

FINANCIAL PROFESSIONAL CASE STUDY*

Sophomore Advisor: Patrick



Patrick is in his fourth year at ABC Financial. He joined the firm after a n 11-year career as an international compliance manager for a semiconductor company. He hated his job and the stress that came with it. He wanted more time to spend with his teenagers. His wife kept asking when they could finally take their 2nd honeymoon.

Bottom line: Patrick needed a career that put him in control of his time, his success, his income and his options.

- Talented man transitioning to better career
- Very bright, with MBA from prestigious business school
- Loves working with people
- Deeply committed to bringing positive change
- Wants to create a legacy for his wife and kids
- Despises bureaucracy
- Meticulous to a fault and wants to be appreciated for it
- Amiable and easy to get along with
- Wants the respect and recognition that comes with his title

PATRICK'S PRIMARY GOALS:

1. Control
2. Complex challenges
3. Income → Legacy

Patrick has enjoyed his career as a financial professional. He's been told over and over he's the "right kind of guy" for the career, because he's intelligent, careful, listens to his clients well and gets everything right when turning in business.

Still, he's observed newer agents fast-tracking past him. It's a mystery to Patrick how they can see so many people in a week and get all their applications turned in on time and correct. He's never asked so he doesn't know their apps are often wrong.

Everyone in his office likes Patrick. He's always got a great story to share in the lunch room, when he's able to join them. Most of the time he's hunkered over his desk.

Patrick's business plans are amazing, thorough and documented on spreadsheets. His manager has been trying to help Patrick "play outside of his box" but, frankly, Patrick doesn't think much of his manager's recommendations.

OUTCOME:

Patrick's fourth-year numbers show some modest growth in three of the categories he cares most about. He's up 8% in new clients and 10% in policies placed. But Patrick is growing frustrated:

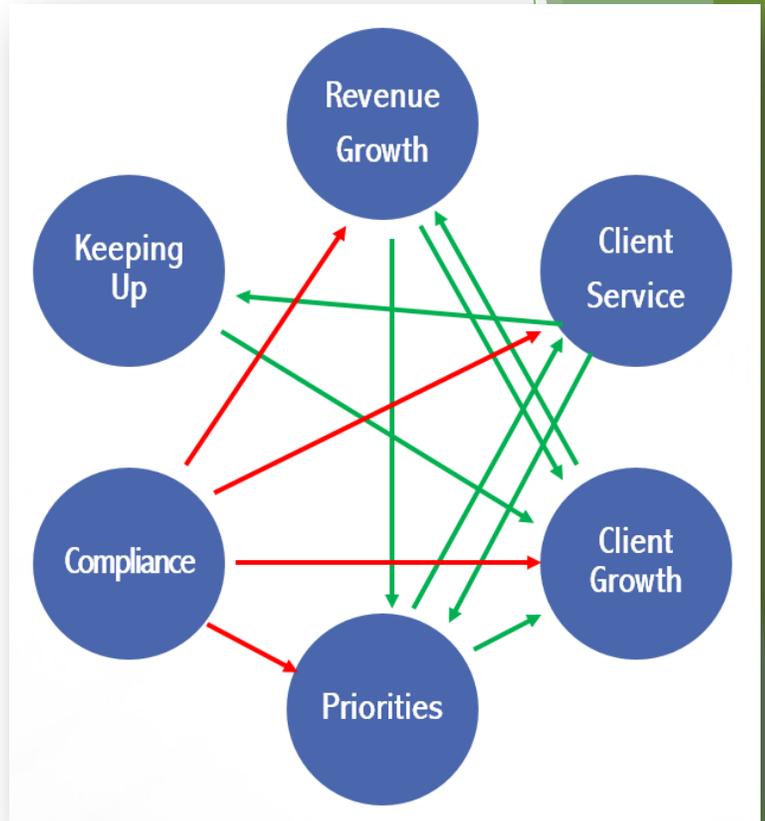
"At this pace, I'll be in my 90s when I have my legacy."

* Each case study is based on an actual professional we have worked with. None are hypothetical.

WHAT WENT WRONG?

Patrick's Story

- ▶ Patrick's entrepreneurial DNA is predominantly **Specialist**. He has more **Opportunist** eDNA than most financial professionals.
- ▶ But he doesn't know that balancing them is difficult. Without conscious *awareness* and effort, he defaults to his sDNA.
- ▶ His oDNA is the lens he looks through when he sees all the opportunities his career *should* be bringing him. Even though he was a compliance guy (in a different business), Patrick hates the insane levels of compliance in his new industry. It is constantly getting in his way.
- ▶ "Everything takes longer than it should," he told his manager, "because of compliance. Look! I've made a diagram to show you what I mean."
- ▶ Patrick's 6th year brought net growth to his business of only 4%.
- ▶ He blames compliance.



FORMULA FOR SUCCESS = Playing to your *natural* business strengths. But first you must know what your entrepreneurial strengths are.



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