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## Case Studies

### **B/Ds/RIAs**

#1. A monthly retainer by a small (300 reps) Extraordinary Broker Dealer in Upstate NY allows (1) Kevin's incisive "zero gravity" counsel and consulting on site and off; (2) speaking at national/regional meetings and helping to design same; (3) "triangulation" advice to home office personnel on issues that pertain to helping their best advisors be better served and growing their own unique entrepreneurial skills.

The firm thus "sponsors" or subsidises Kevin's group and/or individual entrepreneurial coaching (with personal accountability) of selected advisors, the firm's recruiters deftly promote and use this element to tell prospective reps what the firm actually DOES for their reps.

#2. Collaborated with the CEO of a Long Island Broker Dealer to design an "Entrepreneurial Institute" to coach the firm's select financial advisors at quarterly meetings and, later, a mini version of same will be opened up to select entrepreneurial clients of that B/D.

### **Asset Manager & ETF Company as a Sponsor**

One large Boston asset manager had Kevin come in to consult and help blue print and develop their upcoming national sales conference to make it more Advisor-useful and pragmatically memorable rather than a mirror image of the last stereotypically management friendly conferences. Dramatic changes (even while accommodating politically necessary platform time) in presentation timing, structure and participation made an acknowledged difference in efficiently delivering conference content that actually helped their field force increase sales and profitability on the next Monday.

The company also invited Kevin to speak with and coach internal wholesalers and marketing staff on effective and profitable communications with their client-advisors and the use of Kevin's entrepreneurial tools to support of their external wholesalers.

**National Discount Brokerage**

Kevin brought in to national headquarters and local branches to coach branch advisors and managers how to construct and track meaningful but easy rep-client conversations designed to both provoke transactions and record client intelligence for future use and management follow up. Brokers were taught repeatable processes (“The Fear Extinguisher”) that make it easy for them to engage in structural conversation reconnaissance and relationships.

**Large Bank-Brokerage and Banks Product Divisions**

Large Bank Brokerage and Banking Products Division invited Kevin to speak to their advisors at monthly meeting to lay out “The Mother of All Focusing Techniques” to be implemented by three levels of management as well as the bank’s retail advisors. It is reported that use of the “Post-It” anti-procrastination idea and the yellow “Agenda Pretenda” were among the tools utilized and appreciated.

**Tier I VA Company**

Local wholesaler and regional manager contracted with Kevin to be a profitable (and popular) Added Value speaker to use at their local road shows, advisor meetings and conferences and even advisor-client meetings (link to article). Fee for day included unlimited number of podiums and independent Extraordinary Wholesaler coaching/shotgun riding.

Kevin was acknowledged as having infused a good wholesaler’s day with creativity in presentations and innovation in activity. He identified and magnified the wholesalers’ personal unique abilities and demonstrate to them how to teach their advisors entrepreneurial skills and tools imbedded with logical and customized links to the ongoing sale of their product. Wholesalers and management appreciated how they were offered friendly non-judgemental, no bureaucratic, confidential advice on leveraging wholesaler strengths together with focus on uniqueness, not product.

**Wholesaler Cluster Meeting**

The Eastern Regional Manager of a dozen propriety VA wholesalers asked for a refreshing independent (“zero gravity”) presentation, Q&A, exercises and real world tools to be delivered to his group of mostly veteran to mid level wholesalers. Best reaction was to “The Bombastic Referral Process” and “The Four Question Client Interview”.

Even the few rookies enjoyed the “on-the-street” ways to make entrepreneurial enhancement their wholesaling “Trojan Horse” and learned a new found power to make a lot more money; lots of insight, non product, wholesaler techniques from outside the box got delivered at both the formal meetings the social events that Kevin always agrees to attend.

**Workshop Speaker at B/D National Meeting**

Presented “Simplify Your Independence with Five Tools of Extraordinary Advisors” and separately, participated in Practice Management Panel. Fee included full day participation at conference, unlimited podium/workshop and individual rep and interaction with home office, personal coaching and consulting and social events. Kevin knows it is lonely in the field AND lonely in the home office.

**Repeat Keynote Speaker at National Conference of Broker Dealers**

Kevin collected an assortment of advisor frustrations and actually used them as the outline to his 2 hour keynote.

Exceptional press was offered for Kevin’s ability to use his street sense and familiarity with good advisors entrepreneurial frustrations and paint a specific, step by step roadmap to convert them to confidence and success.

Kevin pointed to dozens of other solid entrepreneurial tools, websites, books and newsletters that aided the resps in their “Frustration Buster Session”.

**Direct Help to An  
Extraordinary  
Advisor**

A 25 year successful advisor (and one who joined Strategic Coach at my suggestion three years earlier) engaged me to solve this issue:

A strategic alliance with a large mortgage company was beginning to draw referrals from some (15) of the 60 mortgage originators. Unable to share commissions but desiring continued referrals, this Extraordinary Advisor sought my counsel.

We devised an eight step customized entrepreneurial growth program (predicated on my Extraordinary Advisor Breakthrough Process) named it the Mortgage Originators Value Experience (MOVE) and held two-hour coaching classes every two weeks for those who agreed to participate and continue to provide leads.

The rep and I are exploring ways to take the “MOVE” program beyond his office to pursue strategic alliances and lead commitments for him from other mortgage originators in exchange for this customized coaching.

We are working on a similar “zero-gravity” entrepreneurial coaching program for high end real estate brokers and other industries.