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# Boutique Financial Advising Practices: How to Effectively and Consistently Grow your Practice



# Introduction & Industry Commentary



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# Share Your Background



Dean Zayed, JD,  
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- President of Prizm Financial
- CEO of Brookstone Capital Management
- President of Producers Equity Group



# Share Your Background



J.R. Thacker

- President and Founder of Thacker & Associates Inc, Investment Advisors
- President, Center Street Securities, Inc
- President of Producers Equity Group
- Host of "The Money Minute" TV and Radio Shows



## What do Affluent Investors Look for in their Financial Advisor?

- Proactive communication
- Transparent fee structure
- Understanding of their goals and unique situations
- A financial solution, not just a product
- Coordinating their investment decisions
- **Expert help in all financial areas**



# The Key to Attracting Affluent Clients:

- It is about **POSITIONING** yourself in front of the client as:
  - INDEPENDENT
  - ONE-STOP SOLUTION
  - CUTTING-EDGE



# Positioning Your Firm: ABC Financial's universe:

- THEME: "We have access to the entire universe of investment options and vehicles with no limitations. This allows us to choose what is best for our clients."



# Positioning Your Firm: ABC Financial's universe:

- Stocks
- Bonds
- Mutual Funds
- ETFs
- Fixed Indexed Annuities
- UITs
- REITs
- VAs
- Market-Linked CDs
- Managed Accounts



# Positioning Your Firm: ABC Financial's universe:

- **THEME:** "We work closely with each of our clients to define their financial profile as accurately as possible. This profile is made up of a number of data points – things like your age, risk tolerance, income needs, etc."



# Positioning Your Firm: ABC Financial's universe:

- "What I really do for a living is I match your profile with your money. The bad news is that 8 out of 10 people that I meet have a mismatch between their profile and their money. The good news is that I am uniquely positioned to help get your money back in line."



# Keys to Successfully Attracting Affluent Clients:

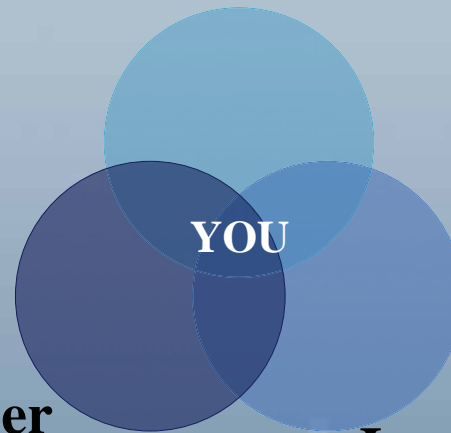
Get the right licenses



# Getting the Right Licenses

Branching out expands your selling opportunities to 3 universes:

**Fixed Insurance**



**Broker Dealer**

**Registered  
Investment Advisor**



# Implementation

Provide services to prospects that they are not currently getting, but want:

- Consolidated financial statements
- Consistent Communication
- 21<sup>st</sup> Century Ideas
  - Examples: Inflation Strategy, Absolute Return Strategy, MLCDs



## Developing A Multi-Disciplinary Practice: **Becoming a One-Stop-Shop**

- To exceed the expectation of today's affluent investor, you need a **TEAM** of specialists
- This **TEAM** does not have to work for you – instead, they can be part of the organization you choose to affiliate with.
- This **TEAM** should provide you with:
  - Instant credibility
  - Access to the most sophisticated investment strategies
  - Impeccable service



# INTRODUCING...

- **A New Kind of Company...**
- **A New Way of Conducting Business**
- **PRODUCER'S EQUITY GROUP**



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The Power of True Partnership<sup>®</sup>



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PROVEN IDEAS AND  
SUCCESSFUL CONCEPTS  
FOR THE 21ST CENTURY  
TRUE FINANCIAL ADVISOR

## **Some of the topics that will be covered include:**

- Proven ways to market your practice
- Client Presentations
- 1<sup>st</sup> and 2<sup>nd</sup> client meetings
- Integrating managed money, fixed insurance and securities!
- Overview of our ongoing sales support provided by our team of CFP's
- Risk profiling, design analysis and custom case design
- Customized Morningstar reports



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MASTERS**  
PROGRAM™

PROVEN IDEAS AND  
SUCCESSFUL CONCEPTS  
FOR THE 21ST CENTURY  
TRUE FINANCIAL ADVISOR

## **Some of the topics that will be covered include:**

- In depth review of your clients investments to determine if they are in line with their risk/reward ratio and meets their current goals
- What products and services should I offer?
- Investment strategies to share with clients and prospects
- Ongoing administrative support provided by PEG

**February 23rd – 25<sup>rd</sup>**

Nashville, TN

Call us to attend this training:

**877-620-4401**



# Questions & Answers

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# CE CREDITS

## **CIMA CE Credit**

To receive 1 CE hour toward  
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- **Log on to:** [www.imca.org/main/do/reportCIMACE](http://www.imca.org/main/do/reportCIMACE)
- **Click on** “Non-IMCA Continuing Educational Hours Submittal Form”
- **Complete form and follow submittal directions**
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