

<i>Marketing Method</i>	<i>Contact-to-Appointment</i>
Mailing	100:1
Cold call	20:1
Influencer networking*	10:1
Seminar follow-up	5:1
Referrals	2:1
Personal contacts (Rolodex)	2:1
Networking**	2:1

\* Number of influencer meetings needed to get one referral.

\*\* Referral from a network member.

<i>(LOS in Years)</i>	<i>Minimum Investable Assets Guidelines</i>
0-2*	\$100,000
3-5	\$250,000
6+†	\$250,000

\* Potential for \$250,000.

† “If over \$1 million in production, prospect minimum should increase.

*(front)*

- Please send me XYZ Financial's most recent economic update research report.
- Please send me XYZ Financial's research on the following companies:
- Please send me XYZ Financial's report on fixed income opportunities.
- Please send me XYZ Financial's report on tax law changes and how they affect investments.
- I would like to discuss a cost-free financial plan that XYZ Financial offers.
- I would be interested in a complimentary follow-up appointment to review my current investment situation.

*(back)*

Name \_\_\_\_\_

Work Address \_\_\_\_\_

Work Phone Number \_\_\_\_\_

Home Address \_\_\_\_\_

Home Phone Number \_\_\_\_\_

E-mail Address \_\_\_\_\_

# Appendix

## RESOURCES

Here are some of the better sources of names for your market action plans. These are grouped into categories so you can more readily see how each source is applicable to your needs, and the market action plans in which they can be useful are also listed. You may want to take some time to look through the entire list of sources and note the ones you want to explore further.

### GENERAL AND MIXED SOURCES

These sources provide both commercial and consumer information or both general and specialized information.

#### Bank Directors

A list of directors can often be found on specific bank websites.

#### Corporate, Association, and Country Club Directory

[www.elusiveteads.com](http://www.elusiveteads.com)

This is a phone directory for corporate employees, association members, country club members, university alumni, and other such groups. It often includes direct dial numbers and e-mail addresses.

#### Free Erisa

[www.freeerisa.com](http://www.freeerisa.com)

This website provides information from 5500 filings and includes the value of the assets in the plan, annual contributions, the office manager and his or her phone number, and the names of partners. You can then visit the websites of the individual practices for the names of the individual plan members and their phone numbers.

#### Go Leads

[www.goleads.com](http://www.goleads.com)

This fee-based site offers low-cost leads for businesses and consumers: names, addresses, phone numbers, number of employees, value of house, and other such information. Filters let you customize a list.

#### InfoUSA

[www.infousa.com](http://www.infousa.com)

This fee-based site is an excellent source of names of business owners, names of executives, number of employees, revenues, lines of business, and other such information, and of consumers by name, address, and so on. The site has comprehensive filters. You can search by location, industry code, revenues, employees, key individuals, address, phone number, or other field. Some databases are available in public libraries.

#### Internet White Pages

1. [www.whitepages.com](http://www.whitepages.com)

2. [www.switchboard.com](http://www.switchboard.com)

3. [www.superpages.com](http://www.superpages.com)

You can use these sources to find residential addresses and phone numbers for names. You can also get reverse information: Looking up a phone number will retrieve the person's name and address, and looking up the address will retrieve the person's name and phone number.

### **Internet Yellow Pages**

1. [www.switchboard.com](http://www.switchboard.com)

2. [www.yellowpages.com](http://www.yellowpages.com)

3. [www.superpages.com](http://www.superpages.com)

Use these sources to find businesses in your area by category, including business names, addresses, and phone numbers. In some cases, the business owner's name is included. The following categories are available:

- ◆ Attorneys
- ◆ Bankers
- ◆ Churches and synagogues
- ◆ CPAs
- ◆ Home builders
- ◆ Medical professionals
- ◆ Mortgage brokers
- ◆ Nonprofit organizations
- ◆ Real estate professionals, Realtors
- ◆ Retirement or retiree communities and associations
- ◆ YMCAs or YWCAs

### **Larkspur Data**

[www.larkspurdata.com](http://www.larkspurdata.com)

This site offers databases (for a fee) on high-net-worth individuals and company retirement plans. You can search by all the usual fields you would expect, but also by many unique fields, such as yacht ownership or purchase.

### **Local Newspapers**

<http://www.naa.org>

Choose your newspaper at this site, which is a listing (searchable by state) of media sources and news sources.

Use this source to find:

- ◆ Businessmen and women who have been recognized or promoted or who have relocated
- ◆ Networking clubs and speaking opportunities

- ♦ News on local companies, individuals, and events
- ♦ Real estate transactions and listings, and advertisements from brokers and agents

### **Marquis Who's Who**

[www.marquiswhoswho.com](http://www.marquiswhoswho.com)

This source contains a list of influential men and women, including extensive biographies and home and work addresses. Entries are listed both alphabetically and by geography. Separate databases include only women, attorneys, medical professionals, or business professionals. This source is also available in public libraries. Use it to find:

- ♦ Executives
- ♦ Successful attorneys
- ♦ Successful medical professionals

### **Pension Planet**

[www.pensionplanet.com](http://www.pensionplanet.com)

This source maintains the largest and most timely database of qualified retirement plans and qualified health and welfare plans available anywhere. It is provided by individuals who are experienced in the design, administration, and investment management of qualified retirement plans.

### **Search Engines**

- ♦ <http://news.google.com>
- ♦ [www.google.com](http://www.google.com)
- ♦ [www.metacrawler.com](http://www.metacrawler.com)
- ♦ [www.yahoo.com](http://www.yahoo.com)

Use these sources to search for groups such as:

- ♦ Associations and association news
- ♦ Attorneys
- ♦ Churches and synagogues
- ♦ Company news (promotions, layoffs, and other such information)
- ♦ CPAs
- ♦ Hispanic newspapers
- ♦ Home builders
- ♦ Local newspapers
- ♦ Medical professionals and professors
- ♦ Names of and news on executives and business owners
- ♦ Realtors
- ♦ Retirees

- ◆ Teaching hospitals and hospital staff
- ◆ YMCAs/YWCAs

## **Search Systems: Public Records Online**

[www.searchsystems.net](http://www.searchsystems.net)

This fee-based site offers business information, corporate filings, property records, deeds, mortgages, criminal and civil court filings, births, deaths, marriages, unclaimed property, professional licenses, money in motion, and other such information. It has all the public records you could ask for, but you will need to dig and be a little creative.

## ***Sourcebook to Public Record Information***

This book explains how to find the information you want from municipal, county, state, and federal records. It is available in many libraries.

## **State Licensure Boards**

Use a search engine to search for the terms “[your state] state licensure board” (example: Nebraska state licensure board). This will return a list of websites for various professions that are licensed in your state. Many sites list individual license holders, retired status, continuing education credit status, and other such information.

Use this source to find:

- ◆ Attorneys
- ◆ CPAs
- ◆ Medical professionals
- ◆ Retirees

## **U.S. Census Bureau**

[www.census.gov](http://www.census.gov)

Use this source to find census data, including neighborhood ethnic makeup, income, and ages; business types and revenue estimates; and much more.

## **BUSINESSES, COMPANIES, INDUSTRIES, AND EXECUTIVES**

### **American Society of Appraisers**

[www.appraisers.org](http://www.appraisers.org)

This site provides business valuation reports.

### **BenefitsLink**

<http://benefitslink.com/index.html>

Use this site to find:

- ◆ Information and articles on retirement and benefit plans
- ◆ Information on specific plans

### **Business Sales Leads**

1. [www.salesgenie.com/Business\\_Leads](http://www.salesgenie.com/Business_Leads)
2. [www.eloqua.com/Leads](http://www.eloqua.com/Leads)
3. [www.onesource.com](http://www.onesource.com)
4. [www.goleads.com](http://www.goleads.com)
5. [Zapdata.com](http://Zapdata.com)
6. [salesleadsplus.com](http://salesleadsplus.com)
7. [www.database101.com](http://www.database101.com)
8. [www.businesssalesleads.net](http://www.businesssalesleads.net)

These fee-based sites provide low-cost leads of businesses and include contact name, address, number of employees, and other such information. Filters let you customize a list.

## **Business Schools**

Use a search engine, and use the following terms: “[your state] association business schools officials” (example: Ohio association business schools officials). Business schools host conferences for professional development where it would be appropriate for you to speak. These sites also usually have a list of officers and directors.

## **Central Contractor Registration**

[www.ccr.gov](http://www.ccr.gov)

Businesses have to register with this site before becoming government vendors. Government vendors have guaranteed income and make a good product. You can customize your search to match your niche market: minority-owned, nonprofit, and veteran-owned businesses, for example. Use this source to find successful businesses in your area, including contact information.

## **Chambers of Commerce**

[www.2chambers.com](http://www.2chambers.com)

Most of the smaller towns have chamber of commerce websites. These sites typically include a business directory that includes business name, address, and phone number. Sites also usually have a link to the local town newspaper. Use this source to find your local chamber of commerce, which can provide:

- ◆ Lists of member businesses in your area, which often include owners' names
- ◆ Nonprofit organizations

## **Company Financial and Executive Records of Public Companies**

[www.freedgar.com](http://www.freedgar.com)

This site provides access to insider filings, company annual reports, and other financial filings.

[www.investor.reuters.com](http://www.investor.reuters.com)

This site gives the names of senior executives and directors and copies of the company's annual report (online as well as hard copy).

[www.prars.com](http://www.prars.com)

This site provides free company annual reports that are public records (hard copy), as long as the report is in the site's inventory.

[www.sec.gov](http://www.sec.gov)

Provides access to insider filings.

### **Corporate Events**

[www.bloomberg.com](http://www.bloomberg.com)

Bloomberg offers many news services that focus on corporate executives, companies, and industries, for a fee. You can find information on executives, such as news on insider buying and selling, information on filers, filing dates, shares filed, price, and the broker used to sell securities. You must subscribe in order to use Bloomberg's more specialized tools.

### **Dun & Bradstreet**

[www.dnb.com](http://www.dnb.com)

This company provides online and hard-copy directories of businesses, for a fee. Available information includes names of business owners and executives, credit reports, business history, financial analysis, and other such information. Both private and public companies are covered. Information is available in many formats, such as in-depth company information and mailing lists filtered by many possible filters. You can search for leads by revenues, number of employees, name, and other categories. Some databases are available in public libraries.

### **Gale**

[www.gale.cengage.com](http://www.gale.cengage.com)

This company has a number of fee-based databases covering trade groups and associations (areas covered, contact information, convention information), public and private companies (lines of business, revenues, number of employees, business history, articles about them, competitor information, industry analyses), articles (general interest, academic, specialized and technical, newspaper articles), and health, among others. Many of these databases are available in public libraries.

### **Google News**

<http://news.google.com>

You can search for terms relating to corporate executives changing companies, executive compensation stories, and mergers and acquisitions.

### **Hoover's**

[www.hoovers.com](http://www.hoovers.com)

For a fee, this site offers comprehensive information on companies and executives, including credit history, lines of business, lists of executives, former positions, and other such information. It is also available in many public libraries.

### **Layoff Reports**

Google News at <http://news.google.com>. Search using the keyword "layoffs" or "downsizing."

### **Local Business Journals**

1. <http://newslink.org/biznews.html>
2. [www.bizjournals.com](http://www.bizjournals.com)

At these sites, you will find a list of business journals published in your area. These journals are a good source of information on local businesses and executives. Every week the local business journal in most markets will have stories on individuals and companies that often focus on changes of circumstances. Become a diligent reader of your local business journal and read it to find prospects. Use this source to find:

- ◆ Businesses being recognized
- ◆ Executive relocations and promotions
- ◆ Information on specific businesses
- ◆ Lists of the top real estate brokers or contractors
- ◆ New businesses in the area
- ◆ Successful businesses and their owners

### **National Human Resources Association**

[www.humanresources.org](http://www.humanresources.org)

Provides information from the Association of Human Resources Professionals.

### **Society for Human Resource Management**

[www.shrm.org](http://www.shrm.org)

See also the sites for state chapters, where you can give financial seminars and network.

### **Standard Industrial Classification (SIC) Codes**

[www.ehso.com/SICcodes.htm](http://www.ehso.com/SICcodes.htm)

This site provides a full list of SIC codes.

### **State Websites of Business Registration Information**

[www.state.co.us](http://www.state.co.us)

If you enter your two-letter state abbreviation instead of "co" in this URL, it will take you to the state's official website. Most of these websites will display public records for every business registered in the state. Each state website puts this information in a different place. Look for links such as "Secretary of State," "Corporate Records," or "Bureau of Corporations." You can generally search by business name, SIC code, location, and other such fields. Public records usually list business owners' names, contact information, tax status, and other such information.

### **Trade Publications**

[www.tradepub.com](http://www.tradepub.com)

This site lists many trade publications that you can subscribe to free of charge.

Use this source to find information that will help you to become an expert on an industry.

### **Venture Capitalists**

Venture Capital Resource Library lists more than 1,400 venture capital firms.

## ATTORNEYS AND CPAS

### Attorneys

1. American Academy of Estate-Planning Attorneys at [www.aaepa.com](http://www.aaepa.com)
2. Divorce Headquarters at [www.divorcehq.com](http://www.divorcehq.com)
3. DivorceNet at [www.divorcenet.com/money](http://www.divorcenet.com/money)
4. FindLaw at <http://lawyers.findlaw.com>
5. [Lawyers.com](http://www.lawyers.com) at [www.lawyers.com](http://www.lawyers.com)
6. National Network of Estate Planning Attorneys at [www.nnepa.com/public](http://www.nnepa.com/public)

Law offices specializing in land and house sales, estate planning, real estate, and divorce are great places to find influencers or clients. Attorneys are also a good source of information. Use these sources to find:

- ◆ Attorneys
- ◆ Attorney conventions and meetings
- ◆ Divorce attorneys
- ◆ Estate planning attorneys

### CPAs

1. [www.aicpa.org/yellow/ypascpa.htm](http://www.aicpa.org/yellow/ypascpa.htm); click on the name of the state you're interested in.
2. [www.aicpa.org/yellow/ypsboa.htm](http://www.aicpa.org/yellow/ypsboa.htm); then choose your state.

CPAs are good sources of information on mergers and acquisitions, divorces, company relocations, and other such events. Use the above sources to find:

- ◆ CPAs
- ◆ CPA associations
- ◆ CPA conventions and meetings
- ◆ State licensure boards

Use a search engine to search for the terms “[your state] state licensure board” (example: Nebraska state licensure board). This will return a list of websites for various professions that are licensed in your state. Many sites list individual license holders, retired status, continuing education credit status, and other such information. Use this source to find attorneys and CPAs.

## MORTGAGES, REALTORS, AND HOME BUILDERS

1. [www.monster.com](http://www.monster.com)
2. Local classified ads

Look for top real estate agents by searching classified ads. Look for a Realtor who is looking for a

first or even second assistant. If he needs an assistant, then he is more than likely successful and is looking for ways to concentrate his business. Many real estate companies allow brokers to have an assistant only after they hit a certain sales volume. A great online site for looking for these is [Monster.com](http://Monster.com); you can search for classifieds just for real estate assistants.

### **County Clerk and Recorder's Office**

Mortgage records are public. You can track specific mortgage information, such as addresses of properties, lien information, and property owners' names, through the county clerk and recorder's office. This information is available to anyone.

### **Home Builders**

[www.home-builders.com](http://www.home-builders.com)

You can find builders in any state through this website.

### **National Association of Home Builders**

[www.nahb.org](http://www.nahb.org)

This site has links to builders' conventions and conferences. Also look for "NAHB Community," which has a link for "Find Your Local Builders' Association."

### **National Association of Realtors**

[www.realtor.org](http://www.realtor.org)

Look in the directories for names and contact information for Realtors. For the Realtor magazine, look for a link to *Realtor Magazine*, which is published by this association. It has a listing of the nation's top Realtors and Realtor teams by sales volume.

### **Real Estate Brokers**

1. National Association of Real Estate Brokers at [www.nareb.com](http://www.nareb.com); you can search for broker listings by state for any state and then click on "Find a Realtor."
2. Council of Real Estate Broker Managers at [www.crb.com](http://www.crb.com); click on "Find a CRB" (commercial real estate broker) and choose "accept," then choose a state to get an alphabetical listing of commercial brokers.

### **Real Estate Guides**

Check real estate guides in your Sunday paper and in free literature distributions. Some search engine phrase or keyword suggestions are (try these both with and without the quotation marks):

- ◆ "Top commercial real estate brokers"
- ◆ "Top home builders"
- ◆ "Top mortgage brokers"
- ◆ "Top Realtors"

### **CHARTERED INSTITUTE OF MANAGEMENT ACCOUNTANTS (CIMA)**

[www.cimaglobal.com](http://www.cimaglobal.com)

This is a membership organization that offers an internationally recognized professional qualification in

management accountancy.

## **INVESTMENT MANAGEMENT CONSULTANTS ASSOCIATION (IMCA)**

[www.imca.org](http://www.imca.org)

This is a professional organization devoted to financial management and cost accounting.

## **LARGE COLLEGES, UNIVERSITIES, PRIVATE COLLEGES, SMALL COMMUNITY COLLEGES, AND SMALL PRIVATE COLLEGES**

Simply call the college and ask for the CFO or manager of endowments. If you have access to Bloomberg (see that listing previously), you can find this information there.

## **RETIREMENT COMMUNITIES**

[www.retirementhomes.com](http://www.retirementhomes.com)

This site gives you the ability to pick any state and includes pictures, phone numbers, descriptions, and links to these communities' websites as well as care levels and home pricing. This allows you to prequalify prospects' net worth before calling or visiting.

## **National Retirement Living Information Center**

[www.retirementliving.com](http://www.retirementliving.com)

This site has a directory listing under "Retirement Communities and Senior Housing." You can search by state. It arranges these listings by level of care offered, from independent living to nursing homes; you can use it to build your list of properties where residents still handle their own financial decisions (independent living or assisted living facilities). This site also has a listing of local papers or newsletters from senior housing complexes, which lists decision makers and boards and committees within the complexes. The site also has tax information for seniors by state.

## **Senioresidences.com**

[www.senioresidences.com](http://www.senioresidences.com)

This site provides a list of retirement communities.

## **The Senior Times**

[www.theseniortimes.com](http://www.theseniortimes.com)

This site offers lots of information that is of interest to retirees, with which you may be able to develop leads or sharpen your market action plan.

## **Veterans**

1. American Legion at [www.legion.org](http://www.legion.org); you can search for Legion posts in any location and find addresses and contact information.
2. Veterans of Foreign Wars at [www.vfw.org](http://www.vfw.org); find contact information for the locations you want to focus on.
3. FindLaw at <http://lawyers.findlaw.com>; you can find attorneys who work with veterans by searching for legal issues of "veterans" or "military law" and limiting the search to your city.

## **Volunteers of America (VOA)**

One of the best groups to join is Volunteers of America. This group is very large nationally. Many high-net-worth individuals are on the VOA Guild.

## **NETWORKING**

### [www.bni.com](http://www.bni.com)

Although your business networking group will be unique to your needs, you may want to take a look at the frequently asked questions on the BNI website to gain a basic idea of how its meetings operate.

### [www.konnects.com](http://www.konnects.com)

This is a networking group; its website also provides networking tips.

## **LEADS Groups**

Contact your local chamber of commerce for information.

## **LeTip**

### [www.letip.com](http://www.letip.com)

This is a professional organization with the primary purpose of giving and receiving qualified business tips or leads. Each business category is represented by one member, and conflicts of interest are not allowed. No outside speakers are allowed at LeTip meetings, and you need to be a member of this networking group.

## **National Professional Associations**

Many special interests have national professional associations that have e-networking or local networking options. Use a search engine to see if your outside interest has a national professional association.

## **Networking Books**

1. Allen, Scott, and David Teten. *The Virtual Handshake: Opening Doors and Closing Deals Online*. New York: AMACOM Books, 1995.
2. Stanley, Thomas J. *Networking with the Affluent and Their Advisors*. Chicago: Irwin Professional Publishing, 1993.

## **Networking for Professionals**

### [www.networkingforprofessionals.com](http://www.networkingforprofessionals.com)

This works like a networking “matchmaking” service. You join, you search for professionals you want to speak with, then you contact them and meet.

## **Online Business Networking Articles and Resources**

### <http://entrepreneurs.about.com/od/onlinenetworking>

This site offers excellent articles about networking, including links and other resources.

## **Ryze Business Networking**

### [www.ryze.com](http://www.ryze.com)

This is a networking tool used in the entire United States.

## **State Offices of Economic Development and International Trade**

[www.state.co.us](http://www.state.co.us)

Enter your two-letter state abbreviation instead of “co” in this URL, and it will take you to the state’s official website. Look for links to the state office of economic development. Websites for offices of economic development offer connections to Internet business resources, guides to small businesses, and offices for minority businesses in the state.

## **CERTIFICATIONS**

### **Certified Divorce Specialist, Financial Divorce Association**

[www.fdadivorce.com](http://www.fdadivorce.com)

You can take classes (four days) to become certified, or you can study at home. This association also has newsletters and member listings by state.

### **Chartered Institute of Management Accountants (CIMA)**

[www.cimaglobal.com](http://www.cimaglobal.com)

This is a membership organization that offers an internationally recognized professional qualification in management accountancy.

### **Divorce Financial Planner, a Division of Certified Financial Planner**

1. [www.cfp.net](http://www.cfp.net)
2. [www.divorceandfinance.com](http://www.divorceandfinance.com)

Anyone who is registered with the federal Certified Financial Planner Board of Standards, Inc., can be part of the Association of Divorce Financial Planners. This is a great networking opportunity for client referrals, resource listings, and membership events.

## **PHYSICIANS**

### **American Medical Association**

[www.ama-assn.org](http://www.ama-assn.org)

You can search by state, city, or zip code for doctors by specialty. The site gives name, biography, education, specialty, and phone number.

### **University Medical School Websites**

On some sites, you can search by faculty, alumni, and associations, and you can also access faculty research papers and other such information. In most cases, however, you must go to the library in person if you are not an affiliate of the medical school. Also, you can call the university medical library and ask it where to access research reports. Use this source to find names of affluent medical professionals.

## **SALES PROFESSIONALS**

[www.salesprofessionalsusa.com](http://www.salesprofessionalsusa.com)

Here are some search engine phrase or keyword suggestions:

- ◆ Supplier awards (then the name or abbreviation of your state)
- ◆ “Manufacturers representatives” (try this both with and without the quotation marks)
- ◆ “Business brokers” (try this both with and without the quotation marks)
- ◆ “Licensed sales professionals” (try this both with and without the quotation marks)

## AFFLUENT INDIVIDUALS

[www.mergernetwork.com](http://www.mergernetwork.com)

Business owners who are in the process of selling their businesses have huge capital potential. You can search by state, city, region, or even internationally. Lists provide the business owner's contact information and sale price. The basic membership is free of charge.

## Cole Directory

[www.coleinformation.com](http://www.coleinformation.com)

This is a cross-reference and reverse directory for residence names and phone numbers. It includes recent home sales, homeowner's insurance status, and related information. The price varies depending on the type of information you are requesting. This directory is also available in many public libraries.

## CIS Marketing

[www.cismarketing.com](http://www.cismarketing.com)

This fee-based site offers leads specifically tailored to the financial industries.

## House Values and New Home Buyers

1. <http://newslink.org/biznews.html>

2. [www.bizjournals.com](http://www.bizjournals.com)

First, find the website for your local business journal using these websites. Then go to the individual site for each journal in your area. Many have links such as “Sales Leads” or “New Home Buyers.”

## Local Land and House Sales

Identify individuals with large blocks of land for sale in your community either through the Multiple Listing Service (MLS) directory or through contact with your local Realtors. Often these individuals are facing very-low-cost basis issues and have a need for professional advice and planning, not to mention someone to invest the proceeds of the land sale.

Your county tax assessor's office can provide a listing of all new deeds to homes or land. Give the parameters of what you are looking for (deeds in the last three months, over \$400,000, for example), and it can e-mail or send you a list.

## Polk City Directories

[www.citydirectory.com](http://www.citydirectory.com)

These are cross-reference and reverse directories, one for each city or for a larger area. You can search by name of individual, phone number, address, household income, or other such fields. These directories are also available in many public libraries.

## **Professors and Executive MBA Students**

You can contact professors or admissions people of executive MBA programs, or offer to teach a quick seminar during a class. The average salary for an executive attending an executive MBA program is \$93,000, but it can go up to \$250,000. The professors are professionals themselves and are usually high-net-worth individuals because schools want successful people to teach their methods.

### **U.S. Search**

[www.ussearch.com](http://www.ussearch.com)

This fee-based site offers basic information (full name, address, and phone number) plus former addresses, basic financial and tax status, age, spouse's name, background check information, value of house, and other such information.