Bust-Through Marketing for a Great Year-End

Your Hosts: Sean Bailey,
Horsesmouth Editor-In-Chief

Devin Kropp
Horsesmouth Associate Editor

August 2018

What Do You Need?

- What would your year look like if it ended tomorrow?
- How do you want it to look?
- How do you fill the gap?

Gap Analysis

How much in assets do you need?	$20 million
What is your average account size?	$500,000
How many clients do you need to sign?	40
What is your closing ratio?	50%
How many prospects to see?	80
How many prospect meetings per week?	5 (80 prospects/17 weeks)

Advisor/Client Fills In the Gaps

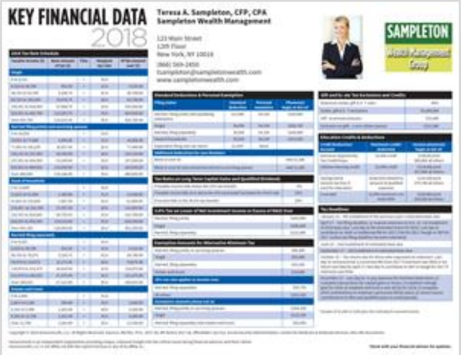
- Tactical Ideas
- Marketing Campaigns
- Action Plans
- Strategy Boot Camps

50+ Campaigns

Client-Facing "Tools"

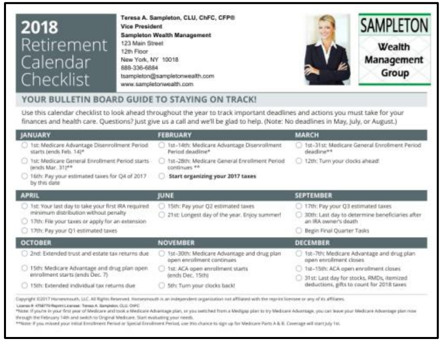
Cybersecurity Checklist 2018

Medicare 2018



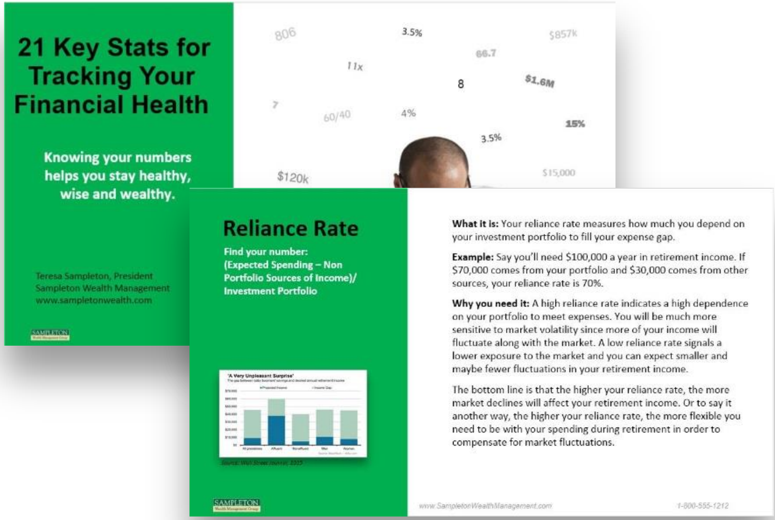
Key Financial Data 2018

Key Tax Changes



Retirement Calendar Checklist

Special Reports/Lead Magnets



21 Key Stats for Tracking Your Financial Health

Knowing your numbers helps you stay healthy, wise and wealthy.

806 3.5% $857k 11x 66.7 8 $1.6M 7 60/40 4% 15% 3.5% $120k $15,000

Teresa Sampleton, President
Sampleton Wealth Management
www.sampletonwealth.com

Reliance Rate

Find your number:
(Expected Spending – Non Portfolio Sources of Income)/ Investment Portfolio

What it is: Your reliance rate measures how much you depend on your investment portfolio to fill your expense gap.

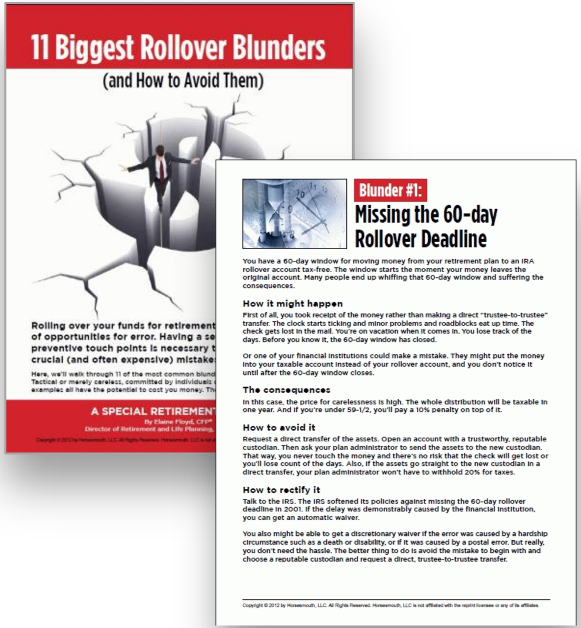
Example: Say you'll need $100,000 a year in retirement income. If $70,000 comes from your portfolio and $30,000 comes from other sources, your reliance rate is 70%.

Why you need it: A high reliance rate indicates a high dependence on your portfolio to meet expenses. You will be much more sensitive to market volatility since more of your income will fluctuate along with the market. A low reliance rate signals a lower exposure to the market and you can expect smaller and maybe fewer fluctuations in your retirement income.

The bottom line is that the higher your reliance rate, the more market declines will affect your retirement income. Or to say it another way, the higher your reliance rate, the more flexible you need to be with your spending during retirement in order to compensate for market fluctuations.

www.SampletonWealthManagement.com 1-800-555-1212

Lead Magnet w/Landing Page, Display Ads, & Lead Nurturing Emails



11 Biggest Rollover Blunders
(and How to Avoid Them)

Rolling over your funds for retirement ... of opportunities for error. Having a se... preventive touch points is necessary t... crucial (and often expensive) mistake...

A SPECIAL RETIREMENT ...

Blunder #1: Missing the 60-day Rollover Deadline

You have a 60-day window for moving money from your retirement plan to an IRA rollover account tax-free. The window starts the moment your money leaves the original account. Many people end up whiffing that 60-day window and suffering the consequences.

How it might happen

First of all, you took receipt of the money rather than making a direct "trustee-to-trustee" transfer. The clock starts ticking and minor problems and roadblocks eat up time. The check gets lost in the mail. You're on vacation when it comes in. You lose track of the days. Before you know it, the 60-day window has closed.

Or one of your financial institutions could make a mistake. They might put the money into your taxable account instead of your rollover account, and you don't notice it until after the 60-day window closes.

The consequences

In this case, the price for carelessness is high. The whole distribution will be taxable in one year. And if you're under 59-1/2, you'll pay a 10% penalty on top of it.

How to avoid it

Request a direct transfer of the assets. Open an account with a trustworthy, reputable custodian. Then ask your plan administrator to send the assets to the new custodian. That way, you never touch the money and there's no risk that the check will get lost or you'll lose count of the days. Also, if the assets go straight to the new custodian in a direct transfer, your plan administrator won't have to withhold 20% for taxes.

How to rectify it

Talk to the IRS. The IRS softened its policies against missing the 60-day rollover deadline in 2001. If the delay was demonstrably caused by the financial institution, you can get an automatic waiver.

You also might be able to get a discretionary waiver if the error was caused by a hardship circumstance such as a death or disability, or if it was caused by a postal error. But really, you don't need the hassle. The better thing to do is avoid the mistake to begin with and choose a reputable custodian and request a direct, trustee-to-trustee transfer.

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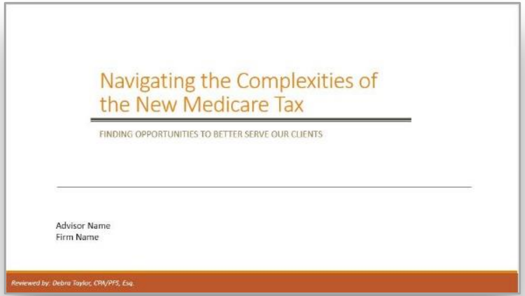
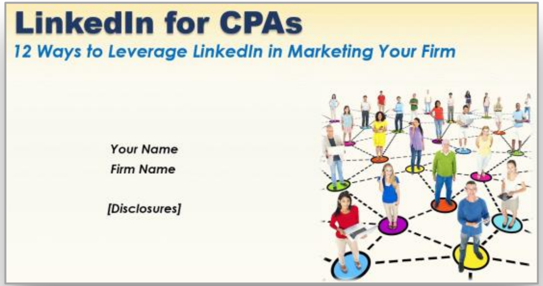
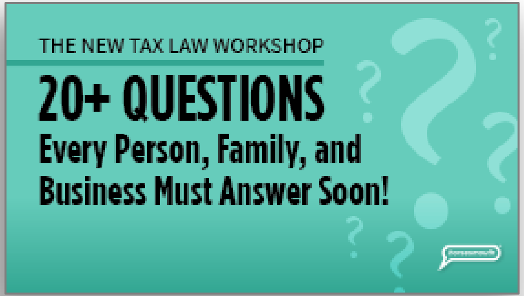
Special Report or 11-Touch Email Blast

Client & COI Presentations







Includes PowerPoint Slide Decks, Scripts & Toolkits

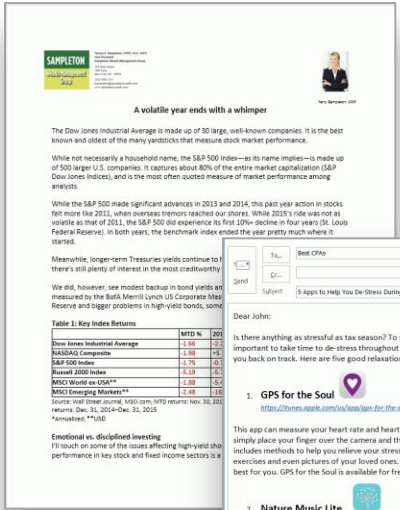
Communication Touches

Postcards

Checklists

Articles

Sales Letters



A volatile year ends with a whimper

The Dow Jones Industrial Average is made up of 30 large, well-known companies. It is the best known and oldest of the many yardsticks that measure stock market performance.

While not necessarily a household name, the S&P 500 Index—as its name implies—is made up of 500 larger U.S. companies. It captures about 80% of the entire market capitalization (S&P Dow Jones Indices), and is the most often quoted measure of market performance among analysts.

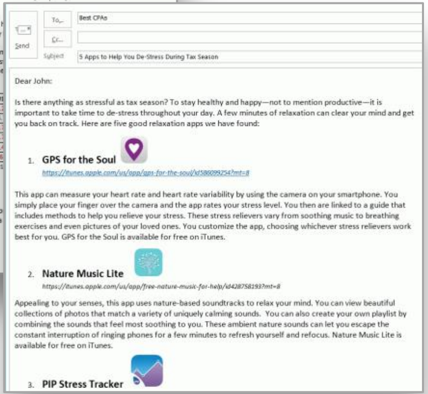
While the S&P 500 made significant advances in 2013 and 2014, this past year action in stocks felt more like 2011, when overseas tremors reached our shores. While 2015's ride was not as volatile as that of 2011, the S&P 500 did experience its first 10%+ decline in four years (St. Louis Federal Reserve). In both years, the benchmark index ended the year pretty much where it started.

Table 1: Key Index Returns

	MTD %
Dow Jones Industrial Average	-1.66
NASDAQ Composite	-1.98
S&P 500 Index	-1.75
Russell 2000 Index	-5.19
MSCI World ex-USA**	-1.88
MSCI Emerging Markets**	-2.48

Emotional vs. disciplined investing

Monthly Market Updates



To... Best CPAs

Subject 5 Apps to Help You De-Stress During Tax Season

Dear John:

Is there anything as stressful as tax season? To stay healthy and happy—not to mention productive—it is important to take time to de-stress throughout your day. A few minutes of relaxation can clear your mind and get you back on track. Here are five good relaxation apps we have found:

1. GPS for the Soul

This app can measure your heart rate and heart rate variability by using the camera on your smartphone. You simply place your finger over the camera and the app rates your stress level. You then are linked to a guide that includes methods to help you relieve your stress. These stress relievers vary from soothing music to breathing exercises and even pictures of your loved ones. You customize the app, choosing whichever stress relievers work best for you. GPS for the Soul is available for free on iTunes.

2. Nature Music Lite

Appealing to your senses, this app uses nature-based soundtracks to relax your mind. You can view beautiful collections of photos that match a variety of uniquely calming sounds. You can also create your own playlist by combining the sounds that feel most soothing to you. These ambient nature sounds can let you escape the constant interruption of ringing phones for a few minutes to refresh yourself and refocus. Nature Music Lite is available for free on iTunes.

3. PIP Stress Tracker

Seasonal Emails

Wealth Management Group
9 Liberty Rock Rd., Suite 19
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(123) 456-7890
www.wealthmanagement.com

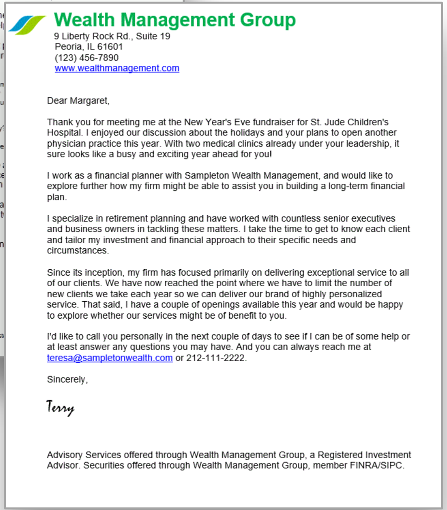
Dear Bob:

Tax season is over! And now that it's behind us, I wanted to make you aware of a "concierge" service I offer only at certain times of the year.

We know that friends and family are a vital part of your life, and when we see loved ones facing perplexing financial issues, we want to help.

Adam Sample
Certified Financial Planner
adam@wealthmanagement.com

Referral Letters



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www.wealthmanagement.com

Dear Margaret,

Thank you for meeting me at the New Year's Eve fundraiser for St. Jude Children's Hospital. I enjoyed our discussion about the holidays and your plans to open another physician practice this year. With two medical clinics already under your leadership, it sure looks like a busy and exciting year ahead for you!

I work as a financial planner with Sampleton Wealth Management, and would like to explore further how my firm might be able to assist you in building a long-term financial plan.

I specialize in retirement planning and have worked with countless senior executives and business owners in tackling these matters. I take the time to get to know each client and tailor my investment and financial approach to their specific needs and circumstances.

Since its inception, my firm has focused primarily on delivering exceptional service to all of our clients. We have now reached the point where we have to limit the number of new clients we take each year so we can deliver our brand of highly personalized service. That said, I have a couple of openings available this year and would be happy to explore whether our services might be of benefit to you.

I'd like to call you personally in the next couple of days to see if I can be of some help or at least answer any questions you may have. And you can always reach me at teresa@sampletonwealth.com or 212-111-2222.

Sincerely,

Terry

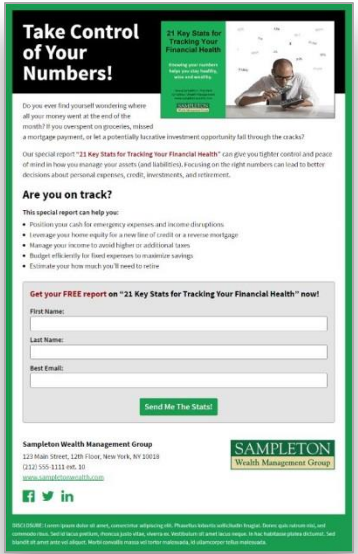
Advisory Services offered through Wealth Management Group, a Registered Investment Advisor. Securities offered through Wealth Management Group, member FINRA/SIPC.

Prospect Letters

Marketing Resources for You

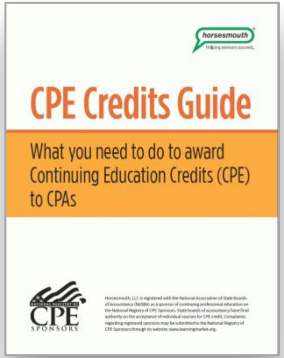
List of Services Template

Annual Marketing Calendar

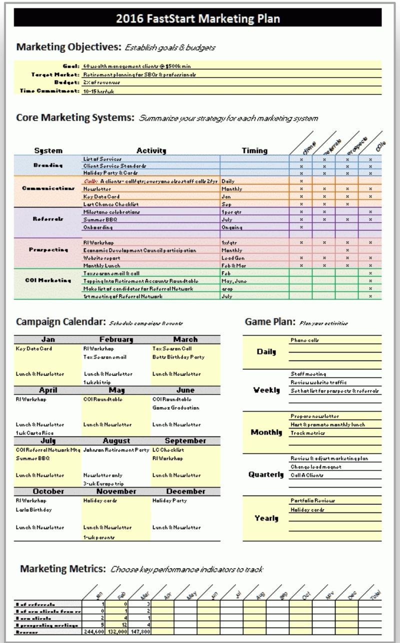


Support Materials

Monthly Webinars



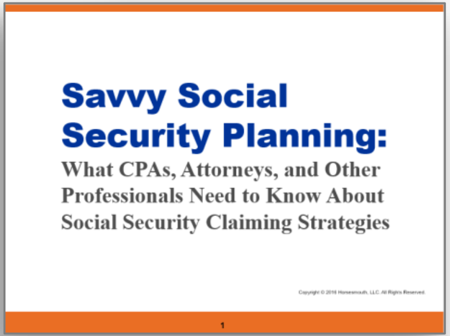
Instruction & Guidance

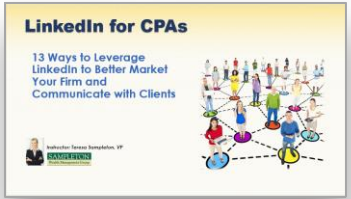


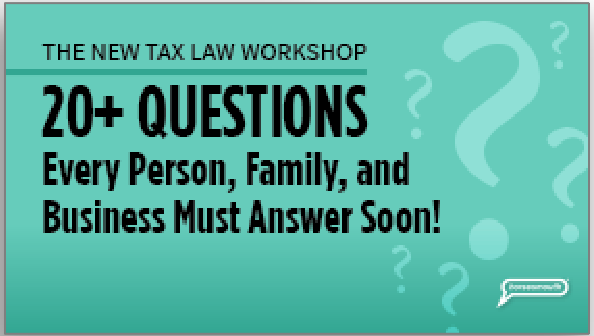
Worksheets, Checklists, Marketing Plans, Schedules, Templates

Advisor/Client

Still Time to Give a Workshop or Webinar!







7 Super Simple Marketing Ideas

1. Find a Date to Celebrate

The Financial Advisor's Marketing Calendar

A complete year of financial deadlines, special observances, holidays, and communication themes for contacting clients, prospects, referrals and COIs.

September

Commonly Observed Holidays

Sep 3. Labor Day (markets closed)
Sep 3. Labour Day (CA)
Sep 9-11. Rosh Hashanah
Sep 18-19. Yom Kippur

Financial Dates & Deadlines

Sep 17. 3Q 2018 estimated taxes due
Sep 17. 2017 extended partnership returns due
Sep 17. 2017 extended S-corp returns due
Sep 30. Last day to determine beneficiaries after IRA owner's death

Business & Industry

Mortgage Professional Month
Update Your Resume Month

Sep 4. Newspaper Carrier Day
Sep 18. Air Force Birthday
Sep 20. IT Professionals Day
Sep 22. Business Women's Day
Sep 29. VFW Day

Cause Observances

Baby Safety Month
Childhood Cancer Awareness Month
Hispanic Heritage Month (Sep 15-Oct 15)
Prostrate Cancer Awareness Month
Healthy Aging Month

Sep 5. Day of Charity
Sep 8. International Literacy Day
Sep 9-15. Assisted Living Week
Sep 11. Patriot Day
Sep 14. Stand Up to Cancer Day
Sep 17. Constitution/Citizenship Day
Sep 21. International Day of Peace
Sep 27. Family Health & Fitness Day

Special Observances

College Savings Month
Better Breakfast Month
Intergeneration Month
Self Improvement Month

Sep 7. Food Bank Day
Sep 7-9. U.S. Open Finals (tennis)
Sep 8. Tailgating Day
Sep 9. Grandparents Day
Sep 12. Day of Encouragement
Sep 16. Stepfamily Day
Sep 17. Wife Appreciation Day
Sep 19. Talk Like a Pirate Day
Sep 22. Autumn Equinox
Sep 24-30. Dog Week
Sep 28. Good Neighbor Day
Sep 30. Podcast Day

October

Commonly Observed Holidays
Oct 8. Columbus Day (markets open)
Oct 8. Thanksgiving (CA)
Oct 31. Halloween

Financial Dates & Deadlines
Oct 1. FAFSA 2019-2020 opens
Oct 1. Final deadline for self-employed & small businesses to establish SIMPLE IRA for 2018
Oct 2. 2017 extended trust & estate returns due
Oct 15. Medicare open enrollment begins
Oct 15. 2017 Extended individual tax returns due
Oct 17. Final deadline to fund SEP or solo 401(k) for extended 2017

Cause Observances
AIDS Awareness Month
Breast Cancer Awareness Month
Bullying Prevention Month
Health Literacy Month

Oct 10. World Homeless Day
Oct 10. World Mental Health Day
Oct 14. Clergy Appreciation Day
Oct 24. United Nations Day
Oct 27. Make a Difference Day

Business & Industry
Physical Therapy Month
Chiropractic Month
Photographer Appreciation Month

Oct 2. Custodial Workers Day
Oct 1-5. Customer Service Week
Oct 7-13. Primary Care Physicians Week
Oct 13. Navy Birthday
Oct 14-20. Business Women's Week
Oct 16. Boss's Day

Special Observances
Cybersecurity Awareness Month
Financial Planning Month
Long-term Care Planning Month
Organize Your Medical Information Month

Oct 1. International Day of Older Persons
Oct 1. International Coffee Day
Oct 5. Do Something Nice Day
Oct 8-12. Financial Planning Week
Oct 11. Take Your Parents to Lunch Day
Oct 14-20. Retirement Securities Week
Oct 15-21. Estate Planning Awareness Week
Oct 16. Boss's Day
Oct 17. Support Your Local of Chamber of Commerce Day
Oct 18. Get Smart About Credit Day

November

Commonly Observed Holidays
Nov 4. Daylight Savings Time ends
Nov 11. Veterans Day (markets opened)
Nov 11. Remembrance Day (CA)
Nov 22. Thanksgiving Day (markets closed)
Nov 23. Markets close at 1 p.m. ET

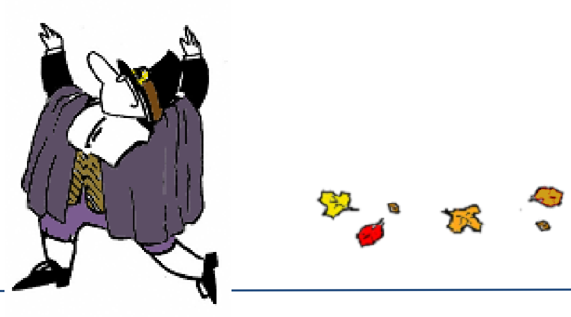
Financial Dates & Deadlines
Nov 1. 2019 health insurance open enrollment opens
Nov 30. Last day for doubling up to avoid wash sale rule

Business & Industry
Military Family Appreciation Month
Entrepreneurship Month

Nov 3. Love Your Lawyer Day
Nov 10. Marine Corps Birthday
Nov 24. Small Business Saturday

Cause Observances
Adoption Month
Alzheimer's Month
American Diabetes Month
Family Caregivers Month
Native American Heritage Month

Nov 4-10. Animal Shelter Appreciation Week
Nov 10. Marine Corps Birthday
Nov 10-18. Hunger & Homelessness Awareness Week
Nov 15. Great American Smokeout
Nov 20. Child Day (CA)



Special Observances
Family Stories Week
Long-Term Care Awareness Month
Vegan Month
Life-Writing Month

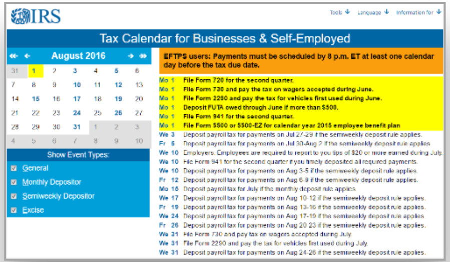
Nov 1. Dia de los Muertos (Day of the Dead)
Nov 4. NYC Marathon
Nov 8. Men Make Dinner Day
Nov 13. World Kindness Day
Nov 15. America Recycles Day
Nov 23. Black Friday
Nov 26. Cyber Monday
Nov 30. Computer Security Day

Special Days Resources

http://www.national daycalendar.com/

https://www.healthcare.gov/quick-guide/dates-and-deadlines/

http://www.brownielocks.com/



http://www.tax.gov/calendar/

http://healthfinder.gov/nho/default.aspx

https://www.days oftheyear.com/

Look for Marketing Materials

August
National Immunization Awareness Month

Sponsor: Centers for Disease Control and Prevention, National Center for Immunization and Respiratory Diseases

Immunization, or vaccination, helps prevent dangerous and sometimes deadly diseases. To stay protected against serious illnesses like the flu, measles, and pneumonia, adults need to get their shots – just like kids do.

National Immunization Awareness Month is a great time to promote vaccines and remind family, friends, and coworkers to stay up to date on their shots.

How can National Immunization Awareness Month make a difference?
We can all use this month to raise awareness about vaccines and share strategies to increase immunization rates with our community.

Here are just a few ideas:

- Talk to friends and family members about how vaccines aren't just for kids. People of all ages can get shots to protect them from serious diseases.
- Encourage people in your community to get the flu vaccine every year.
- Invite a doctor or nurse to speak to parents about why it's important for all kids to get vaccinated.

Save & Share

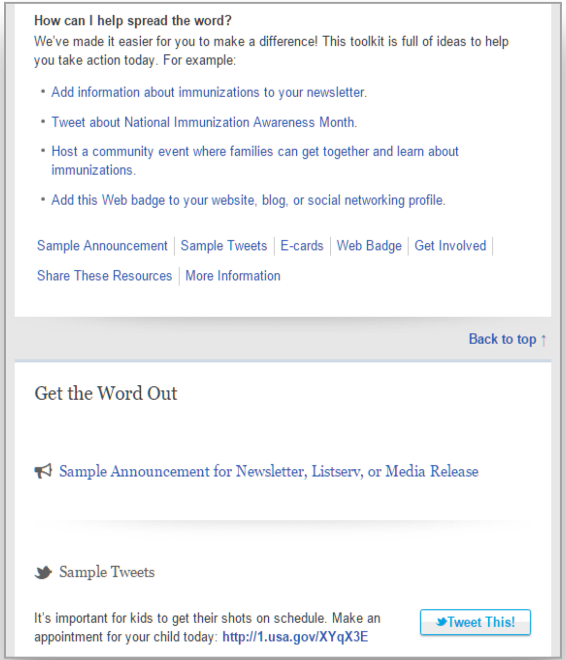
- Download full PDF [372 KB]

Promote Your Event

- Tips to plan a National Health Observance

View All NHO Toolkits

Select a Month



How can I help spread the word?
We've made it easier for you to make a difference! This toolkit is full of ideas to help you take action today. For example:

- Add information about immunizations to your newsletter.
- Tweet about National Immunization Awareness Month.
- Host a community event where families can get together and learn about immunizations.
- Add this Web badge to your website, blog, or social networking profile.

Sample Announcement | Sample Tweets | E-cards | Web Badge | Get Involved | Share These Resources | More Information

Back to top ↑

Get the Word Out

Sample Announcement for Newsletter, Listserv, or Media Release

Sample Tweets

It's important for kids to get their shots on schedule. Make an appointment for your child today: http://1.usa.gov/XYqX3E

Tweet This!

http://healthfinder.gov/nho

2. Show Them All You Do!

Create a List of Services for Your Firm

List of Services

Investment Planning	Retirement Planning	Estate Planning & Philanthropy	Risk Management & Insurance	Cash Flow & Budgeting	Family Services	Tax Management
Portfolio Management & Risk Analysis	Retirement Goal Setting	Wills	Review of Existing Policies	Cash Flow Analysis	College Savings Planning	Review of Cost Basis
Asset Allocation & Diversification	Social Security Analysis	Powers of Attorney	Life Insurance Needs	Expenses & Budgeting	529 College Savings Plans	Review Realized Gains
Concentrated Stock Analysis	Business Planning	Living Will	Long Term Care Insurance	Debt Management	Roth IRAs for Children	Carry Forward Losses
Asset Location	IRA Contributions & Conversions	Health Care Proxy	Disability Insurance	Planned Purchases	Gifting	Tax Loss Harvesting
Investment Risk Control Strategy	401(k) Management & Employer-Sponsored Plans	Charitable Giving	Health Insurance	Energency Savings	Elderly Planning	Deductions & Credits
Second Opinion Reviews	Annuities & Pensions	Guardians for Minor Children	Homeowner's & Renters Insurance	Mortgage Review	Legacy Planning	Potential Roth Conversions
Portfolio Stress-Testing	RMDs & Withdrawal Strategies	Asset Protection Analysis	Liability Coverage	Lines of Credit	Divorce & Widowhood Services	HSAs & FSAs

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SAMPLETON
Wealth Management
Group

Disclosures: Your company disclosure information. Lorem ipsum dolor sit amet, consectetur adipiscing elit. Sed augue nisl, elementum sed mattis id, tristique ac enim. Cras scelerisque fringilla dolor, sed fermentum justo dictum nec. Cras id mauris eleifend, suscipit purus id, finibus metus. Maecenas dignissim at nisl quis suscipit. Aliquam sagittis odio eget urna malesuada, id hendrerit diam molestie.

Create a List of Services for Your Specialty

Retirement Services

Retirement Planning	Retirement Income Planning	Social Security Planning	IRAs & RMDs	Pensions	Annuities	Tax Planning for Retirement
Goal Setting	Review of Income Sources	Social Security Analysis	IRA Contributions	Lump Sum Analysis	Risk Review	Roth Conversions
Needs Analysis	401(k) Management	Disability	Roth IRAs	Find Lost Pensions	Income Replacement Analysis	Roth Recharacterizations
Retirement Plan Creation	Portfolio Review & Analysis	Spouse & Survivor Benefits	Rollovers	Cash-Balance Plans	Annuity Strategies	Tax Bracket Management
Estate Planning & Philanthropy	Inheritance Planning	Couple Coordination	Withdrawal Strategies	Single-Life vs. Joint-and-Survivor Analysis	Income Sustainability Projections	Asset Location
Debt Management	Cash Flow Projections	Special Needs Coordination	RMDs	Federal & State Pension Planing	Fees & Expense Management	Beneficiary Audit
Legacy Planning	Real Estate Investments	Filing Strategies	Self-Directed IRAs	Government Retirement Plan	Contract Reviews	Tax Loss Harvesting
Health Care Management	Reverse Mortgages	Medicare Planning	ROBS	Health Care Coverage	1035 Exchanges	Credits & Deductions

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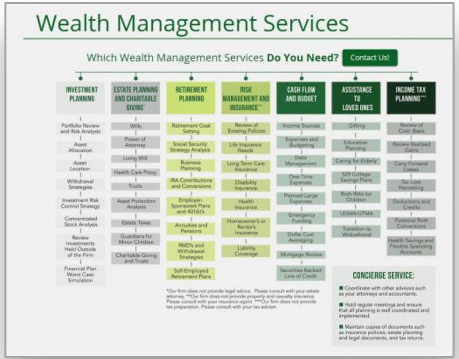
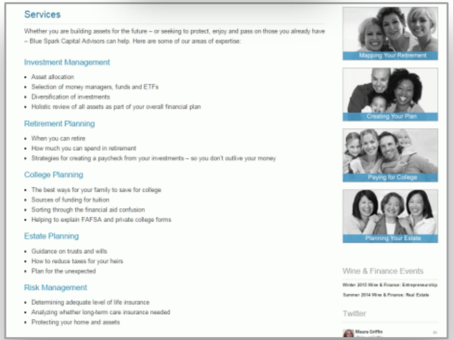
SAMPLETON
Wealth Management Group

Disclosures: Your company disclosure information. Lorem ipsum dolor sit amet, consectetur adipiscing elit. Sed augue nisl, elementum sed mattis id, tristique ac enim. Cras scelerisque fringilla dolor, sed fermentum justo dictum nec. Cras id mauris eleifend, suscipit purus id, finibus metus. Maecenas dignissim at nisl quis suscipit. Aliquam sagittis odio eget urna malesuada, id hendrerit diam molestie.

Easy to Scan





horsemouth Advisor/Client

Promote Your List of Services Everywhere

Wealth Management Group
9 Liberty Rock Rd., Suite 19
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www.wealthmanagement.com

Dear Randall:

"I thought you just sold stocks," a long-standing client told me the other day.

That surprised me! Sure, investment management is an important part of what we do, but it's just one of the many services we offer. So let me take a quick minute to outline everything we can do for you as a client of [firm's name.] You may only need these services now and then, but they are always available when you do. They include:

- Project how much income you'll need in retirement
- Create a long-term financial plan
- Create a step-by-step retirement plan
- Calculate the best age for applying to Social Security
- Review insurance policies for coverage and fees
- Compare college savings programs
- Review personal & residential loans
- Review 401(k) portfolios
- Do a cost-benefit analysis on major purchases
- Help you develop a business exit strategy
- Review & update estate plans
- Establish an asset protection strategy
- Analyze early retirement options
- Conduct employee benefit evaluations
- [insert your own]

Services are also available – on a limited, referral-only basis – to assist your friends, family, and colleagues. If they would like a complimentary second opinion or just a question answered, I'm happy to help.

So, give me a call any time you have a financial decision to make – big or small. We can bring the considerable resources of [firm name] to bear on whatever concern you are facing now or in the future. And, of course, I am always available to help you sort out your options. I'd much rather help you "take stock" than just sell stocks.

Warmest regards,

Adam

Adam Sample, CFP®
adam@wealthmanagement.com

Advisory Services offered through Wealth Management Group, a Registered Investment Advisor. Securities offered through Wealth Management Group, member FINRA/SIPC.

horsesmouth Advisor/Client

3. Break Bread – Regularly

Monthly Event Formats

- Lunches
- Breakfasts
- Morning Coffee Club
- Teas
- Peer groups
- Book club
- Happy Hour
- Salons
- Open house/open office hours

UPCOMING EVENTS

MORNING BREW WORKSHOPS

At 10:00 am on the first Tuesday of each month, Blue Sky Financial Partners hosts free educational workshops. All are invited for coffee and pastries as we share information on topics that are timely and important.

Call to reserve your seat, and we'll see you at Blue Sky Financial in the upstairs workshop room.

4001 Murvihill Rd (in the Eagle Aircraft Building)
Valparaiso, IN 46383

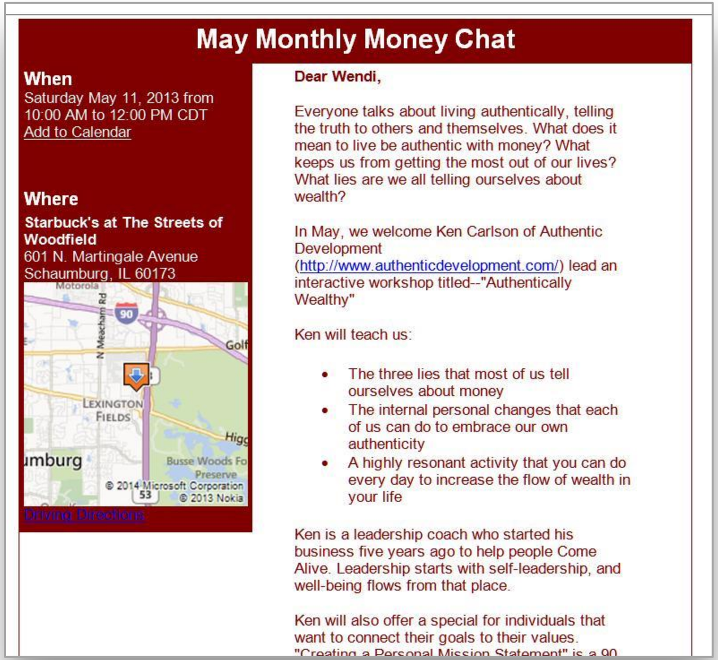
Apr 7th : The Psychology of Money

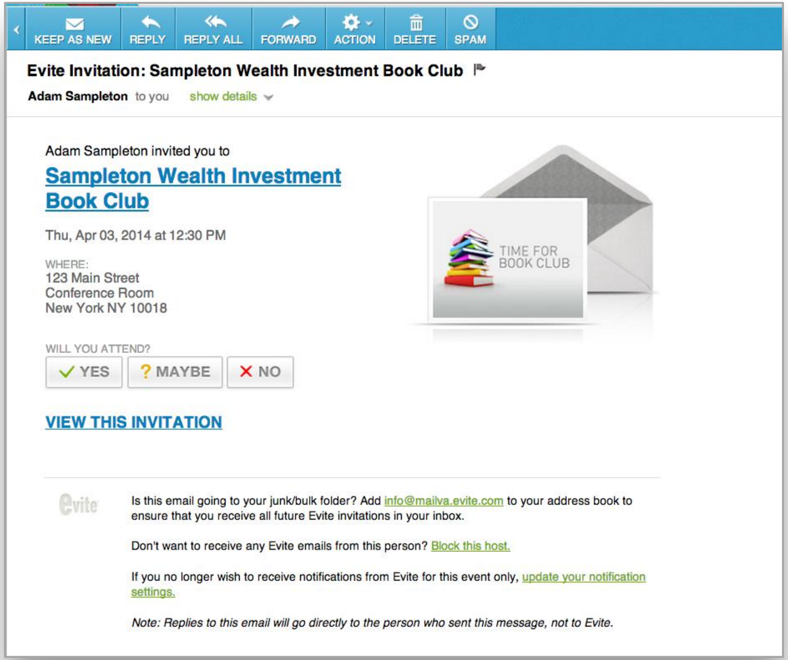
Each of us has our own unique, financial fingerprint and have acquired different unconscious beliefs and behavioral patterns when it comes to money. Some are savers, some are spenders. Some take risks while others are more conservative. If you've ever wondered why you and those you love don't see eye to eye on important financial matters, this workshop is for you.

May 5th : Beneficiary Roundup

When was the last time you reviewed the beneficiary designations on each of your accounts? Do you know the difference between per-stirpes and per-capita designations? Has there been a life-changing event in your family such as a death, divorce, marriage or birth of a loved one? Do you recall who your named beneficiaries are on your 401(k), savings bonds, life insurance or annuities?

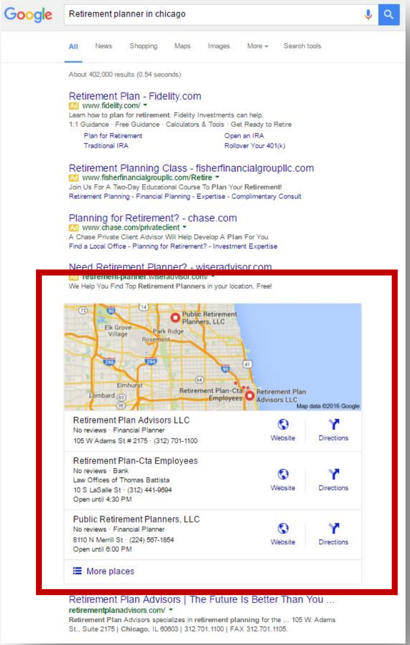
Monthly Event Marketing

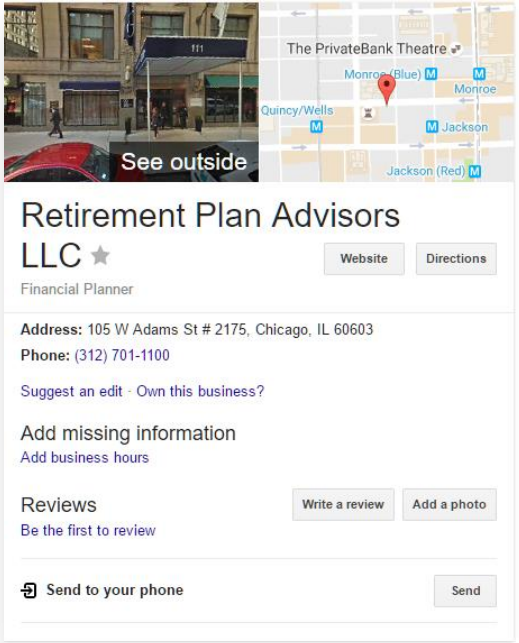




4. Get Ranked

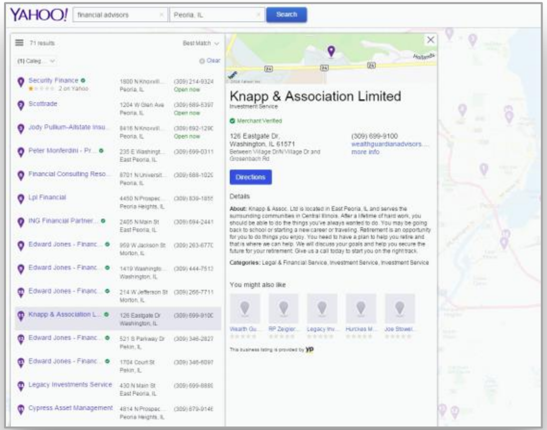
Register with Google My Business





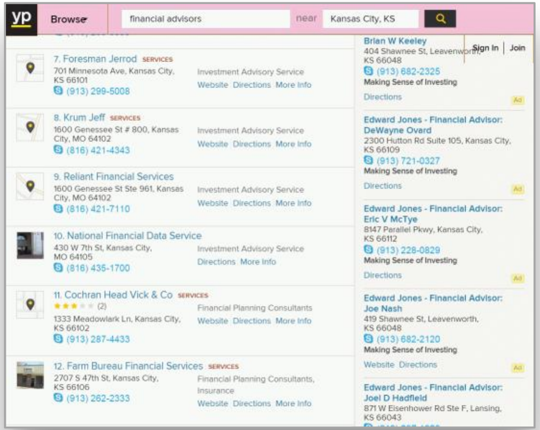
Source: www.google.com/business

Register With Local Online Directories



Yahoo Local

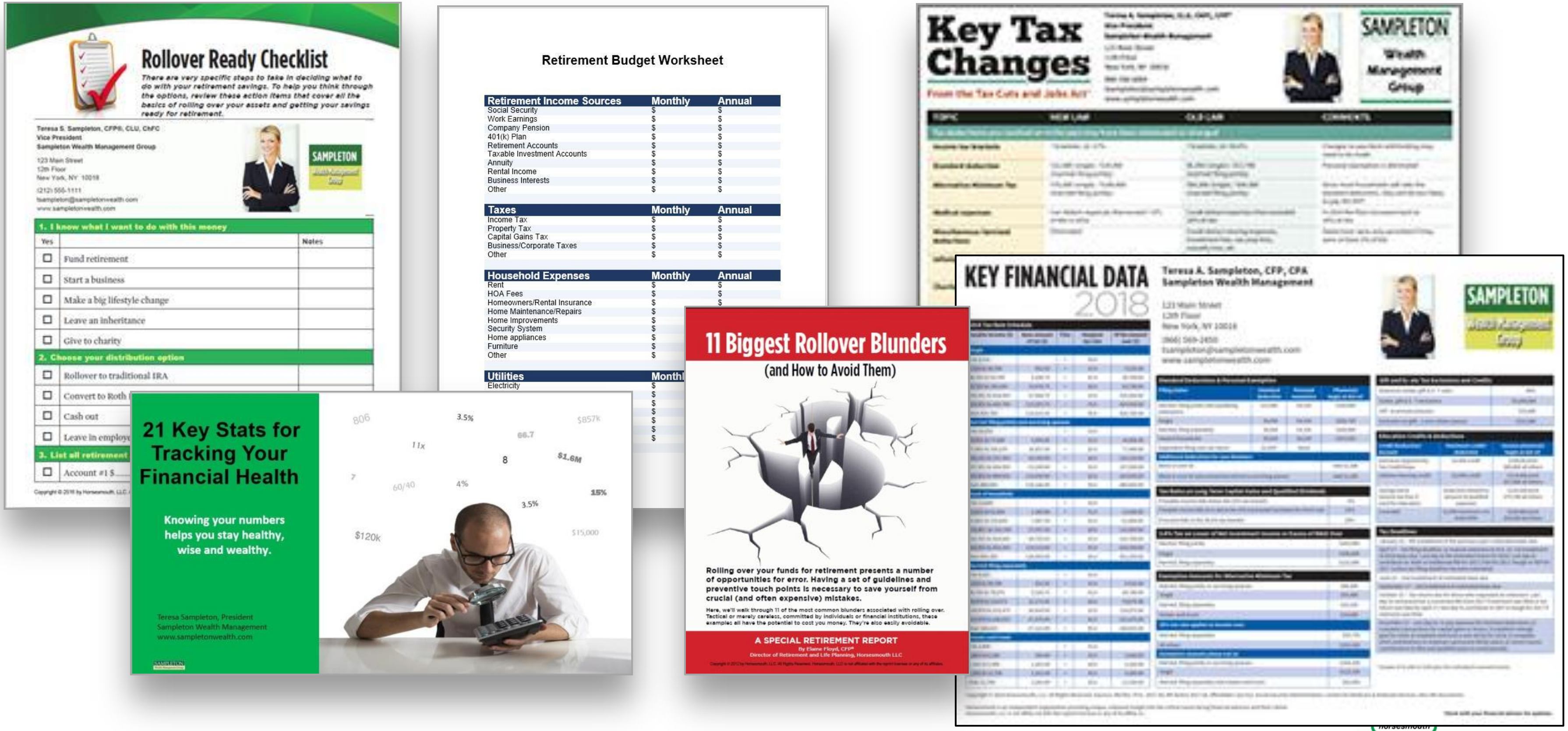
Yelp



Yellow Pages

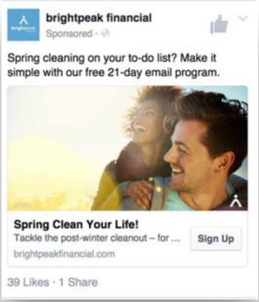
5. Deliver Tools

Checklists, Worksheets, Reference



Advisor/Client

Financial Services Tools



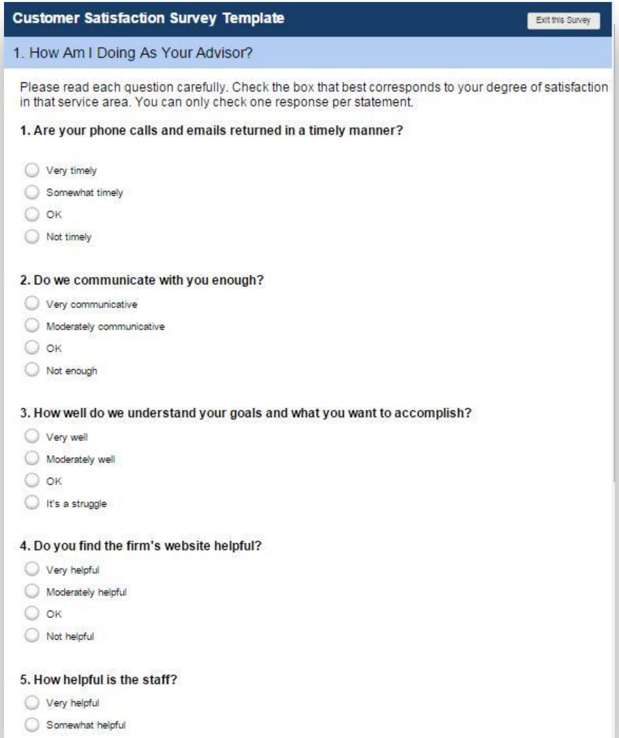
6. Ask Your Clients

The Survey Effect

Key Value Driver: Formally Ask for Feedback	Revenue per Principal	Increase in Revenue
No	$475,242	—
Yes	$622,280	**31%**

Source: Cetera "What Do Clients Really Think?"

Survey Results



Customer Satisfaction Survey Template Exit this Survey

1. How Am I Doing As Your Advisor?

Please read each question carefully. Check the box that best corresponds to your degree of satisfaction in that service area. You can only check one response per statement.

1. Are your phone calls and emails returned in a timely manner?

- Very timely
- Somewhat timely
- OK
- Not timely

2. Do we communicate with you enough?

- Very communicative
- Moderately communicative
- OK
- Not enough

3. How well do we understand your goals and what you want to accomplish?

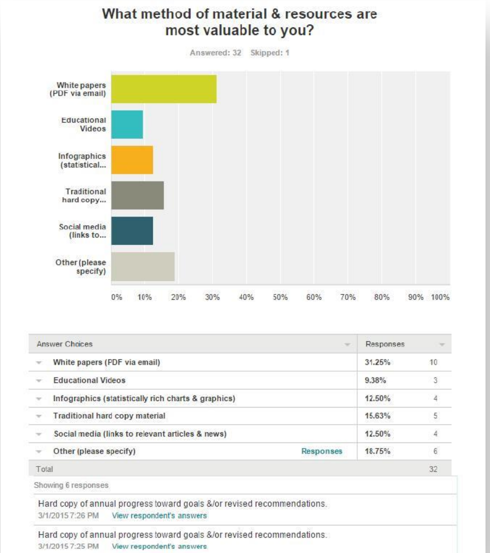
- Very well
- Moderately well
- OK
- It's a struggle

4. Do you find the firm's website helpful?

- Very helpful
- Moderately helpful
- OK
- Not helpful

5. How helpful is the staff?

- Very helpful
- Somewhat helpful

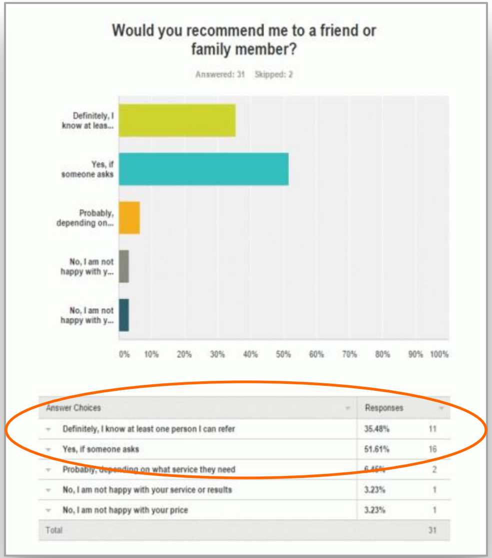


Answer Choices		Responses	
White papers (PDF via email)		31.25%	10
Educational Videos		9.38%	3
Infographics (statistically rich charts & graphics)		12.50%	4
Traditional hard copy material		15.63%	5
Social media (links to relevant articles & news)		12.50%	4
Other (please specify)	Responses	18.75%	6
Total			32

Showing 6 responses

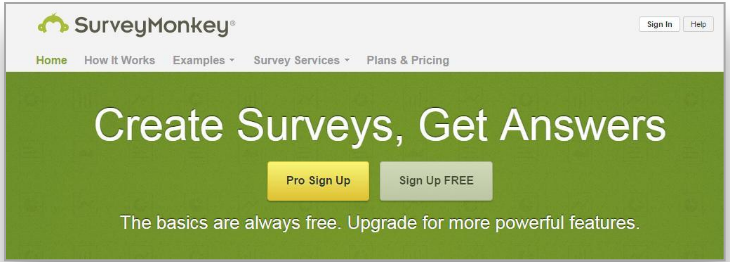
Hard copy of annual progress toward goals &/or revised recommendations.
3/1/2015 7:26 PM View respondent's answers

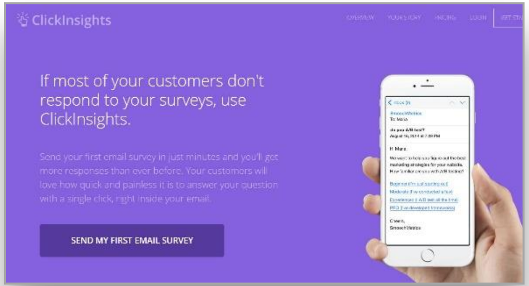
Hard copy of annual progress toward goals &/or revised recommendations.
3/1/2015 7:25 PM View respondent's answers



Answer Choices	Responses	
Definitely, I know at least one person I can refer	35.48%	11
Yes, if someone asks	51.61%	16
Probably, depending on what service they need	6.45%	2
No, I am not happy with your service or results	3.23%	1
No, I am not happy with your price	3.23%	1
Total		31

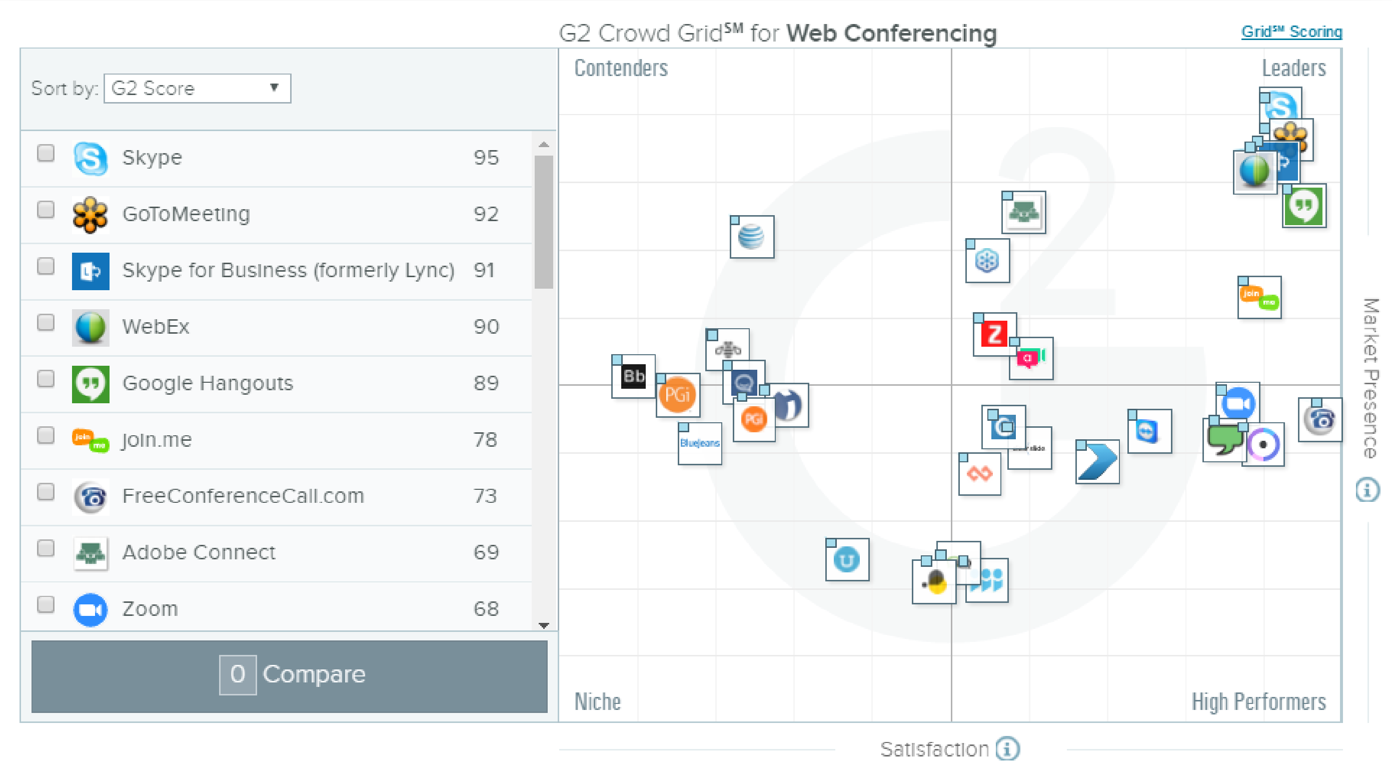
Online Survey Resources





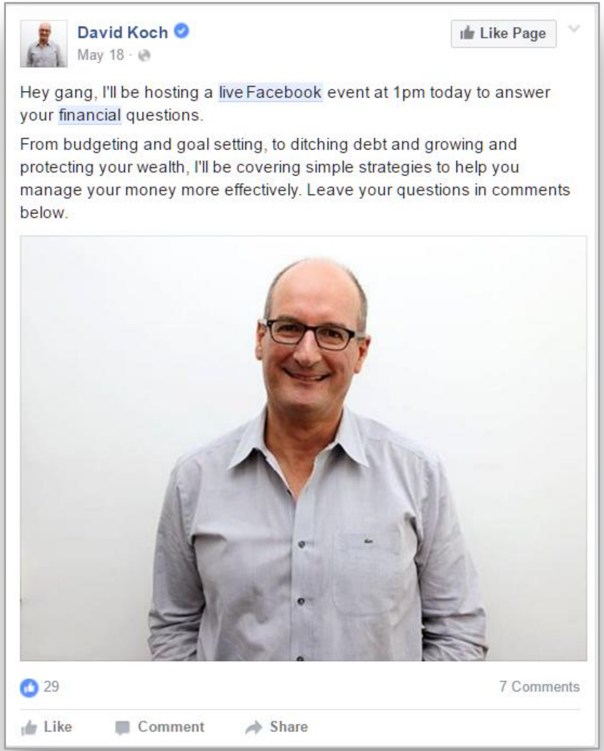
7. Host a Webinar

Find a Webinar Service



Source: G2crowd.com

Stream It Live



8. Be Urgent!

Year-End Planning

YOUR 2017 LAST-CHANCE FINANCIAL PLANNING CHECKLIST

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SAMPLETON Wealth Management Group

Group

SHAPE UP YOUR PERSONAL FINANCES FOR A GREAT YEAR-END!

Fall is an ideal time to examine your financial health and update your financial plans. Here is a list of important things to review that might make a difference in your year-end review and plans for next year. Check all that apply. If you have any questions or concerns, I will be happy to go over these items with you and discuss possible scenarios for 2017 and 2018. **Call to schedule a review.**

Check the box next to any key item that impacts your situation or needs more research or discussion.

1 TAXES

- ☐ Project income for 2017 & 2018.
- ☐ Project 2017 net investment income.
- ☐ Review realized and unrealized gains and losses.
- ☐ Collect cost-basis information on sold securities.
- ☐ Review sales of appreciated property like real estate and art.
- ☐ Check loss carry-forwards from last year
- ☐ Review potential deductions & credits for 2017.
- ☐ Track donations to charity.
- ☐ Review any gifting plans.

2 RETIREMENT

- ☐ Max out 401(k) contributions including catch-ups.
- ☐ Max out IRA contributions including catch-ups
- ☐ Analyze Roth IRA conversion scenarios: Full vs. partial vvs. none.
- ☐ Take required minimum distributions.
- ☐ Open a retirement plan if newly self-employed.
- ☐ Check status of all retirement accounts.
- ☐ Consider Social Security claiming options.

3 INVESTMENTS

- ☐ Confirm investment goals and strategy.
- ☐ Review asset allocation for rebalancing opportunities.
- ☐ Review fundamentals of portfolio positions.
- ☐ Revisit income and savings needs.
- ☐ Re-examine asset location.
- ☐ Review outstanding loans and mortgages.
- ☐ Review dividend distributions.
- ☐ Review employee stock options.

4 INSURANCE

- ☐ Review property and casualty policies.
- ☐ Review costs of current insurance policies.
- ☐ Review health insurance coverage.
- ☐ Identify material changes in life, business, or financial circumstances that may require insurance adjustments.

5 MILESTONES

- ☐ 50: Now you can make catch-up contributions to IRAs and some qualified retirement plans.
- ☐ 55: You can take distributions from 401(k) plans without penalty if retired.
- ☐ 59½: You can take distributions from IRAs without penalty.
- ☐ 62–70: You can apply for Social Security benefits.
- ☐ 65: You can apply for Medicare.
- ☐ 70½: You must begin taking RMDs from IRAs.

6 HEALTH

- ☐ Review employer's health insurance plan.
- ☐ Shop state health insurance exchange.
- ☐ Review Health Savings Account contributions for 2017.
- ☐ Spend any remaining balances in Flexible Spending Accounts.
- ☐ Review Medicare enrollment options.

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Year-End Tax Management

Health Care & Other Deadlines

Year-End Marketing Ideas

Celebrate a Date

Host a Webinar

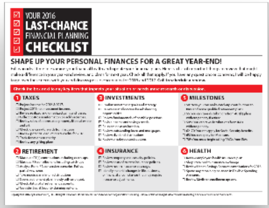
Deliver Tools

Get Ranked

Ask Your Clients

Show Them All You Do

Break Bread – Regularly



Be Urgent!

Join Advisor/Client

Buy a Quarter for only $297!

(Annual Membership: $997)

Sign Up for a Free Demo!

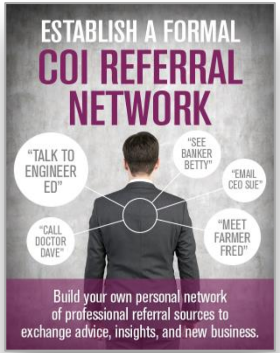
50+ Campaigns, Communications, Event Presentations, Webinars & More

Go to horsesmouth.com/advisorclient

Next Quarter

Sign up for a free demo at www.horsesmouth.com/advisorclient & join us for a quarter of high-impact marketing campaigns:

Sept 18



Sept 25

Oct 4

End the Year Well!

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