Equity Services Incorporated®

Education Opportunities from ESI

Looking for training topics for your agency?

ESI has a library of presentations available, so contact us today and let us help make your training program effective, valuable, and interesting.

Keep Engaged

Ongoing education can help your team build their business and contribute to keeping the agency engaged as a team. As you build your agency training plan, we encourage you to utilize your ESI training resources. Below is a listing of available training presentations that the team at ESI is ready to present, ranging from basic business processing to advanced solution topics. We also offer flexibility:

- All presentations can be presented as a webinar or in person under the right circumstances.
- Presentations can be adjusted to meet your needs and timeframe.
- If you don't see the topic that you're interested in, call us. We want to build a program that meets your needs, so contact ESI Business Development and tell us what's on your mind.
- We're always building our library of available presentations. When we add a new one, we'll let you know.

ESI Business Development Team

John Keenan | Head of Business Development
JKeenan@NationalLife.com

Lauren Finney | Business Development
LFinney@NationalLife.com

Mike Chiarella | Advisory Business Development
MChiarella@NationalLife.com

Dan Randall | Partner Relations and Product Due Diligence
DRandall@NationalLife.com

JC Gepigon | Partner Relations and Product Due Diligence
JGepigon@NationalLife.com

Mallorie Manosh | Marketing and Communications
MManosh@NationalLife.com

Beth Knox | Digital Marketing and Social Media
EKnox2@NationalLife.com

Sarah Dingle | Recruiting and Sales
SDingle@NationalLife.com

Allison Spears | Recruiting and Sales
ASpears@NationalLife.com

TC141457(0424)1 Cat No 69138(0424)

Practice Management

Value Proposition

Do you fully understand what your Broker/Dealer brings to the table? Equity Services provides the flexibility of an independent Broker/Dealer, the support of a diversified financial services group, and the stability of a 175+ year-old affiliated company.* Learn about the resources and solutions that ESI provides that can help you grow and diversify your business.

Developing a Technology Strategy

This session is for Representatives who want to either introduce technology into their practice or want to expand the technology that they currently use. We'll show you what's available, how the technology components interact, and the best technology for your business model. Walk away from this session knowing what technology strategy is best for your business now, and what you need to grow in the future.

Business Succession Planning

This presentation covers both contingent planning and retirement planning for Reps, and introduces succession planning resources available through ESI.

Recruiting Tips and Best Practices

This session is designed for agency recruiters who want to develop their skills in the registered rep space. Participants will gain comprehensive insights, practical strategies, and valuable techniques to optimize the recruitment process within the broker/dealer landscape.

Investment Camp 8-Week Curriculum

This quarterly series is your gateway to mastering the comprehensive suite of product solutions available to you as an ESI Representative. Immerse yourself in a curriculum designed to expand your expertise, enhance your capacity to serve your clients, and ultimately manage your practice for growth.

This virtual 8-week series covers these seven courses: *Fact Finding for Investment Business, Fundamentals of Investments, Mutual Funds and ETFs, Annuities, Managed Money, Financial Planning, Strategic Planning for Growth, and ends with an Interactive Case Study Workshop*.

Space is limited to 25 participants per quarter.

Advisory Solutions

Converting to a Fee-Based Practice

Even in a fluctuating economy, a fee-based practice can help provide diversity and growth. This presentation discusses:

- What incorporating fee-based advisory services can do for your business.
- Fee-based advisory options.
- How to talk with your clients about fee-based services.

Intro to Advisory

What advisory solutions does ESI offer, and how does the process work? This session looks at incorporating fee-based solutions into your new business as well as transitioning existing business to a fee-based model.

Intro to ESI Illuminations

Learn the basics of our proprietary platform, ESI Illuminations – what it is, and how it works.

Team Approach to Managing Money

An overview of the wealth management process and how to leverage third party money managers (aka Strategists) through ESI Illuminations. Information regarding fees is included.

Understanding the "Representative as Portfolio Manager" Role

Interested in building and managing model portfolios for your clients? Lean more about the "Rep as Portfolio Manager" platforms available.

Unified Managed Accounts and Separately Managed Account Managers

What is a UMA and in which scenarios does it make sense to use one? Learn more about this program and how to build models using SMA sleeves.

---

* Equity Services, Inc. is a Broker/Dealer and Registered Investment Advisor affiliate of National Life Insurance Company, founded in 1848 in Montpelier, Vermont.

Illuminations Platform Training

Intended to be delivered as a series of trainings ranging from the basics to advanced topics.

Illuminations 101

- Program Overview
- Basic Platform Navigation
  - Running a proposal
  - Service requests
    - Cashiering
    - Dollar Cost Averaging
    - Goal Modifications
- Reporting
  - Performance
  - Billing
- Best Practices
  - Custom Layouts
  - Favorite Lists
  - Annual Client Reviews

Illuminations 201

- Product Focus
  - Meet the Managers Series
    - Deep dives on 3-5 managers in each session
  - Strategist UMA for HNW clients
  - Overlay Services
- Advanced Platform Navigation
  - Current Portfolio Analysis
  - Advanced Reporting
  - Tax Harvesting
- Adviser as Portfolio Manager
  - Model Management and Trading
    - Absolute vs. Relative Drift
    - Trading Conditions
  - Monitoring for and resolving Investment Policy violations

Sales Ideas and Market Development

Marketing to Pre-Retirees & Building Distribution Based Portfolios

We are in the midst of a tremendous shift in population as the baby boom generation nears or enters retirement. This presentation addresses the challenge of helping this market develop income producing portfolios to meet their retirement needs.

Evolution of the Fee-Based Portfolio

There are 3 key transitions in a fee-based portfolio: accumulation, distribution, and generational transfer. Looking for resources and ideas to help you and your clients manage those transitions? This presentation discusses portfolio evolution and how ESI's Investment Advisory platform provides solutions at these three key stages.

Introduction to Variable Annuities

Gain a foundational understanding of variable annuities.

Qualified Plans: Get Your Boots Back on the Ground

Have ERISA changes slowed (or stopped) your 401(k) business? We can help you not only kick start your qualified plan business, but we can also show you new opportunities.

Utilizing Annuities as an Asset Class

In today's market environment downside protection has become just as important as growth. This session will explore the annuity options available at ESI and discuss how to position them as part of an overall portfolio.

Note: You must be an Investment Advisor Representative of ESI to offer financial planning/fee-based investment advisory services. These services are offered in conjunction with a Financial Planning or Financial Consulting Agreement.

Prospecting & Marketing

Communication in an Electronic Age: Opportunities You May Be Overlooking

You are in the communication business, and communication is rapidly changing in today's electronic environment. Before you jump on "the next big thing," take a step back and look at the bigger picture. You may be missing opportunities. This presentation will look at multiple forms of electronic communication and how to identify the most effective options for you.

Leveraging ESI's Digital Marketing Partners

Learn the latest offerings of ESI's marketing partners. This presentation includes an offering overview for websites, digital email newsletters, social media, and more. Ask your questions about how these solutions are integrated and about how to efficiently enhance your digital marketing.

Social Media Best Practices

Learn how to build your brand on social media. This session will cover best practices and tips to market yourself on social media.

Build a Marketing Plan

Struggling to build or implement a marketing plan? This session is designed to help you develop a plan that keeps your prospecting pipeline active all year.

Operations/Technology

Submitting Business to ESI

Learn how to submit business to ESI in good order, utilizing our various technology integrations.

Suitability Fundamentals

This session provides an introduction to Suitability Review.

Intro to Wealthscape

This session provides an introduction to Wealthscape. Learn how to best use the platform and review self service capabilities.

Intro to Investigo

Investigo is a web-based system that integrates a broad range of functions – including data aggregation, reporting, CRM, regulatory compliance, and online document management. Learn more about how Investigo can help make your practice more efficient and if it's a good fit for you.