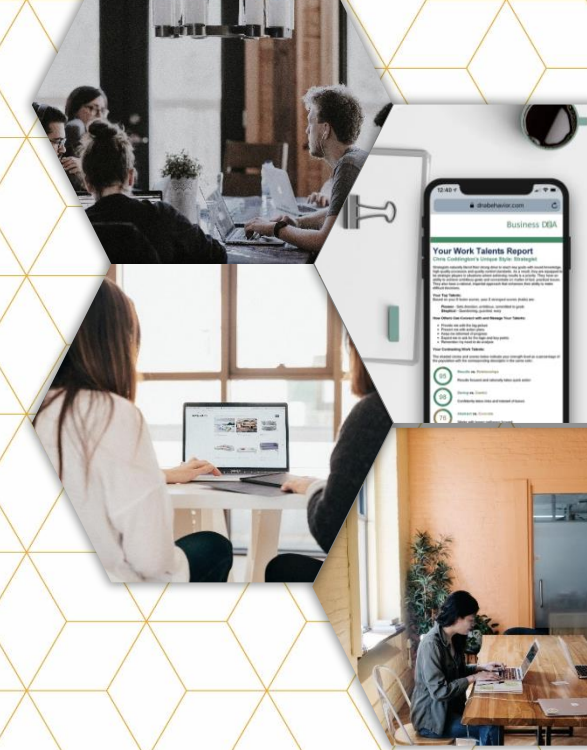


# DNA Behavior<sup>®</sup>

Human Performance Acceleration  
Using Behavioral Insights Since 2001



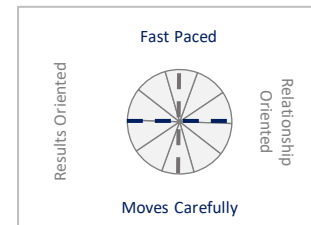


# Financial DNA Unique Styles

Quickstart Guide

# Financial DNA Reference Guide

## DNA 10 Unique Styles



STYLE	DEFINITION
 <b>Influencer</b>	<ul style="list-style-type: none"> <li>• <b>Ringleader</b></li> <li>• <b>Assertive</b></li> <li>• <b>Visionary</b></li> </ul> <p><b>Influencers</b> usually have a unique blend of confidence, initiative and people skills. They are typically able to see the larger vision and then use their superior communication skills to influence others towards accomplishing it. They will wholeheartedly invest time and effort into developing others and their personal performance towards goals, particularly strategies that they see significant potential in.</p>
 <b>Engager</b>	<ul style="list-style-type: none"> <li>• <b>Outgoing</b></li> <li>• <b>Expressive</b></li> <li>• <b>Talkative</b></li> </ul> <p><b>Engagers</b> enjoy meeting new people, new situations, new environments and being a promoter. They use their people skills to build relationships and interact with an ever-widening circle of contacts. Engagers enjoy using their verbal skills and will be very outgoing. They approach situations enthusiastically, especially when they are passionate about the outcomes. They enjoy new opportunities and starting (rather than finishing) new projects and goals.</p>
 <b>Community Builder</b>	<ul style="list-style-type: none"> <li>• <b>Easy Going</b></li> <li>• <b>Promoter</b></li> <li>• <b>Understanding</b></li> </ul> <p><b>Community Builders</b> excel at meeting people and promoting cooperation among groups of people. Their natural inclination is to help and support others to carry out an activity or transaction. They are attentive to both people and tasks. They influence others through empathy and supportiveness. Once convinced of a course of action, they will encourage others, operate diligently and collaborate to achieve the goal. They seek supportive relationships that are appreciative and empathic towards one another.</p>
 <b>Relationship Builder</b>	<ul style="list-style-type: none"> <li>• <b>Advocate</b></li> <li>• <b>Dependable</b></li> <li>• <b>Loyal</b></li> </ul> <p><b>Relationship Builders</b> will be comfortable and operate at their best when given the opportunity to work with and serve others. They are friendly, kind and empathetic to others they interact with and gain fulfillment by helping others to achieve their goals. Their preference is to live in a stable environment and make decisions based on history and security.</p>
 <b>Facilitator</b>	<ul style="list-style-type: none"> <li>• <b>Balanced</b></li> <li>• <b>Discerning</b></li> <li>• <b>Harmonious</b></li> </ul> <p><b>Facilitators</b> combine the ability to guide people with feelings yet with the determination to reach goals and accomplish tasks. This blend of behavioral strengths makes them well suited for situations where setting the agenda and recognizing the needs of other people are required. Consistency, reliability and persistence are important. They flourish in an environment where there is plenty of stability, group decision-making is encouraged and where they are recognized for the contribution they make.</p>
 <b>Adapter</b>	<ul style="list-style-type: none"> <li>• <b>Compliant</b></li> <li>• <b>Respectful</b></li> <li>• <b>Courteous</b></li> </ul> <p><b>Adapters</b> are unique in that they have the unusual ability to adapt to the needs of their environment, and display whatever behaviors are necessary for success. They are very versatile and will generally partner and team well with others. They can generally perform well many tasks relating to achieving their goals and managing their performance, and they operate most effectively when they have very clearly defined expectations and boundaries.</p>
 <b>Stylish Thinker</b>	<ul style="list-style-type: none"> <li>• <b>Sharp</b></li> <li>• <b>Cutting-edge</b></li> <li>• <b>Demanding</b></li> </ul> <p><b>Stylish Thinkers</b> enjoy interacting with others and getting the most out of any situation. In making decisions they require precision, technical information and the latest trends that will fully inform them that they are getting the best solution or outcome available. They also like to be able to test ideas in discussions with other people. They will usually be strong in following through on their goals but may need some help in developing their personal vision.</p>
 <b>Reflective Thinker</b>	<ul style="list-style-type: none"> <li>• <b>Considered</b></li> <li>• <b>Focused</b></li> <li>• <b>Stable</b></li> </ul> <p><b>Reflective Thinkers</b> are analytical, thorough, and philosophical in their search for meaning, truth and purpose in all they do. They are particularly adept at drawing incisive conclusions from data and research. Their accuracy and precision is valuable in any group setting, and they bring objectivity to decision-making processes. Typically, they will prefer to follow guidelines in completing tasks and will expect cooperation to be given.</p>
 <b>Strategist</b>	<ul style="list-style-type: none"> <li>• <b>Evolutionary</b></li> <li>• <b>Visionary</b></li> <li>• <b>Structured</b></li> </ul> <p><b>Strategists</b> excel by blending their strong drive to reach key goals with sound knowledge, high quality processes and quality control standards. As a result, they are equipped to be strategic players in situations where achieving results is a priority. They have an ability to achieve ambitious goals and concentrate on matter-of-fact, practical issues. They also have a rational, impartial approach that enhances their ability to make difficult decisions.</p>
 <b>Initiator</b>	<ul style="list-style-type: none"> <li>• <b>Results Driven</b></li> <li>• <b>Logical</b></li> <li>• <b>Decisive</b></li> </ul> <p><b>Initiators</b> like to take bold, aggressive actions and create the rules. They will prefer to lead decision making, setting the agenda for others to follow and monitoring the timely completion of tasks. They are goal-driven persons who likes their expectations managed and not to get caught up in unnecessary details. Their decision-making will typically be fast paced and rational. They will not be afraid to take on challenging assignments or to accept a lot of risks to realize their ambition.</p>

# Community Builder

- Easy Going
- Promoter
- Amiable

Community Builders excel at meeting people and promoting cooperation among groups of people. Their natural inclination is to help and support others to carry out an activity or transaction. They are attentive both to people and tasks and influence others through empathy and supportiveness. Once convinced of a course of action, they will encourage others, operate diligently and collaborate to achieve the goal. They seek supportive relationships that are appreciative and empathic towards one another.



## Typical Community Builders Will Tend to Be:

**Cooperative** - Flexible in approach, fits in well

**Outgoing** - Expresses view, uses a networking approach

**Patient** - Sympathetic, relationship-driven, supporting

**Spontaneous** - Free-flowing, high level approach, instinctive

**Trusting** - Receptive, believing, forgiving

## My Community Builder Style

### ◆ Product Wants

Safety and historical security are likely to be the most important aspects for Community Builders.

Fund managers that they know and trust.

### ◆ Wants from Mentor

To have their needs, questions and concerns listened to and addressed.

Reassurance after the sale that they have made the right decision.

### ◆ Decision Making Style

Quite emotional in their decision making, they are likely to ask the opinions of trusted friends or colleagues before deciding based on what 'feels right'.

### ◆ Fears

Investing in a product that turns out to be very volatile or unsafe.

Being taken advantage of by a Mentor.

## Working with Community Builders

### ◆ Relating To Them

Remember their need to fit in, build relationships, avoid conflict, be free from detail. Look for ways to minimize risks. Slow down the pace of communications. Use written policies, plans, procedures. Encourage their input. Invest time in building the relationship.

### ◆ To Challenge Them

Challenge them to clearly articulate goals and to commit to how they will realize their goals

### ◆ To Help Them Maximize Potential

Focus on developing a strong relationship with them. Support them by ensuring they are not overwhelmed with details.

### ◆ What Alienates Them

Being pushed to make a decision before they feel ready.

Being offered solutions that do not meet their need for security.

# Adapter

- **Compliant**
- **Respectful**
- **Courteous**

Adapters are unique in that they have the unusual ability to adapt to the needs of their environment, and display whatever behaviors are necessary for success. They are very versatile and will generally partner and team well with others. They can generally perform well many tasks relating to achieving their goals and managing their performance, and they operate most effectively when they have very clearly defined expectations and boundaries.



## Typical Adapters Will Tend to Easily Flex All Traits:

**Take Charge/ Cooperative-** Definite in approach, fits in well with others

**Reserved/Outgoing** – Analyzes and uses a networking approach

**Fast Paced/Patient** - Objective, relationship-driven, supporting

**Spontaneous/Planned** – Task Focused, high level approach

**Skeptical/Trusting** - Receptive, questioning, forgiving

## Working with Adapters

### ◆ Relating To Them

Create a relaxed environment. Do not mistake their lack of response for inattention. Use written policies and procedures. Present specifics – facts, figures, data. Look for ways to minimize the risks.

### ◆ To Challenge Them

Encourage them to articulate firm boundaries regarding their investment preferences.

### ◆ To Help Them Maximize Potential

Encourage them to set clear goals and priorities

### ◆ What Alienates Them

Being given the run-around or being offered products that are obviously not related to their needs.

## The Adapter Style

### ◆ Product Wants

Reliable products with a balance between security and results.

### ◆ Wants from Mentor

Professionalism and to-the-point approach.  
They prefer a balanced and serious approach.

### ◆ Decision Making Style

Rational and focused on the facts at hand. They are likely to be guided by their Mentor in areas they know little about but will do their homework to ensure they are making the right decision.

### ◆ Fears

Being given advice that leads them to commit to products out of line with their goals.

# Engager

- **Outgoing**
- **Expressive**
- **Talkative**

Engagers enjoy meeting new people, new situations, new environments and being promoters. They use their people skills to build relationships and interact with an ever-widening circle of contacts. Engagers enjoy using their verbal skills and will be very outgoing. They approach situations enthusiastically, especially when they are passionate about the outcomes. They enjoy new opportunities and starting (rather than finishing) new projects and goals.



## Typical Engagers Will Tend to Be:

**Take Charge/Cooperative** - Definite in approach, fits in well

**Outgoing** - Expresses view, uses a networking approach

**Fast-Paced** - Objective, results driven, ration

**Spontaneous** - Free-flowing, high level approach, instinctive

**Trusting** - Receptive, believing, forgiving

## Working with Engagers

### ◆ Relating To Them

Remember their need to engage, be publicly recognized and be free from details. Invest time in building the relationship. Use summaries, bullets, key points. Resist the temptation to prematurely edit their ideas. Expect/encourage their thinking out loud.

### ◆ To Challenge Them

Encourage them to focus on one goal at a time.

### ◆ To Help Them Maximize Potential

Allow them to express their goals and opinions and help them to gain investment confidence to pursue their financial objectives.

### ◆ What Alienates Them

Being forced to read detailed information or perform thorough research.

Being persuaded to lower their goals.

Products that do not live up to their mentor's claims.

## The Engager Style

### ◆ Product Wants

Excitement, innovation and above-average results that will help them reach their lifestyle goals.

### ◆ Wants from Mentor

They expect a friendly relationship to be established.  
Prefer all research and paperwork to be taken care of.  
Appreciate their goals and help structure their affairs to achieve them.

### ◆ Decision Making Style

May waver between emotional and rational decision-making.  
May make decisions before fully understanding risks and panic later.

### ◆ Fears

Loss of respect or embarrassment.  
Having to settle for a lifestyle less than their goal.

# Facilitator

- **Balanced**
- **Discerning**
- **Harmonious**

Facilitators combine the ability to guide people with feelings yet with the determination to reach goals and accomplish tasks. This blend of behavioral strengths makes them well suited for situations where setting the agenda and recognizing the needs of other people are required. Consistency, reliability and persistence are important. They flourish in an environment where there is plenty of stability, group decision-making is encouraged and where they are recognized for the contribution they make.



## Typical Facilitators Will Tend to Be:

**Take Charge/Cooperative** – Definite in approach, fits in well

**Reserved** - Analyzes, has high propensity to reflect, guarded

**Patient** - Sympathetic, relationship-driven, supporting

**Spontaneous/Planned** - Structured, task focused, analytical in approach

**Trusting** - Receptive, believing, forgiving

## The Facilitator Style

### ◆ **Product Wants**

Predictable and practical solutions that are based on past results and plenty of facts. Association with brands or names that they know and trust.

### ◆ **Wants from Mentor**

To have all the “what ifs” dealt with and accounted for. Assurance after the sale that they have made the right decision. Cooperation, teamwork, loyalty and trust.

### ◆ **Decision Making Style**

Reasonably emotional, although also quite goal-driven. They may make decisions based on what “feels right’.” Facilitator will research thoroughly first.

### ◆ **Fears**

Committing to a product and then discovering hidden “catches.” Losing control over their finances. Conflict.

## Working with Facilitators

### ◆ **Relating To Them**

Remember their need to retreat and avoid conflict. Allow them to have control, choices, options. Use written policies and procedures. Get to the point, minimize small talk. Present facts, minimize emotions.

### ◆ **To Challenge Them**

Encourage them to gradually delegate control of their finances to others.

### ◆ **To Help Them Maximize Potential**

Educate them in investment options and encourage them to plan their investment mix.

### ◆ **What Alienates Them**

Being rushed or forced into a decision. Lack of co-operation, punctuality or loyalty.

# Influencer

- Ring Leader
- Assertive
- Visionary

Influencers usually have a unique blend of confidence, initiative and people skills. They are typically able to see the larger vision and then use their superior communication skills to influence others towards accomplishing it. They will wholeheartedly invest time and effort into developing others and their personal performance towards goals, particularly strategies that they see significant potential in.



## Typical Influencers Will Tend to Be:

**Take Charge** - Definite in approach, visionary, outcome focus

**Outgoing** - Expresses view, uses a networking approach

**Fast Paced** - Objective, results driven, rational

**Spontaneous** - Free-flowing, high level approach, instinctive

**Skeptical** - Questioning, guarded, wary

## The Influencer Style

### ◆ Product Wants

Products that will achieve their goals as quickly as possible..

### ◆ Wants from Mentor

Direct communication with their issues addressed succinctly, highlighting the bottom line.

All relevant research summarized to enable them to choose based on the most relevant facts.

### ◆ Decision Making Style

Very confident and goal-driven, their decision-making will be quick and definite and is likely to favor whatever will achieve their goals most quickly.

### ◆ Fears

Investing in a poor-performing product that will hinder them from achieving their goals.

Having their time wasted with products that do not meet their objectives.

## Working with Influencers

### ◆ Relating To Them

Remember their need to be in control, engage with people, be recognized, initiate action, have freedom. Give direct answers, get to the bottom line quickly. Remember their need for fun/excitement. Use summaries, bullets and key points. Use graphics and verbal communication—don't swamp them with detail.

### ◆ To Challenge Them

Challenge their understanding of investment areas, and offer them motivational education in areas they take interest in.

### ◆ To Help Them Maximize Potential

Ensure they do not have excessive details to deal with and help them to commit to goals within their financial framework.

### ◆ What Alienates Them

Being given the “run around” or having their time wasted on issues that they feel are not relevant to them.

Being forced to analyze or research too much detailed information.



# Initiator

- Results-driven
- Logical
- Decisive

Initiators like to take bold, aggressive actions and create the rules. They will prefer to lead decision-making, setting the agenda for others to follow and monitoring the timely completion of tasks. They are goal-driven persons who like their expectations managed and not to get caught up in unnecessary details. Their decision-making will typically be fast paced and rational. They will not be afraid to take on challenging assignments or to accept a lot of risks to realize their ambition.



## Typical Initiators Will Tend to Be:

**Take Charge** - Definite in approach, visionary, outcome focus

**Reserved** - Analyzes, has high propensity to reflect, guarded

**Fast-Paced** - Objective, results driven, rational

**Spontaneous** - Free-flowing, high level approach, instinctive

**Skeptical** - Questioning, guarded, wary

## Working with Initiators

### ◆ Relating To Them

Remember their need to be in control, set the agenda, initiate action. Move quickly to the bottom line. Offer them options so they can decide. Speak/move at a quick pace. Use summaries, bullets and key points. Use graphic and verbal communication—don't swamp them with details.

### ◆ To Challenge Them

Encourage them to think through the steps required to realize their goals, to establish realistic expectations.

### ◆ To Help Them Maximize Potential

Support them with details and analysis so they can concentrate on setting goals and agendas.

### ◆ What Alienates Them

Being given the “run around” or having their time wasted on issues that they feel are not relevant to them.

Being forced to analyze or research too much detailed information.

## The Initiator Style

### ◆ Product Wants

Products that will achieve their goals as quickly as possible.

### ◆ Wants from Mentor

Direct phone communication with their issues addressed succinctly and highlighting the bottom line.

Summarize all relevant research to enable them to choose based on only the facts.

### ◆ Decision Making Style

Very confident and goal-driven, their decision-making will be quick and definite and is likely to favor whatever will achieve their goals most quickly.

### ◆ Fears

Investing in a poor-performing product that will hinder them from achieving their goals.

# Reflective Thinker

- **Considered**
- **Focused**
- **Stable**

Reflective Thinkers are analytical, thorough, and philosophical in their search for meaning, truth and purpose in all they do. They are particularly adept at drawing incisive conclusions from data and research. Their accuracy and precision is valuable in any group setting, and they bring objectivity to decision-making processes. Typically, they will prefer to follow guidelines in completing tasks and will expect cooperation to be given.



## Typical Reflective Thinkers Will Tend to Be:

**Cooperative** - Flexible in approach, fits in well

**Reserved** - Analyzes, has high propensity to reflect, guarded

**Fast Paced/Patient** -Objective, relationship-driven, supporting

**Planned** - Structured, task focused, analytical in approach

**Trusting** - Receptive, believing, forgiving

## The Reflective Thinker Style

### ◆ Product Wants

Products that are well-researched with a reasonable level of security.  
Predictable and practical solutions that are based on thorough research.

### ◆ Wants from Mentor

Detailed information to back up your advice, with plenty of time to absorb it and research.  
Patience in answering their questions.

### ◆ Decision Making Style

Fairly rational decision-making, very fact-based.  
They will research thoroughly, be skeptical, take considerable time and probably consult a variety of sources in their fact-finding.

### ◆ Fears

Committing to a product and then discovering new information that would have altered their decision.

## Working with Reflective Thinkers

### ◆ Relating To Them

Remember their need to fit in, retreat and think, be accurate and detailed. Create a relaxed environment. Encourage their input. Present the facts, minimize emotions. Look for ways to minimize risks. Remember their need to analyze. They need to be convinced of our commitment to rules, standards and procedures.

### ◆ To Challenge Them

Introduce Investment concepts to them and give them time to analyze them thoroughly.

### ◆ To Help Them Maximize Potential

Mentor them to become more proficient and confident in areas of investment they are interested in.

### ◆ What Alienates Them

Being rushed into a decision without the time to fully research their options or have their questions answered.

# Relationship Builder

- Advocate
- Dependable
- Loyal

Relationship Builders will be comfortable and operate at their best when given the opportunity to work with and serve others. They are friendly, kind and empathetic to others they interact with and gain fulfillment by helping others to achieve their goals. Their preference is to live in a stable environment and make decisions based on history and security.



## Typical Relationship Builders Will Tend to Be:

**Cooperative** - Flexible in approach, fits in well

**Reserved/Outgoing** - Expresses view, uses a networking approach

**Patient** - Sympathetic, relationship-driven, supporting

**Spontaneous/Planned** - Free-flowing, analytical approach, instinctive

**Trusting** - Receptive, believing, forgiving

## The Relationship Builder Style

### ◆ Product Wants

Steady products that have guarantees or at least are very predictable.  
Products that they understand well, are comfortable with, and can see tangibly.

### ◆ Wants from Mentor

Steadiness and consistency in approach, patience in addressing their concerns, and education in investment products.  
Clearly communicate about risk and product expectations so there are no surprises.

### ◆ Decision Making Style

Will be based on what they feel to be the safest investment.  
They are likely only to commit to products that they know, understand and feel comfortable with.

### ◆ Fears

Committing to a product on the recommendation of a mentor only to find it does not work.  
Committing to a product that has more risk than they knew about or anticipated.

## Working with Relationship Builders

### ◆ Relating To Them

Remember their needs to fit in, avoid conflict. Create a relaxed environment. Encourage their input and be an active listener. Slow down the pace and soften the tone of communication. Share your emotions along with information.

### ◆ To Challenge Them

Encourage them to share their ideas, and work with them to realize them.

### ◆ To Help Them Maximize Potential

Support, guide and mentor them to build their financial decision-making confidence.

### ◆ What Alienates Them

Being asked for a decision before they have had time to process their thoughts and feelings about an investment.  
Mentors who are not patient in addressing their questions.

# Strategist

- Evolutionary
- Visionary
- Structured

Strategists excel by blending their strong drive to reach key goals with sound knowledge, high quality processes and quality control standards. As a result, they are equipped to be strategic players in situations where achieving results is a priority. They have an ability to achieve ambitious goals and concentrate on matter-of-fact, practical issues. They also have a rational, impartial approach that enhances their ability to make difficult decisions.



## Typical Strategists Will Tend to Be:

**Take Charge** - Definite in approach, visionary, outcome focus

**Reserved** - Analyzes, has high propensity to reflect, guarded

**Fast-Paced** - Objective, results driven, rational

**Planned** - Structured, task focused, analytical in approach

**Skeptical** - Questioning, guarded, wary

## The Strategist Style

### Product Wants

Products that will meet their goals quickly while not compromising on quality.  
Products that have robust data available.

### Wants from Mentor

Meticulous research to be conducted and summarized with the best options offered to them.

Direct communication, with their issues addressed succinctly.

### Decision Making Style

While very confident and goal-driven, they will not make a decision until they have thoroughly researched all aspects of an investment.

### Fears

Investing in a poor-performing product that will hinder them from achieving their goals.

## Working with Strategists

### Relating To Them

Remember their need to be in control, retreat and think. Move, speak and act quickly, be accurate with details. Give direct answers, get to the point. Provide plenty of detail so they can analyze it for themselves. Give them choices so they can make the final decision. Honor their need for structure, schedules, rules.

### To Challenge Them

Encourage them to delegate responsibility over time.

### To Help Them Maximize Potential

Educate them in a number of investment areas and develop strategies that involve a mixture of asset classes and transactions.

### What Alienates Them

Being given recommendations based on the mentor's recommended list without thorough research to back it up.

Being persuaded to commit to products that do not meet their criteria.

# Stylish Thinker

- Sharp
- Cutting-edge
- Demanding

Those with the Stylish Thinker DNA Natural Behavior Style enjoy interacting with others and getting the most out of any situation. In making decisions they require precision, technical information and the latest trends that will fully inform them that they are getting the best solution or outcome available. They also like to be able to test ideas in discussions with other people. They will usually be strong in following through on their goals but may need some help in developing their personal vision.



## Typical Stylish Thinkers Will Tend to Be:

**Cooperative** - Flexible in approach, fits in well

**Outgoing** - Expresses view, uses a networking approach

**Fast-Paced** - Objective, results driven, rational

**Planned** - Structured, task focused, analytical in approach

**Skeptical** - Questioning, guarded, wary

## The Stylish Thinker Style

### ◆ Product Wants

Products with solid history that will help them realize their lifestyle goals as quickly as possible without reducing quality.

### ◆ Wants from Mentor

They usually expect imaginative and cutting-edge, well-researched advice.

They are very optimistic and need their optimism to be validated before being contradicted.

### ◆ Decision Making Style

Their decision-making is based on a combination of their own research and on the opinions of those they respect.

### ◆ Fears

Finding out information about a product after committing to it that may have changed their decision.

## Working with Stylish Thinkers

### ◆ Relating To Them

Remember their need to engage and be publicly recognized, fit in, be accurate with details. Encourage their input and be an active listener. Remember their need for fun/excitement. Invest time in building their relationship. Present specific facts, figures, plans. Anticipate their immediate responses and quick fixes.

### ◆ To Challenge Them

Work with them to create an exciting financial vision for their life.

### ◆ To Help Them Maximize Potential

Be sure to present pitfalls when they show extreme enthusiasm, to give them a balanced viewpoint.

### ◆ What Alienates Them

Having their optimism and enthusiasm dampened or let down quickly.

Having their ideas contradicted without a clear, logical argument based on facts.