



# The 8 Essential Steps Every Financial Advisor And Estate Planning Attorney Must Navigate To Close Big Cases

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This 20-page report summarizes the key components of our *Big Case Solution*<sup>™</sup>, our process for helping professional advisors open and close more big cases.

*In this report we cover topics including how to:*

- Conduct the opening interview to maximize your chances of getting hired and insuring you get off to a good start.
- Be seen as a personal advisor rather than a sales person.
- Have more influence with the other advisors.
- Charge bigger fees and avoid giving away your wisdom.
- Help clients articulate their most important priorities.
- Develop the gap between what clients say they want and what their current plan may actually provide.
- Use this gap as a means to motivate the client to take action.
- Write a value proposition letter to motivate the client to engage you.
- Learn whether the other advisors will likely be allies or snipers.
- Teach the client to position you properly with the others.
- Decide whether to work with or replace other advisors with your own friendly team.
- Approach other advisors so they become your allies.
- Avoid getting your ideas shot down by other advisors.
- Choose the best strategies for the client.
- Assemble a compelling presentation that motivates to action.
- Prepare for and overcome the four major client objections to any plan.

# Our Comprehensive Planning Information Request

There is a list of the information we need as we give careful consideration to planning ideas and strategies that you should consider. If you can't assemble all this information at once, we can begin with what is readily available.

- Full name and date of birth
- List of family members, spouses, grandchildren with dates of birth
- State of domicile and primary residence address
- Specific list of planning goals (*including value of desired inheritance to children, annual cost of living requirements of clients—net of taxes and gifts, desired amount of assets to remain liquid, etc.*)
- Detailed list of assets (*with basis and ownership of each item broken down by his, hers, joint, etc.*) Any closely held businesses should be identified as “S”, “C”, Partnership, or LLC’s.
- Details on life insurance owned currently (*owner, beneficiary, annual premium, cash value, death benefit*)
- Prior personal income tax returns (*previous two years preferred*)
- Gift tax return (*most recent*) or reliable indication of how much lifetime exemption each spouse has used.
- Copies of wills and all codicils
- Copies of all trust instruments and amendments currently executed
- Details on privately owned corporations (*if any*) such as % ownership, etc. with two years of prior business tax returns and financial statements
- Buy-Sell Agreements (*with assumed price as of date of death for the buy-out*)
- Names, titles, and firm names of members on the planning team (*include short description of members’ role in planning*)
- List of any variables to be considered, such as incentive clauses to encourage behavior of heirs
- Special family considerations such as disabled child or family business succession issues

## New Advisor Practice Profile

First time callers: Please complete this profile and submit it with the *Big Case Analyzer* data form.

Name:

Firm:

Address 1:

Address 2:

State:

Zip:

Phone(s):

Email(s)

Website:

I am a:                      Financial Advisor                      Lawyer                      Accountant                      Other

How long have you been in practice?                      Number of Years

Are you licensed to sell life insurance?                      Yes                      No

Are you affiliated with or do have your own RIA firm?                      Yes                      No

Is it federally or state registered?                      Yes                      No                      Who is your broker dealer?

## New Advisor Practice Profile *(continued)*

My practice revenues are divided roughly as follows:

Ria Fees	%
Legal Fees (hourly)	%
Legal Fees (project)	%
Asset Management Fees	%
Securities Commissions	%
Insurance Commissions	%
<hr/>	
<b>TOTAL</b>	<b>%</b>

**Please rank the following by importance to you. 10 is top priority, 1 is of little importance.**

Learn more about advanced strategies

Increase my ability to engage more high net worth clients

Increase my planning fees

Be more effective with other advisors

Increase commission revenues

Increase referrals

Increase my credibility

Develop a sales and marketing strategy

Increase my advanced planning skills

Build trust with prospects faster

## New Client

# Big Case Analyzer Data Sheet

Please complete as much of this form as possible with information that is easily available. This form is designed to serve you, not be a burden to you. You can add data to this PDF file and email to us or print the form, write in the data and fax to (317) 571-3615.

### YOUR INFORMATION

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<b>Name</b>	<b>Initial Date</b>
<b>Phone</b>	<b>Advisor Associated With</b>

### CLIENT PERSONAL INFORMATION

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<b>Client Name</b>	<b>DOB/Age</b>	<b>Health</b>
<b>Spouse Name</b>	<b>DOB/Age</b>	<b>Health</b>

### CLIENT FAMILY INFORMATION

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What can you tell us about the client's family?

<b>Children (age)</b>	<b>Spouses (age)</b>	<b>Grandchildren (age)</b>	<b>Planning Considerations/Issues:</b>
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# New Client Big Case Analyzer Data Sheet

## CLIENT ASSETS

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What can you tell us about the client's assets?

**Assets**

**Value**

**Comments**

## CLIENT LIABILITIES

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What can you tell us about the client's liabilities?

**Liabilities**

**Value**

**Comments**

**Approximate Net Worth**

# New Client Big Case Analyzer Data Sheet

## INSURANCE

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What can you tell us about the client's insurance policies?

	Face	Premium	CSV	Insured	Owner	Beneficiary	Type	Issue date	Company
Policy 1									
Policy 2									
Policy 3									
Policy 4									
Policy 5									
Policy 6									

## PRIMARY OBJECTIVES

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What are the clients' *'Hot Buttons'* and primary objectives? (Please be as specific as possible.)

Description	Importance
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# New Client Big Case Analyzer Data Sheet

## INCOME SOURCES

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	Amount	Comments
Client Earned Income		
Spouse Earned Income		
Investment Income		
Ira and/or Pension		
Social Security		
Other		

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### TOTAL

## CLIENT CASH FLOW NEEDS

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What is the total amount per year after taxes and premiums?

**Total**

**Comments**

# New Client

## Big Case Analyzer Data Sheet

### PREVIOUS PLANNING/EXISTING SITUATION

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His	Hers	Description/General Result
		Will
		RLT
		Dur. POA
		Health Dir.
		FLP1
		FLP2
		CRUT
		GRAT
		IDGT
		Priv. Fndn.

### EXISTING ADVISORS

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Please list any existing advisors that are currently involved with this case, or you feel are important to this case.

	Lawyer	Accountant	Insurance Agent	Trust Officer
Name				
City, State				
Comment				

## New Client

# Big Case Analyzer Data Sheet

QUESTIONNAIRE

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What is the main thing you want to talk about with us and with client?

What is the client expecting as the next step from you?

Do you have a next meeting scheduled? If so, when?

What planning ideas have you considered?

Is there any competition? Should this be a concern?

Who else will the client consult before making a major decision?

To what extent should we involve these others in the case development process?

Next Steps