



Communication DNA

Broker Dealer Advisor Communication Case Study

***“Know Your Advisors’ Communication Style”
to Transform Business Performance***



DNA Marketing is a turnkey online behavioral marketing process. The system uses the Communication DNA profile to improve business performance by continuously helping to emotionally engage advisors with your firm and provide them with a customized service experience.



DNA Marketing System

Transform Your Business Development Process

Adapt to Your Advisors and Prospects from the First Interaction Using the Communication DNA Profile and Intelligent Systems

The DNA Marketing System utilizes the Communication DNA Profile. The Profile is a 12 question, independently validated personality profiling tool that uncovers key aspects of your advisor's communication style. This information provides you with the resources you need in order to adapt to your advisor.

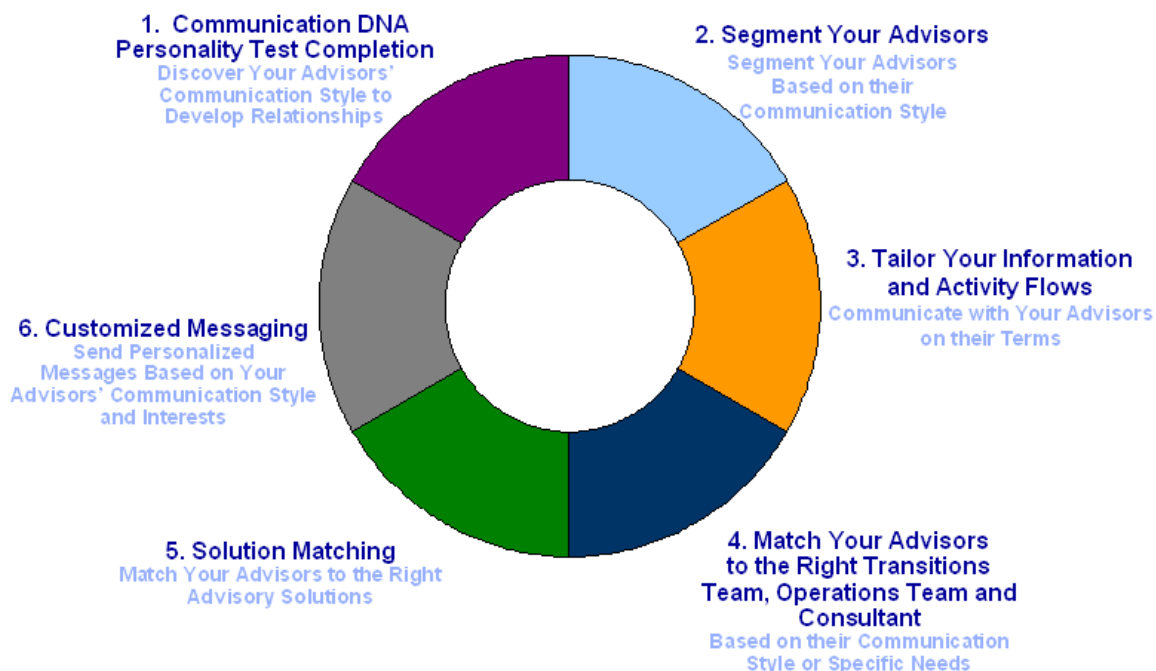


Your Business has 4 primary types of clients



The one page Communication DNA report focuses on communication keys, life and financial motivations to build greater relationships and more easily connect with others.

Our DNA Marketing System connects the communication keys, life and financial motivations of your advisors and prospects to the right choices via your website and contact management system.



The Enterprise Solution: CDNA Throughout the BD

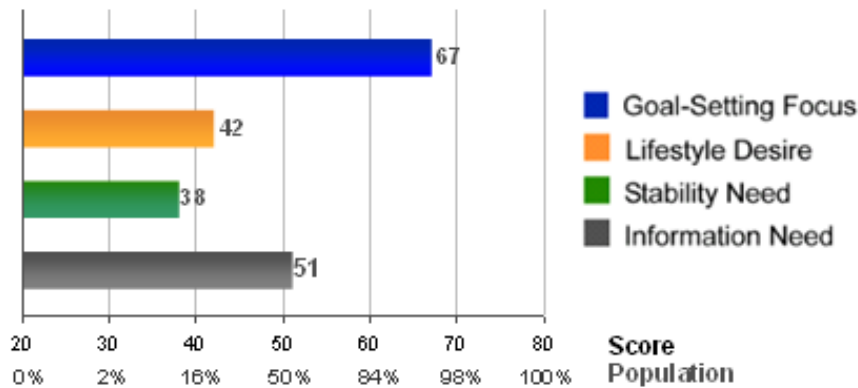
When and how do you engage the advisors to complete the CDNA profile?

BD Department Objective	Timing of Advisor Profile Completion
Recruiting to engage advisor prospects in a “people first” firm and customize communications during sales process	Advisor prospects to complete online at BD Recruitment website or during meeting 1 or 2
Transitions to improve connection and customize service to advisor and his/her team	Advisor and his/her team complete with entry paper work
Marketing to improve overall firm communications, collateral and continuous engagement	Continual proactive encouragement to advisors to do profile: Conference Booth Intranet Firm Feedback forms
Service Center to improve standard of service	Continuous requests to advisor and his/her team to complete when support is requested
Training Department to improve communication in workshops and webinars	Before or during trainings. Available on e-learning platforms
Practice Performance/ Coaching to improve advisor performance and interaction with advisor	Before or during review meetings with advisors
Business Consulting to customize interaction with the advisor, and predict advisor strengths and struggles for customizing services and improving performance	Before or during the provision of services as part of information gathering
Product Solutions to tailor the information flows for provision of products and also customize style of product offerings	Before advisors are presented with a new offering they complete profiles online – compliance can regulate

Alex (BD Consultant) - Goal-Setting Focus

Alex needs to be aware of his style when communicating with advisors

Alex – BD Consultant



Your Primary Communication Style:

Goal-Setting Focus

Lifestyle Desire

Stability Need

Information Need

A person who is focused on goals is interested in opportunities to expand their world.

You would like to be communicated with on the following terms:

- Provide Options when Communicating
- Communicate Directly
- Get to the Bottom Line
- Focus on Returns

Your preference would be to have products and services provided to you recognizing the following:

- **Life Need:**
Desire to Influence
- **Financial Approach:**
Goals
- **Risk Approach:**
Present Risk/Reward
- **Service Delivery:**
Be to the Point
- **Meeting Conduct:**
Formal Style
- **Information Requirement:**
Present the Big Picture
- **Relationship Management:**
Provide Contacts
- **Learning Style:**
Allow for Discussion of Ideas

Broker Dealer: Using Communication DNA

*Alex needs to ask advisors the DNA Ultimate Engagement Question:
How do you wish to be communicated with?*

Alex uses his CRM to get real time CDNA Profile data access for each call



Alex
BD Consultant
Goal-Setting Focus



Judith
Advisor 1
Goal-Setting Focus



John
Advisor 2
Lifestyle Desire



Sarah
Advisor 3
Stability Need



Laura
Advisor 4
Information Need

	Advisor 1: Goal-Setting Focus	Advisor 2: Lifestyle Desire	Advisor 3: Stability Need	Advisor 4: Information Need
Consultant: Goal-Setting Focus	Minimal modification required	Some modification required	Significant modification required	Some modification required
Consultant: Lifestyle Desire	Some modification required	Minimal modification required	Some modification required	Significant modification required
Consultant: Stability Need	Significant modification required	Some modification required	Minimal modification required	Some modification required
Consultant: Information Need	Some modification required	Significant modification required	Some modification required	Minimal modification required

BD Consultant is more likely to naturally engage emotionally with some profiles and then less with others hence requiring more behavioral modification

- Minimal modification required
- Some modification required
- Significant modification required

BD Consultant Approaching an Advisor

Scenario 1 – BEFORE Communication DNA Profile Completion



Conversation – BD Consultant relates through his lens

How's Business

How are you handling the compliance issues?...

Great new initiative about to be launched. All the details are in the document here
.....



Conversation – Advisor

Yeh not bad.....could be better...

Personally I am finding

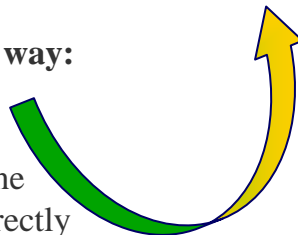
Compliance load is incredible at present. What we

Another new idea.....



BD Consultant has a Goal Setting Focus and will naturally Communicate this way:

- Provide Options
- Get to Bottom Line
- Communicate Directly
- Focus on Returns



The Issue: How does the BD Consultant need to adapt his communication to connect with the Advisor?

BD Consultant Engaging With Advisor

Scenario 1 – AFTER Communication DNA Profile Completion

This guy is a
Lifestyler -
ADAPT
He gets up to some
interesting stuff....
He seems open.....

This guy is a good
guy....
Heh we're on the same
page.....better than the
last consultant....I
wonder what this guys
got to offer....

Consultant Now Adapts His Conversation Style

What have you been up
to?... you look great...

How's things for you
.....

I imagine you are finding
the compliance load a
burden like most others..

Our BD is about to
launch....I think it would
work for your clients.....



Advisor Response is More Open

My weekend was
awesome.....could be
better if I got more
sleep.....
Personally I am a little
stretched

Compliance load is
incredible at present. What
we

Another fund...talk to me
about it...

Natural Communication Keys for BD Consultant – Goal Setter

- Provide Options
- Get to the Bottom Line
- Communicate Directly
- Focus on Returns

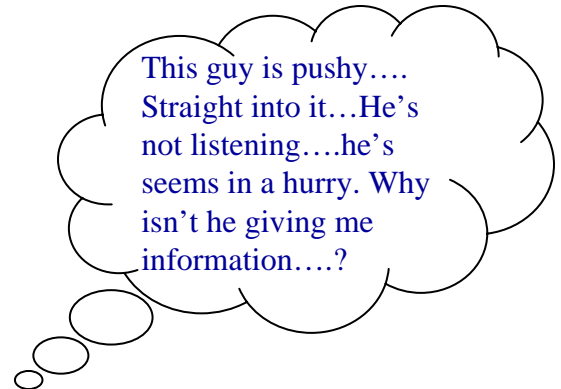
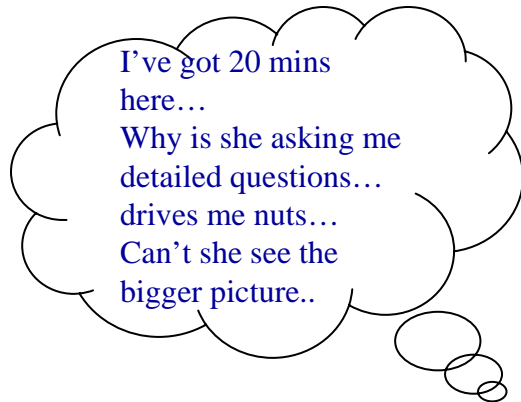


BD Consultant Now Adapts to the Advisor's Communication Keys – Lifestyle Desire

- Use Verbal Communication
- Openly Express Thoughts & Opinions
- Present Broad Facts
- Communicate with Enthusiasm

BD Consultant Approaching an Advisor

Scenario 2 – BEFORE Communication DNA Profile Completion



Conversation – BD Consultant relates through his lens

How's Business

How are you handling the compliance issues?...

Great new initiative about to be launched. All the details are in the document here.....



Conversation - Advisor

It's hectic trying to keep up with everything.. I have to readHave you read about the

Compliance is important for credibility. That's what my clients want assurance around.....

What's it called? Where's all the background?



BD Consultant has a Goal Setting Focus and will naturally Communicate this way:

- Provide Options
- Get to the Bottom Line
- Communicate Directly
- Focus on Returns

The Issue: How does the BD Consultant need to adapt his communication to connect with the Advisor?

BD Consultant Engaging With Advisor

Scenario 2 – AFTER Communication DNA Profile Completion

She has high Information Needs – ADAPT
Cover the details, stick to the facts.....
She knows her stuff....

I like a straight talking guy.. He's even listening to what I'm saying! Hmm I think he's a bit young for me...Nice though

Sales Conversation

How's Business
I find a similar challenge covering all the
I know compliance is important...How are you handling

Great new initiative about to be launched. Have you got time to go through it with me....
I have a complete set of docs for you....



Advisor Response

It's hectic trying to keep up with everything.. I have to read

Compliance is important for credibility. That's what my clients want assurance around.....

Absolutely - What's the purpose of the initiative?
What's the performance expectations? How can I market it?

Natural Communication Keys for BD Consultant-Goal Setter

- Provide Options
- Get to the Bottom Line
- Communicate Directly
- Focus on Returns

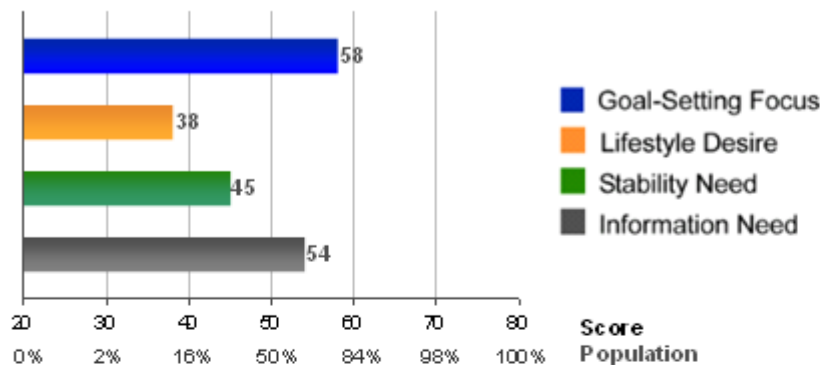
BD Consultant Now Adapts to the Advisor's Communication Keys - Information Needs

- Provide Facts
- Closed Ended Questions
- Use Specifics
- Demonstrate Transparency



Judith (Advisor 1) – Goal-Setting Focus

Judith – Advisor 1



Your Primary Communication Style:

Goal-Setting Focus

Lifestyle Desire

Stability Need

Information Need

A person who is focused on goals is interested in opportunities to expand their world.

You would like to be communicated with on the following terms:

- Provide Options when Communicating
- Communicate Directly
- Get to the Bottom Line
- Focus on Returns

Your preference would be to have products and services provided to you recognizing the following:

- **Life Need:**
Desire to Influence
- **Financial Approach:**
Goals
- **Risk Approach:**
Present Risk/Reward
- **Service Delivery:**
Be to the Point
- **Meeting Conduct:**
Formal Style
- **Information Requirement:**
Present the Big Picture
- **Relationship Management:**
Provide Contacts
- **Learning Style:**
Allow for Discussion of Ideas

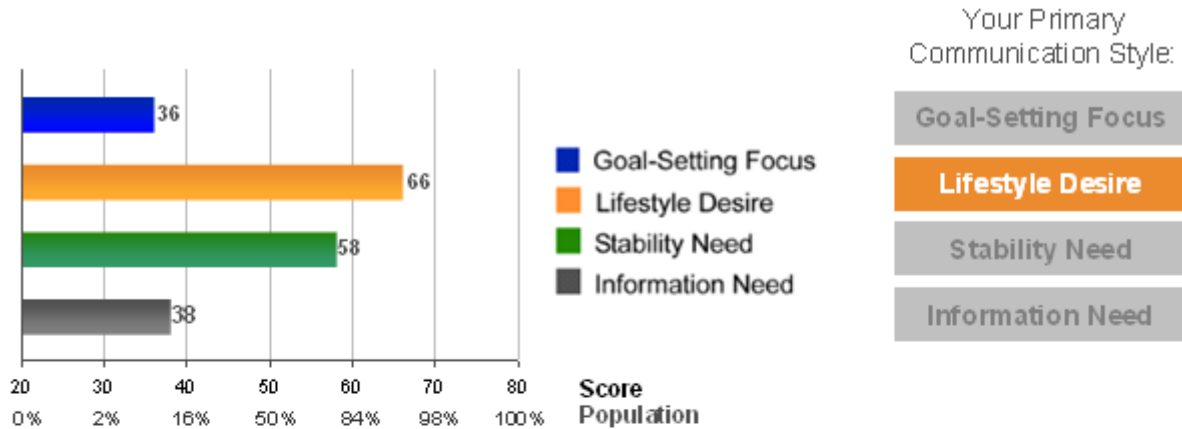
BD Department Communication

How do BD Departments Communicate with a Goal Setter Advisor?

BD Department	Customized Communication to Goal Setter Advisor
Recruiting	<ul style="list-style-type: none"> Introduce them to the influential players Present vision of the BD Bottom line results for joining/moving
Transitions	<ul style="list-style-type: none"> Remove impediments to closure quickly Align entry process to advisor goals Work with the advisors support team
Marketing	<ul style="list-style-type: none"> Connect them to influential people Recognize their long term financial goals Preference for a more formal, straight forward style
Service Center	<ul style="list-style-type: none"> Keep them free of unnecessary details Be direct and to the point Work with the advisors support team
Training	<ul style="list-style-type: none"> Present the big picture Connect message to their goals
Practice Performance/Coaching	<ul style="list-style-type: none"> Focus on setting and achieving goals Guide them not tell them
Business Consulting	<ul style="list-style-type: none"> Provide them options for solutions Allow for discussion of ideas Present risk/reward
Product Solutions	<ul style="list-style-type: none"> Present summary first Focus on returns Present risk/reward

John (Advisor 2) – Lifestyle Desire

John – Advisor 2



A person who is focused on lifestyle desires status, affluence and fun.

You would like to be communicated with on the following terms:

- Use Verbal Communication
- Present Broad Facts
- Openly Express Thoughts and Opinions
- Communicate with Enthusiasm

Your preference would be to have products and services provided to you recognizing the following:

- **Life Need:**
Desire to Build Lifestyle
- **Financial Approach:**
Spending
- **Risk Approach:**
Set Boundaries
- **Service Delivery:**
Interactive
- **Meeting Conduct:**
Make it Fun
- **Information Requirement:**
Use Graphics
- **Relationship Management:**
Invite to Social Events
- **Learning Style:**
Intuitive and Instinctive

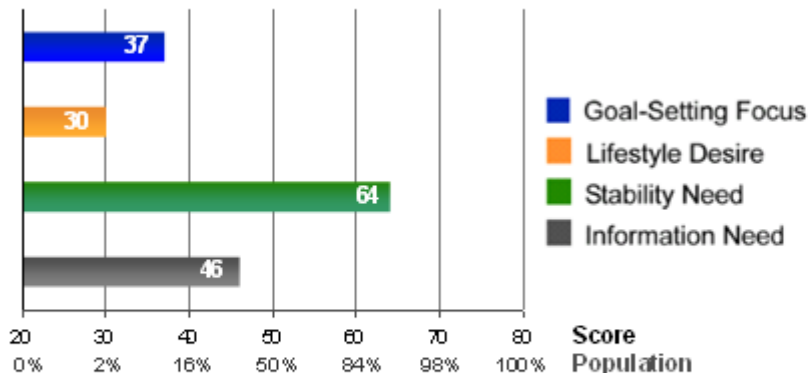
BD Department Communication

How do BD Departments Communicate with a Lifestyle Desire Advisor?

BD Department	Customized Communication to Lifestyle Desire Advisor
Recruiting	Say who main BD players are Overall quality life improvement Invite to a networking event
Transitions	Minimize the details Use graphics Set timelines
Marketing	Make the firm seem fun Provide engaging interaction Allow to speak at conferences and workshops
Service Center	Be enthusiastic Minimize details Ask them a non-business but lifestyle focused question
Training	Engaging classroom presentations Interactive case studies
Practice Performance/Coaching	Be interactive Set boundaries to help them focus
Business Consulting	Use graphics and illustrations Allow brain storming discussions Present broad facts
Product Solutions	Tell them who is involved Provide high level summary only Hold group discussions to present

Sarah (Advisor 3) – Stability Need

Sarah – Advisor 3



Your Primary Communication Style:

Goal-Setting Focus

Lifestyle Desire

Stability Need

Information Need

A person with a need for stability is interested in safety and living in a calm environment.

You would like to be communicated with on the following terms:

- Speak in a Calm Manner
- Offer Feelings when Communicating
- Use a Soft Tone
- Express Emotions

Your preference would be to have products and services provided to you recognizing the following needs:

- **Life Need:**
Security
- **Financial Approach:**
Guarantees
- **Risk Approach:**
Focus On Certainties
- **Service Delivery:**
Regular Communication
- **Meeting Conduct:**
Relaxed
- **Information Requirement:**
Instructions
- **Relationship Management:**
Provide Education
- **Learning Style:**
Sensory

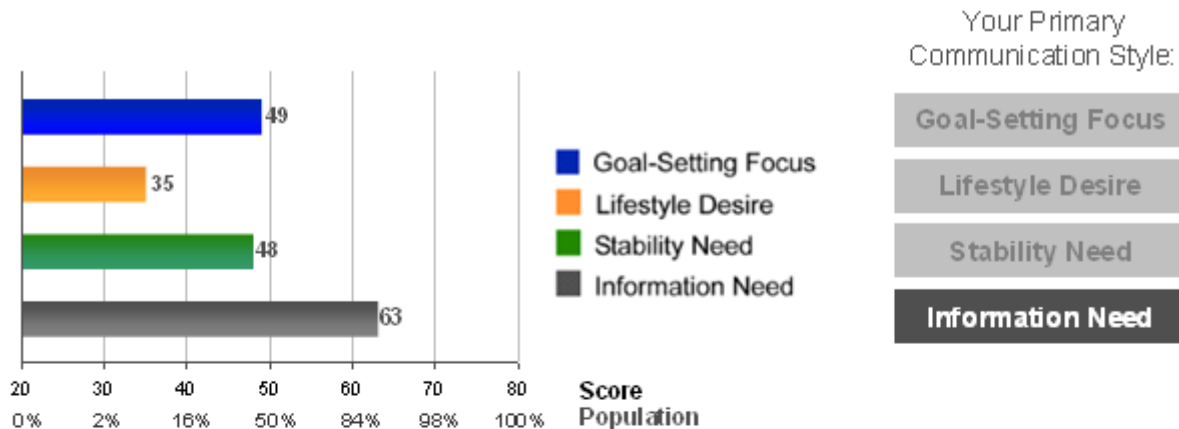
BD Department Communication

How do BD Departments Communicate with a Stability Need Advisor?

BD Department	Customized Communication to Stability Need Advisor
Recruiting	Do not rush them Recognize their feelings and emotions Focus on need for financial security – minimize the variables
Transitions	Meet and walk them through process Provide clear instructions Follow up regularly to ensure they are comfortable
Marketing	Recognize the need for emotional connection Focus on certainties when communicating Provide education in newsletters/intranet
Service Center	Be calm and use a soft tone Be patient Provide clear instructions
Training	Keep the training relaxed and friendly Allow them to experience it through interaction
Practice Performance/Coaching	Allow them to share emotions and feelings Keep the environment calm
Business Consulting	Give them low risk solutions Provide clear implementation instructions Keep in regular contact
Product Solutions	Focus on need for security and certainties Provide product education

Laura (Advisor 4) – Information Need

Laura – Advisor 4



A person with a need for information likes to analyze and focus on the tangible.

You would like to be communicated with on the following terms:

- Provide Facts when Communicating
- Use Specifics
- Closed Ended Questions
- Demonstrate Transparency

Your preference would be to have products and services provided to you recognizing the following:

- **Life Need:**
Order and Focus
- **Meeting Conduct:**
Structured
- **Financial Approach:**
Budgets
- **Information Requirement:**
Provide Research
- **Risk Approach:**
Minimize risks
- **Relationship Management:**
Send Newsletters
- **Service Delivery:**
Be Reliable
- **Learning Style:**
Make it Tangible

BD Department Communication

How do BD Departments Communicate with an Information Need Advisor?

BD Department	Customized Communication to Information Need Advisor
Recruiting	Be very transparent about the firm Give them details to do due diligence Expect questions requiring details
Transitions	Provide clear steps for the entry process Keep the process on track Be reliable and ordered
Marketing	Send them newsletters Communicate by email Provide facts when communicating
Service Center	Provide reliability Be clear with the steps Follow processes
Training	Give them plenty of specifics Keep training very structured Make e-learning available
Practice Performance/Coaching	Keep them untangled from details Guide with clear action steps and structure
Business Consulting	Present solutions within their budget Help them minimize the risks Make solutions tangible
Product Solutions	Provide research Show how risks are minimized

Implementing the DNA Marketing Solution in a Broker Dealer's Business

How the DNA Marketing System Fits Into the Broker Dealers Business Plan

