

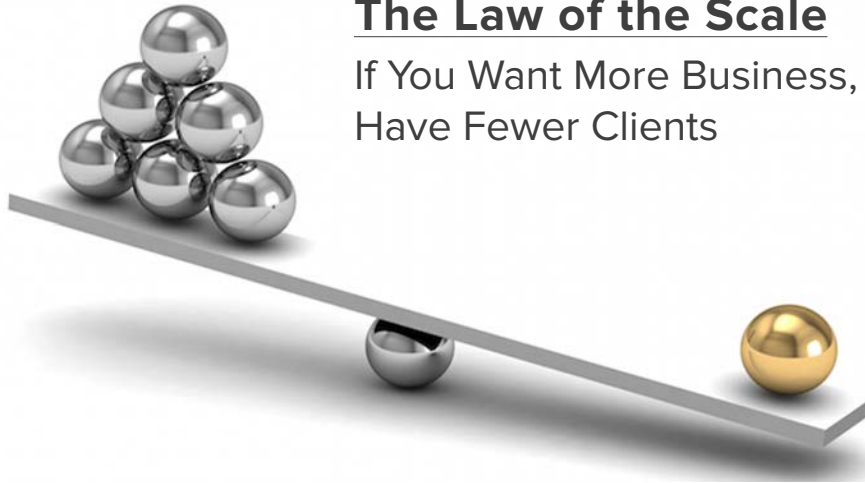
Module 10

The Law of the Scale

*Step 2: The High Trust Interview
Agents and Partners*



WARNING - THIS IS GAME CHANGING!!!
WARNING - THIS IS GAME CHANGING!!!



The Law of the Scale

If You Want More Business,
Have Fewer Clients

The Law of Courtship

For a Relationship to Be Right on the Outside, It
Must First Be Right on the Inside



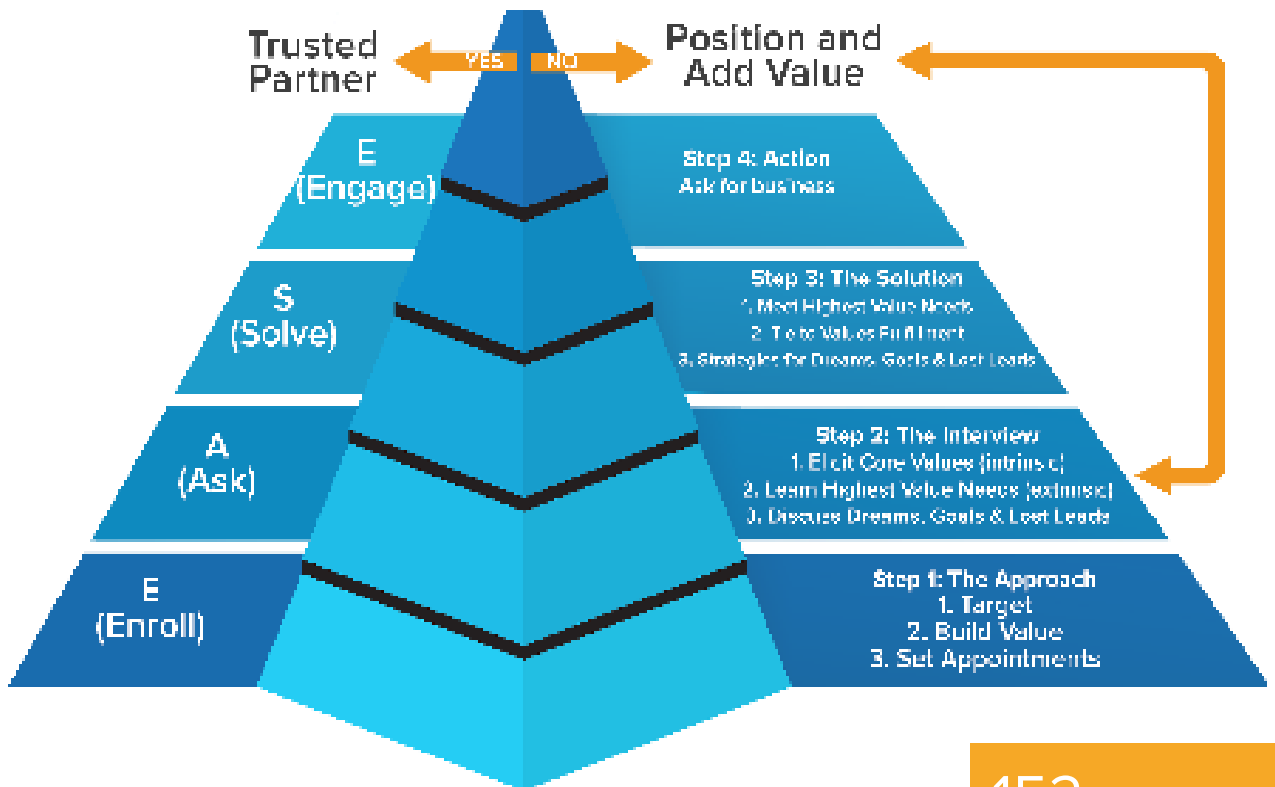
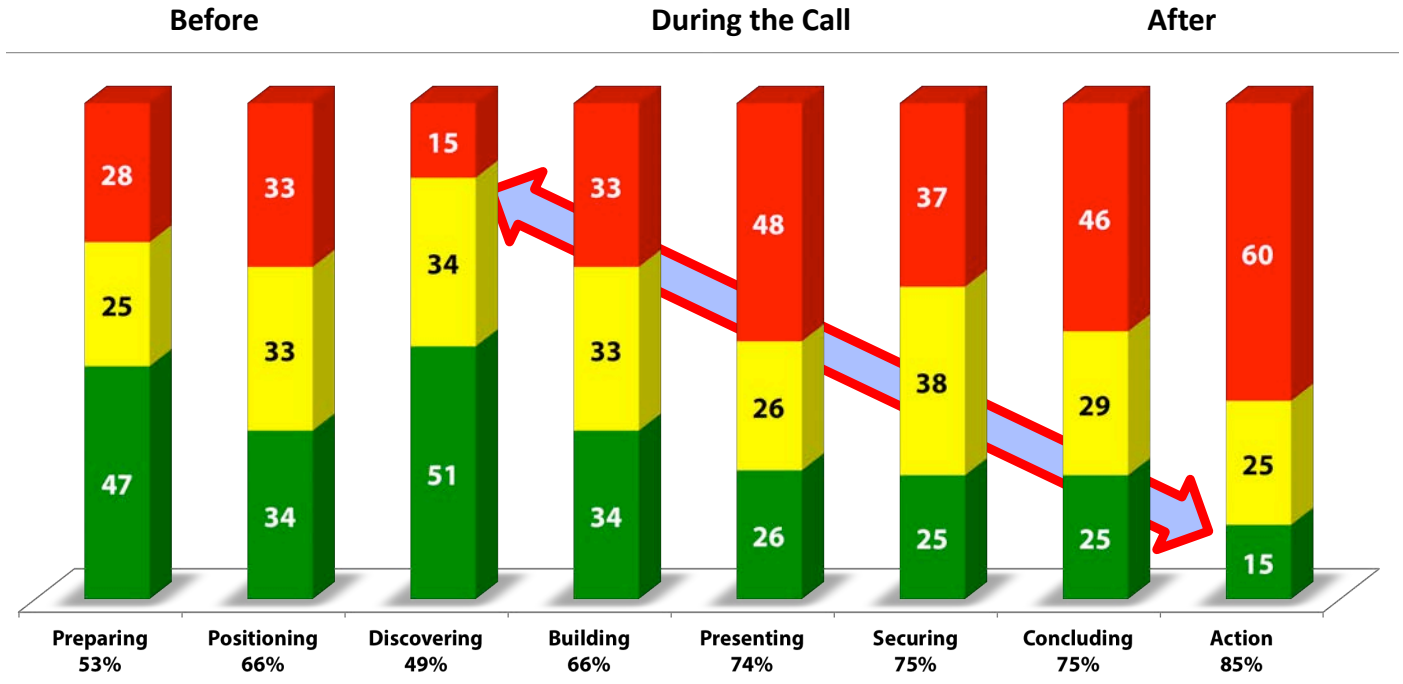
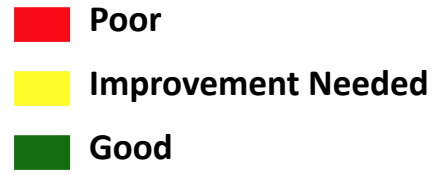
Every call is perceived as a way to make a positive emotional connection with the customer. Today's customer must be positively, emotionally, and memorably impacted at every level of his or her commercial experience, from start to finish.

- Tony Hsieh

Businesses that optimize emotional connection outperform competition by 26% in gross margin and 85% in sales growth. Their customers spend more, return more often, and stay longer.

- Gallup

High Trust Selling: The Process



The High Trust Interview

The Purpose of the Interview

1. To accelerate _____ so the prospect _____
_____ doing business with you.
2. To identify _____ that enable
you to tap into their _____ and
_____.
3. To learn the _____ they have from a
service standpoint on every transaction.
4. To gain knowledge around specific _____
_____ you can help them achieve.
5. To create anticipated _____
- _____ and become their _____
_____.

Interviewing Success Rules

1. Conduct Interview on _____.
2. Ask permission to _____.
3. Establish _____ by deepening the
conversation.
4. Maintain _____.
5. _____ listening.

The High Impact Opening has the following characteristics:

- 1. An appreciation for the prospect's time.** This is self-explanatory. Too much small talk or time on pleasantries is a surefire sign to a prospect that you're nervous and not prepared. If you've been referred to a prospect, use the referrer's name in your opening. This usually helps secure enough trust to continue the conversation.
- 2. A statement of impact.** You must say something that uniquely sets you apart from your competition and foreshadows the value that the conversation will hold if it continues.
- 3. A quick transition to the interview process.** The key here is to maintain control of the dialog by quickly transitioning to discovering Core Values and Highest Value Needs.

Here's how a high-impact opening might sound if you are approaching a Realtor:

"Debbie, I want to thank you for giving me the time today to meet with you. Karen felt that our time together would be extremely beneficial.

Debbie, a lot of Realtors think I am in the business of doing mortgage loans. I don't see it that way at all. I see my primary role as helping my Realtors become as successful as they can. I can't do that without knowing what's important about success to them. With that in mind, help me to understand, what's important about success to you?"

Here's how a high-impact opening might sound when you are working with a borrower:

"Mr. Smith, a lot of people think I am in the business of doing loans. I really don't look at it that way. As a Home Loan Strategist, I am helping you create, perhaps, the largest debt in your life and I have a responsibility to help you professionally manage that debt. Unlike most lenders, I see my primary role as helping integrate the mortgage loan you select into your overall long and short-term financial and investment goals and your payment, equity, cash flow, and tax objectives.

With that in mind, help me understand what's important about this home loan to you?"

Discover Core Values (Intrinsic)

Your prospects make a positive buying decision when they can experience values fulfillment. **Your goal is to learn the most important Core Value they have in their life and tie your relationship to fulfilling that value.**

Core Values That Prospects Might Have:

- ▶ Security
- ▶ Peace of Mind
- ▶ Fulfillment
- ▶ Satisfaction
- ▶ Happiness
- ▶ Joy
- ▶ Making a Difference
- ▶ Acceptance
- ▶ Recognition
- ▶ Integrity
- ▶ Disciplines
- ▶ Respect
- ▶ Ambition
- ▶ Balance
- ▶ Loyalty
- ▶ Belonging
- ▶ Character
- ▶ Faith
- ▶ Freedom
- ▶ Generosity
- ▶ Gratitude
- ▶ Success
- ▶ Potential
- ▶ Contentment
- ▶ Trust
- ▶ Pride
- ▶ Contribution

Questions That Help You Elicit Your Prospect's Core Values

- ▶ What's important about success **to you**?
- ▶ What's important about earning more money **to you**?
- ▶ What's important about maximizing your image **to you**?
- ▶ What's important about productivity **to you**?
- ▶ What's important about saving money **to you**?
- ▶ What's important about achieving security **to you**?
- ▶ What's important about safety **to you**?
- ▶ What's important about making a difference **to you**?
- ▶ What's important about saving time **to you**?
- ▶ What's important about profitability **to you**?


Knowing a prospect's Core Values gets you emotionally connected. A deeper connection reduces price sensitivity and increases loyalty and referrals.

Learn Highest Value Needs (Extrinsic)

Your prospects make a positive buying decision when they can experience needs fulfillment. **Your goal is to learn three to five of the most important needs they have in doing business with you and show them how in working with you those needs will be fulfilled.**

Needs That Prospects Might Have:

- ▶ Communication
- ▶ Accessibility
- ▶ Professionalism
- ▶ Knowledge
- ▶ Integrity
- ▶ Experience
- ▶ Referrals/Leads
- ▶ Education
- ▶ Productivity
- ▶ Scripting



These are usually service centric deliverables

There are three steps to this process:

1. Ascertain the need.
2. Understand all the components of their needs.

The Rule:

For every need you discover, spend 5 minutes going deep, learning how you must meet that need.

3. Discover the specific benefit(s) the prospect desires to reap from the need being met.

The Power of Benefits: (Accelerant)

Benefits are the emotional motivators for your prospect so when you ask for the business you increase the probability of hearing **“YES”**.

Learn Highest Value Needs (Continued):

The most important parts of the needs discovery process is in learning the components of all their needs which will to be met and the benefits they want to achieve when they are met.

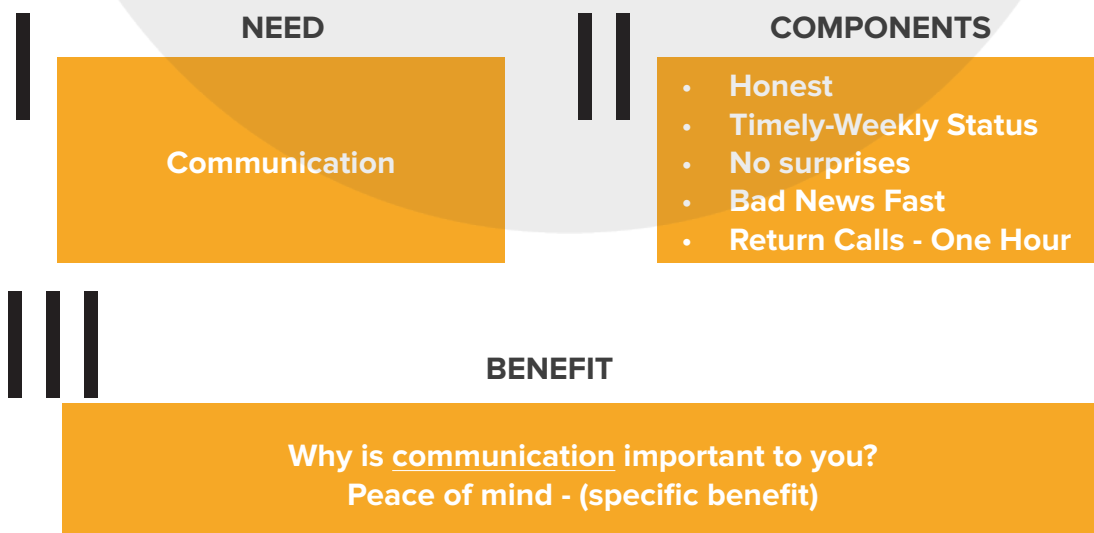
Rules are learned by asking questions like:

- ▶ “How do you define...?”
- ▶ “What would you change...?”
- ▶ “How do you determine...?”
- ▶ “What is your past experience with...?”
- ▶ “How would you improve...?”
- ▶ “What does that look like to you?”
- ▶ “What parameters are critical to you for...?”
- ▶ “What have you found works best for...?”
- ▶ “How do you select...?”
- ▶ “What are your standards for...?”

Benefits are learned by asking a question like:

“Mr. Smith, this is very helpful information. Tell me why honest, timely, regular communication is important to you?”

Eliciting Highest Value Needs



The High Impact Opening and Core Values Elicitation

In the first few minutes of the interview, use this transition script:

Strategic Partner High-Trust Interview Initiator

“Debbie, I want to thank you for giving me the time today to meet with you. Karen felt that our time together would be extremely beneficial.

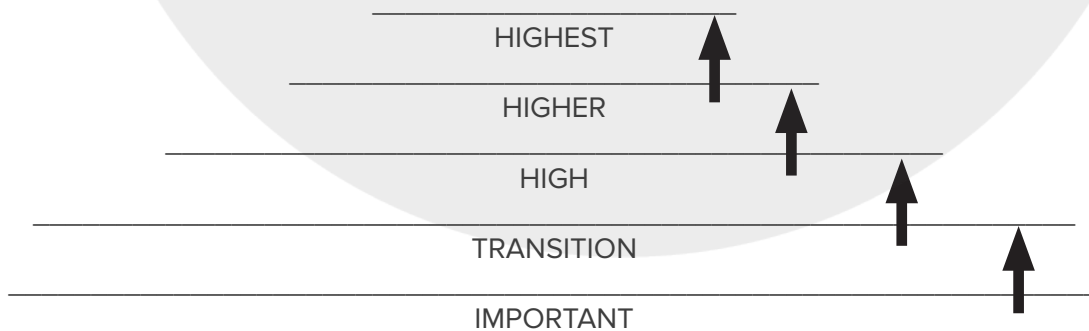
Debbie, a lot of Realtors think I am in the business of doing mortgage loans. I don’t see it that way at all. I see my primary role as helping my Realtors become as successful as they choose. I can’t do that without knowing what’s important about success to them. With that in mind, help me to understand, what’s important about success to you?”

Borrower High-Trust Interview Initiator

“Mr. Smith, a lot of people think I am in the business of doing loans. I really don’t look at it that way. As a Home Loan Strategist, I am helping you create, perhaps, the largest debt in your life and I have a responsibility to help you professionally manage that debt. Unlike most lenders, I see my primary role as helping integrate the mortgage loan you select into your overall long and short-term financial and investment goals and your payment, equity, cash flow, and tax objectives.

With that in mind, help me understand what’s important about this home loan to you?”

CORE VALUES HIERARCHY

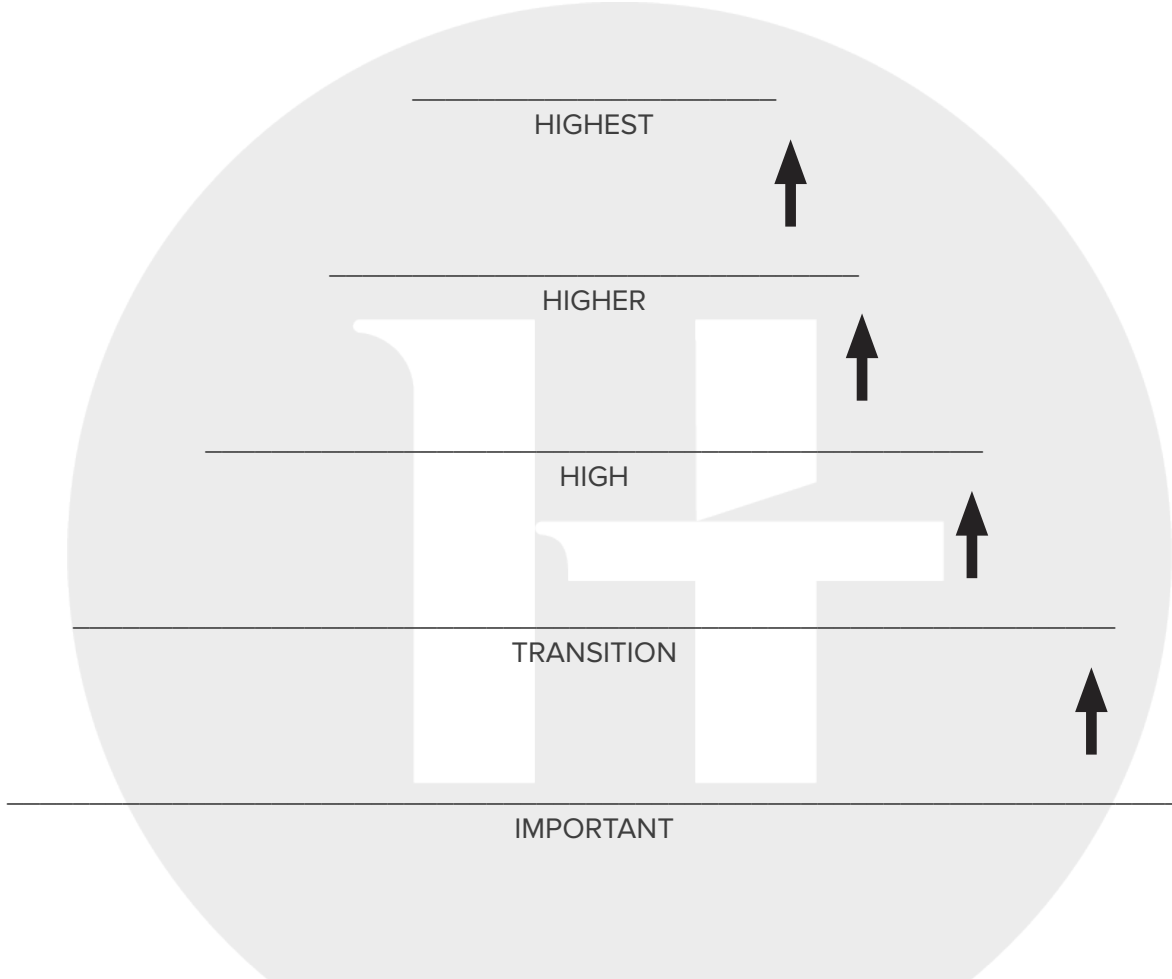


What’s important about _____ to you?

NOTE: For Agent, use the word “success”. For borrower, “this home loan”.

The 30 - 40 Minute Meeting Role Play Intensive

Core Values Hierarchy



What's important about _____ to you?

NOTE: For Agent, use the word "success". For borrower, "this home loan".

ACCELERANT

What does that do for you? What does that give you?

The 30 - 40 Minute Meeting Role Play Intensive

Highest Value Needs Model - Understanding their buying strategy

Script: "Now that I know what's important to you about success (strategic partner), what do you look for when working with a mortgage professional?"

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

What else is important to you?

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

What else is important to you?

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

The 30 - 40 Minute Meeting Role Play Intensive

Highest Value Needs Model - Understanding their buying strategy

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

What else is important to you?

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

What else is important to you?

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

The 30 - 40 Minute Meeting Role Play Intensive

Dreams and Goals Conversation

What are the top 3-5 dreams and goals you have for the next 24 months?

1. _____

Is there a plan and how is it working? _____

2. _____

Is there a plan and how is it working? _____

3. _____

Is there a plan and how is it working? _____

4. _____

Is there a plan and how is it working? _____

5. _____

Is there a plan and how is it working? _____

The 30 - 40 Minute Meeting Role Play Intensive

Lost Leads Conversation

How many transactions did you close last year? _____

How many people did you have to talk to in order to close that volume? _____

Do you think any of the other _____ people used another Agent? _____

What percentage of those do you think might have used you, but did not? _____

How much do you make per transaction? _____

That means you are leaving \$_____ on the table every year. Would you like to discuss a strategy on how to earn that and more each year?

“
Was just able to refer one of my realtor partners \$27,000 in commissions from an ANNUAL MORTGAGE REVIEW this morning! Thank you Todd for your coaching and mentorship in learning AMR's my friend.
”

- Wally Elibiary

“
I have bought 59 rental doors in the last 36 months, live off 25% of my income, and have no debts other than my mortgages, plus I take 20 weeks of vacations per year, thanks to you.
”

- Wally Elibiary

The 10 - 20 Minute Meeting

What is important about being successful to you? _____

What are the top needs you have during a transaction? _____

Tell me about your business? _____

Lost Leads Conversation

How many transactions did you close last year? _____

How many people did you have to talk to in order to close that volume? _____

Do you think any of the other _____ people used another Agent? _____

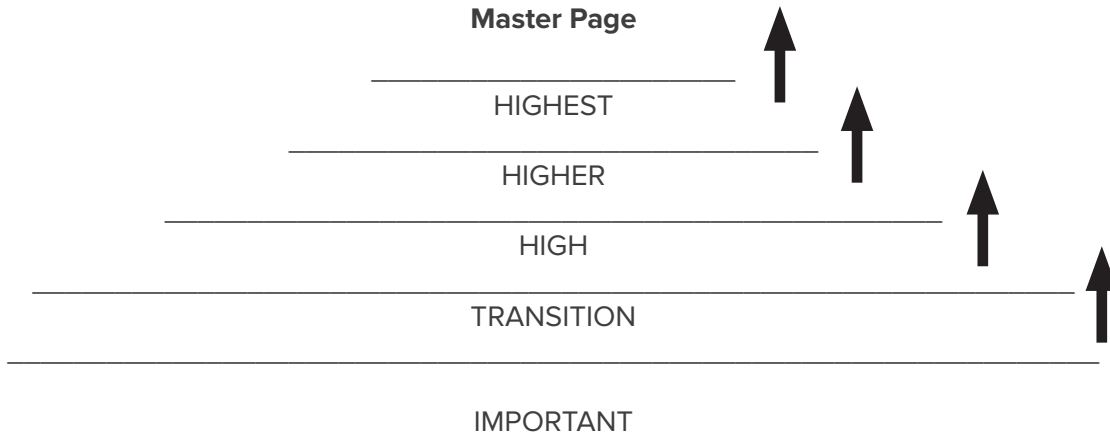
What percentage of those do you think might have used you, but did not? _____

How much do you make per transaction? _____

That means you are leaving \$_____ on the table every year. Would you like to discuss a strategy on how to earn that and more each year?

Core Values and Highest Value Needs

Step One: Core Values



What's important about _____ to you?

Step Two: Highest Value Needs

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

What else is important to you?

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

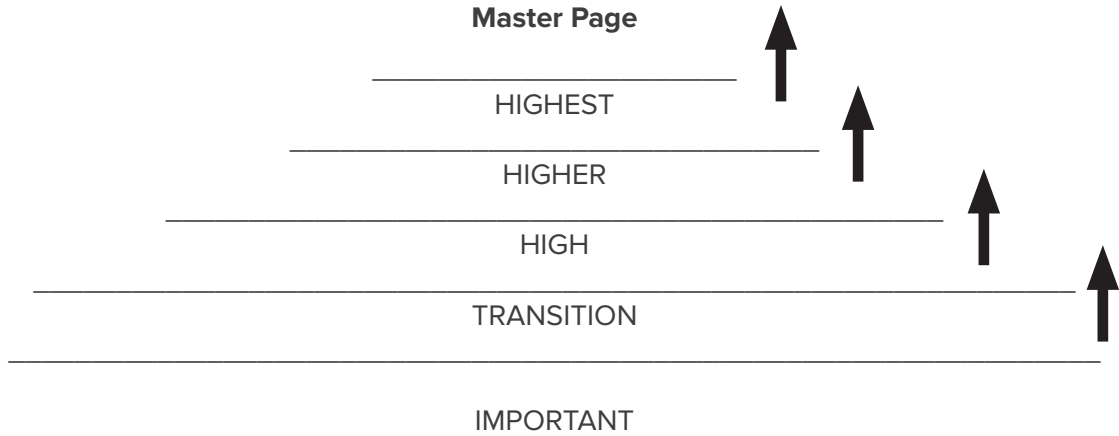
What else is important to you?

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

Step One: Core Values



What's important about _____ to you?

Step Two: Highest Value Needs

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

What else is important to you?

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

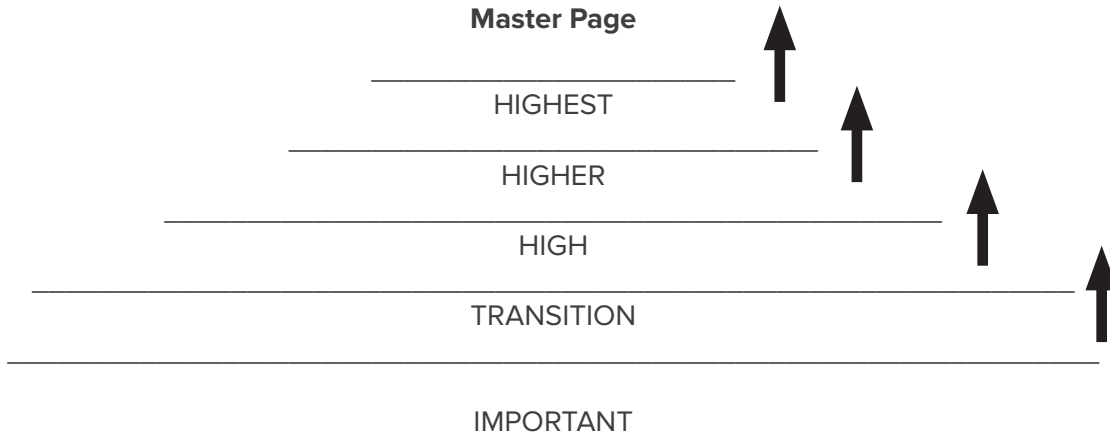
What else is important to you?

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

Step One: Core Values



What's important about _____ to you?

Step Two: Highest Value Needs

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

What else is important to you?

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

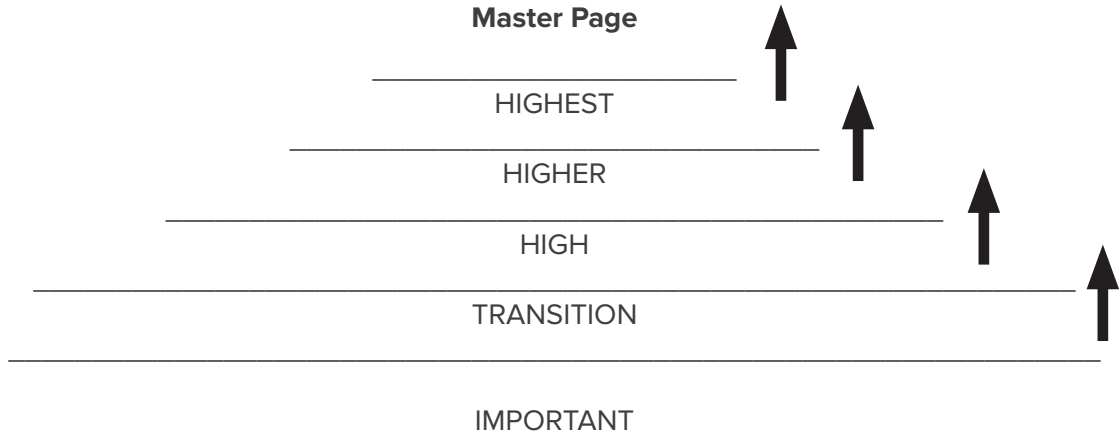
What else is important to you?

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

Step One: Core Values



What's important about _____ to you?

Step Two: Highest Value Needs

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

What else is important to you?

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

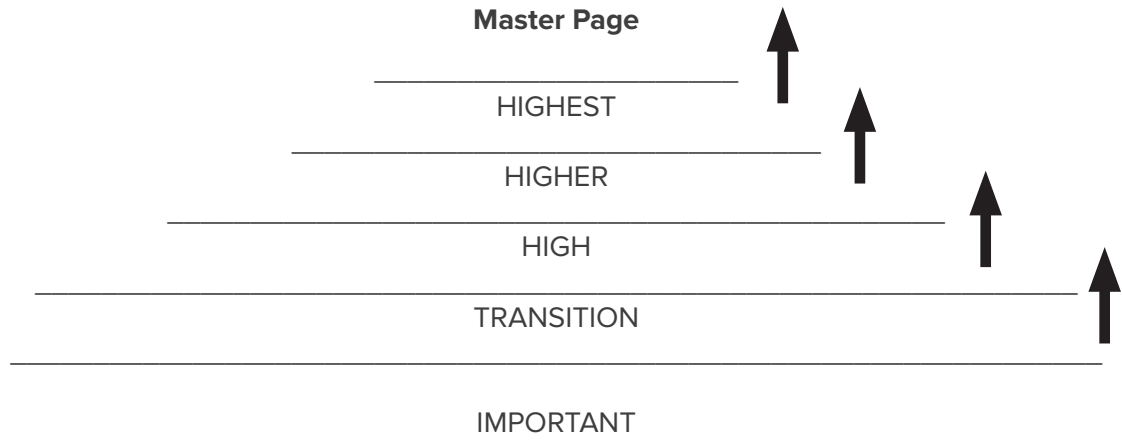
What else is important to you?

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

Step One: Core Values



What's important about _____ to you?

Step Two: Highest Value Needs

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

What else is important to you?

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

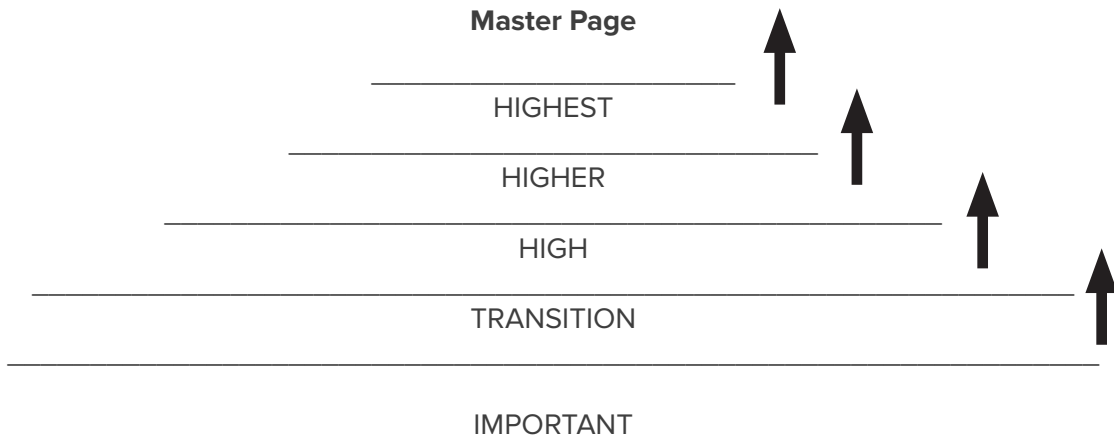
What else is important to you?

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

Step One: Core Values



What's important about _____ to you?

Step Two: Highest Value Needs

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

What else is important to you?

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

What else is important to you?

1. _____
NEED

2. _____
• _____
• _____
• _____
RULES

3. Why is/are _____ important to you? _____
NEED SPECIFIC BENEFITS

Real Estate Professional Questionnaire

Go deep if you really want to partner!

1. Do you maintain a customer database? Yes No
 - a. If yes, what software do you use? _____
 - b. How many customers do you have in your database? _____

2. Do you regularly market to prospective sellers and buyers you are working with but have yet to sign a listing agreement or purchase a contract (TBD)? Yes No
 - a. If yes, how often do you contact them? _____
 - b. How do you contact them: Phone Mail E-mail Other
 - c. If by mail or e-mail, what kinds of things do you send? _____

 - d. Who produces the items you send? _____
 - e. Who mails the items you send? _____

3. Do you regularly market to sellers and buyers you are working with between the time a contract is signed and the transaction closes? Yes No
 - a. If yes, how often do you contact them? _____
 - b. How do you contact them: Phone Mail E-mail Other _____
 - c. If by mail or e-mail, what kinds of things do you send? _____

 - d. Who produces the items you send? _____
 - e. Who mails the items you send? _____

Real Estate Professional Questionnaire (continued)

4. Do you regularly market to sellers and buyers you've closed transactions with in the past? Yes No

a. If yes, how often do you contact them? _____

b. How do you contact them: Phone Mail E-mail Other _____

c. If by mail or e-mail, what kinds of things do you send? _____

d. Who produces the items you send? _____

e. Who mails the items you send? ____ 5. Do you provide an opportunity for your past customers to complete an Annual Real Estate Review? Yes No

a. If yes, please attach a copy of what you send.

6. Have you established a budget for marketing to previous sellers/buyers? Yes No

a. If yes, what is your annual budget? \$ _____

b. Does your company contribute to your marketing budget? Yes No

7. Do you have a business plan for this year? Yes No

a. If yes, when was the last time you reviewed it? _____

b. Are you on track with the plan? Yes No

c. Please attach a copy of the plan.

8. Do you have a written Life Plan? Yes No

a. If yes, when was the last time you reviewed it? _____

b. Would you mind sharing the plan with your manager? Yes No

Real Estate Professional Questionnaire (continued)

9. Do you have Partnership Planning Sessions with your support team? Yes No

a. If yes, how often do you have them? _____

b. What questions do you ask in those meetings? _____

10. Are you familiar with High Trust Interviewing? Yes No

a. If yes, please describe the objectives of a High Trust Interview. _____

b. Do you typically engage your prospective sellers/buyers in a High Trust Interview?
 Yes No

11. Do you periodically encounter listing or selling commission objections? Yes No

a. If yes, how do you typically handle the objection? _____

b. How often do you lower your commissions? Never Sometimes Often

Real Estate Professional Questionnaire (continued)

12. Do you typically seek to understand the needs of a prospective seller or buyer?
 Yes No

a. If yes, how do you go about that, what kinds of questions do you ask? _____

b. What questions do you ask in those meetings? _____

b. Do you use a Real Estate Planning Questionnaire? Yes No

13. Do you have a system for surveying your customers for customer service feedback?
 Yes No

a. If yes, how often do you survey customers? _____

b. If yes, describe your system for conducting surveys. _____

14. Do you regularly use a Listing Presentation Software? Yes No

a. If yes, what software are you using? _____

b. How long have you been using it? _____

15. Do you use a move-up buyer tax analysis? Yes No

Real Estate Professional Questionnaire (continued)

16. Do you regularly look for lead opportunities when working with sellers/buyers?
 Yes No

a. If yes, list a couple of areas where you've found opportunity _____

b. Do you have conversations with sellers and buyers about things other than the details of the transaction? Yes No

If yes, what kinds of things do you talk about? _____

17. Do you regularly ask for referrals? Yes No

a. If yes, when do you ask for them? _____

b. Assuming you ask for referrals from 10 clients, how many of the 10 actually provide you with one within the following 3 months? _____

Real Estate Professional Questionnaire (continued)

18. Describe your value proposition _____

19. Do you have a profile of your optimal seller and buyer? Yes No

a. If yes, briefly describe it _____

20. Do you have a target marketing plan to approach prospective referral sources?

Yes No

a. If yes, briefly describe it _____

Real Estate Professional Questionnaire (continued)

21. Have you taught your Lending Partner how to cross-sell you to sellers and buyers you are _____ working with? Yes No

a. If yes, do they do it? Yes No

b. Please attach a copy of the script you asked them to use.

22. Do you have Partnership Planning Sessions with your Lending Partner? Yes No

a. If yes, how often to you have them? _____

b. What questions do you ask in those meetings? _____

23. What was the title of the last book you read? _____

a. What kinds of books do you regularly read? _____

b. How many books would you say you read in a year? _____

24. Are you familiar with the concept of Action Planning? Yes No

a. Do you use action plans? Yes No

b. If yes, describe a situation where you recently used one. _____

25. Are you familiar with the concept of Time Blocking? Yes No

a. Do you make a regular habit of Time Blocking? Yes No

b. If yes, what kinds of things do you Time Block? _____

Real Estate Professional Questionnaire (continued)

26. In the last 12 months, have you analyzed how much of your time is spent on proactive (dollar productive) activities versus reactive (non-dollar productive) activities?

Yes No

a. If yes, describe the adjustments you made to your business. _____

27. Do you use scripts in your business? Yes No

a. If yes, please provide a couple of examples of where you use scripts in your business. _____

Real Estate Professional Questionnaire (continued)

28. Do you make a regular habit of sending thank you notes to people? Yes No

a. If yes, how many do you typically send in a month? _____

b. What kind of things do you find yourself thanking people for? _____

29. Do you regularly send personalized notes and cards to individuals involved in a transaction? Yes No

a. If yes, how many do you typically send in a month? _____

b. What kind of things do you find yourself thanking people for? _____

30. Do you have a method for determining the “Lifetime Value” of each seller and buyer you work with? Yes No

a. If yes, please describe your method. _____

31. What do you believe are your top 3-4 most “Dollar Productive Activities” as a Real Estate Professional?

Real Estate Professional Questionnaire (continued)

Skill Level Assessment

Please rate on a scale of 1 to 10 (10 being the highest) your level of skill in the following areas:

Skill	Score	Skill	Score
Obtaining a face-to-face meeting with prospective sellers		Converting a listing shopper to a listing agreement without lowering your commissions	
Delivering and closing listing presentation		Getting buyers/sellers to perceive you as a Trusted Advisor	
Determining the right Listing Price		Building long-term relationships with Sellers/Buyers	
Gaining agreement from sellers on the right Listing Price		Building a long-term relationship with a Lending Partner	
Obtaining a face-to-face meeting with prospective buyers		Engaging prospective Sellers in a High Trust Interview	
Obtaining Buyer's Agent Agreements with buyers you're working with		Engaging prospective Buyers in a High Trust Interview	
Ability to Pre-Qualify a buyer before showing property		Doing an annual real estate review with your customer base	
Confidence in asking for the business		Balancing work life with family or personal life	
Engaging in partnership planning sessions with your Lending Partner on a regular basis		Developing affinity referral sources	
Obtaining leads or referrals from your Lending Partner		Knowing your referral sources' visions and business plans	
Engaging in long-term Real Estate planning with your sellers/buyers		Using technology to make your business more efficient	

Real Estate Professional Questionnaire (continued)

Business Profile

- What is your closed sales volume YTD? \$ _____
 Listing Sides _____ through _____ (month)
 Selling Sides _____ through _____ (month)
- How much did you close last year? \$ _____
 Listing Sides _____
 Selling Sides _____
- What is your average sales price? \$ _____
 Has your average sales price increased substantially recently? Yes No
 If yes, what was it last year? \$ _____
- What percent of your business is listings, selling sides or both?
 Listings _____ %
 Selling Sides _____ %
 Both _____ %
- What percentage of your business is developed by referral, direct marketing or relocation?
 Referral _____ %
 Farming _____ %
 Relocation _____ %
- On the average, how long are your listings on the market? _____ (days)
- On the average, how many homes do you show your buyers? _____
- What percent of your business comes from the following borrower types?
 First time home buyers _____ %
 Move up buyers _____ %
 Move up sellers _____ %
 Relocation buyers _____ %
 Relocation sellers _____ %
 Second home buyers _____ %
 Resort home buyers _____ %
 Investors _____ %



Real Estate Professional Questionnaire (continued)

Sources of Business

Type	Number of Referral Sources	Total Leads per Year	Total Applications per Year
Realtor			
Builder			
Customer Referral	N/A		
Repeat Customer	N/A		
Attorney			
Financial Planner			
CPA			
Corporations			
Farming	N/A		
Other _____			
Other _____			
Other _____			

Real Estate Professional Questionnaire (continued)

Goals • Disciplines • Needs

List your top three professional *goals* for the next 12 to 24 months.

1. _____

2. _____

3. _____

List your top three personal *goals* for the next 12 to 24 months.

1. _____

2. _____

3. _____

Real Estate Professional Questionnaire (continued)

In your opinion, what are the three most significant *disciplines* missing from your business today, and if implemented, your business would move to the next level?

1. _____

2. _____

3. _____

In your opinion, what are the three most significant *disciplines* missing from your life today, and if implemented, your life away from work would move to the next level?

1. _____

2. _____

3. _____

Real Estate Professional Questionnaire (continued)

What are the three most significant *needs* you have in your business today?

1. _____

2. _____

3. _____

Thank you for taking the time to complete this questionnaire; with this information we will be in a much better position to evaluate our ability to have a positive impact on you and your business.

Financial Services Provider Questionnaire

Go deep if you really want to partner!

1. Do you maintain a customer database? Yes No
 - a. If yes, what software do you use? _____
 - b. How many customers do you have in your database? _____

2. Do you regularly market to prospective sellers and buyers you are working with but have yet to sign a listing agreement or purchase a contract (TBD)? Yes No
 - a. If yes, how often do you contact them? _____
 - b. How do you contact them: Phone Mail E-mail Other
 - c. If by mail or e-mail, what kinds of things do you send? _____

 - d. Who produces the items you send? _____
 - e. Who mails the items you send? _____

3. Do you provide consistent educational information to clients with whom you are engaged? Yes No
 - a. If yes, how often do you contact them? _____
 - b. How do you contact them: Phone Mail E-mail Other _____
 - c. If by mail or e-mail, what kinds of things do you send? _____

 - d. Who produces the items you send? _____
 - e. Who mails the items you send? _____

Financial Services Provider Questionnaire (continued)

4. Do you regularly market to clients with whom you are engaged? Yes No
- a. If yes, how often do you contact them? _____
- b. How do you contact them: Phone Mail E-mail Other _____
- c. If by mail or e-mail, what kinds of things do you send? _____

- d. Who produces the items you send? _____
- e. Who mails the items you send? _____
5. Do you provide an opportunity for your past clients to meet with you annually to review their financial services needs? Yes No
- a. If yes, please attach a copy of what you send.
6. Have you established a budget for marketing to your client base? Yes No
- a. If yes, what is your annual budget? \$_____
- b. Does your company contribute to your marketing budget? Yes No
7. Do you have a business plan for this year? Yes No
- a. If yes, when was the last time you reviewed it? _____
- b. Are you on track with the plan? Yes No
- c. Please attach a copy of the plan.
8. Do you have a written Life Plan? Yes No
- a. If yes, when was the last time you reviewed it? _____
- b. Would you mind sharing the plan with your manager? Yes No

Financial Services Provider Questionnaire (continued)

9. Do you have Partnership Planning Sessions with your support team? Yes No

a. If yes, how often do you have them? _____

b. What questions do you ask in those meetings? _____

10. Are you familiar with High Trust Interviewing? Yes No

a. If yes, please describe the objectives of a High Trust Interview. _____

b. Do you typically engage your prospective sellers/buyers in a High Trust Interview?
 Yes No

11. Do you periodically encounter fee or commission objections? Yes No

a. If yes, how do you typically handle the objection? _____

b. How often do you lower your fee or commissions?
 Never Sometimes Often

Financial Services Provider Questionnaire (continued)

12. Do you typically seek to understand the needs of a prospective seller or buyer?
 Yes No

a. If yes, how do you go about that, what kinds of questions do you ask? _____

b. What questions do you ask in those meetings? _____

b. Do you use a Financial Planning Questionnaire? Yes No

13. Do you have a system for surveying your clients for customer service feedback?
 Yes No

a. If yes, how often do you survey customers? _____

b. If yes, describe your system for conducting surveys. _____

14. Do you regularly use a Listing Presentation Software? Yes No

a. If yes, what software are you using? _____

b. How long have you been using it? _____

15. Do you use a tax analysis tool? Yes No

a. If yes, what are you using? _____

Financial Services Provider Questionnaire (continued)

16. Do you regularly look for lead opportunities when working with clients?
 Yes No

a. If yes, list a couple of areas where you've found opportunity _____

b. Do you have conversations with clients about things other than the financial services you are providing? Yes No

If yes, what kinds of things do you talk about? _____

17. Do you regularly ask for referrals? Yes No

a. If yes, when do you ask for them? _____

b. Assuming you ask for referrals from 10 clients, how many of the 10 actually provide you with one within the following 3 months? _____

Financial Services Provider Questionnaire (continued)

18. Describe your value proposition _____

19. Do you have a profile of your optimal client? Yes No

a. If yes, briefly describe it _____

20. Do you have a target marketing plan to create consistent leads and referrals?

Yes No

a. If yes, briefly describe it _____

Financial Services Provider Questionnaire (continued)

21. Have you taught your Lending Partner how to cross-sell you to clients with whom you are working? Yes No
- a. If yes, do they do it? Yes No
- b. Please attach a copy of the script you asked them to use.
22. Do you have Partnership Planning Sessions with your Lending Partner? Yes No
- a. If yes, how often to you have them?. _____
- b. What questions do you ask in those meetings? _____

23. What was the title of the last book you read? _____
- a. What kinds of books do you regularly read? _____

- b. How many books would you say you read in a year?
24. Are you familiar with the _____
 concept of Action Planning? Yes No
- a. Do you use action plans? Yes No
- b. If yes, describe a situation where you recently used one. _____

Financial Services Provider Questionnaire (continued)

25. Are you familiar with the concept of Time Blocking? Yes No
- a. Do you make a regular habit of Time Blocking? Yes No
- b. If yes, what kinds of things do you Time Block? _____

26. In the last 12 months, have you analyzed how much of your time is spent on proactive (dollar productive) activities versus reactive (non-dollar productive) activities?
 Yes No
- a. If yes, describe the adjustments you made to your business. _____

27. Do you use scripts in your business? Yes No
- a. If yes, please provide a couple of examples of where you use scripts in your business. _____

Financial Services Provider Questionnaire (continued)

28. Do you make a regular habit of sending “thank you” and “congratulations” notes to people? Yes No

a. If yes, how many do you typically send in a month? _____

b. What kind of things do you find yourself thanking people for? _____

29. Do you regularly send personalized notes and cards to clients with whom you are engaged? Yes No

a. If yes, how many do you typically send in a month? _____

b. What kind of things do you find yourself thanking people for? _____

30. Do you have a method for determining the “Lifetime Value” of each client with whom you work? Yes No

a. If yes, please describe your method. _____

31. What do you believe are your top 3-4 most “Dollar Productive Activities” as a Financial Services Advisor?

Financial Services Provider Questionnaire

(continued)

Business Profile

1. What is your total dollar volume of assets under your management \$ _____
2. How much has the total dollar volume of assets under your management grown in the past year? \$ _____
3. What is your average dollar volume of assets under your management per client?
\$ _____
Has your average dollar volume per client increased substantially recently?
 Yes No
If yes, what do you attribute the increase to? _____
4. What percent of your business is closed in the following products?

Stocks & Bonds	_____ %
Mutual Funds	_____ %
Annuities	_____ %
IRAs	_____ %
Insurance	_____ %
Other	_____ %
5. What percentage of your business growth derives from strategic referral sources, direct marketing, or client referrals?

Strategic Referral	_____ %
Direct Marketing	_____ %
Client Referrals	_____ %
6. On the average, how many new clients do you actively work with? _____
7. On the average, how many new clients do you add each year? _____
8. What percent of your business comes from the following clients?

First time investors	_____ %
High net-worth investors	_____ %
Institutional investors	_____ %
Government investors	_____ %
Other	_____ %

Financial Services Provider Questionnaire (continued)

Skill Level Assessment

Please rate on a scale of 1 to 10 (10 being the highest) your level of skill in the following areas:

Skill	Score	Skill	Score
Obtaining a face-to-face meeting with prospective sellers		Converting a shopper to a client	
Delivering business presentations		Getting clients to perceive you as a Trusted Advisor	
Understanding clients' short-term and long-term financial goals and needs		Building long-term relationships with clients	
Ability to develop a long-term financial plan with clients		Building a long-term relationship with a Lending Partner	
Engaging in partnership planning sessions with referral sources on a regular basis		Engaging prospective clients in a High Trust Interview	
Letting others process paperwork		Overcoming fee or commissions objections	
Confidence in asking for the business		Conducting an annual financial services checkup or review	
Asking clients for referrals		Balancing work life with family or personal life	
Obtaining leads or referrals from your Lending Partner		Developing affinity referral sources	
Obtaining leaders <i>for</i> your referral sources		Knowing your referral sources' visions and business plans	
Engaging in long-term Real Estate planning with your sellers/buyers		Using technology to make your business more efficient	

Financial Services Provider Questionnaire (continued)

Goals • Disciplines • Needs

List your top three professional *goals* for the next 12 to 24 months.

1. _____

2. _____

3. _____

List your top three personal *goals* for the next 12 to 24 months.

1. _____

2. _____

3. _____

Financial Services Provider Questionnaire (continued)

In your opinion, what are the three most significant *disciplines* missing from your business today, and if implemented, your business would move to the next level?

1. _____

2. _____

3. _____

In your opinion, what are the three most significant *disciplines* missing from your life today, and if implemented, your life away from work would move to the next level?

1. _____

2. _____

3. _____

Financial Services Provider Questionnaire (continued)

What are the three most significant *needs* you have in your business today?

1. _____

2. _____

3. _____

Thank you for taking the time to complete this questionnaire; with this information we will be in a much better position to evaluate our ability to have a positive impact on you and your business.