

# Welcome

**Rick Tsoumas**

The Planning Group

# Rep Advisory Council



**David Berman**  
Berman McAleer



**Larry DeNoia**  
ITI Strategies



**Ann Fenwick**  
Fenwick Financial Services



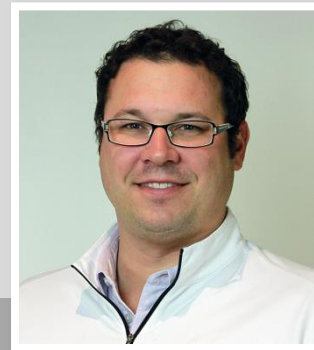
**Beth Richardson**  
Maleta Wealth Management



**Jim Delamater**  
DS&B Financial Services



**Kevin Ellman**  
Wealth Preservation Solutions



**Dan Mulheran**  
The KNW Group

# Staff Advisory Council



**Terri Cook**  
Berman McAleer



**Lori Jones**  
ITI Strategies



**Karen Doherty**  
Fenwick Financial Services



**Carol Lanes**  
Maleta Wealth Management



**Kathy Nemer**  
DS&B Financial Services



**Dolores White**  
Wealth Preservation Solutions




**Debbie Norrell**  
The KNW Group

# Empowering Advisor Success

**James Poer**

NFP Advisor Services Group



“Every man’s ability  
may be strengthened or increased  
**by culture.**”

~John Abbott

E M P  W E R

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**Advisor Success**

Reinvention

Integrity

Advocacy

# Empowering Your Success in 2013

## White Papers

- Keys to the C-Suite: Capturing Wealth Management with Corporate & Executive Benefits
- The RIA Tipping Point: Corporate or Independent

## AdvisorComplete Enhancements

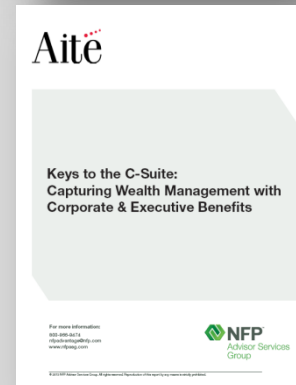
## NFP Free Ticket Program

## Retirement Center

## Forefield Resources

## Leadership Development

## Elevate Client Experience



## Training and Work Environment

**Key to Great Success**



# Practice Enrichment - Empowering Your Success

Business and Finance Tools

Marketing Tools

Human Capital

Office Visits

## Budget Assumptions

There are two ways available to forecast the fee revenues:

1. Percentage change method - this is the most common method where you simply enter a percent growth or decline number for each business line
2. AUM method - this is a more complex method that looks at market performance and other factors. This is most relevant to fee-based firms

### 1. Percentage change method

Please enter a percentage change for each business line. To enter a decline in revenue use a negative number

#### REVENUE - NET OF BROKER-DEALER

	Actual 2012
Advisory Fees	\$0
Mutual Fund (Brokerage)	\$0
Variable Annuity	\$0
Alternative Investments	\$0
Variable Life	\$0
General Securities	\$0
Other NFP GDC	\$0
Fixed Product	\$0
Affiliated Producers	\$0
<b>Total Gross Revenue</b>	<b>\$0</b>
Resulting Percentage Total Growth	N/A

### 2. AUM Method

Beginning AUM in 2012	\$0
Expected Market Performance in Remainder of 2012	5%
Plus: Market Appreciation	\$0
Plus: New Assets from New Clients in 2012	
Plus: New Assets from Existing Clients in 2012	
Less: Clients Lost (enter as negative)	
Less: Distributions and Withdrawals (enter as negative)	
<b>Ending AUM 2012</b>	<b>\$0</b>
AUM Yield (Revenue to AUM) - You can override this number	0%
<b>Projected Fee Revenue</b>	<b>\$0</b>

## Advisor Incentive Plan

<b>Base Salary</b>	\$65,000
<b>Revenue Managed by the Advisor</b> (Revenue from clients that the advisor manages independently and when person responsible for the account)	\$150,000
Percent of Revenue Managed bonus eligible	10%
	<b>Target</b> <b>Actual</b>
Retention Target	99% 100%
Organic Growth (contributions net of market)	5% 7%
Referrals Generated	5 3
Client Feedback	Not measurable
<b>Bonus Available</b>	<b>\$15,000</b>
Bonus Earned	\$11,250
	<b>Actual</b>
<b>New Business Developed</b>	<b>\$40,000</b>

(Calculated as annualized fees or actual commissions. Paid only on clients who meet minimum criteria)

Percent Paid ad Business Development Bonus	10%	of first year
Percent Paid ad Business Development Bonus	5%	of second year

<b>New Business Incentive</b> (available next year)	<b>\$4,000</b>
	<b>\$2,000</b>

<b>Total Income</b>	<b>\$80,250</b>
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## Business Development



### New Clients

Source	Target	YTD
Referrals from Existing Clients	8	
New Client Acquisition	6	
Referrals from Professional Partnerships	6	

### Alliance Relationships

Goal	Target	YTD	Revenue Split
Develop New CPA Relationships	3		80/20
Identify New Centers of Influence	2		None
Create Client Advisory Board	10 'A' clients		None

### External Marketing

Goal	Target	Completed?
Sponsor Community Event	5k Run Cancer Fundraiser	
Quarterly Seminars	30 Attendees	

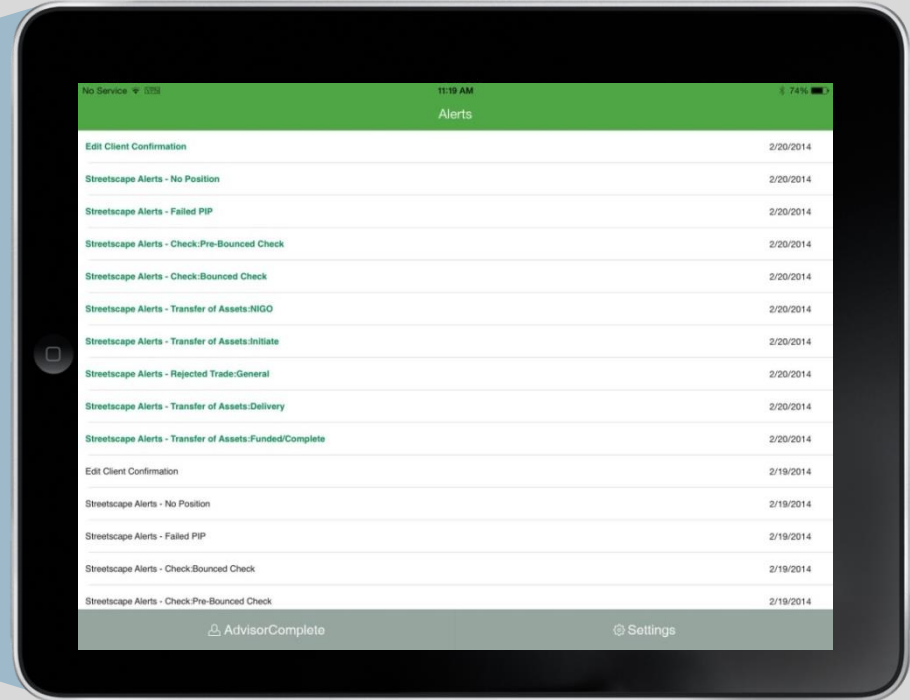
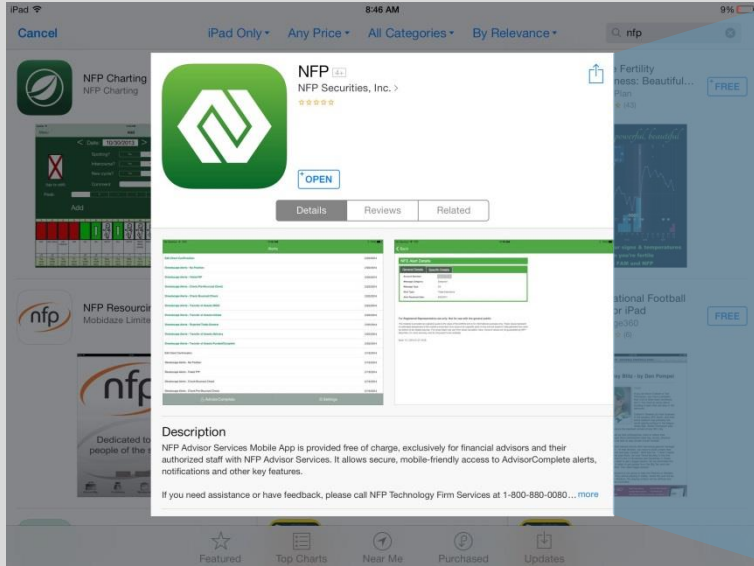
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What are we doing to  
**Empower Your Success**  
in 2014?

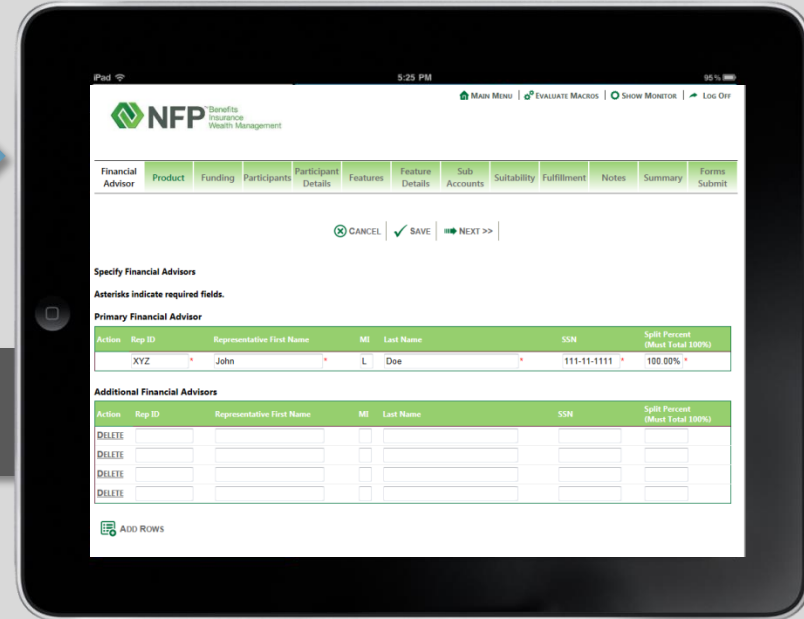
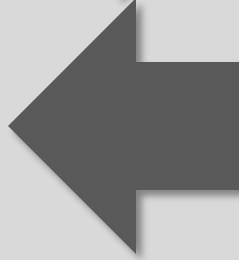
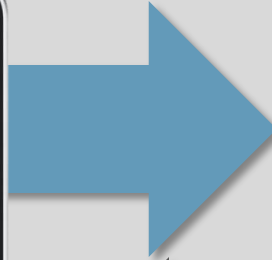
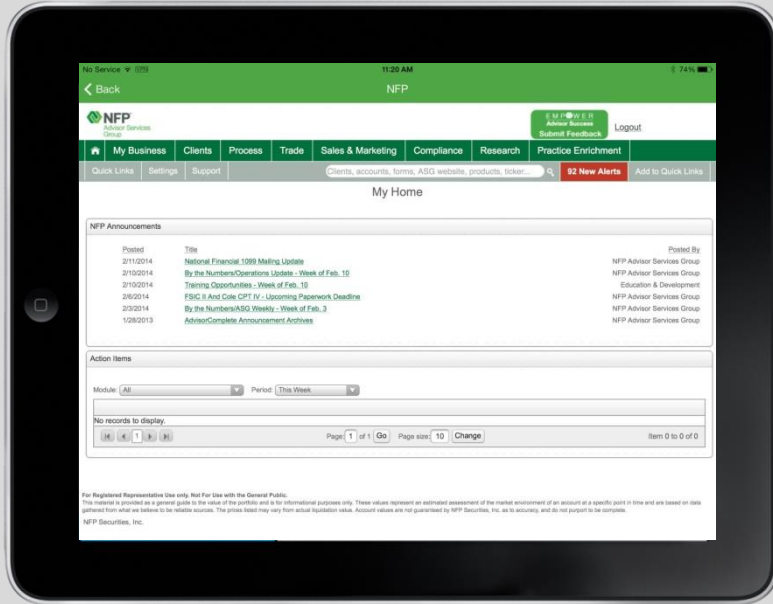
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# AdvisorComplete App



# Variable Annuity Processing



# Regulatory

## 2014 Audit Focus

IRA Rollover Oversight

Churning Accounts from Broker/dealer to Investment Advisors

Complex Products

Cyber Security

Fraud and the Safety of Assets and Custody

Compliance Risk Management

# Alternative Investments

## Managing Risk & Leveraging Opportunity

AI Insight

Product Comparison Tool

Liquid Alternatives

Expanded Products

# Alternative Investments

## Managing Risk & Leveraging Opportunity

AI Insight

Product Comparison Tool

Liquid Alternatives

Expanded Products



# AdvisorEnterprise

Mobile

Proposal Analytics

Client Meeting Functionality

Composite Model Performance

Significant UMA Enhancements



# Free Ticket Program



# Black Diamond



**BLACK DIAMOND**  
PERFORMANCE REPORTING™

**Higher-end Solution**

**More Professional Reports**

**Flexibility**

**Substantial Discount**

# NFP Lending Solutions

Securities Backed Line-of-Credit



# NFP Succession Planning

NFP Succession Planning is designed to ensure that **ALL critical areas** of a buy or sell are taken into account now.

```
graph LR; A[Profile and Plan] --> B[Valuation]; B --> C[Pitch & Financing]; C --> D[Transition]
```

Profile and Plan

Valuation

Pitch  
& Financing

Transition

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Profile & Plan

Valuation

Pitch &  
Financing

Transition

# NFP HR Services - Suite of Offerings

Talent Acquisition  
Strategy, Tools &  
Resources

Training and  
Development

Compensation  
Strategy

Performance  
Management

Policies and  
Procedures

HR  
Administration

Payroll  
Administration

HR  
Compliance

# Intentional **GROWTH**



# Washington Wealth Management

New Phase of Independence

Wirehouse Exiters

Plug and Play Office and Support

Experienced Executive Team



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**Thank you for allowing us to**

**E M P  W E R**

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**NFP**<sup>TM</sup>

Advisor Services  
Group