Put the Customer First | Value Our People | Act with Integrity | Deliver Excellence | Take Personal Accountability | Operate as One Team

What's New in IAS?

There are no updates at this present time.

Meeting Notes & Action Items

Meeting Week: 04/03/2017

No notes have been provided

Previous Meeting Notes & Action Items

Previous Meeting Week: 03/27/2017

- Where Does Our Team Stand? -\$3,404,018 external

Pipeline ? Clean-up Won < 90% funded

Committed

-Nilanjana Bhaumik (3300241) - Christine created another credit attribution for ongoing crediting contribution.

-Yuriy V. Karpov (3385060) ? received sales credit for ATRA \$350k

-Pamela Blumberg (8245921) - paperwork IGO.

-Tamar Arslanian (7017269) ? Client is ready to sign the IVA application

- Dominick Carielli (2137102) ? waiting on W9 to verify his ssn#

-Kevin McGirr (7077454) ? Received fax for Qualified account (processing time takes business days). NQ check was sent out on the 17th. Nikki Tyson (MMS) handling NYS Deferred Comp 457b transfer

-Jerrilynn D Dodds (1849478) - Banking opportunity funded and waiting for crediting

- Elizabeth Benedict (3168217)? Acct opened, most of the internal rollovers are complete. Joel sending paperwork for NIGO plans. Christine updated opportunity on 3/27

-Ruth Carr ? mailing \$25k check to TIAA

-Dr. Shelley Lee (3631959) ? Received IS SEP IRA/brokerage app and transfers (2) along with brokerage app and transfer. Individual Brokerage account and SEP IS IRA/Brokerage Window have been established. Christine updated opp

Considered:

-Theokli Hotzoglou - moving her TIAA Brookdale Hospital contracts along with her external Valic into her NYU Langone GSRA. Alisha Allen had a conference call with Valic and sent the TIAA forms overnight. Client should have the forms this week. Christine sent an email to MMS on 3/27.

-Herman Tessler -. Paperwork sent to client. Moving forward with 90%. 3/27 ? have not received the forms

- Foxman - PAM paperwork sent to client. Rob sent email on 3/10

-Michelle Ajami - underwriting for insurance application in process. 3/22 ? client returned the Authorization to ExamOne

-Eleonore Rios (2758369) ? Client wants to open a mutual fund account. Christine will follow-up

- Referrals - The topic of referrals should be on every client meeting agenda.

| Where Does Our Team Stand? | |
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| | |
| - Guest Speakers/Subject Matter Experts - N/a | |
| - Recognition - N/A | |
| - Best Practices - Continue to keep open communication between the team. | |
| - Other Topics - Review Outlook and how CRC can propose new time for meetings. | |
| - Action Items - Schedule separate meeting to create a calling campaign and review ARs. | |
| - Client Meetings - Review upcoming client meetings When is Rob?s upcoming meeting with Aronson (POA) - not until April | |
| - Activity & Relationship Management - Thomas Corcoran ? Christine will follow-up with Tyler King on processing. Bennett ? wants to come into the office when all forms are ready to sign. Assigned to Heather Rogers. Swaminathan Giridharan (7863788) ? Christine will accelerate RMD payment once we receive the forms IGO. | |
| - Retention - We reviewed retention and money in motion leads have slowed down. | |

WMA Scorecard Summary For information on the IAS 2017 Scorecard, please click here. Searching... To cancel, click here.



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| Sales |

| External YTD Actuals | | | | External % to Goal | | Internal YTD Variance |
|-------------------------|-------------|-------------|--------------|-----------------------|-----------|--------------------------|
| | \$3,445,119 | \$6,138,000 | -\$2,692,881 | 56% | \$468,157 | \$468,157 |

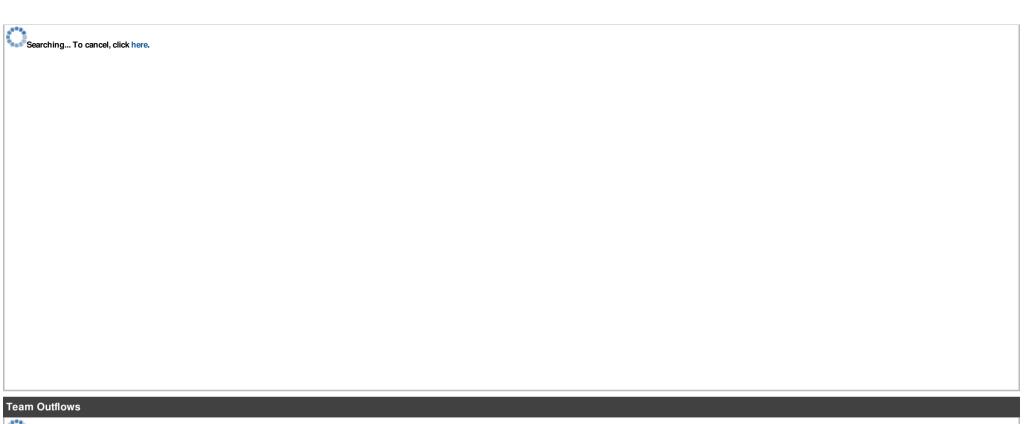
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Managed Product Sales

| Products | Revenue |
|----------------------|-------------|
| ATA (External) | \$237,027 |
| Annuitized | \$251,213 |
| Bank (External) | \$216,167 |
| Brokerage (External) | \$143,382 |
| IRA (External) | \$63,270 |
| PA (External) | \$1,944,420 |
| PA (Internal) | \$468,157 |
| Pension (External) | \$840,853 |
| Grand Total | \$4,164,488 |

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Sales Details



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Surveys

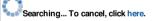
| | YTD | % of Goal |
|------------------------------|--------|-----------|
| Objectivity (Goal = 90%) | 100.0% | 111% |
| Distinctiveness (Goal = 68%) | 66.7% | 98% |
| Net Promoter | 66.7% | N/A |

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Key Influencer Client Details

| Advisor | PIN | Last Name | First Name | Job Title | Client Name | Client ID | Enterprise Client | Outreached | Discovery | Engaged | Active | Last Activity | Last Activity Date | T-C Accums | Household Accums |
|---------------------|---------|-----------|------------|--|---|-----------|----------------------|------------|-----------|---------|--------|------------------------------|--------------------------|---------------|---------------------|
| Casolaro, Robert | 5126578 | FALKOWITZ | MARY | VP, Compensation Benefits & HRIS | COLUMBIA PRESBYTERIAN MEDICAL CENTER FUND | CLI-9444 | | | | | | | | \$0 | \$0 |
| Casolaro, Robert | 5126578 | FALKOWITZ | MARY | VP, Compensation Benefits & HRIS | NEW YORK PRESBYTERIAN HOSPITAL | CLI-9138 | | | | | | | | \$0 | \$0 |
| Casolaro, Robert | 7123569 | DOHERTY | THOMAS | Senior Vice President | MAIMONIDES MEDICAL CENTER | CLI-10142 | Υ | | | | | Reassign Mail-Notification-U | 12/29/2015 | \$89,836 | \$89,836 |
| Casolaro, Robert | 3605425 | CRYSTAL | JONATHAN | Vice President, Faculty Senate | FORDHAM UNIVERSITY | CLI-10061 | Y | Υ | | | | Call - Outbound - Voice Msg | 7/15/2015 | \$436,063 | \$436,063 |
| Casolaro, Robert | 4868588 | STANTON | THOMAS | Director of Finance | BUCKLEY SCHOOL IN THE CITY OF NEW YORK, THE | CLI-9450 | | Υ | | | | Reassign Mail-Notification-U | 6/25/2015 | \$710,506 | \$710,506 |
| Casolaro, Robert | 7683648 | LOIACONO | SALVATORE | Vice Chair of Finance and Administration | MOUNT SINAI | CLI-55635 | Υ | Υ | | | | Initial Correspondence | 9/15/2015 | \$66,230 | \$66,230 |

Global Key Influencers



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Pipeline

All opportunities must be documented in the system as soon as the funds are identified. Opportunities should not be opened in committed status unless absolutely necessary.

10-5-5-3 Tracker

| Please download a template for the 10-5-5-3 tracker here. As you look through your pipeline, please fill out or update your 10-5-5-3 tracker. |
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| Pipeline Details The following Direction should be show Qualified and Considered expectationing Direction should be shown a least follow this links are considered as a state of the same |
| The following Pipeline report is defaulted to show Qualified and Considered opportunities. Please use the filters to change sales cycles or products. For more information about how to leverage the MMS team, please follow this link. Sales Cycle: Select options Product: Select options Product: Select options |
| Sales Cycle: Select options Product: Select options Product: Select options |
| |

"Current" Pipeline Details (updated daily Tues. - Sat.)

| First Name | Last Name | Sales Cycle | Product | Expected \$ | Total Revenue | Description |
|------------|-----------|---------------|--------------------------------------|-------------|------------------|--|
| AGGIE | SMITH | 03-Considered | IRA SEP (Brokerage) | \$12,000 | \$0 | new SEP with 2016 contribution |
| ALAN | FOXMAN | 03-Considered | Internal Sale - PAM | \$350,000 | \$0 | client moving \$350K internal and \$650K external into PAM |
| ALAN | FOXMAN | 03-Considered | PAM - Managed IRA | \$650,000 | \$0 | client moving \$350K internal and \$650K external into PAM |
| ANTHONY | IORIO | 02-Qualified | Bank-Deposit Products | \$1 | \$0 | |
| ANTHONY | IORIO | 02-Qualified | Retirement Choice Plus (RP) | \$65,000 | \$0 | Ph is looking to consolidate out an Sep IRA held at wells fargo. PH does qualify for our wealth services and would like to speak with an advisor prior to consolidation to go over a retir |
| BARBARA | ANDOLSEN | 02-Qualified | Bank-Deposit Products | \$300,000 | \$0 | HY Savings and MM for emergency funding |
| BETH | KNELLER | 03-Considered | Bank-Deposit-Savings | \$50,000 | \$0 | \$15K from maturing CD along with excess cask currently at citi |
| BRITU | HAILE | 02-Qualified | Bank-Deposit Products | \$50,000 | \$0 | EF . |
| BRITU | HAILE | 02-Qualified | GSRA | \$24,000 | \$0 | client is opening a TDA to contribute money from CUNY settlement |
| BRITU | HAILE | 02-Qualified | Internal Sale - Portfolio Advisor | \$1,000,000 | \$0 | Internal IRA to PA IRA |
| BRITU | HAILE | 02-Qualified | Portfolio Advisor | \$100,000 | \$0 | non-qualified vanguard to PA |
| BRITU | HAILE | 02-Qualified | Portfolio Advisor | \$300,000 | \$0 | Halliday IRA to PA |

Strategy Calls

For more information on scheduling and conducting Strategy Calls, please reference the Analysis page of the IAS Playbook here.



Referrals

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| Client Referrals | |
| or instructions on how to document referrals to populate the report below, click here. | |
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Retention

For detailed instructions on how to service Retention Opportunities, including definitions of each Retention Alert trigger, please reference the IAS Retention page.

Retention Metric

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| High Priority Clients Summary | |
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Activity & Relationship Management

For more information on Relationship Management, please reference the Relationship Management page of the IAS Playbook here.

Comprehensive Report - Prioritized List

Comprehensive Report - Prioritized List

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| Annual Reviews Due - Upcoming | |

A new Annual Review type, Family Meeting will now be included as a recommended report in your upcoming and overdue Annual Reviews (as of 12/7/15). For a detailed description of how to conduct a family meeting, please visit the Intergenerational Wealth page of IAS Playbook.

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Annual Reviews Due - PAM

| Advisor | Due | PIN | Last Name | First Name | AR Recommended Report | Comp. Report Due | Discovery or Re- Worked Discovery | Age | Desired Retirement Age | RMD Eligible or Upcoming | Last Advice Type | Last Advice Date | Last AR Done By | Portfolio Manager | Portfolio Advisor | Key Influencer | Active | HH Accums | | Pension Outflows | _ |
|--------------------|------------|---------|--------------|------------|-----------------------------|------------------------|--|-----|------------------------------|-----------------------------------|------------------------|------------------------|--------------------|----------------------|----------------------|-------------------|--------|--------------|-------------|---------------------|----------|
| Casolaro Robert | , 2/1/2018 | 5227361 | WESSMAN | IPHIGENIA | Family Meeting | N | | 86 | 84 | Υ | Annual Presentation | 3/3/2017 | CASOLAR | Mike Lozano | Υ | | Υ | \$51,385 | \$1,859,503 | \$0 | C_978375 |

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Bulk Email

For instructions on utilizing the Outreach Management System (OMS) and Bulk Email, please reference the Relationship Management page of the IAS Playbook here. For MyBoB, please click here. To access the full list of Bulk Email Templates, please go to the IAS Client Facing Resources Site.



Client Meetings

| Week's Activity | |
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Scheduled Client Meetings

