Agenda - Planning Session - 2009
ABC Capital Management

1. Opening Remarks – John– reiterate vision for firm

2. Goals, Visions & Values – each person should describe their goals for 2009 (personal and business – 1 year and five year)

3. Financials
   - What is our AUM goal for 2009?

4. Our firm
   - General discussion of the market place & opportunities.
   - Our compelling value proposition – how are we helping our clients make smart choices with their money and avoid costly mistakes? What is our expertise? Why do people want to work with us?
   - Our unique qualifications – what skills do we bring to the table?
   - Business Model – our key systems and processes/our service delivery methodology – how are they different?
   - Leverage of business model – where are we going? How will we scale our business? What other employees/positions might we need to add to complete our firm?
   - Risk factors – what are our risks? What could go wrong?
   - Discussion of current fees –

     - ✓ Are they adequate? Consistency on what we're charging for plans
     - ✓ Management fees – at what point do we consider raising them if at all?
     - ✓ From the client's perspective, are our services worth what they cost?

5. Review our listing of clients – A, B, & C – decide which clients will be transitioned in next twelve months and order of transition

6. Marketing: (please see marketing plan attached)
   - Newsletter – are we happy with this or do we want to make any changes?
   - Review marketing materials – are we where we want to be at this point in time? If not, what other improvements/changes do we want to make?
   - What public relations, if any, do we want to do in the next year?
   - What client get-togethers, dinners, etc do we want to have in the next year? Advisory Boards?
   - Do we have good processes in place for making sure prospects are followed up on? What about writing thank you notes to the referral sources?

- Book to send to referrals?
- Template for meeting with alliances
- Template for meeting with clients - research interviews (see draft)

7. Service Model –
    - Discussion regarding our quarterly report format. Is this format where we want to be? If not, what changes would we like to make? How is follow up working?
    - How to best deliver reports to clients?
    - Discussion of adding concierge services for 2009 – what services? **How far do we want to go at this point for clients?**
    - Scheduling clients for meetings – how to streamline?
    - Action plan/implementation – how to streamline – Ginny has a template that might work – discussion of this
    - Client touches, how often, what?

8. Concierge services for top clients
    - Dollar limit $5,000,000 and above?
    - Start with one or two? If so, who?
    - What will concierge services consist of? Travel? Scheduling? Backup office? Business services and assistance?
    - Who will do it?

9. Web Site Improvement/what is anything do we want to do here?
    - What function do we want Web site to serve?
    - Have client access to blogs? Travel stuff? Boards to post on? If so, should these be public?

10. Compliance – John will lead a discussion which will include:

- What areas, if any, do we still need to improve?
- Are all employees in compliance (statements copies, etc)?
- Where do we stand on mailings (Privacy policy) to our clients?
- Does our IAA contain all the language it needs to
- Are our marketing materials compliant?
- Any other issues as may need to be discussed

11. An in-depth discussion of each person's responsibilities (please see attachments)

12. Time Management – how well is each of us managing our time?

- Are we using the work day the best way possible?
- If not, what would help change that?
- What, if any, are the problems that are causing work not be completed on a timely basis?

13. Computer/Technology needs for upcoming year – topics to include:

    - Centralized printing/fax shop/scanning shop
    - Direct deposit of payroll checks
    - Upgrading network – any need here?
    - Do we need any additional Portfolio Management software licenses?
    - Planning Software – any changes here?
    - Virtual Office – baby steps – what can we implement now to move us in that direction?
    - CRM – how can we fully utilize CRM as a time-saving tool?
    - What is status of By All Accounts?
    - What other technology do we need for 2009?

14. Discussion of succession plan

15. Developing standard operating procedures – each person needs to develop written procedures for the jobs and tasks they perform within the company. Discussion of how to best construct operations manual? Wiki?

16. Wrap up of planning session