

THE ONE THING

*A HUMAN BEHAVIOR BASED APPROACH TO HELP
INCREASE YOUR ASSETS*

BRIAN GALLERY

SENIOR VICE PRESIDENT

HEAD OF STRATEGY & CONSULTING

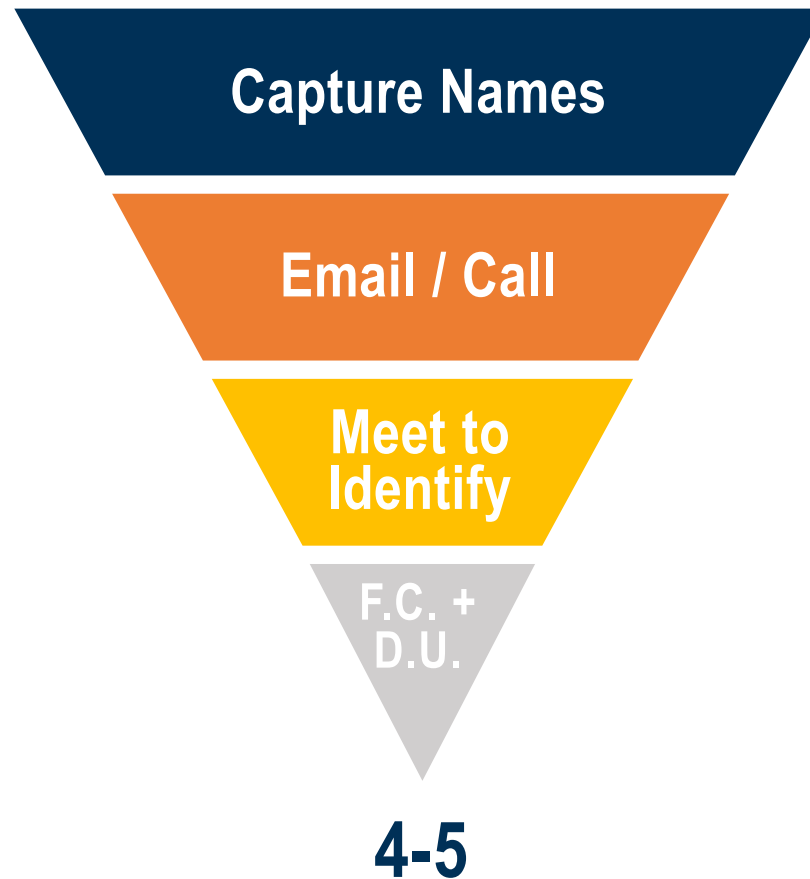
Financial professionals are reminded to check with their Compliance department for guidance on relevant regulatory restrictions and internal company policies.

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Identify The Right Professionals

A FOUR STEP PROCESS



Demonstrate Understanding

WAYS TO DEMONSTRATE UNDERSTANDING

Affirmation / Validation

Empathy

Reflective Statements

Frequency of Contact

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.

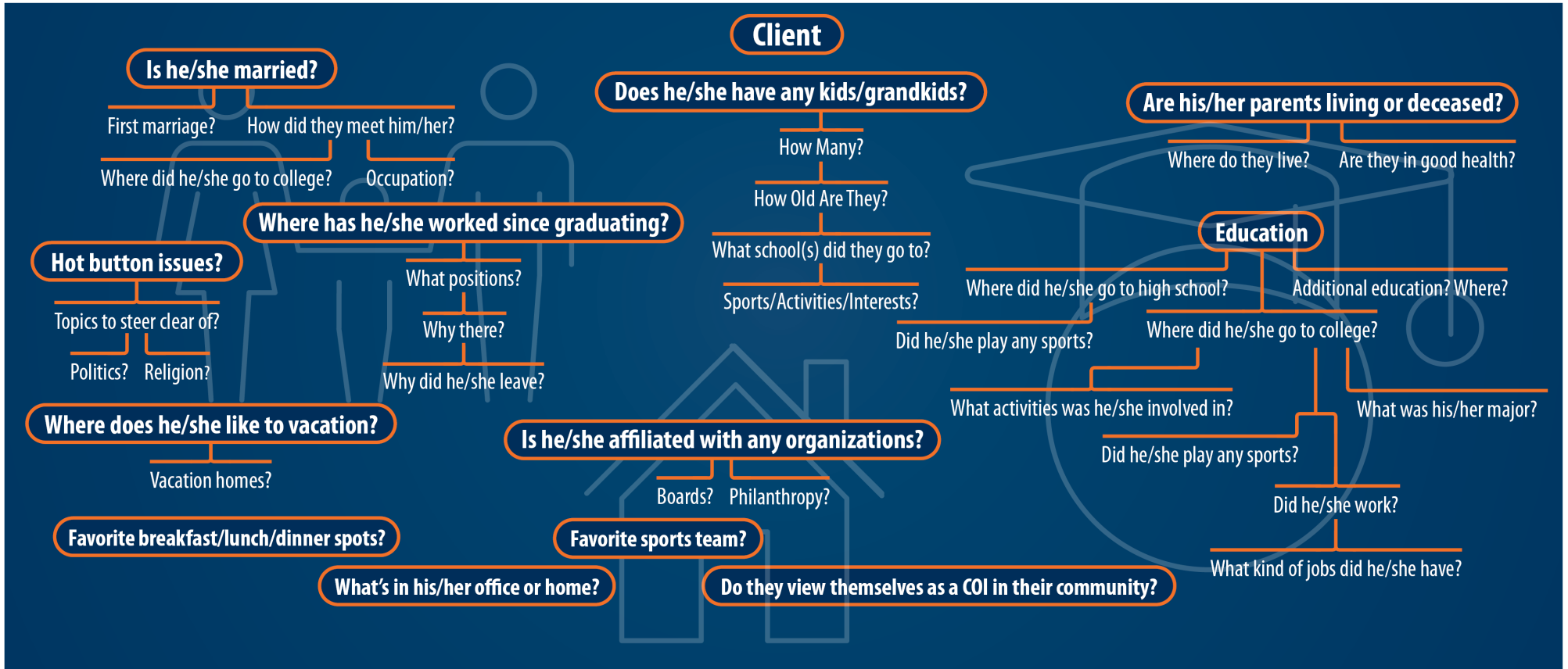
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HOLIDAYS

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

CLIENT INFORMATION



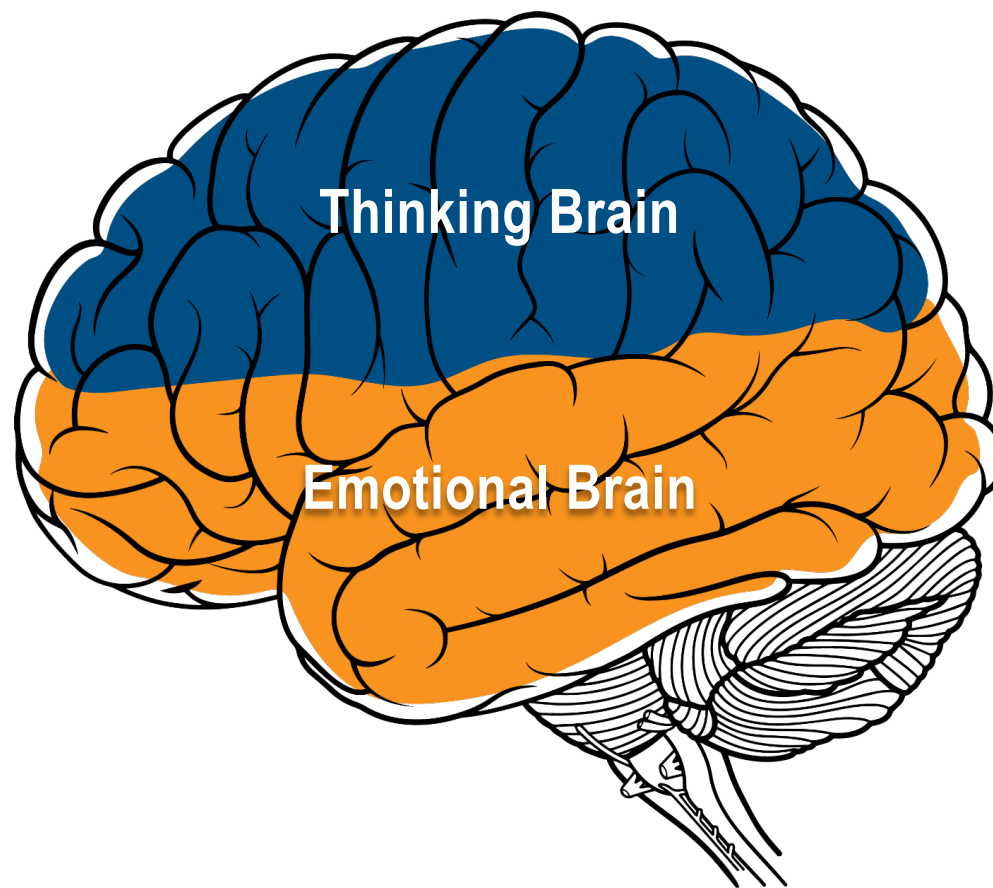
PROFILE PAGE

- [REDACTED] is making a move from [REDACTED]
- Wants to consolidate with one financial professional
- Total liquid assets = [REDACTED]
- Building \$ [REDACTED] home in [REDACTED]
- Also purchased an apartment in [REDACTED]
- No trusts set up for kids
- Two kids [REDACTED]
- Business manager, [REDACTED], lives in [REDACTED]
- Head of his production company is [REDACTED]
- Office manager, [REDACTED], lives in [REDACTED] and has [REDACTED] kids
- [REDACTED] is his personal assistant. She graduated from [REDACTED] in 1999 and took two years off to travel
- [REDACTED] studied in Italy
- They are currently gearing up for next big movie [REDACTED]
- [REDACTED] is a very private person
- Works he is most proud of are [REDACTED] and [REDACTED]

STEPS

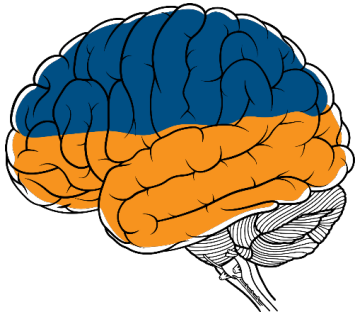
Empathy – **P**erspective – **H**ope

COOLING DOWN THE EMOTIONAL BRAIN



Cool Down Emotional Brain

EMPATHY



- ❑ Let them know planning takes into consideration unique/unexpected events
- ❑ What specifically is concerning you the most?