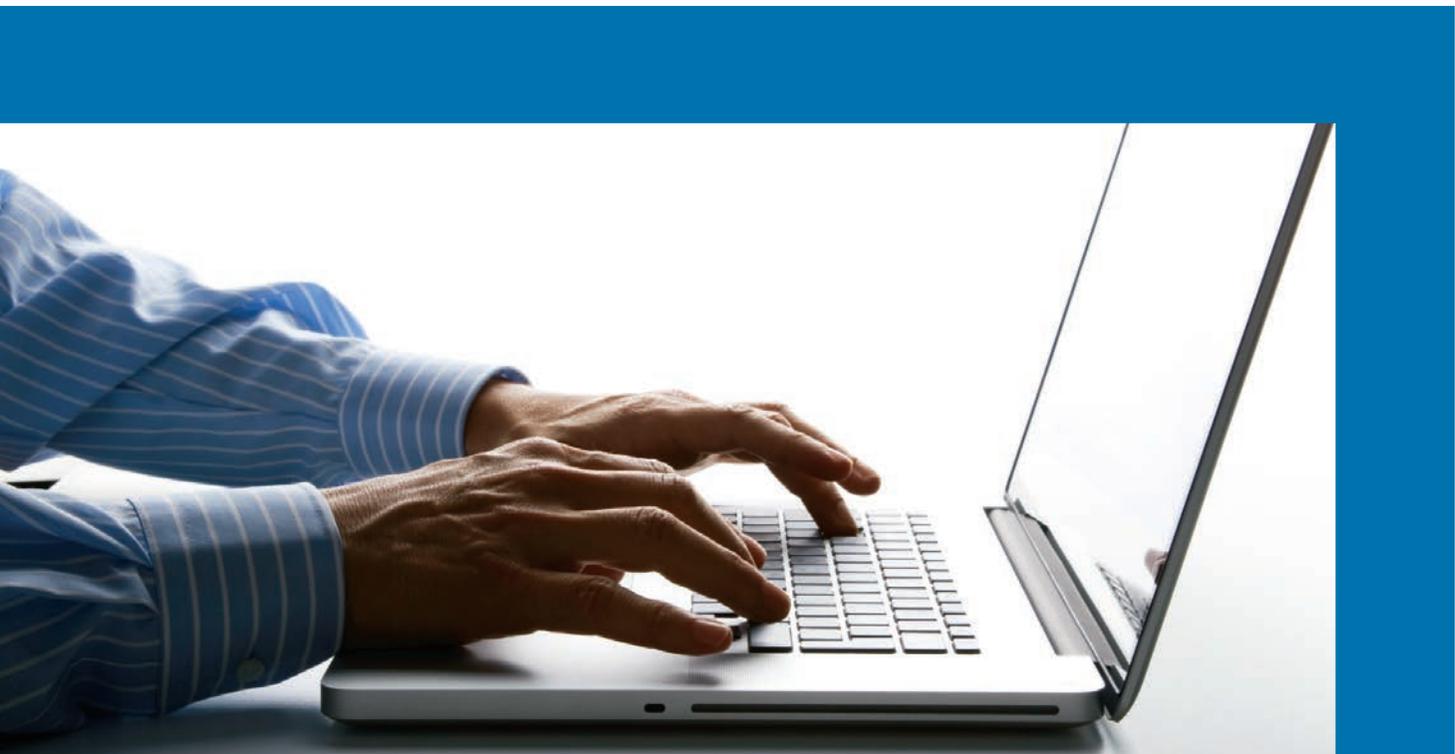




BUSINESS PLAN

QUARTERLY REVIEW



1st Quarter	2nd Quarter	3rd Quarter	4th Quarter

Are you meeting the goals and objectives outlined in your BUSINESS PLAN?

Use this worksheet to review and summarize your progress for the quarter



Assess your practice and competitive position

- How has your outlook for the economy, the financial services business, and the growth of your practice changed during the last quarter? What unforeseen obstacles have you encountered?

- Was your business mix at quarter end closer to the desired mix you identified in your Business Plan? If not, why was that the case?

Your Business Mix	Current		Desired	
	AUM	% of Book	AUM	% of Book
Mutual Funds	\$	%	\$	%
Variable Annuities	\$	%	\$	%
Immediate/Deferred Income Annuities	\$	%	\$	%
Index Annuities	\$	%	\$	%
Fixed Annuities	\$	%	\$	%
Stocks and Bonds	\$	%	\$	%
Fee-Based Services	\$	%	\$	%
Life Insurance	\$	%	\$	%
Estate Planning	\$	%	\$	%
Qualified Employer-Sponsored Plans	\$	%	\$	%
Other	\$	%	\$	%
Total	\$	100%	\$	100%



Focus your time and marketing efforts

- What were the top 3 client acquisition strategies you used to reach your target market(s) during the quarter?

1. _____
2. _____
3. _____

- Were these acquisition strategies successful? What changes, if any, do you plan to make to your marketing efforts going forward?

- During the quarter, did you implement the marketing messages you outlined in the marketing calendar within your Business Plan? If so, what were the results?

- What is on your marketing calendar for the next three months? Are there any changes you plan to make based on your experience from last quarter?

Your Marketing Calendar For Next Quarter			
MONTH	OPPORTUNITY	MESSAGE	TACTIC



Align your infrastructure to support your growth

- Did you make any of the staffing or technology changes you outlined in your Plan? If you did, what were they? If you did not, do you plan to implement any of these changes next quarter?



Chart a course for your success

- Did you meet or exceed the quarterly activity goals you outlined in your Business Plan?

	Goal for Quarter	Actual
Contacts per week/clients		
Meetings per week/clients		
Contacts per week/prospects		
Meetings per week/prospects		
Seminars per week		
Wholesaler meetings per week		

- If you did not reach your activity goals, what adjustments do you plan to make to increase the number of contacts, meetings or seminars? Will you focus more on prospects or current clients next quarter?

- Are you on track to meet your stated growth and revenue goals?

Your Financial Projection	At Quarter End	Annual Goal
Number of clients		
Assets Under Management (AUM)	\$	\$
Net New Assets Under Management (AUM)	\$	\$
Average Account Size	\$	\$
Sales	\$	\$
Revenue	\$	\$

- If you are not on track to meet your stated growth and revenue goals, what adjustments do you plan to make next quarter in the areas of client acquisition, AUM, net new assets, average account size, and/or sales and revenue?
