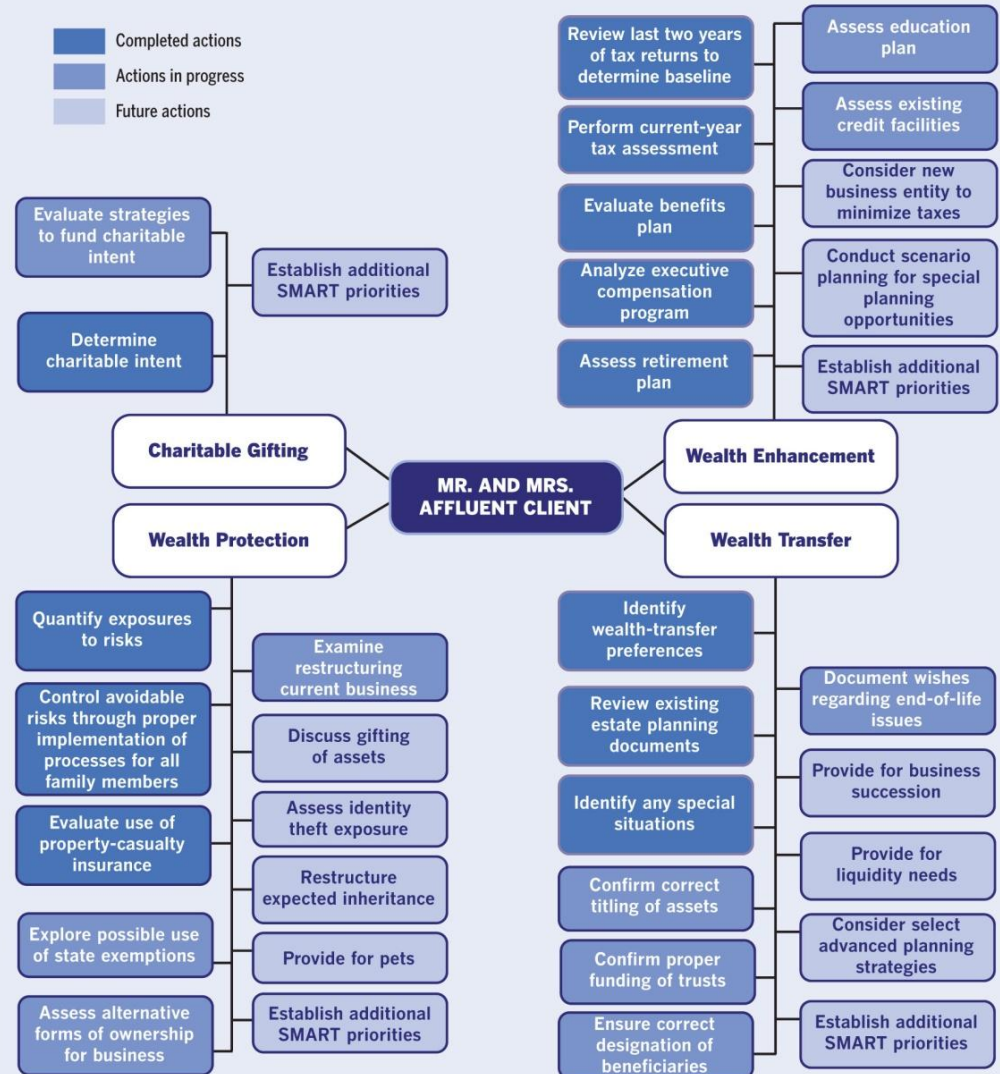




Documenting Opportunities with the Advanced Plan Mind Map

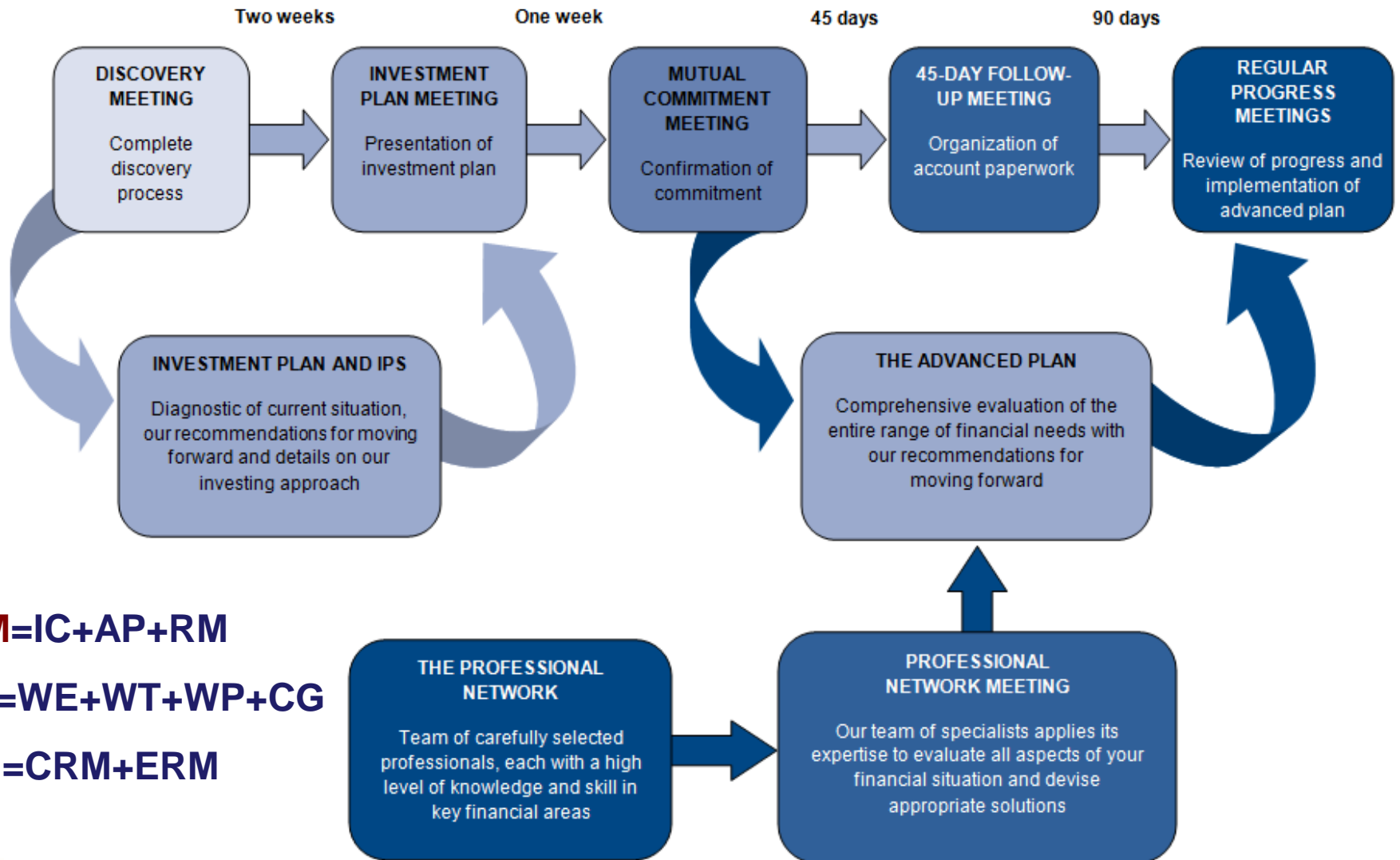


Mind Mapping as Used to Manage Progress of Advanced Planning Activities



Source: CEG Worldwide.

The Wealth Management Consultative Process



WM=IC+AP+RM

AP=WE+WT+WP+CG

RM=CRM+ERM

Five Key Drivers of Success

1. Know the affluent.
2. Implement the consultative client management process.
3. Incorporate wealth management.
4. Offer the second-opinion service.
5. Keep your clients for life.

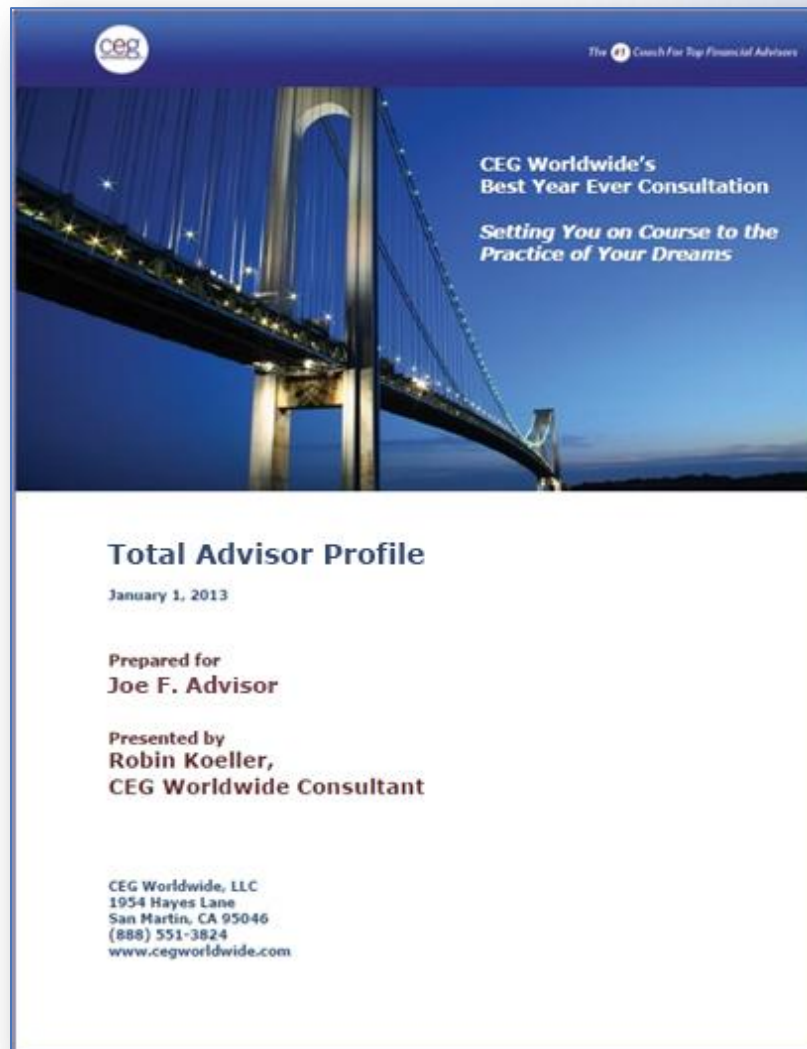




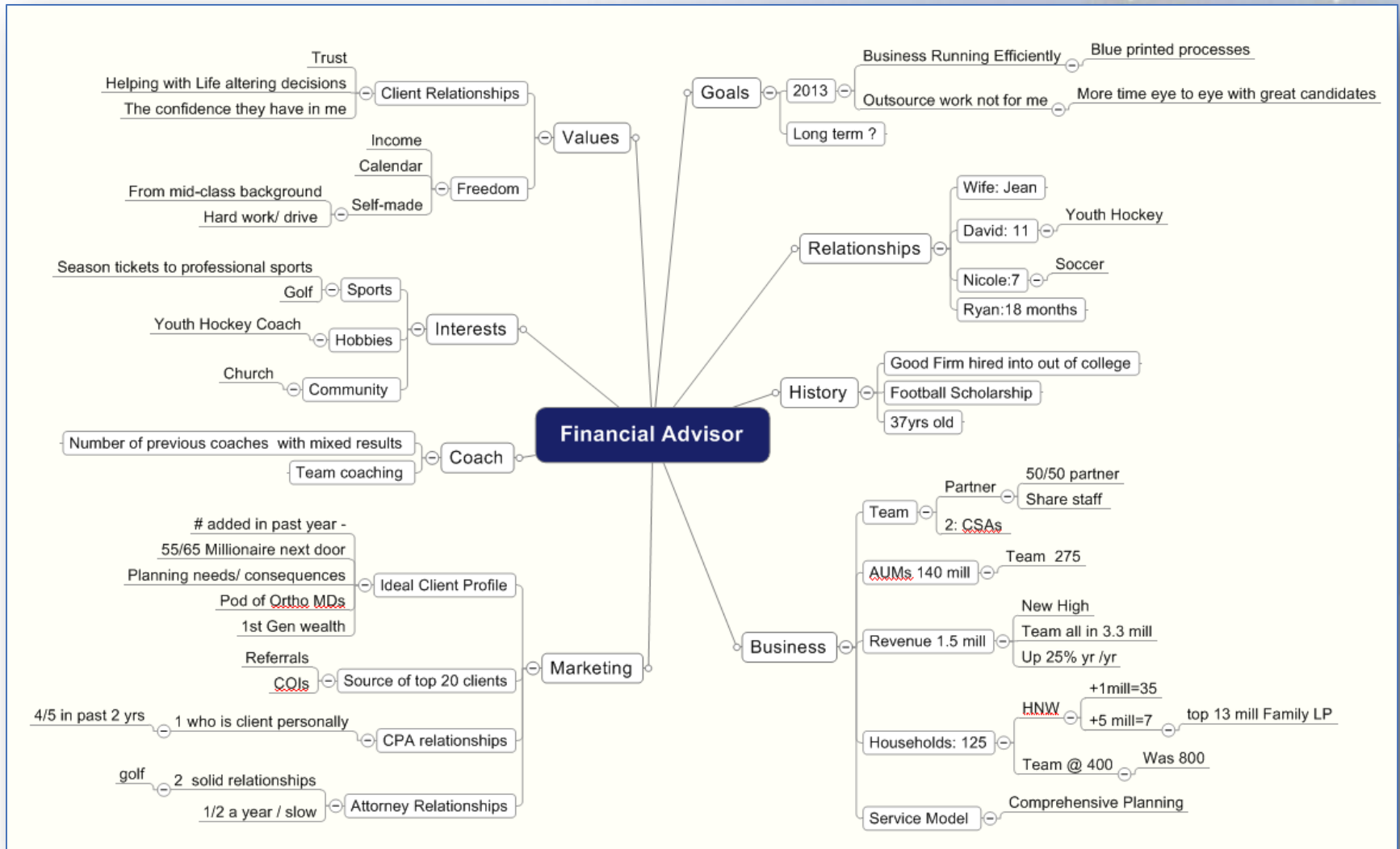
During your Best Year Ever Consultation, you'll also discover...

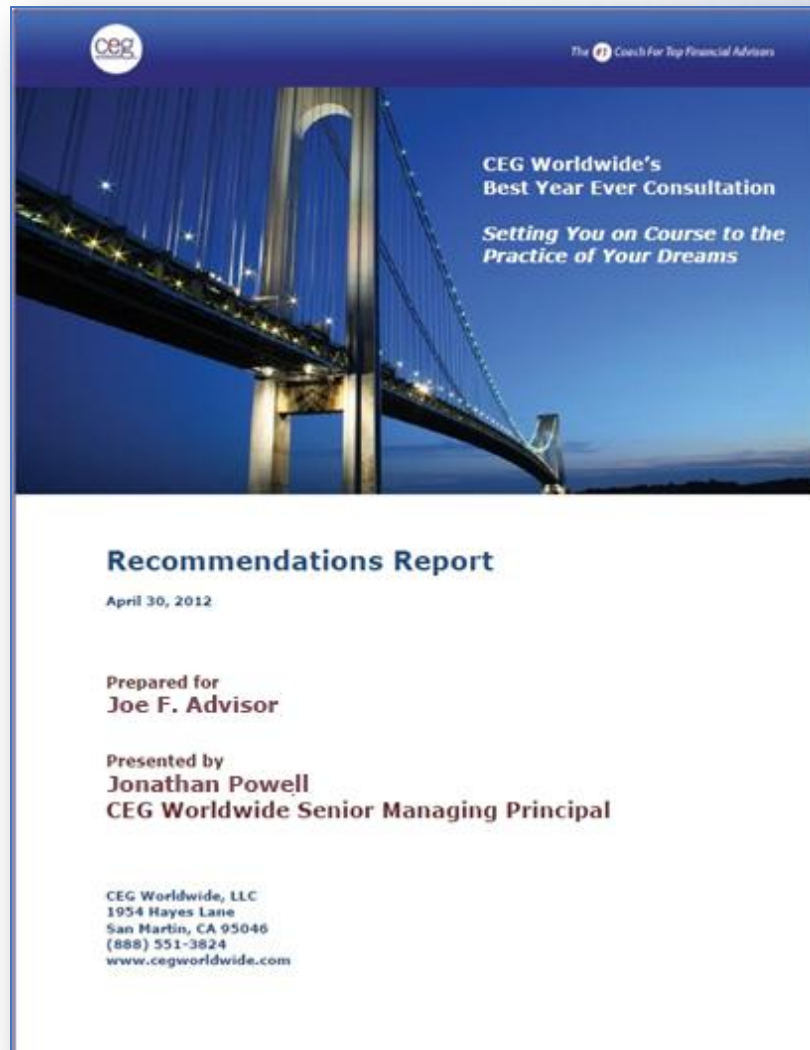
1. What's your "Big Why"?
2. Key "building blocks" behind the success of the top 1% of financial advisors.
3. The #1 success roadblock that's keeping from creating the business—and life—you really want.
4. Your top 3 "must-do" tactics to dramatically accelerate your success in the next 12 months.
5. Discover your personal step-by-step plan to take your wealth management practice to the next level.





**45 to 60 minute
call with one of
CEG's
Elite Advisor
Consultants**





45 to 60 minute
call with one of
CEG's Elite
Advisor Strategist

Three Powerful Recommendations to Accelerate Your Success



Here is what to do Now.







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CAPTURING THE POTENTIAL

