



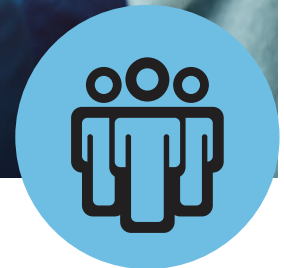
**dynamicDIRECTIONS<sup>®</sup>**  
Building a Better Life and Practice for Financial Advisors

# LEADERSHIP WORKBOOK



LEADERSHIP RESOURCES  
TO MAKE YOU BETTER.





# How do you lead your team?

When you became a financial advisor, you may not have realized you were signing up to be a business owner as well. Now you're running a small business, and you have team members who are depending on you and looking to you for leadership and inspiration.

How do you go about leading your team? How do you communicate your vision and get everyone on the same page, working toward the same goal? You don't want to reach the pinnacle of a huge success and look behind you to see your team way back in the distance because they didn't understand what you wanted them to do.

You want to be working together as one unit, and that starts with you.

D2 has put together this Leadership Playbook to give you some resources on how to lead. You'll find various leadership models that fit various situations. As you gain more experience, you'll instinctively know which model to use when.

We have listed these models and principles below, divided into five areas: positioning, communication, time and energy, interpersonal skills and problem-solving techniques. Each principle is followed by a brief description of what it means, along with links to any supporting materials that further develop the principle and help you learn to implement it. We'll start with an overview of a few assessments that will help develop your leadership:

## ASSESSMENTS

### EQ-I

Emotional Competence has to do with your ability to understand your emotions, express them, and more importantly be able to achieve ideal performance while being pushed and pressed to emotional extremes. Emotional Competence is measured by your Emotional Intelligence, or EQ (emotional quotient). There are five main competencies of Emotional Intelligence, including self-perception, self-expression, interpersonal, stress management, and decision making. Mastering and improving these competencies can improve human decision making and help people achieve higher levels of performance. When it comes to leading others, strong Emotional Competence is critical. Helping others improve their Emotional Competence can improve their performance, while in turn strengthening the overall team.

#### [Emotional Quotient Inventory Assessment](#)

### Kolbe A Index

The Kolbe Index is unique. It does not measure intelligence, personality or social style. It measures the instinctive ways you take action when you strive. Your result will describe your natural strengths – your modus operandi (MO), and how you can use those instincts to be the most productive, stress-free version of yourself. It gives you greater understanding of your own human nature and allows you to begin the process of maximizing your potential — both personally and professionally. Once you know how you make your best decisions, you can avoid patterns of past mistakes. These insights will also help you create and maintain a less stressful work environment with employees who are more satisfied and more productive in their positions.

#### [Kolbe A Index](#)

### 360-Degree Feedback

The 360-Degree Leader Evaluation allows all members of a team to give honest, constructive feedback about their leader. Each member on the team fills out an evaluation form and returns it to a coach, who delivers the feedback anonymously to the leader.

#### [360-Leader Evaluation Form](#)

### Leadership Profiles

These forms ask questions to help you assess where you are as a leader in several areas, and how you can improve.

#### [Leadership Profile](#)

#### [Thinking Skills Profile](#)

#### [Values Profile](#)

#### [Vision/Mission Profile](#)



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## 1. POSITIONING

### Beliefs, Behavior, Results

To get the results you want, you must first change your beliefs. Change in your behavior will follow, and then results will come.

[Beliefs, Behavior, Results](#)  
[Rethink, Reframe, Refocus](#)  
[Beliefs Matter](#)  
[Alignment Triangle](#)

### Lead From the Front

Don't ask your team to do things you wouldn't do on your own. If you ask them to do something, be willing to do it as well. If you are doing a group activity review each week, for example, and all of your advisors are reporting their numbers, you should report your numbers as well.

### Decision-Making (Consensus)

As a leadership team, make decisions by consensus, not just majority rule. If you're not all in agreement, consider tabling the idea instead of going forward. If you are all in agreement except for one person who is 70 percent of the way there, consider saying, "Okay, if you're at least 70 percent of the way there, it's a go, but once you leave the room, you have to be 100 percent behind it. You can't say, 'Oh, I'm 70 percent of the way there,' and then torpedo us outside the leadership room."

### Emotional Competence

Managing Self  
Empathy for Others

*[See EQ-I info in assessment section above]*

### Strategic Thinking

Strategic thinking involves planning your short and long-term goals for success. Here are a few tools to help you with your business planning:

[Dynamic Game Plan](#)  
[Strategic Planning Questionnaire](#)  
[Business Planning Brainstorming](#)  
[BOB Scrub Opportunity List](#)

### Developing Vision

Clarity in vision comes when you articulate what you want in writing and images. You cannot get to where you want to go without vision and motivation:

[Vision Board](#)  
[Your Why](#)

### Intentional Congruence

Everything you do should connect with everything else you do in order to get maximum benefit from the limited resources you have. Everyone has a limited amount of time and energy in which to invest ourselves and accomplish our goals. How you leverage those resources will determine your success and the return you get.

[Intentional Congruence White Paper](#)  
[Intentional Congruence Worksheet](#)

### Positioning

As a leader, you should be carefully positioning your services for maximum effectiveness. What do others think about you and your business?

[More info on positioning](#)

## 2. COMMUNICATION

### Feedback – Sandwich Technique

If you want to give feedback where you need a team member to perform better, give positive reinforcement up front, give the feedback in the middle and then give a positive statement on the back end. Sandwich the feedback between two compliments so the team member still feels valued.

[More Resources on Giving Feedback](#)

### Communicating Vision

*[Need something here, unless we don't need this as a separate category – we have Developing Vision and we have Communication]*

### Communication

What do you want your team to think, feel and do? When you're trying to get some key messages across to the team, whether through a presentation or one-on-one meetings, what do you want them to think, what do you want them to feel and what do you want them to do? What's the resulting action of that key message that you're trying to get across? This is a model to say, "As a result of this talk, what do I want to happen?", and making sure that you're structuring the talk so that you get that action.

## 3. TIME AND ENERGY

### Model Calendar

You will accomplish the most when you have your time planned out according to your priorities. These calendars will help you do that.

[Turbo Growth Calendar](#)

[Sample Model Week](#)

## 4. INTERPERSONAL SKILLS *(Relating to and managing your team)*

### People closest to the work know how to best do the work

When team members are responsible for specific duties, give them general guidelines as to what you want to see as an outcome, and then give them the freedom to get it done in the way they think is best. You should not micromanage every project; trust your team members to do the job in the best way.

[More Information](#)

### Situational Leadership

With situational leadership, you're matching your leadership technique with the readiness of the person you're leading. There are different levels of readiness that someone could be at based on their willingness and their skill level at that task. Their combination of those two dictates what your leadership style ought to be. If a team member has high skill and high will, you don't have to lead as much, other than encouraging and complimenting them. If they are low skill and low will, you will be much more involved in what telling them what to do.

This kind of leadership is task-specific rather than person-specific. If you have an experienced team member who has high readiness but is taking on a new task, for example, they may need more guidance for a while.

[Working on getting into AMPU to get the resource you mentioned]

### **Demonstrate/Observe/Confirm (DOC)**

Demonstrate, Observe, Confirm is a technique to show people how to do a new task. First, you demonstrate how it's done, then you observe them doing it and then you periodically confirm that they're continuing to use the right techniques.

### **Alignment Among Vision-Values-Goals-Actions**

This is a goal achievement model, where if your goals are aligned with where you want to go, and the actions you're taking are aligned with getting you to those goals, you're in alignment. If you're doing things that are not necessarily supportive of those goals or decision, then you're out of alignment, and you're not going to feel good about what you're doing. So as much as possible, you want to make sure you are aligning what people are doing with what they want for themselves. They will be much more in the zone and much more motivated if that's the case.

### **Individual Development Plans**

If you want to develop your leadership, competency, sales ability or anything else, you should put together a game plan for your development to improve, which includes action steps and timelines. A few exercises to help with this:

[Life Balance Wheel](#)

[Passion and Productivity \(Add Keep Delete\)](#)

[Desired Results](#)

[Personal Development](#)

[Team Member 10-Year Plan](#)

### **Coaching Others for Results**

Don't fall into the trap of just trying to tell people what to do. That does not work as well as helping them come up with their own solutions, which they will be more committed to. That kind of coaching technique is a developed skill. Here are a couple of curriculum items to help you learn that skill:

[Building a Professional Development Plan](#)

[Coaching the Coach](#)

### **Managing Your Team**

What makes a team perform well together? How do you get each person in the right role that both suits their goals and talents and leads to good results?

[Team Effectiveness Models](#)

[The Five-Minute Meeting](#)

### **WDYWFY**

What do you want for yourself? This is a goal-setting exercise to help people understand what they want. It could be their financial goals, their career, their health, their spirituality – whatever their goals are. This is a good technique to make sure you as a leader understand what your team members want, so you can help them get it.

### **Managing Change**

When you're leading a team, managing change well is the difference between just dictating what the change is going to be and then announcing it and expecting everyone to follow vs. getting the whole team on board, so that in many cases, it is their idea too. You should lead them to the change that you want to occur. Because you're including them in the decision making, they help you get there, and they come up with a better design and better result than you could've gotten on your own.

## 5. PROBLEM-SOLVING TECHNIQUES

### Whole Message Model

The whole-message model is a communication technique that is especially useful when you have a tough message to deliver. It includes four components:

Observations: What happened, what you observed, what you did, what you saw (the facts)

Thoughts: What you thought when you saw it

Feelings: How it made you feel

Goals: What do you want to see happen from here?

Sometimes this is you presenting and then the team member responding at the end, and sometimes it's a conversation back and forth, but this model gives you a nice way to frame the message so that it's better received.

You usually use the whole message model to deliver a tough message, so you want to script it out ahead of time to make sure you don't miss pertinent information when you have the conversation.

[Whole Message Model Presentation 1](#)

[Whole Message Model Presentation 2](#)

## LEADERSHIP RESOURCES

### Ted Talks

Simon Sinek

[How Great Leaders Inspire Action](#)

[Why Good Leaders Make You Feel Safe](#)

### Books

- Essentialism
- Turbo Growth
- Just Listen
- Rich Dad, Poor Dad
- Triggers
- What Got You Here Won't Get You There
- Mojo
- Now Discover Your Strengths
- 21 Irrefutable Laws of Leadership
- The Magic of Thinking Big
- Tipping Point
- Blink
- Inside-Out Coaching
- The Goal
- The Four Disciplines of Execution - Covey
- Setting the Table
- The Experience Economy

### Nido Qubein Resources

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

[Nido Qubein Leadership Interviews](#)

### Business Case Studies

[Case Study for Bob Bonfiglio](#)



## FOLLOW UP EXERCISE

List your top five priorities based on the principles and resources you just read about in this workbook:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

How will you begin to implement each principle you just listed?



Whatever success  
looks like in your  
mind, we can help  
you get there.

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*We are an award-winning coaching and consulting firm specializing in building a better life and practice for financial advisors. We have won Franchise Consultant of the Year at our Broker Dealer three of the last six years, and we work with 75 practices across the country, including members of the Barron's Top 1,200 Advisors.*



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