

# THE ONE THING

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**SENIOR VICE PRESIDENT**

**HEAD OF STRATEGY & CONSULTING**

Financial professionals are reminded to check with their Compliance department for guidance on relevant regulatory restrictions and internal company policies.



# HUMAN BEHAVIORS

**Greatest human need is to keep things familiar**

**Believe in own thoughts/ideas more than anyone else's**

**Make up mind before hearing the facts**

**Scarcity**

**Move in direction where...**

- Experience acceptance of themselves
- Hear themselves talking

**Social proof**

**Disproportionally biased to how feeling in the moment**

**Future map dictated by the past**

# CLAYTON (RIA)



# PROFESSIONAL CENTERS OF INFLUENCE



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## The Greatest Human Need is to Keep Things Familiar

# FOUR STEPS TO GENERATE REFERRALS

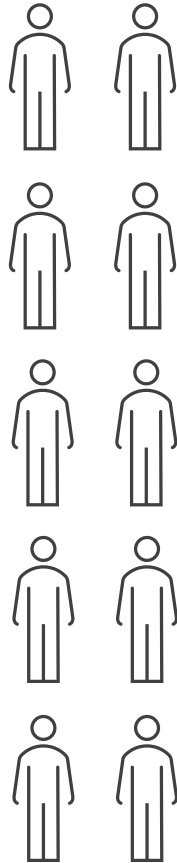
- Contact clients to capture names
- Call/email the professional
- Meet to identify COI's
- Implement drip process

# ONE STEP AT A TIME!

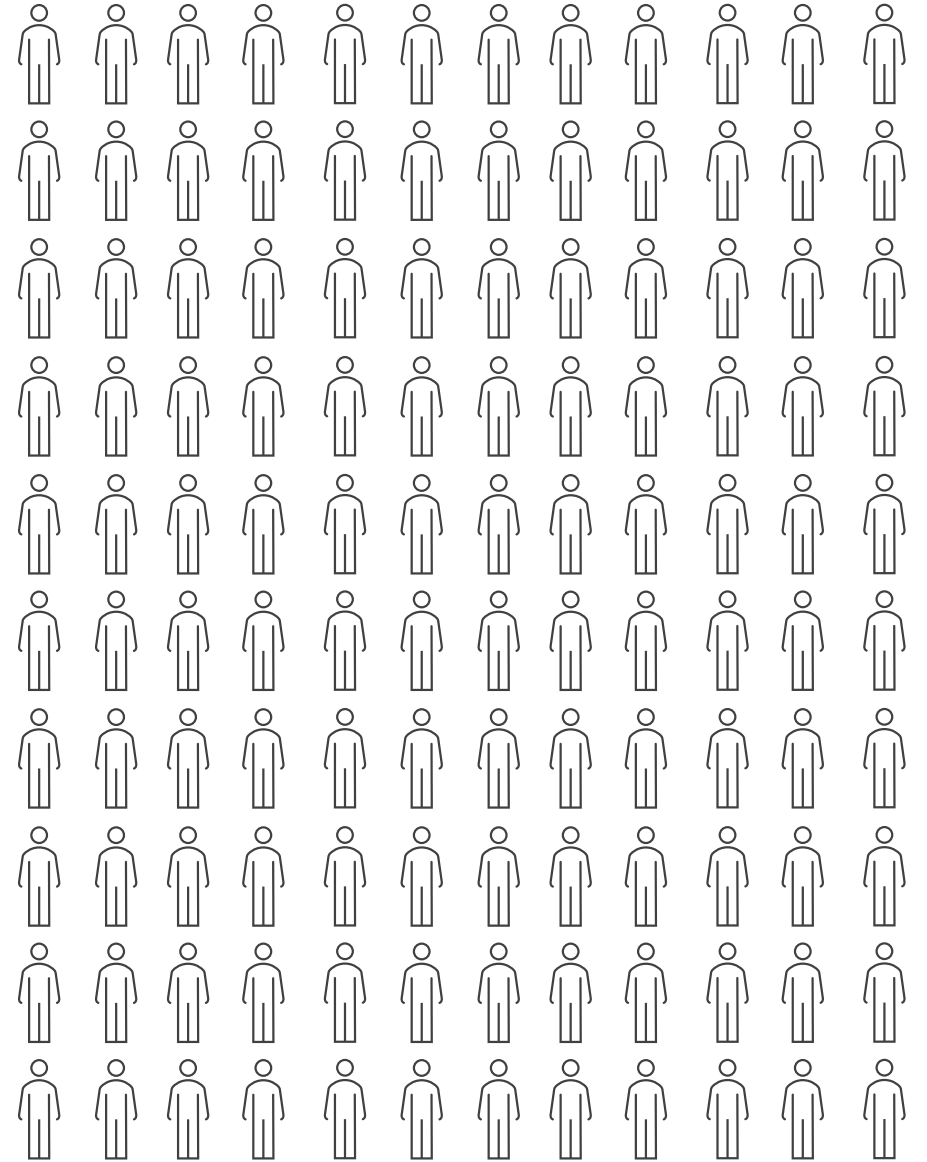
1  
client  
per day



10  
names  
per week



120  
names in  
3 months



For illustrative purposes only

# PROSPECTS



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## Make Up Their Minds Before Hearing the Facts

Move in direction where  
experience acceptance of  
themselves

# PREDISPOSITION FORMED EARLY

- Pre-meeting call
- Arrival to the building
- Discovery (in meeting)

# GOOD FINANCIAL PROFESSIONALS SOUND SIMILAR

- ❑ Comprehensive wealth management
- ❑ Sophisticated planning for high-net-worth individuals and families
- ❑ Work closely with clients to establish asset allocation and spending policies
- ❑ Strategy incorporates a broad, all-asset approach, tactical allocation shifts and risk management overlays
- ❑ Provide multi-generational wealth planning
- ❑ Implementation of wealth transfer strategies and education for next generation
- ❑ Our mission is to provide quality strategies customized to your needs
- ❑ Our goal is to be your primary source of financial advice
- ❑ We develop long-term relationships through a commitment to quality client service
- ❑ High level of service and an ongoing dialogue
- ❑ Regular portfolio reviews and performance analysis

## WHAT ELSE?

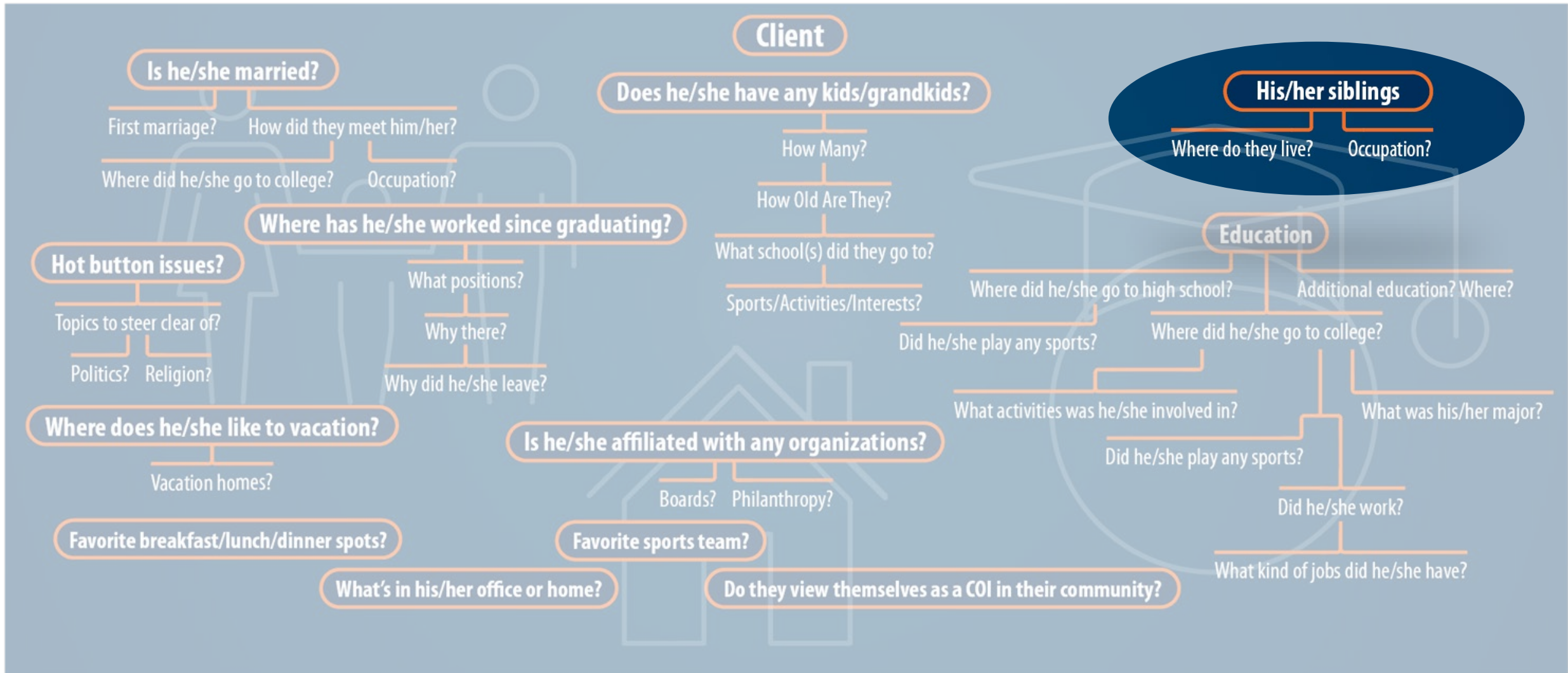
- First five minutes of presentation
- Schedule the next meeting
- Yes is great, no is fine, but “maybe” is unacceptable

# CLIENT TRACKING

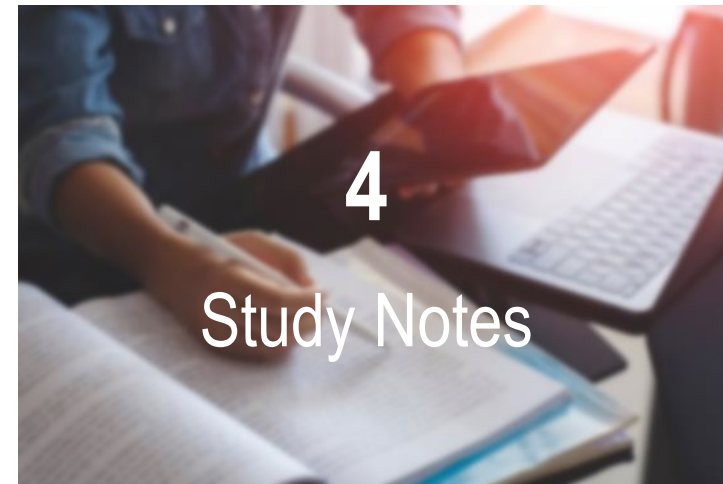
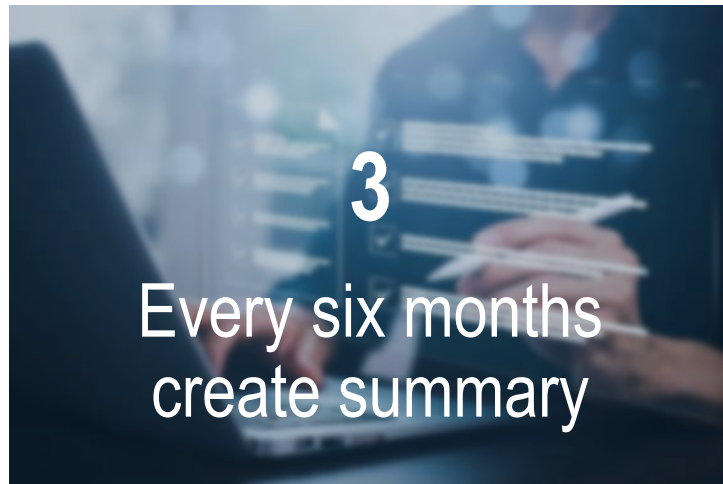
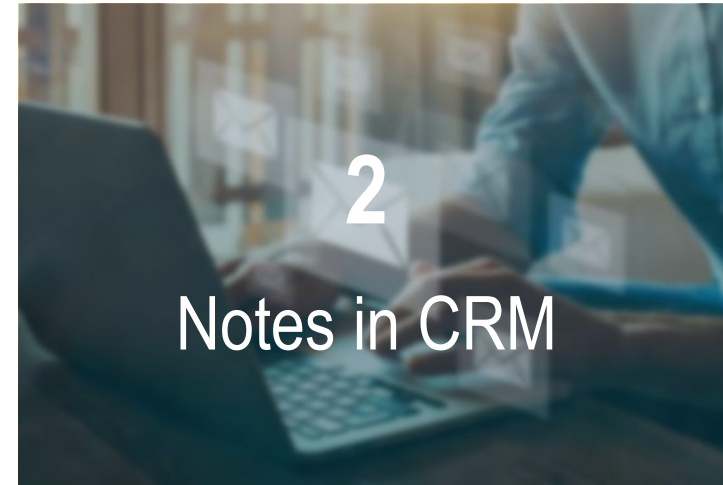
Client Name	AUM	Jan	Feb	Mar	Apr	May	June	July	Aug	Sept	Oct	Nov	Dec
G. Tilbe	\$22,000,000	E	R	P	E	R	VM	E	R	P	E	R	DB
Rex Rothman	\$18,000,000	P											
Sally Rothman	\$11,000,000	E											
Shehu Family	\$8,000,000	VM											
Robert Mastroianni	\$7,800,000	DB											
Mike & Patty Casper	\$7,200,000	X											
T &K Anderson	\$6,100,000	–											
Charles Stone	\$5,500,000												
D. Palladino	\$5,100,000												
Denise Berlane	\$4,700,000												
Nickerson Family	\$4,300,000												
Judy & Tom Floyd	\$3,600,000												
B. DeRiu	\$3,400,000												
Kristen Generali	\$2,900,000												

Example for illustrative purposes only. Note: names used above are fictitious.

# CLIENT REFERRALS



# STEPS



# HOLIDAYS

January	New Year's
February	President's Day
April	Good Friday
May	Memorial Day / Mother's Day
June	Father's Day
July	Independence Day
September	Labor Day
November	Thanksgiving
December	Christmas / Hanukkah

# CAPTURING CLIENT'S OUTSIDE ASSETS

“ As you probably know, the majority of our clients have all of their assets with us. And I know you have assets with other managers, which has been fine. But I was wondering, at this point, do you think we can play a role in managing some of those outside assets for you?...and if so, where do you think you would bring them over from? ”

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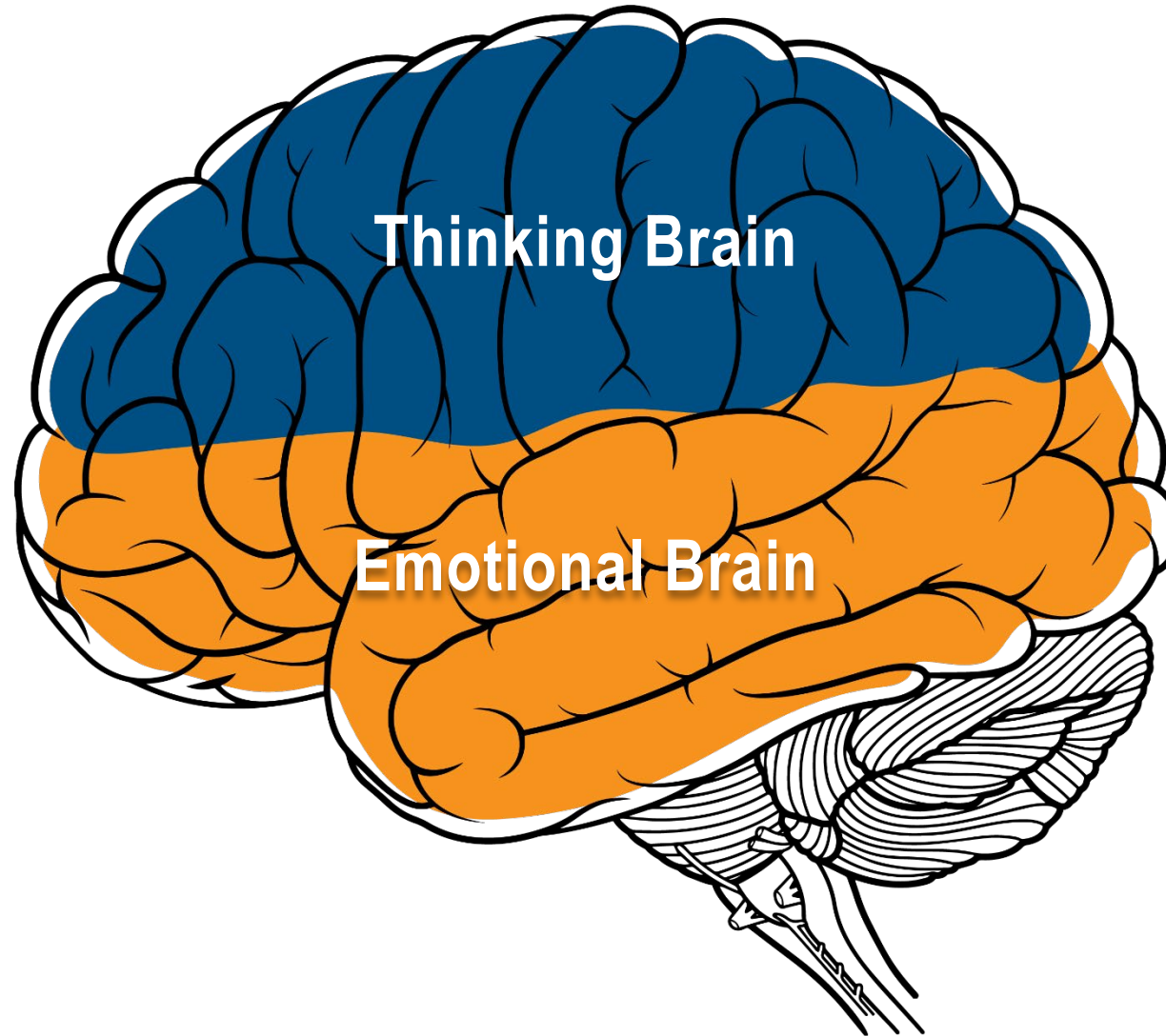
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Believe in own thoughts more than  
anyone else's

Move in the direction hear  
themselves talking

**E**mpathy – **P**erspective – **H**ope

# TURN DOWN THE EMOTIONAL BRAIN



# SUMMARY OF KEY ACTIVITIES

Group	Activity
Professional centers of influence	Identify right professional
Prospects	Demonstrate understanding
Clients	Frequency of contact
Concerned client	Turn down “emotional brain”
COI (revenue sharing agreements)	Financial professional makes the ask

# THE EXACT STEPS TO ACCELERATE GROWTH



First Trust

The Exact Steps to Accelerate Growth

The information provided is for illustrative purposes only and is not intended to be a recommendation or endorsement of any specific strategy, acceptable risk tolerance, return profile, action, or product. The concepts discussed may not be applicable in all situations and should not be considered a substitute for individualized advice. Financial professionals should continue to follow their firm's established compliance procedures and consult with their compliance department for guidance on relevant regulatory restrictions and before implementing any new approaches.

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