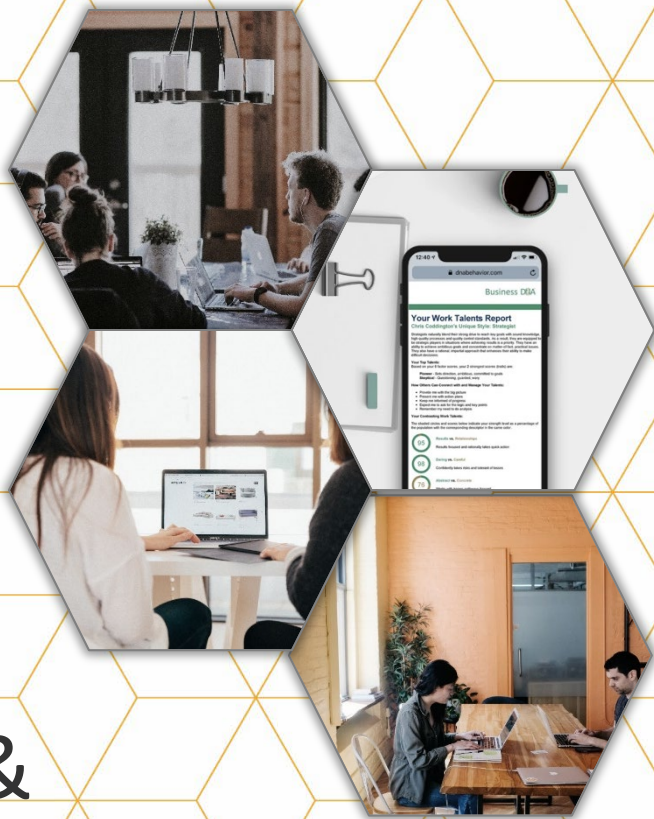


Integrated Behavior & Money Insights Guide for Financial Advisory Firms



DNA Behavior[®]

Introduction

DNA Behavior is a behavioral sciences company which has since 2001 been providing over 4000 scientifically validated behavior and money insights about a person, which can be used by financial firm leaders and advisors to know, engage and grow their team and clients.

Our belief is that "behavior drives performance". Research conducted by Harvard in 2002 had proven that 87% of business problems are behavior and communication related.

The DNA Behavior system offers a strengths-based approach so that each advisory team member can be guided based on their unique DNA style through powerful questions to capitalize on their different strengths and then manage their struggles. Further, the clients can be guided to discover their financial behaviors so that a customized financial planning experience can be delivered to them based on their unique style.

Behavior and Money in 1 Platform Work Talents & Financial Behavior

The screenshot displays the DNA Behavior platform interface. At the top, there is a navigation bar with options: Dashboard, Users, My Team, Settings, and a search bar. The main content area is divided into two columns. The left column shows a list of users with columns for First Name, Last Name, Unique Style, and Account. The right column shows a detailed profile for Donnie Smith, including his Unique Style (Strategist) and Advisor (Monica Simon). Below the profile, there are two main sections: 'Work Talents' and 'The Strongest Factors'. The 'Work Talents' section features six circular gauges with scores and descriptions: Results vs Relationships (95), Daring vs Careful (99), Abstract vs Concrete (76), Systematic vs Flexible (69), and Promoting vs Operating (50). The 'The Strongest Factors' section lists two factors: Pioneer- Sets direction, ambitious, committed to goals and Skeptical- Questioning, guarded, wary. Below these, a 'Style Match' section shows a 73% match between Monica, Donnie, and Donnie. At the bottom, a 'T-Scores' section displays a horizontal bar chart comparing Donnie's scores across various traits like Cooperative, Reserved, Fast-Paced, Spontaneous, Take Charge, Outgoing, Patient, and Planned.

DNA Behavior Insights for Reshaping Wealth Management

The **DNA behavior and money insights** obtained from the Financial DNA Natural Behavior Discovery Process are primarily used to:

- Measure the "**Behavioral Identity**" of team members and clients, including their financial behavior (risk, saving and goal setting) and relationship to money. Thereby, unlocking advisor personal productivity by 40%, reducing the time spent in preparing each financial plan by 2hrs, providing 150bps of value per year through behavioral coaching and increasing client engagement reflected by more referrals and greater share of the wallet. We provide specific talent and financial behavior reports.
- Build a unique "**Advisory Team Identity**" by hiring round pegs in round holes based on talent and motivation insights using our hiring reports and role benchmarking processes. Thereby mitigating the over 3x costs of a bad hire.
- Help the leaders and their team connect and engage with different styles through team, group and comparison reports to build "**Behavioral DEI Diversity**". Thereby improving team performance by over 70% and broader client engagement.
- Make better high-stakes financial planning, family succession, business and team decisions by measuring and mitigating the "**Behavioral Variability**" driving the decisions, including the financial motivations. Thereby reducing the 50% decision-making variance.

In addition, we help financial advisors in the following areas:

- To "**Choose Ideal Clients**" through advisor/client compatibility analysis. Thereby, enabling them to increase personal productivity and engagement.
- To engage their clients in building greater "**Money Energy**" and a "**Quality Life**" based financial plan by greater awareness of their identity, passions, purpose, values and having an enhanced relationship to money. Thereby, enabling them to achieve their goals and manage their happiness, success and health.
- Further, to help clients build tailored financial plans and investment portfolio's with greater understanding of both their Natural DNA Behavior and their "**Learned Financial Behavior**".
- To work with families on building a sustainable "**Family Continuity Plan**" so that the family wealth, businesses and relationships will be preserved through the succession process.
- To build a customized "**Planned Giving**" solution which is integrated to the purpose and interests of the family.

You may access these insights and tools real-time through our behavioral tech stack, including the DNA API.

Financial Planning Focused on Identity and Relationship to Money

The differentiated DNA Behavior approach to financial planning focuses on identity, reflecting the higher place of their purpose and how they wish to show up. Only then can a customized financial plan be built personalized to the client using the pin-pointed DNA insights.

Our belief is that the person must have a relationship to money aligned to their identity as otherwise, they will not make sustainable life, financial and business decisions. Thereby, they will not remain as emotionally committed to achieving their goals. Further, without a healthy relationship to money, their energy will be depleted as money impacts mental health and the body.

While you as a financial planner may already use one of the many behavioral and/or risk profiling systems on the market, DNA Behavior is the only one that addresses an individual's relationship to money. Ultimately, financial (money) behavior is the dominant energy driving motivations and decision-making.

Our Financial DNA Discovery Process can replace or supplement the behavioral tooling you are already using. We have a "behavioral tool converter," enabling you to quickly align other systems to DNA Behavior.

Client Centered Organizational Structure Development

We are in the era of the "Great Resignation". But that problem can only be solved with a "Great Re-Negotiation" of how employees are engaged, including a financial alignment. The client must be at the center of all financial planning and business processes, and revenue models.

Given that the DNA Behavior systems focus both on talents and money, there is an opportunity to guide the organizational financial engineering design to align with both the employees' and clients' interests.

Behavioral DEI - Diversity

Building a diverse advisory team is of critical importance for accelerating business growth and improving productivity in today's world. Importantly, the right Behavioral DEI model will enable the firm to attract more of the ideal advisors and clients it wants to have on board.

However, learning to manage the differences is the holy grail of advisory firm leadership and delivering a customized financial planning experience. The differences are made even harder to manage because of different financial (money) behaviors. The DNA Behavior systems provide easy to use reporting for understanding, accepting and respecting differences of employees and clients so that bridges are built.

Behavioral Variability

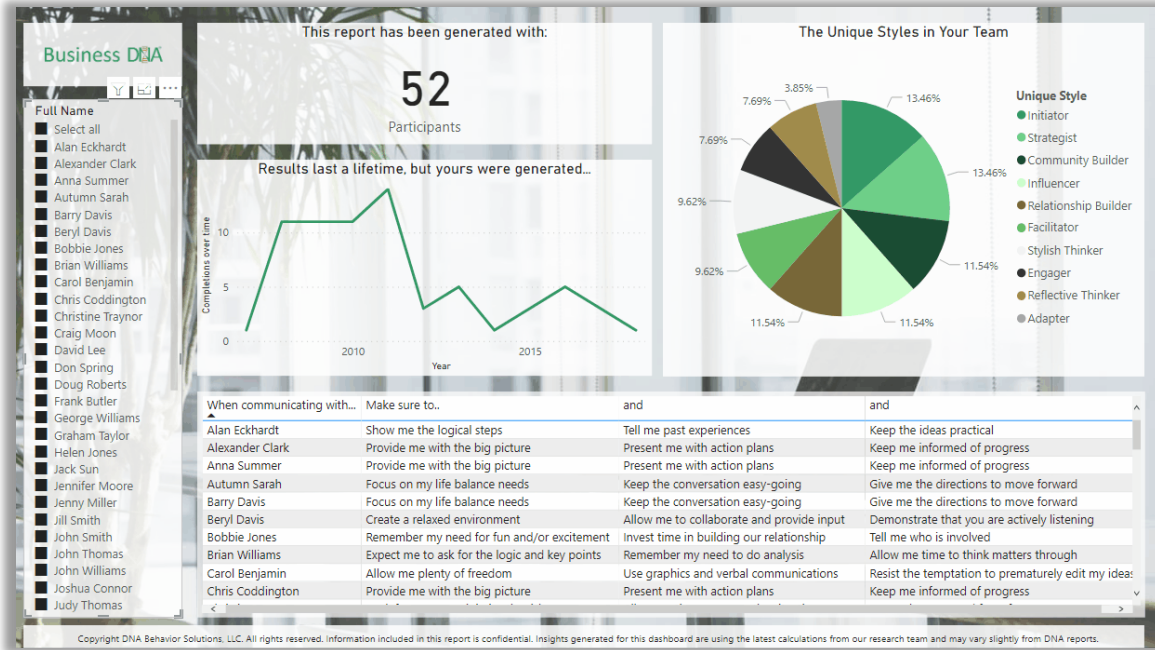
The cause of most organizational performance challenges are advisory firm leaders, employees and advisors behaving differently given their inherent uniqueness and financial (money) behaviors. This creates the unavoidable problems of a proven 50%+ variability when making regular financial planning and complex decisions with clients. This is similarly true in making regular operational or complex decisions for the business itself.

The errors caused by the different behaviors have been ignored by many leaders and advisors because they are invisible. DNA Behavior has developed methodologies to measure the variability so that it is visible.

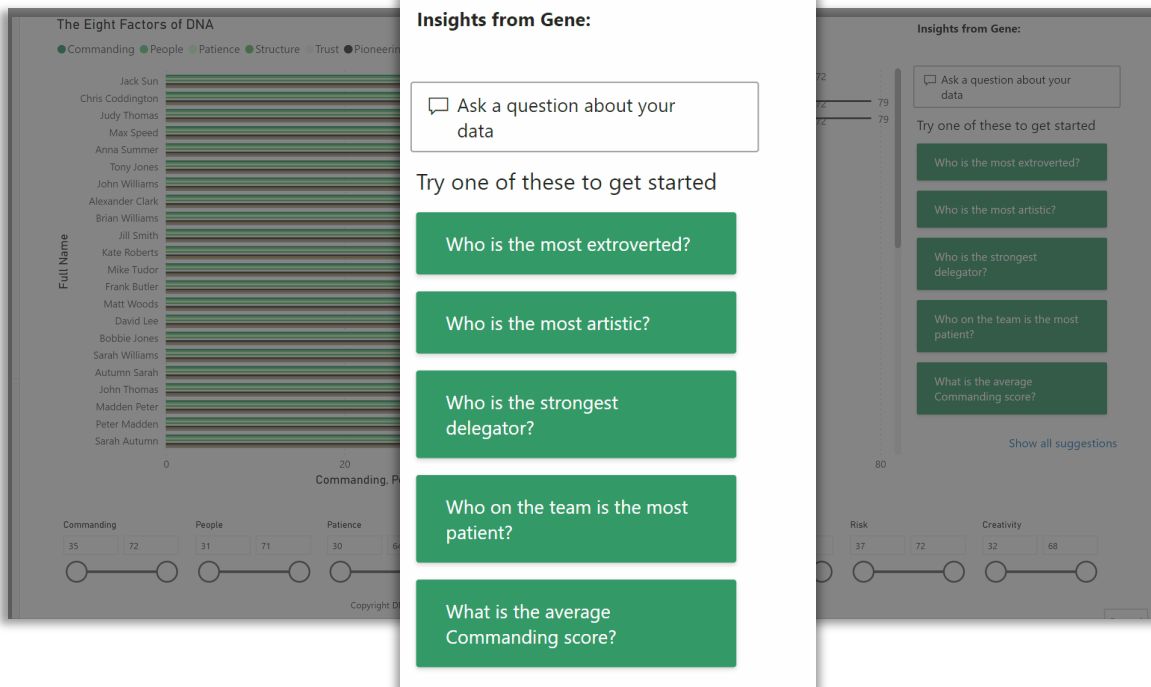
By adopting the DNA Behavior systems, you can now identify, measure, and manage the behaviors causing sub-optimal financial planning and organizational performance.

Appendix - Next Gen Tech Features

Dynamic Facilitation Tools



Realtime Benchmarking



About DNA Behavior

We help people be successful by unleashing positive behavior and money energy so they can stress less and do more.

Rethink and reshape how you measure and manage human differences to make high-stakes decisions, accelerate performance and build enhanced relationships. Manage the behavior and money energy of your employees, advisors, and clients with DNA Behavior.

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