

**THE “CODE OF
BUSINESS CONDUCT”
THE TEAM PLAY DRIVER FOR
ACHIEVING YOUR ULTIMATE SUCCESS**



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Presented By



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Based in: USA

Today's Program

How Many Of You:

- **Work in a Business**

or

- **Have Clients Who Own A Business.**



Today's Program

**What Is One Of
The Main Keys
To Business
Success?**

**Team
Play**

Today's Program

**What Is Needed
For High
Functioning
Teams To
Assure
Success?**

**A Common Set
Of Values,
Behaviors And
Attitudes**

Today's Program

**Where Is This
Common Set Of
Values,
Behaviors And
Attitudes
Expressed?**

**In a Code Of
Business
Conduct
(which operates best
when this is written)**

Today's Program

Objectives Today:

1. **How to develop Client Advisory Teams as a go-to source for your Client's continued success.**

Today's Program

Objectives Today:

2. **How to Implement a Code of Business Conduct for your Firm, your Business Clients and Family Offices.**

Today's Program

Objectives Today:

3. How to begin now to see “What Business You Are Really In”.
 - And what this means for you starting tomorrow.

Codes Have Guided Human Behavior Throughout History



Captain Teague

Keeper of the Pirates Code

(from Pirates of the Caribbean)

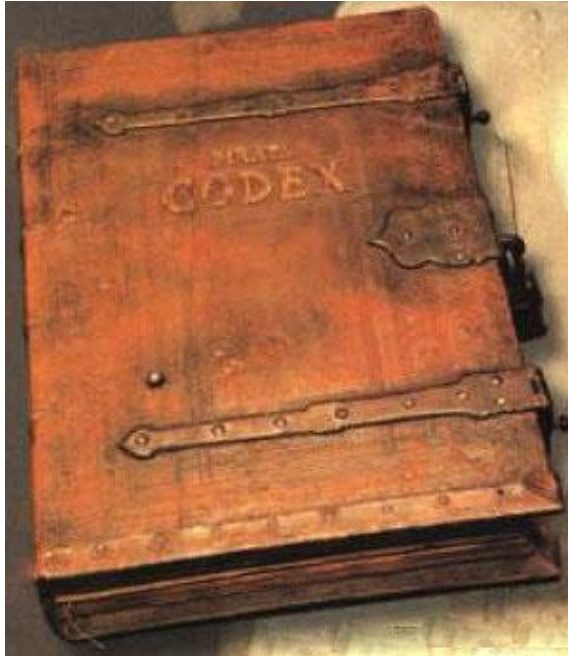


VIDEO



VIDEO

Codes Have Guided Human Behavior Throughout History



The Pirate Code (the *Pirata Codex*)

The law as written by Pirates

Codes Have Guided Human Behavior Throughout History



The Code of Hammurabi

The law as written by Man

Codes Have Guided Human Behavior Throughout History



The Code of Moses - The 10 Commandments

The law as written by God

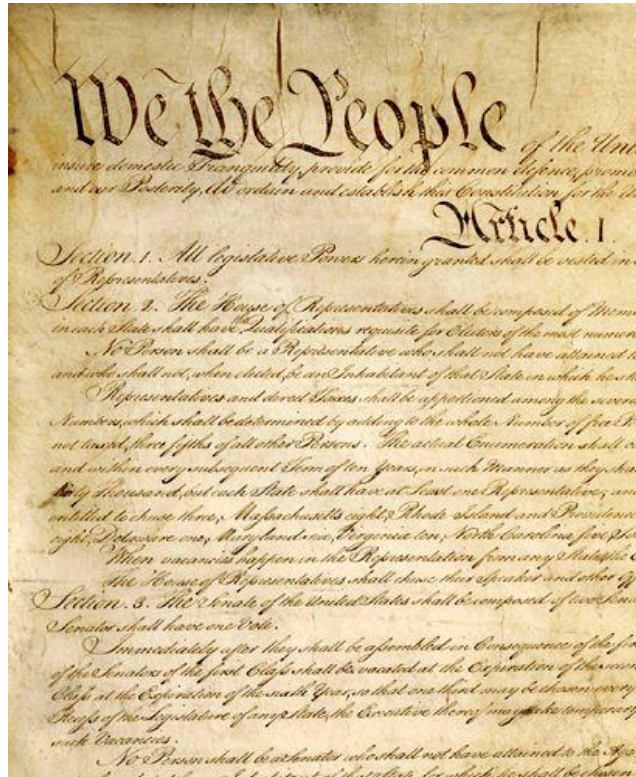
Codes Have Guided Human Behavior Throughout History



The Code of Professional Responsibility

The law as written by Various Regulatory Organizations

Codes Have Guided Human Behavior Throughout History



The Code of America

- The United States Constitution

The law as written by “We the People”

What Is A “Code of Business Conduct”?

“Code of Business Conduct” = A written collection of rules, principles, values, expectations, and behavior that a Company considers **fundamental to its success**.

Critical To Understand: The Code of Business Conduct is a direct **reflection** of the **Company Culture** which directly impacts the **Company Leadership Team** and the **Company Business Model**.

The Purpose of a Code of Business Conduct

- To provide a **framework** for **proper actions and decision-making** within the Company.
- The Company's Leadership Team and its Employees **use the Code** of Business Conduct **to communicate their values** to each other, their customers, and those with whom they do business.

Today It's Common To Have . . .

**Code
of
Business
Conduct**

**For
Employees**

**Code
of
Business
Conduct**

**For
Advisory
Boards**

**Code
of
Business
Conduct**

**For
Directors**

**Code
of
Business
Conduct**

**For
Owners**

**Code
of
Business
Conduct**

**For
Family
Offices**

Today's Program

**Code of
Business
Conduct**

**Let's Look
At An
Example**



CODE OF BUSINESS CONDUCT

THE COMPASS WAY





OUR VISION AND VALUES

Our Vision is to be a world-class provider of contract food service and support services, renowned for our great people, our great service, and our great results.

Our Values set out what we collectively believe in and guide our behaviours, including our commitment to Safety, Integrity and Respect in **everything we do**.



OUR CODE OF BUSINESS CONDUCT

Our Code of Business Conduct supports us in upholding our high ethical standards and commitments. It sets out the principles, standards and expectations of how we conduct business globally and how we should engage with and treat one another.



OUR GROUP POLICIES

Our Group Policies establish the minimum requirements and behaviours expected to support embedding our Values and Code of Business Conduct wherever we operate. They are mandatory and form the foundation for local policies and practices.

MESSAGE FROM DOMINIC BLAKEMORE

As a global leader in food services, Compass Group always strives to do what’s right; for our people, our customers, our shareholders, the planet, and the communities we serve.

To achieve this, we are committed to maintaining strong governance and high ethical standards throughout our global operations and to conduct business with integrity, to never compromise on safety, and to treat others with kindness and respect.

The Group’s success and future growth depends on everyone upholding these commitments. Because, whatever our role in Compass, how we act and behave can affect how we are viewed and impact the trust that our stakeholders have in us.

Our Code of Business Conduct (the “Code”) reflects who we are and provides a clear path – for everyone working with, for, or on behalf of Compass – to always do what’s right.

We all have a shared responsibility to understand, follow and embed the principles, standards and behaviours set out in the Code, which is approved by the Compass Group PLC Board of Directors and Group Executive Committee. Should you ever feel concerned the Code is not being followed, please speak to your Line Manager, or submit a report through our confidential reporting programme, [Speak Up. We’re Listening.](#)

I want to thank everyone for playing your part in putting the Code to work everywhere, every day, now and in the future. Together, we can ensure Safety, Integrity and Respect is at the heart of everything we do. It’s the Compass Way.

DOMINIC BLAKEMORE
Group Chief Executive Officer



“OUR CODE OF BUSINESS CONDUCT REFLECTS WHO WE ARE AND PROVIDES A CLEAR PATH – FOR EVERYONE WORKING WITH, FOR, OR ON BEHALF OF COMPASS – TO ALWAYS DO WHAT’S RIGHT.”



This Code may be amended from time to time. The most recent version of the Code is available on [Compass’ website](#)



WHAT IS THE COMPASS CODE OF BUSINESS CONDUCT?

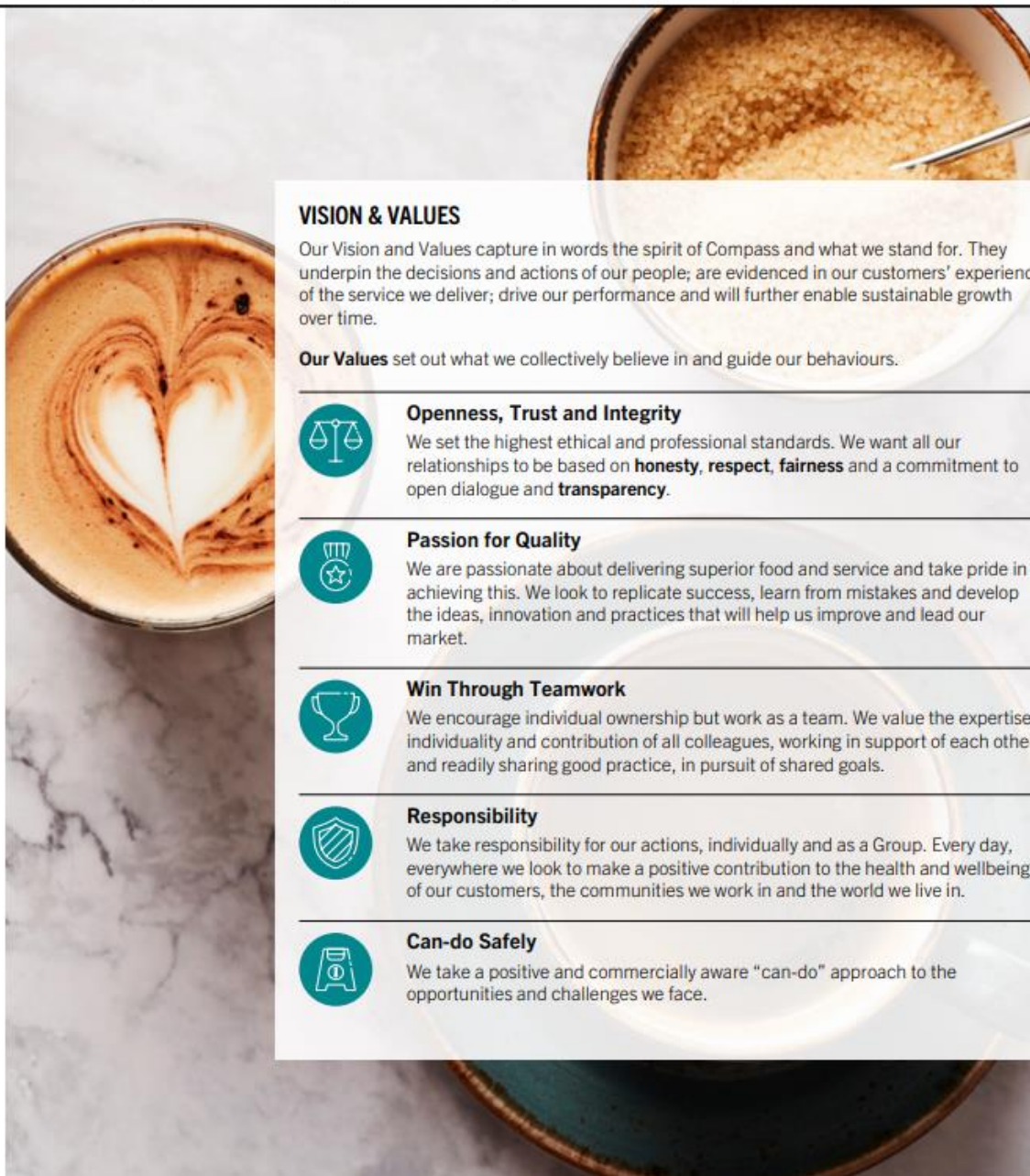
The Compass Group (“Compass”/“We”/“Our”/“Company”) Code of Business Conduct (the “Code”) sets out the minimum standards and behaviours we expect from everyone working for or on behalf of Compass. It guides us when there are questions or situations where the right course of action may be unclear. Building mutual trust and confidence in those who work for, partner with and invest in us is key to our continued success, and depends on each of us acting professionally, responsibly and in accordance with the standards and principles set out in this Code. By following the Code, we can protect each other and the Company’s reputation for integrity and strong governance.

WHO DOES THE CODE APPLY TO?

The Code applies to everyone working with, for or on behalf of Compass, including without exception temporary and contract staff regardless of location, role or level of seniority.

IT IS THEREFORE IMPORTANT THAT YOU UNDERSTAND THE RULES AND PRINCIPLES YOU MUST FOLLOW AND THE STANDARDS AND BEHAVIOURS THAT ARE EXPECTED OF YOU.

It is your responsibility to ensure that you have read and properly understood the contents of the Code and associated Group Policies. If there is anything in the Code that you don’t understand or are unsure of, speak to your Line Manager. Contractors, intermediaries, representatives, joint venture partners and companies we invest in (our “business partners”) are expected to follow and comply with this Code. Our suppliers are also expected to meet the standards and principles of this Code and comply with the [Global Supplier Code of Conduct](#).



VISION & VALUES

Our Vision and Values capture in words the spirit of Compass and what we stand for. They underpin the decisions and actions of our people; are evidenced in our customers’ experience of the service we deliver; drive our performance and will further enable sustainable growth over time.

Our Values set out what we collectively believe in and guide our behaviours.



Openness, Trust and Integrity

We set the highest ethical and professional standards. We want all our relationships to be based on **honesty, respect, fairness** and a commitment to open dialogue and **transparency**.



Passion for Quality

We are passionate about delivering superior food and service and take pride in achieving this. We look to replicate success, learn from mistakes and develop the ideas, innovation and practices that will help us improve and lead our market.



Win Through Teamwork

We encourage individual ownership but work as a team. We value the expertise, individuality and contribution of all colleagues, working in support of each other and readily sharing good practice, in pursuit of shared goals.



Responsibility

We take responsibility for our actions, individually and as a Group. Every day, everywhere we look to make a positive contribution to the health and wellbeing of our customers, the communities we work in and the world we live in.



Can-do Safely

We take a positive and commercially aware “can-do” approach to the opportunities and challenges we face.



**“PROTECT YOURSELF.
PROTECT COMPASS.”**

FIVE GOLDEN RULES

Our Five Golden Rules encapsulate the Code and provide context to our strategic and disciplined focus on People, Performance and Purpose as our key strategic priorities.

- 1 Health and safety is our number one priority** – make sure it is your number one priority too.
- 2 Any unethical or illegal activity is strictly prohibited** including corruption, bribery, anti-competitive behaviour or fraud.
- 3 Be kind and caring.** Treat each other fairly, with respect and dignity.
- 4 Always be professional, polite, honest and transparent** when dealing with customers, suppliers and colleagues.
- 5 Act with integrity.** Don't do anything which could harm Compass' reputation.



LIVING THE CODE – WHAT IS EXPECTED OF YOU?

Our words and actions must always reflect our values and demonstrate the highest ethical standards in how we conduct our business and engage with our customers, investors and business partners.

This Code provides principles-based guidance and the expected standards and behaviours to help do what's right. Our pledge is to:

- uphold the standards, principles and commitments set out in this Code and instil these within our day-to-day work
- follow all processes and procedures that are in place to ensure that we adhere to applicable compliance requirements
- foster a safe, respectful and inclusive workplace with access to the information, training and tools needed to help employees and colleagues adhere to the expectations in this Code.

All employees and business partners must comply with applicable laws and regulations. Where there is a difference between the requirements of this Code, Group or local Policies and applicable laws or regulations, you must apply whichever is more stringent.

We should not engage any contractor, agent, consultant, supplier, customer or any other third party whose business practices conflict with the Code. If engaging any third party to act on behalf of Compass, it is our responsibility to always consult the Legal team and undertake reasonable due diligence to ensure that our values and principles align, and risks are appropriately assessed.

Anyone found to be in breach of applicable laws or whose actions and behaviours are inconsistent with our Code could face disciplinary action up to and including dismissal.



**“OUR ACTIONS
MUST ALWAYS
REFLECT OUR
VALUES.”**

OUR ETHICAL DECISION-MAKING MODEL

Using our ethical decision-making model can help us make the right choices. It will help determine what we **should** do rather than what we **can** do. Doing what's right is always informed by the circumstances we face and may involve going beyond what is required by law. Because something is **legal** or culturally acceptable in one jurisdiction does not necessarily make it legal in another jurisdiction. The guiding principle will always be whether it is **ethical** and in line with Compass' values.

Before making a decision or being asked to agree with a decision made by someone else, always consider if that decision:

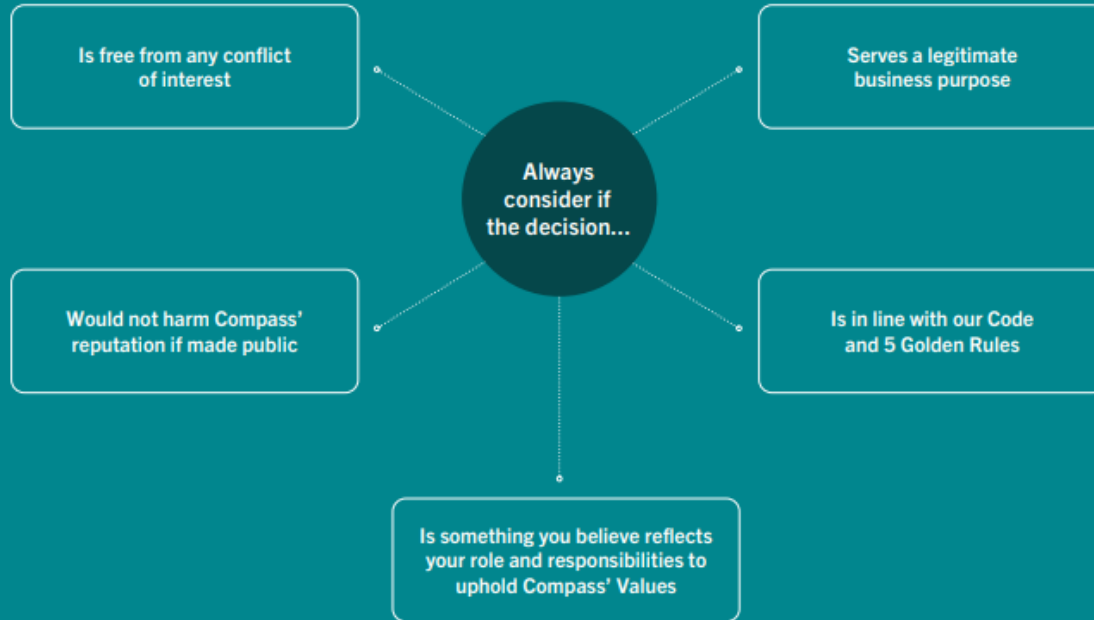
- is free from any conflict of interest
- serves a legitimate business purpose
- is something you believe reflects your role and responsibilities to uphold Compass' Values
- would not harm Compass' reputation if made public
- is in line with the Code and Five Golden Rules.

If the answer is no to any of these questions, we must pause, reconsider and seek advice from our Line Manager, Legal and/or Group Ethics & Integrity before taking any further action.

SEEKING ADVICE IS A SIGN OF STRENGTH. NOT WEAKNESS.

DOING WHAT'S RIGHT | LEGAL | ETHICAL

UNDERPINNED BY COMPASS' VALUES





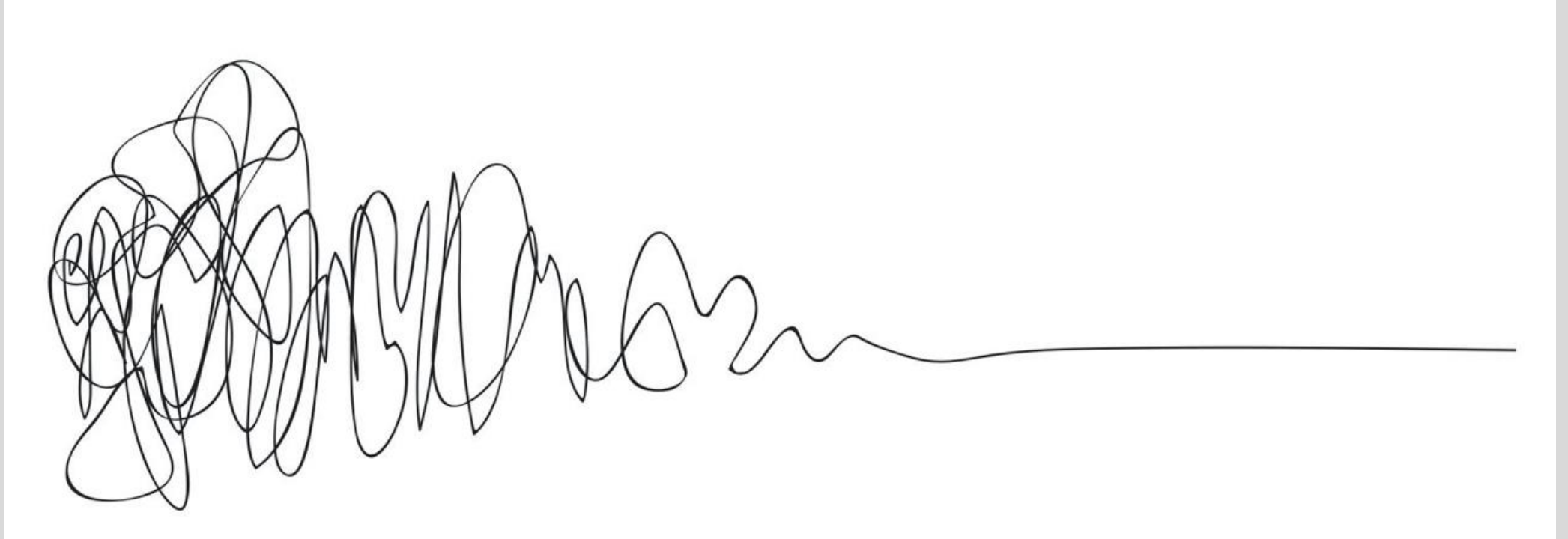
THE COMPASS WAY



Today's Program

**So, Where Does The
Code of Business
Conduct Fit In The
Bigger Picture?**

The Professional Advisor's Goal Every Day



Turn Confusion Into Clarity

So, Let's Pause For A Moment

And Let's Clearly Understand:

**What Is A
Business?**

Our Research Shows We Can Simplify As Follows

A “Business” Consists of **3**
Key Ingredients:

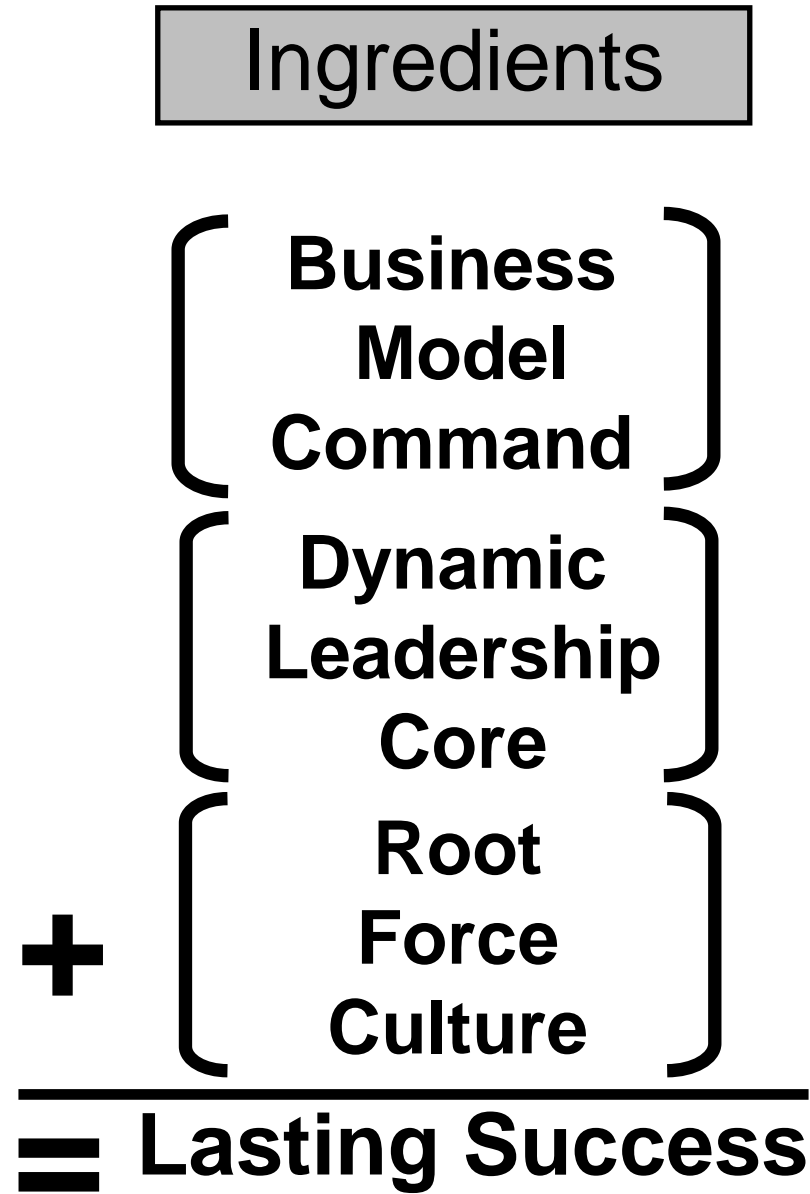
- Business Model
- Leadership Team
- Culture

Each of these are directly impacted by the written or
unwritten Code of Business Conduct

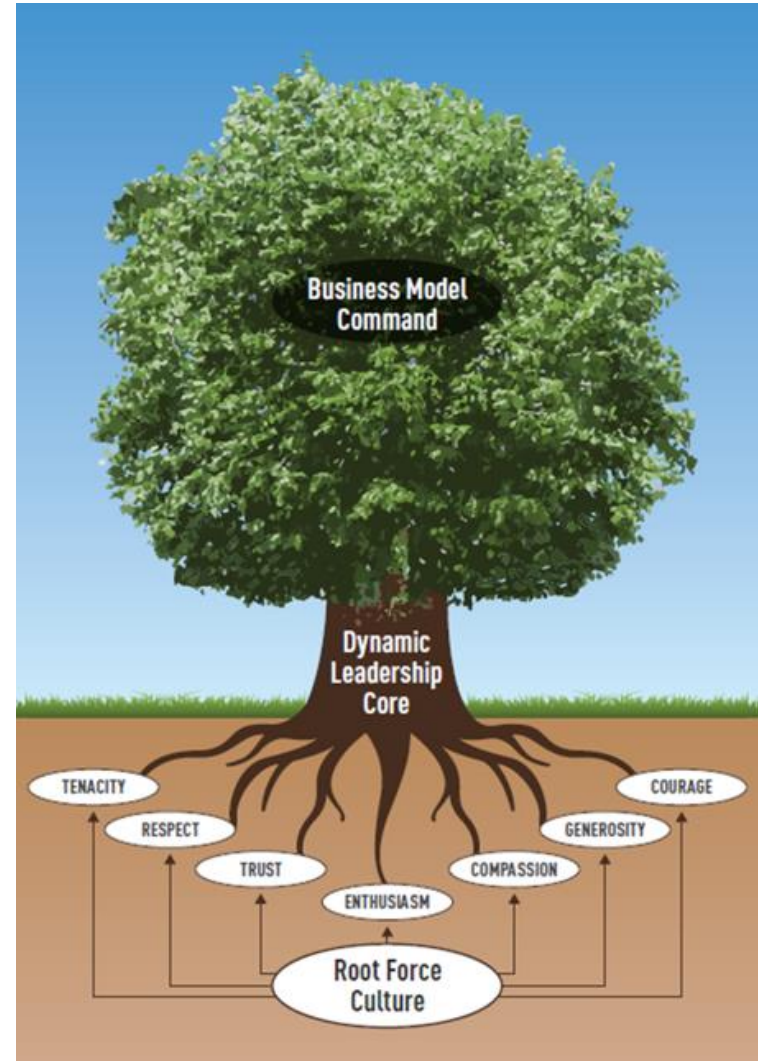
**Business
Leaders
Like
Visuals**

**So, Let's
Visualize
All Of This**

The Business Success Formula:



Illustrated



The Business Failure Formula:

+

=

Ingredients

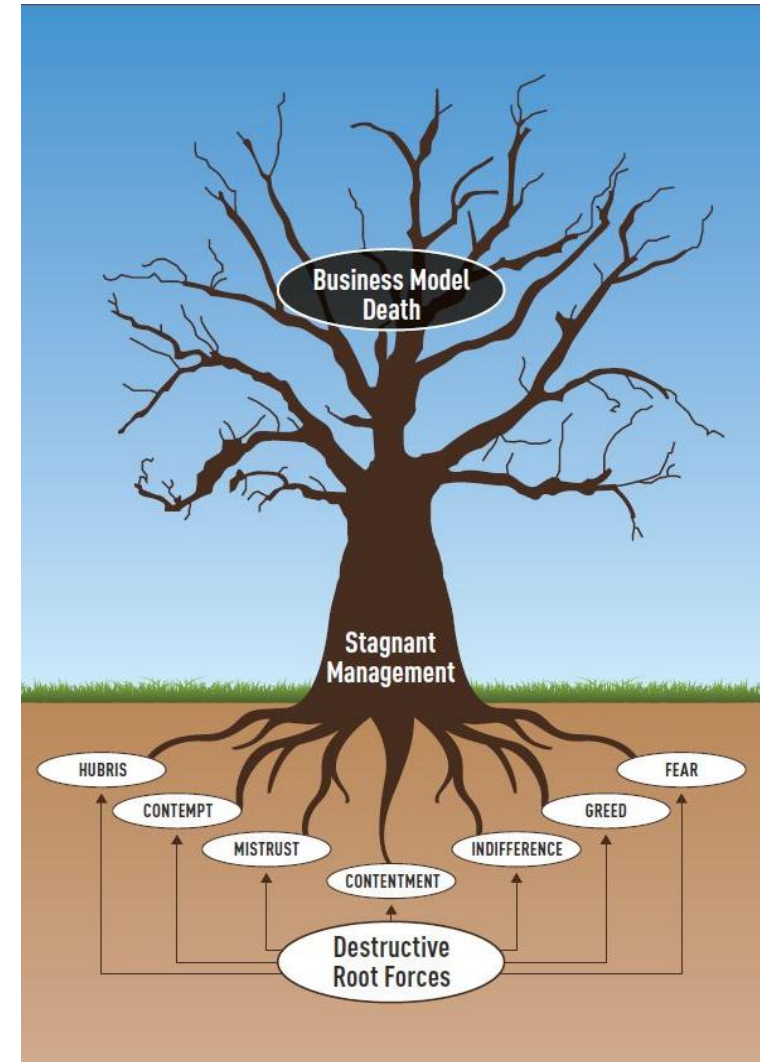
Business Model Death

Stagnant Management

Destructive Root Forces

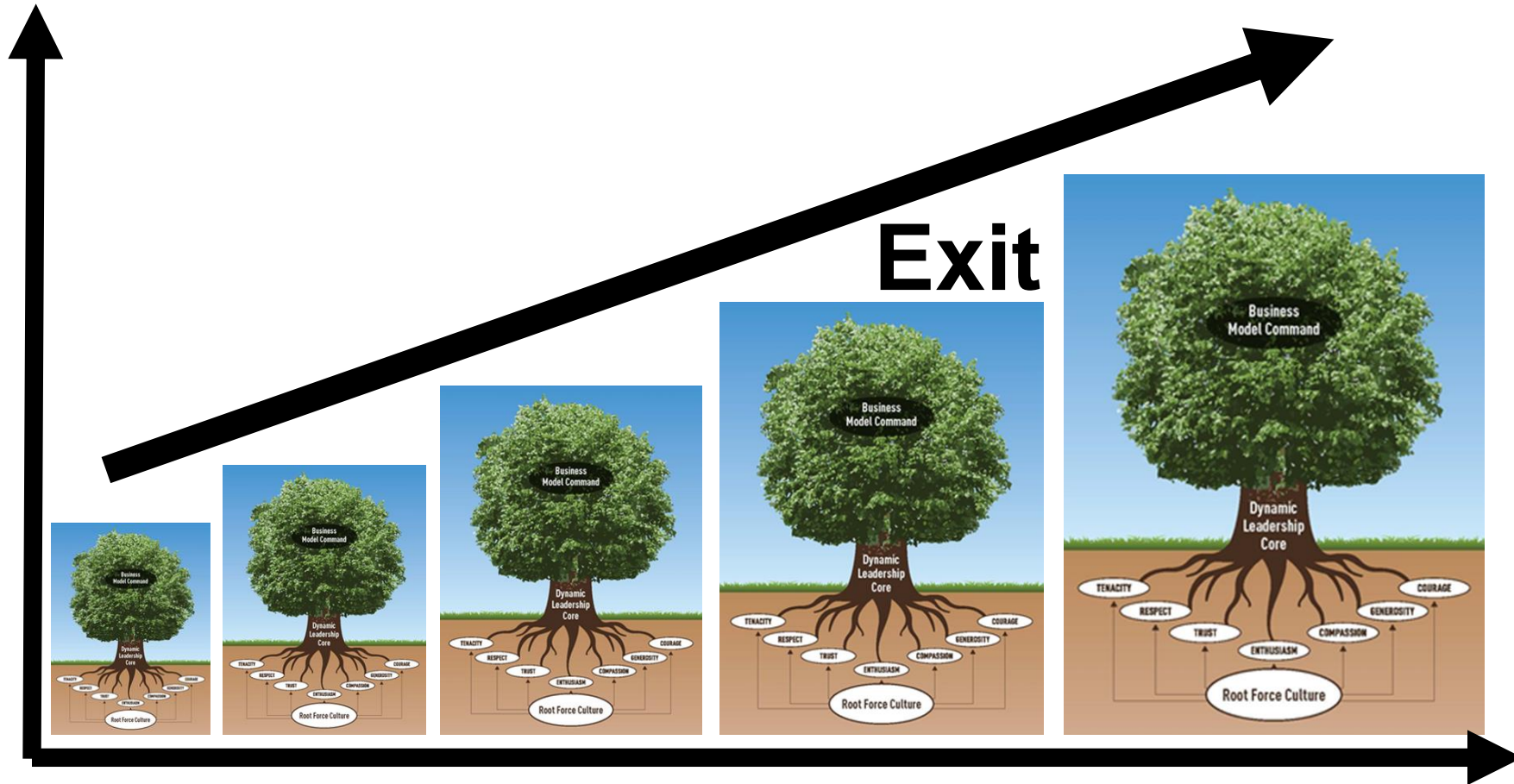
Failure

Illustrated



The Objective

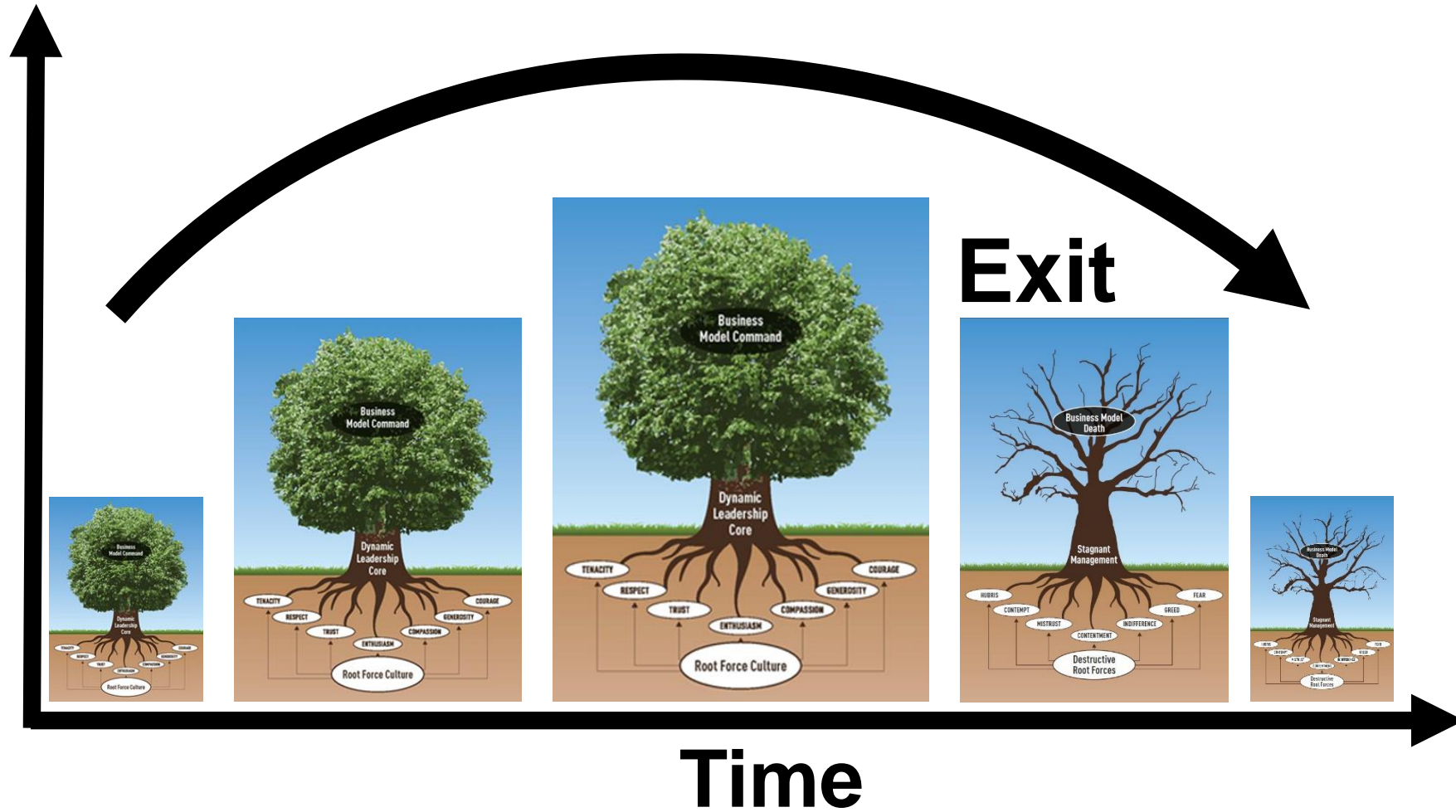
Growth



Time

Not The Objective

Growth



What Is . . . ?

**“Business
Model
Command”**

“Business Model Command”

WHAT

What Business Are We Really In?

WHY

Why Does Our Business Model (Still) Work?

HOW

How Does Our Business Model Create, Deliver and Capture Unique Value?

What Is . . . ?

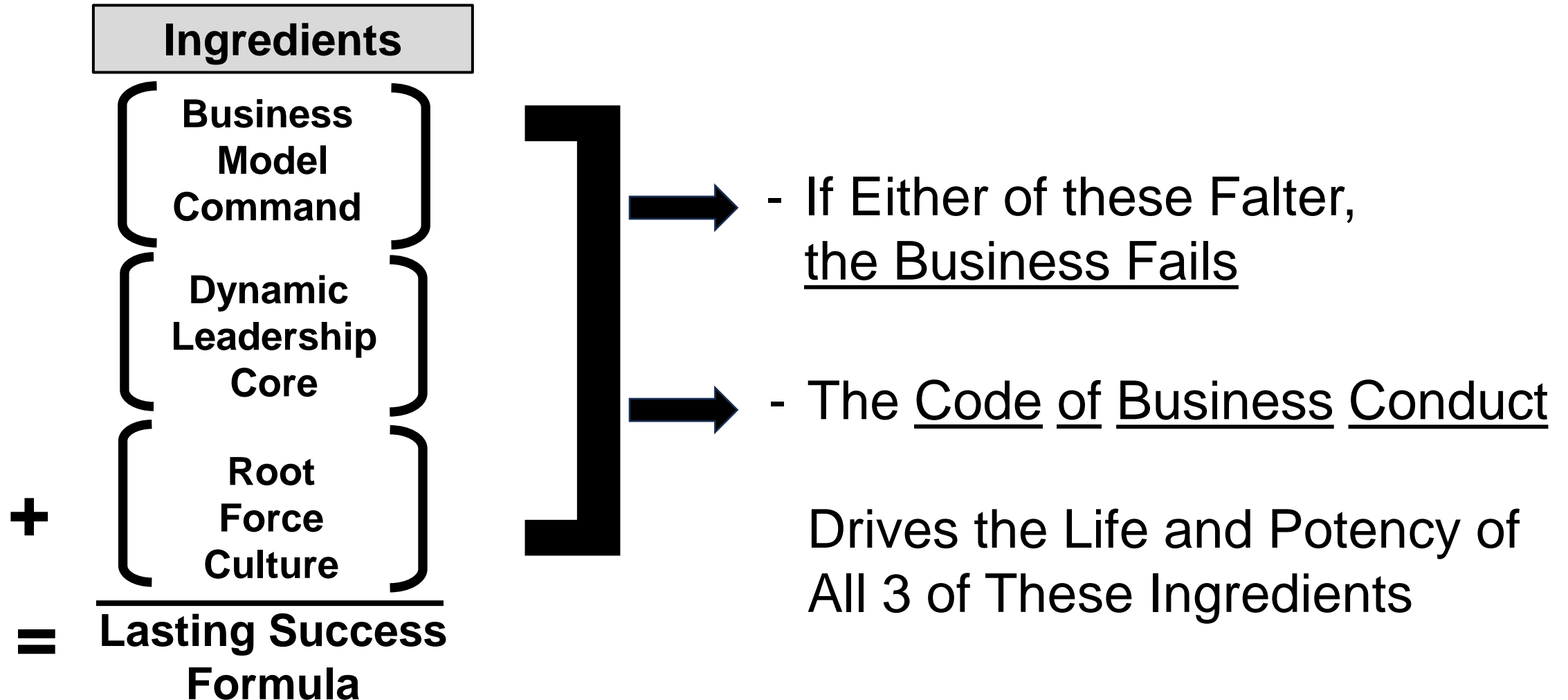
**“Dynamic
Leadership
Core”**

What Is . . . ?



**“Root
Force
Culture”**

Key Point: The Code of Business Conduct Is Critical For Business Continued Success



**Have You Ever
Been Tapped
On The
Shoulder To
Expand Your
Horizons?**





VIDEO

**Many Years Ago A
Financial Advisor
Colleague Tapped
Me On The Shoulder
– By Inviting Me To
A Conference On
Exit Planning**

- **That Conference
Changed My
Practice**
-
- **I'm Forever Grateful
- Because Of The
Impact That Had On
Me And So Many
Families**

Exit Planning Overall

- So, I Went All In -

**Business
Enterprise
Institute**



**CEO
Space
International**



**Exit
Planning
Institute**



**Secret
Knock**



**Vistage
International**



**John Maxwell
Executive Leadership
Program**



**Family
Firm
Institute**



Scope:

- Business Strategy
- Asset Protection
- Business Continuity
- Leadership
- Succession
- Exit Planning
- Estate Planning

**Exit Planning Is Top Of Mind With Business Leaders
- And They Want Advisors Who Can Assist -**

Why Exit Planning?

**The
“Great
Wealth
Transfer”**

- **\$84 Trillion Wealth
In The Next 20
Years**
- **Much Of This Is
Business Wealth**

**Many Financial
Advisors Are
Actively Working
In This Business
Wealth Transition**

**By Developing
Advisor Teams
To Meet This
Client Need**

**Today I'm
"That Guy"
Tapping You On
The Shoulder**

**To Invite You To
Really Look
Further Into
Business Owner
Exit Planning**

Exit Planning

Overall Key Points

Business Owners Face:

3 Exits

- **From Leadership**
- **From Ownership**
- **From Life**

And They Are Expecting Their Advisor Team To Proactively Assist

**This Is All About
How You Can Help
Business Owners Win
The Whole Game**

**By Adding (or Expanding) True Exit Planning
To Your Financial Advisor Practice**

Are Business Leaders Looking To Exit?

Business Owner Survey

- 79% of Business Owners want to exit within 10 years
 - 57% of Business Owners want to exit within 5 years
-
- 80% believe their exits will occur because of planning and actions they implement
 - Owners are looking at multiple possible Exit Routes

Source: Business Enterprise Institute
www.ExitPlanning.com

What % of Owners Who Exited Were Satisfied?

25%
Satisfied

75% of those owners who had already exited their companies were not satisfied with the results. The reason was that their lack of advance planning resulted in a failure to understand their options – so they didn't make informed decisions.

Exit Planning Institute Survey

Exit Planning

We are seeing more and more CPAs and Financial Advisors becoming active in true Exit Planning.

They Want Their Clients To Achieve “Ultimate Success”. And They Know Someone Else Will Step Up If They Don’t

Exit Planning

A Suggestion

Successful Exits Are Key To The Continued Success Of Families And Our Nation

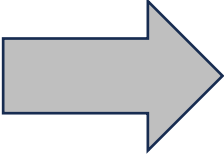
“If You Aren’t Involved In True Exit Planning, Consider Adding (or Increasing) This Service To Further Assist – And Retain – Business Clients”

Development of Products



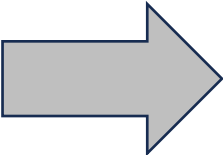
Pocket Knife

Add Features



Swiss Army Knife

Add Features



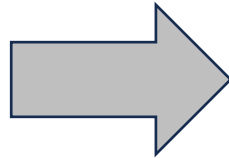
Huntsman Swiss Army Knife

Development of Products



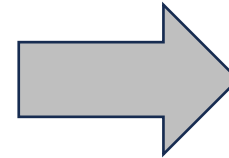
Cell Phone

Add
Features



Smart Phone

Add
Features

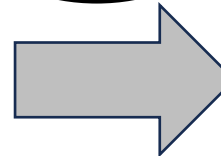
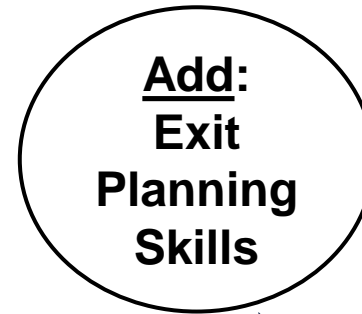


iPhone

Development of Professional Services

Example: Exit Planning

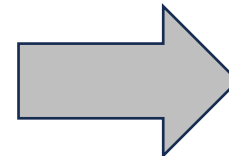
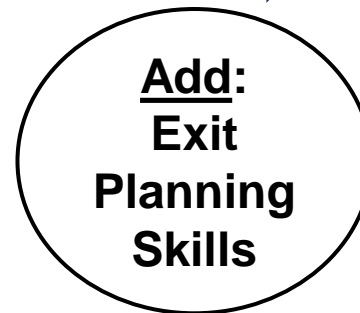
- Financial Advisors
- CPAs
- Deal Makers
- Insurance Advisors



**Exit Planning
Advisor
(e.g., CExP or
CEPA)**



- Corporate Attorney
- Estate Planning
Attorney
- M & A Attorney

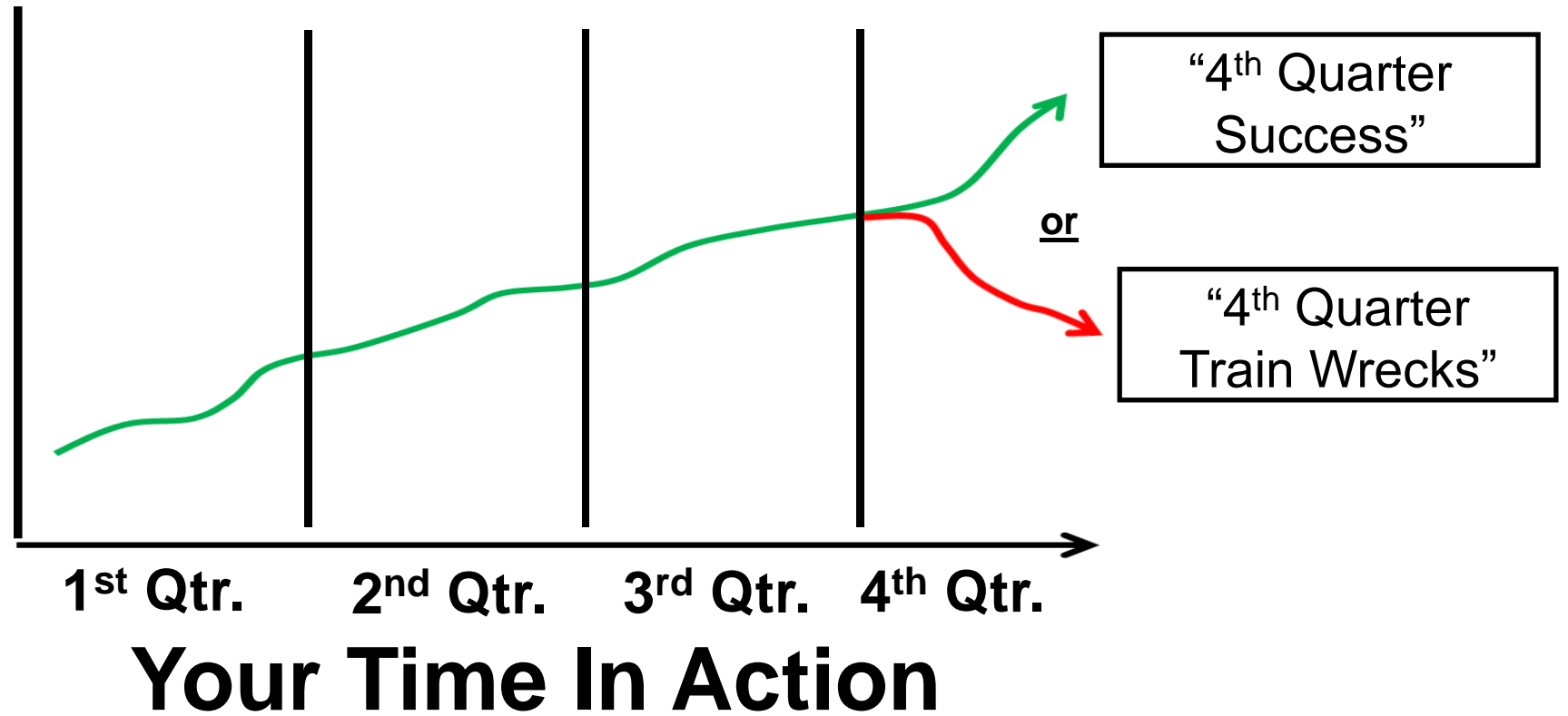


**Exit Planning
Attorney**



We Are Seeing Both “Ultimate Success” and “Train Wrecks”

**Company
Growth**



**This
Begins With
Addressing:**

The Changing Dynamics In A Business Leader's "Fourth Quarter"

- Owner
- Spouse
- Children
- Customers
- Successors
- Key Employees
- Banker
- Partners
- Community
- Business Model
- Opportunities
- Estate Planning
- Investments
- Financial Planning
- Health
- Disability or Death Concerns
- LT Care Concerns
- Legacy

Mindset Is The Key To Addressing This

What Is The Key Mindset?

“If a man knows not to which port he sails, no wind is favorable.”

Ancient Philosopher Seneca
4BC – 65AD

“Begin with the end in mind.”

Stephen Covey
Author, “The 7 Habits of
Highly Effective People.”
1989

In Our Words: Think “Fourth Quarter First”

Ask Tom Brady If A 4th Quarter Mindset Is Important?

Super Bowl LI

**3rd Quarter
Score**



3



28

**Final
Score**



34



28

Don't Lose The 4th Quarter!!!

Results Wanted

Business
Leaders around
the U.S. tell us
they want this:



What Does “Ultimate Success” Look Like For Business Owners?



PROFITABLE
GROWTH



WEALTH
PROTECTION



LIFESTYLE
CONTINUITY



PERSONAL
FREEDOM

- ✓ Colleague Careers
- ✓ Business Model Success
- ✓ Bloodline Opportunities
- ✓ Incredible Culture
- ✓ Dynamic Successor
- ✓ Successful Leadership Transition
- ✓ Family Careers
- ✓ Leadership Team
- ✓ Successful Ownership Transition
- ✓ Inspirational Legacy
- ✓ Community & Charities
- ✓ Peace & Financial Security

This “Ultimate Success” Is
Built On A Code Of Business Conduct

Results Not Wanted

Business
Leaders around
the U.S. tell us
they don't want this:



Do All Exits Succeed?

**Why Do
Exits Fail**

?

**Due to:
Actions or
Inactions of the
Business Owners
and/or their
Advisor Team**

Success Requires Overcoming

What Neuroscientists call:

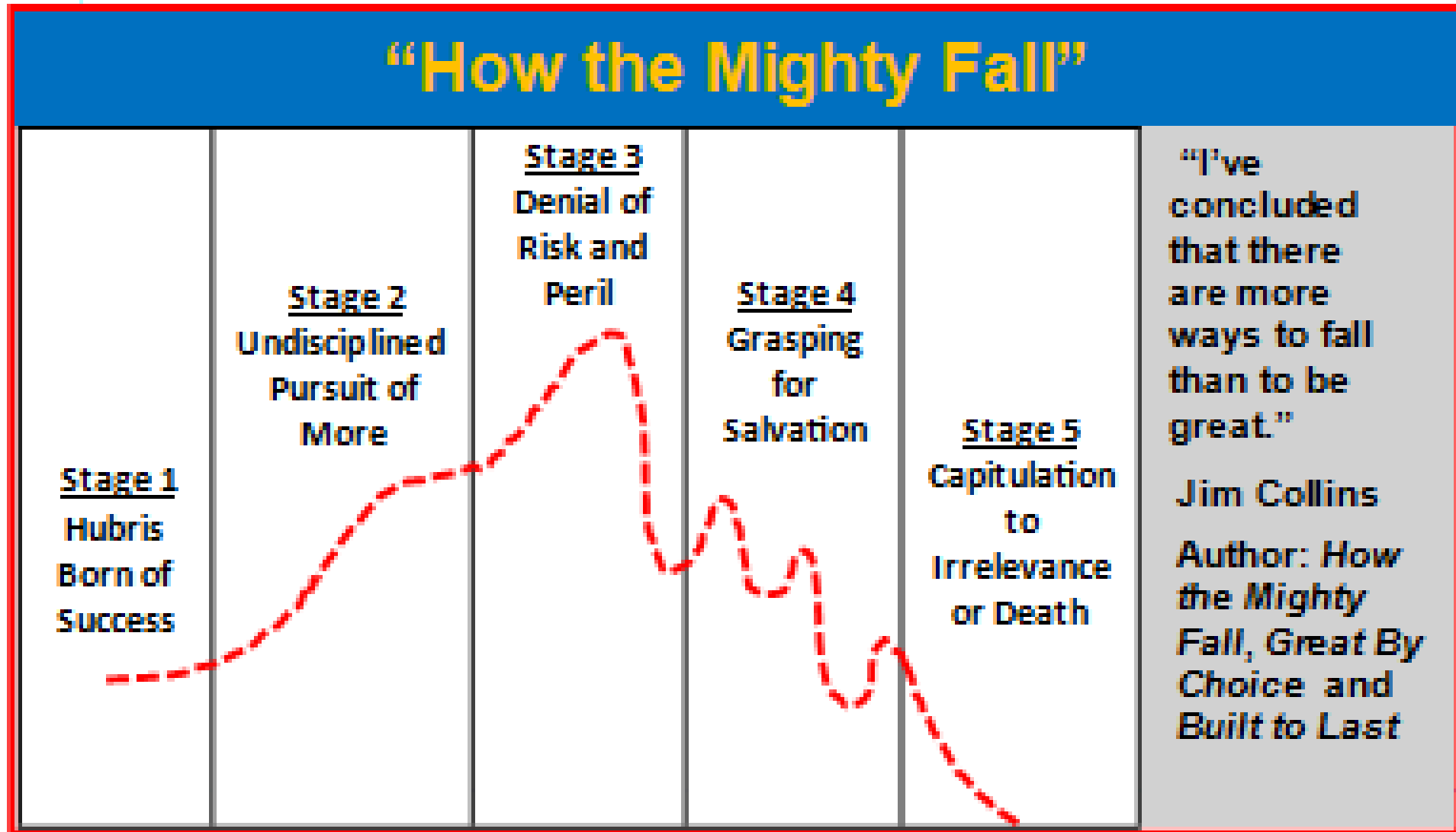
- **“Optimism Bias”**
- **“Confirmation Bias”**
- **“Illusion of Control Bias”**

Which Is
Something
We
Learned
Years Ago



I know nothing!
I see nothing!
I hear nothing!

Overall Risk:



Exit Planning

**First Key
To
Success**

**Diagnose
The
Symptoms**

Success or Not?



Avoid the Potential “Train Wrecks” for all 3 Exits

- Leadership Exit
- Ownership Exit
- Life Exit

These Are Detailed In The Handout

Exit Planning

**Second
Key
To
Success**

**Team
Play**

Best Results

DIY

Do It Yourself



DFY

Do For You



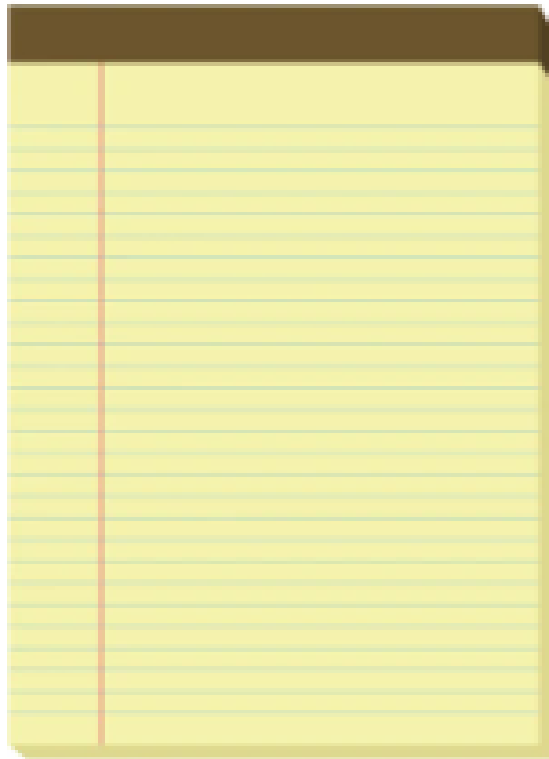
DWY

Do With You

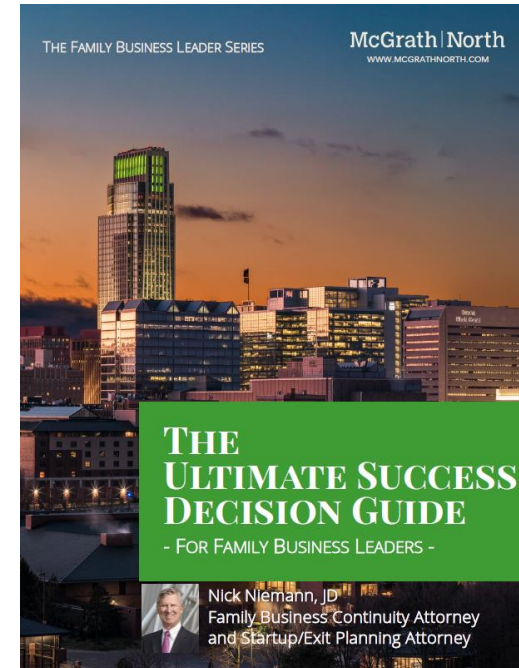


Successful Exit Planning Is A Well-Defined Process

We don't start
with this:



We start with this:



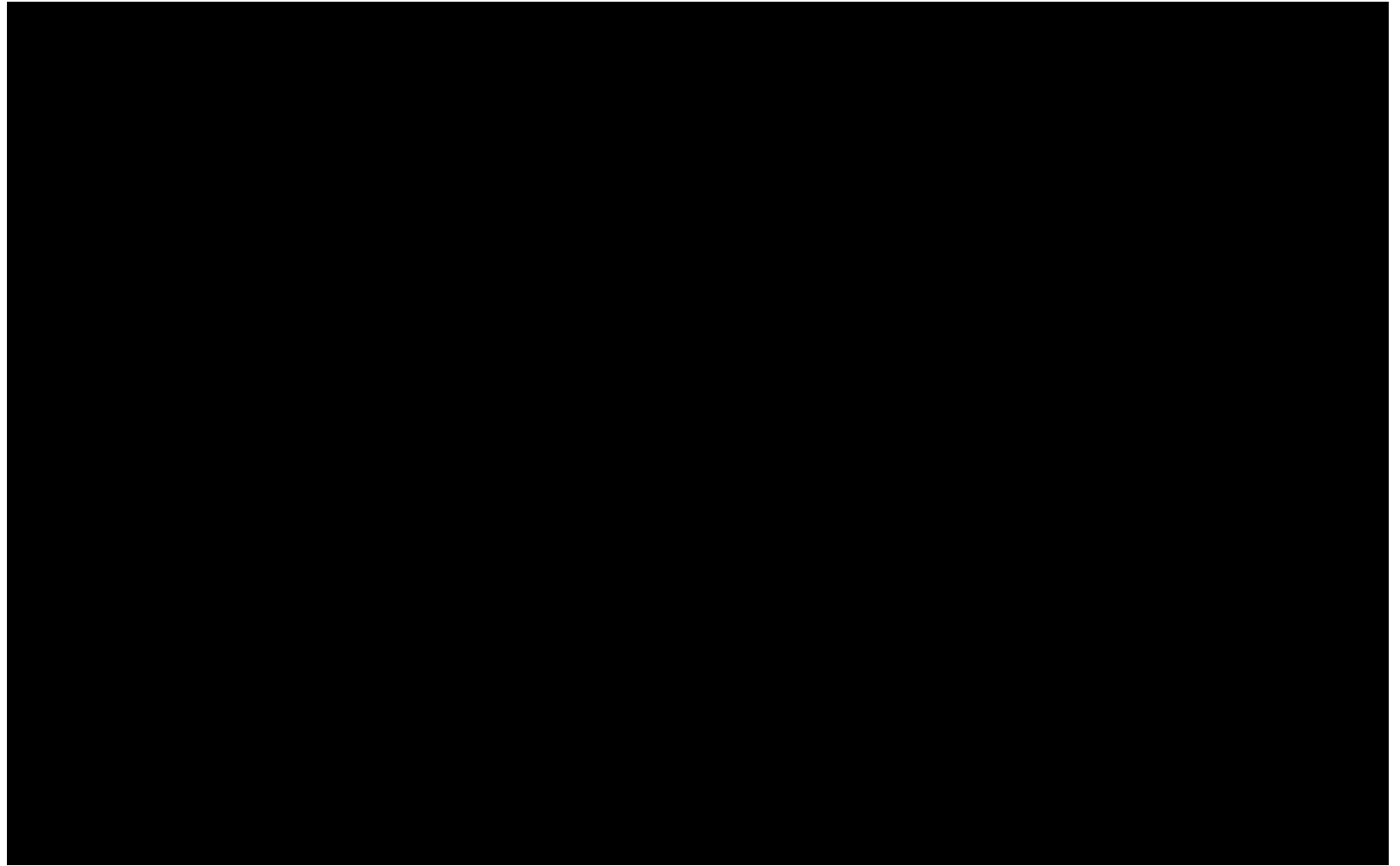
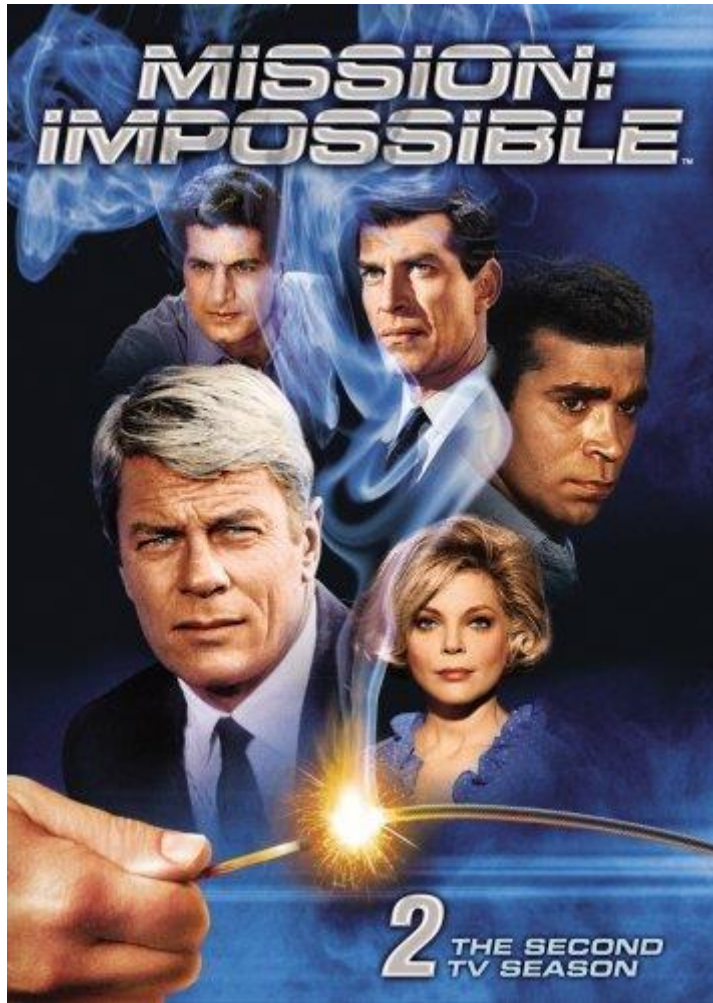
This Includes A “Quick Start Action Plan” – Which Is How We Detect What’s Missing & Prioritize

Exit Planning

**Team
Play**

**What Does
Team Play
Look Like?**

Team Play



VIDEO

12 Areas Where We Are Collaborating With Financial Advisors On Exit Planning For Business Owners (No Particular Order)

**A Team
Is
Needed**

1. Recognizing The “Fourth Quarter” Signals
2. Estate, Succession & Exit Plan Design
3. Wealth Projections
4. Cash Flow Projections
5. Tax Planning Analysis
6. Valuation Options/
Appraisals
7. Quality Of Earnings (Q of E) Reports
8. Corporate Structure
9. Business Sense
10. Cash Flow Testing The Plan
11. Life Insurance Positioning
12. Gut Checks

Exit Planning

The Exit Planning Process

Where Do We Suggest You Start?



**3 Key Questions
To Ask Every
Business Owner
Client**

Exit Planning



1

Discover: Probable Outcome

What will be the probable, almost certain, future outcome of your present course, if left unchanged?

Exit Planning



2

**Decide:
What's Missing**

What's missing - the presence of which will make a substantial difference in producing a better future outcome?

Exit Planning



3

**Deploy:
What Next**

What do we need to do next to move ahead with speed, clarity and focus to deploy what's missing?

Family Business Leaders

Results Not
Wanted



Family Business Leaders

Results Not
Wanted



Results
Wanted



Family Business Leaders

Results Not
Wanted



Results
Wanted



Results
Achieved By



What Is The Financial + Personal Cost
of Being Too Late or Out of Time?

What Is The Financial + Personal Value
of Each Great Plan Deployed In Time?

**Most Financial
Advisors We Work
With Are Not
“Exit Planning
Advisors”**

**They Tap Into Us
And Our Network,
Experience and
System To Work
Together To Benefit
Their Clients**



Sum Up

Exit Planning

**Why Do Great Client
Advisor Teams
Go The Extra Mile
To Do This?**

Our Exit Planning System

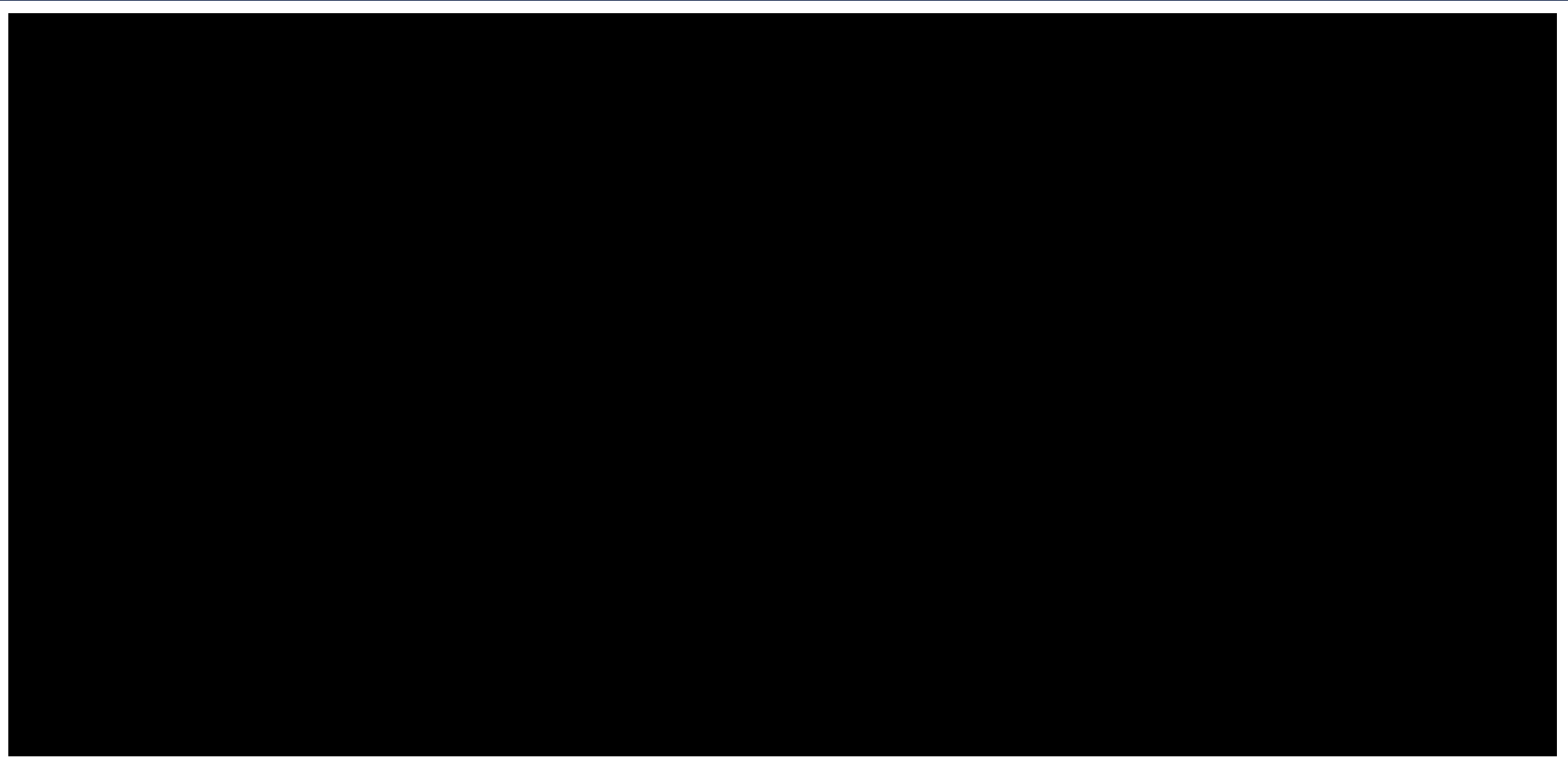
Why We Do It

Because we believe in the greatness of the Family Business Dream.

Our Mission

That no Family or Family Business will fail on our watch.

**We Are Grateful For Moments Like On The
Following Video**



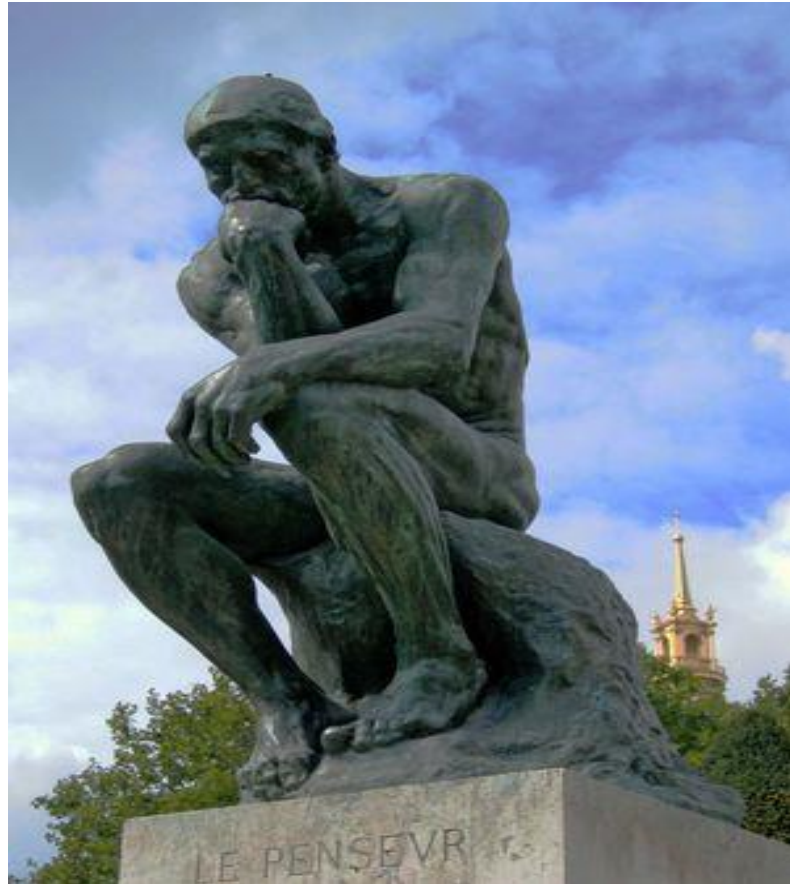
VIDEO



Wrap Up

What Do We Encourage Business Owners And Advisors To Do?

“Work ON Your Business”



VS.

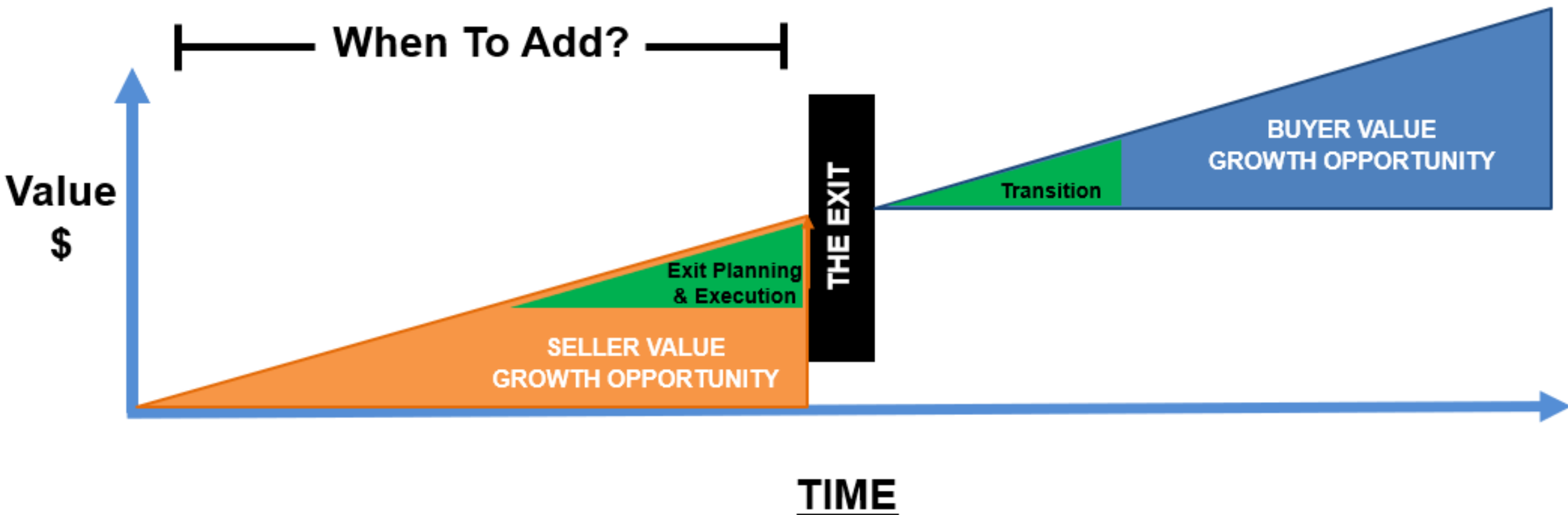
“Work IN Your Business”



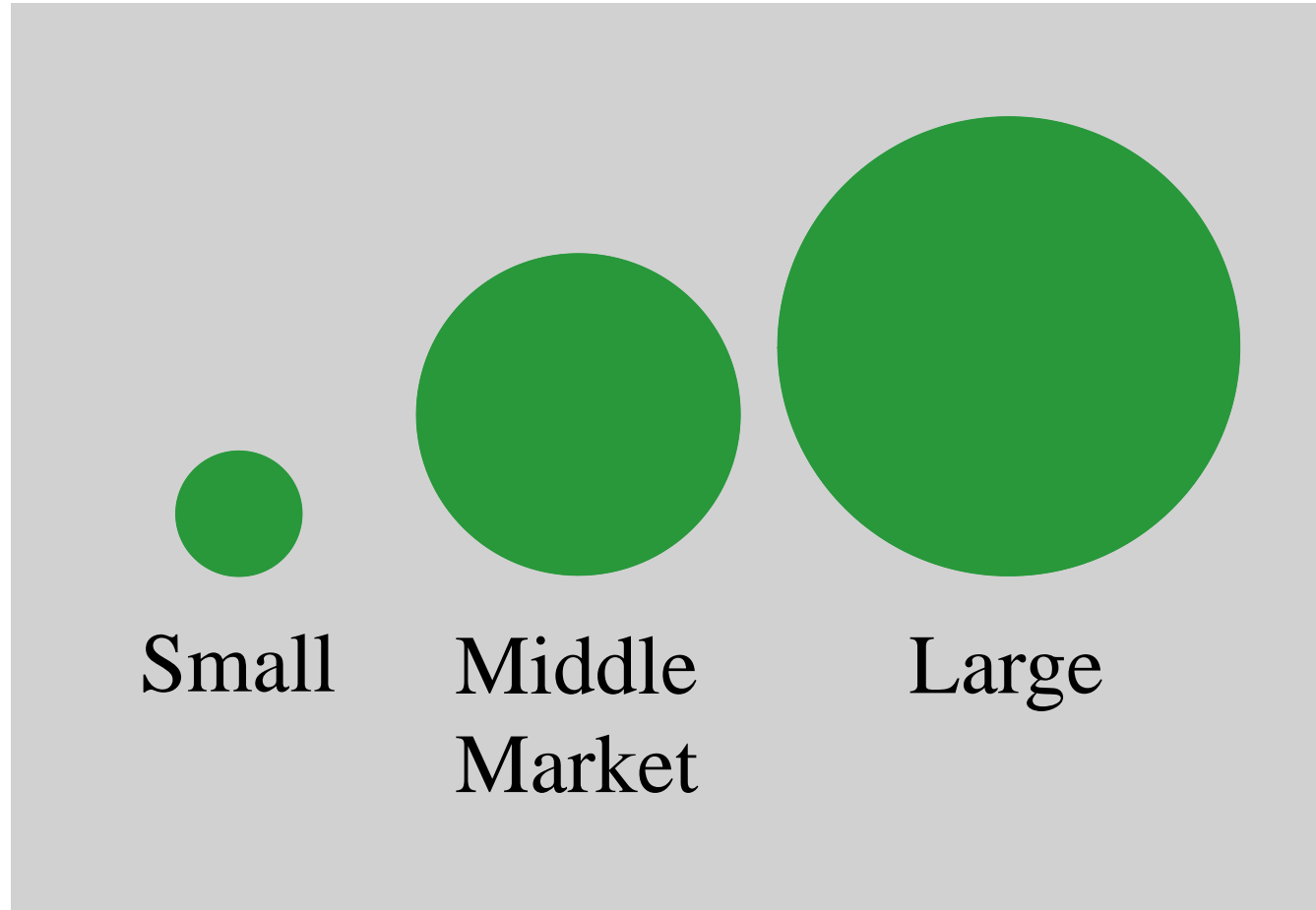
WHEN
SHOULD
YOU

IMPLEMENT
or
IMPROVE:

The Code Of Business Conduct?



We Are Finding Exit Planning Is Needed For All Size Companies



We Are Finding Exit Planning Is Needed In Many Sectors

Business

- Consumer Product Manufacturing
- Industrial Manufacturing
- Business Services
- Food and Beverage
- Construction
- Health Care
- Agribusiness
- Farm & Ranch
- Real Estate
- Product Development
- Transportation
- Distribution
- Financial Services
- Retail
- Human Resources
- Franchise
- Security
- Consumer Services
- Education
- Personal Services
- Leasing
- Technology Licensing

Professional

- CPAs
- Financial Planners
- Insurance Advisors
- Business Consultants
- Investment Advisors
- Environmental Specialists
- Engineers
- Attorneys
- Architects
- Physicians
- IT Professionals
- Real Estate Developers

We've Been Working On Exit Planning With Business Leaders And Advisors Across U.S.

Alabama

Birmingham

Arizona

Phoenix

Scottsdale

California

Berkeley

Burbank

Carlsbad

Cathedral City

Chatsworth

Commerce

Downey

El Granada

Fairfield

Glendora

Los Angeles

Menlo Park

Monterey

Newport Beach

Oakland

Ontario

Palm Desert

Pleasanton

Pomona

Salinas

San Diego

San Francisco

Santa Monica

Suisun City

Colorado

Aurora

Colorado Springs

Denver

Englewood

Fort Collins

Greeley

Greenwood Village

Keenesburg

Connecticut

Stamford

Florida

Boca Raton

Bonita Springs

Coral Springs

Fort Meyers

Fort Lauderdale

Jacksonville

Orlando

Sarasota

Tampa

Trinity

Georgia

Atlanta

Columbus

Illinois

Chicago

Edwardsville

Glen Carbon

Naperville

Quincy

Indiana

Indianapolis

Iowa

Ames

Cedar Falls

Cedar Rapids

Council Bluffs

Davenport

Des Moines

Ida Grove

Iowa City

Glenwood

Monroe

Sioux City

Tabor

Waterloo

Kansas

Kansas City

Manhattan

Topeka

Wichita

Winfield

Kentucky

Louisville

Louisiana

Lafayette

Mandeville

Monroe

New Orleans

Maryland

Easton

Germantown

Silver Springs

Massachusetts

Boston

Michigan

Detroit

Lansing

Petoskey

Traverse City

Minnesota

Albert Lea

Andover

Bemidji

Burnsville

Eagan

Minneapolis

Northfield

New Ulm

St. Louis Park

St. Paul

Wayzata

Mississippi

Gulfport

Missouri

Canton

Kansas City

Monticello

Springfield

St. Charles

St. Louis

Nebraska

Alliance

Ashland

Bellevue

Blair

Burwell

Columbus

David City

Elkhorn

Fremont

Grand Island

Gretna

Hastings

Holdrege

Kearney

La Vista

Lexington

Lincoln

Madison

Minden

Norfolk

Omaha

Papillion

Sidney

South Sioux City

Waverly

York

Nevada

Las Vegas

Henderson

New Jersey

Cranford

Franklin Lakes

Morristown

New York

New York City

South Hampton

North Carolina

Charlotte

Greensboro

High Point

North Dakota

Bismarck

Ohio

Akron

Canton

Cincinnati

Cleveland

Columbus

Dalton

Oklahoma

Oklahoma City

Oregon

Portland

Pennsylvania

Harrisburg

Lancaster

Lewisburg

Philadelphia

Pittsburgh

York

Zelienople

South Dakota

Dakota Dunes

Mitchell

Pierre

Ree Heights

Sioux Falls

Texas

Athens

College Station

Dallas

Houston

Leander

Plano

San Antonio

Utah

Alpine

Bountiful

Park City

Salt Lake City

Sandy

Virginia

Roanoke

Washington

Edmonds

Issaquah

Wisconsin

Eau Claire

Madison

Milwaukee



The “Talent Stack”

**Scott Adams -
Dilbert Creator and
Author of “Reframe
Your Brain” - has
coined the term
“Talent Stack”
(A variety of skills that
work well together).**

His “Talent Stack”

Drawing
+ Writing
+ Business Skills
+ Work Ethic
+ Risk Tolerance
+ Sense of Humor
= Unique Talent

What's Your “Talent Stack”?

- Due To The Personal, Business And Financial Demographics ...
- The Country Needs More Advisors Focused On Exit Planning

My Tap On Your Shoulder:

Consider Adding (or Expanding) Exit Planning to Your Unique “Talent Stack”

The “Talent Stack”

This is another Main Play For
Leadership Exits

Which we also teach to
potential Successors

And

Which we teach to
Financial Advisors

The “Day After The Conference” Challenge

“Starting Tomorrow, How Will You Deploy One Thing You Learned Today?”



**Begin With The
Foundation**

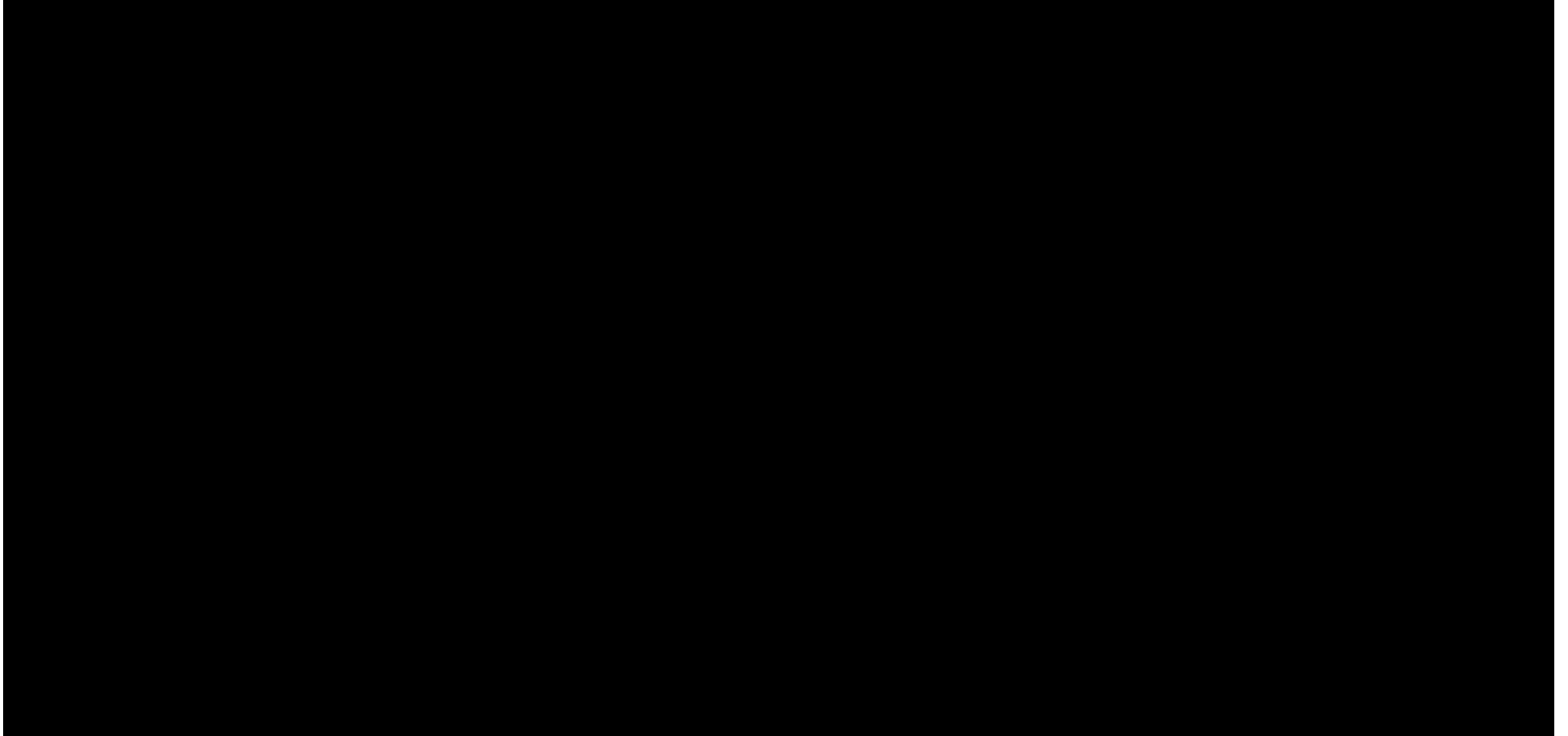
**The Code Of
Business
Conduct**

- For a Client**
- For Your Firm**

These Are Some “Day After The Conference” Suggestions That We’ve Seen Work

1. **Prospects** - A conversation starter.
2. **Quick Deliverable** – The “Code of Business Conduct” is a quick first deliverable.
3. **Your Story** - A new way to tell your story.
4. **Client Legacy** - A new way to work with each client to develop his/her legacy.
5. **Financial Plan Services** - A new component to add to existing engagements.
6. **Annual Client Review List** - Add “Copy of Code of Business Conduct” to your Annual Review List.
7. **Article** - Write an article on this (for your client Alerts or outside publication).
8. **Podcast** - Add this to your next Podcast.
9. **Paused Engagements** - Use this as a prompt for engagements “on hold” or “let us get back to you”.
10. **Exit Planning Organization** – Look at joining BEI or EPI.
11. **Reach Out** – Reach out to us to discuss how this can fit into your Practice in a bigger way.
12. **Lunch & Learn** – Schedule a Lunch & Learn with us for your Team.

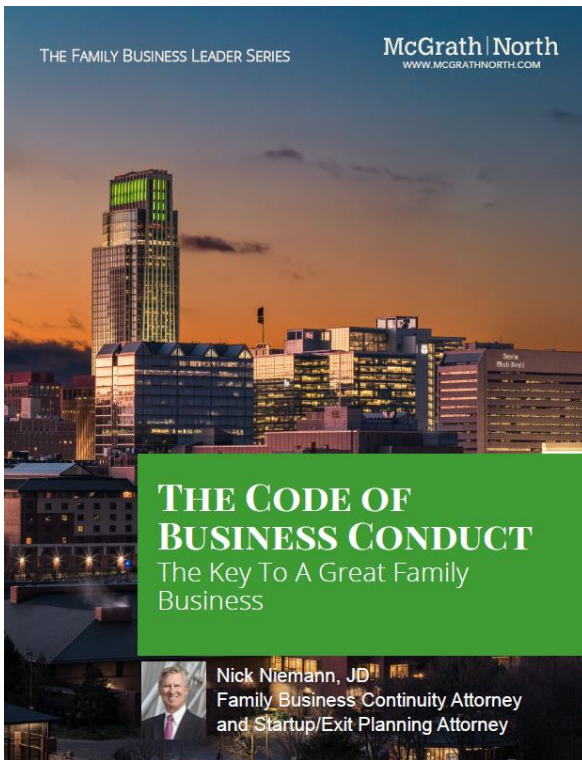
Exit Planning Happens While The Owner And You Are Still Going Full Speed




Additional Resources at www.FourthQuarterFirst.com

THE FAMILY BUSINESS LEADER SERIES

McGrath | North
WWW.MCGRATHNORTH.COM



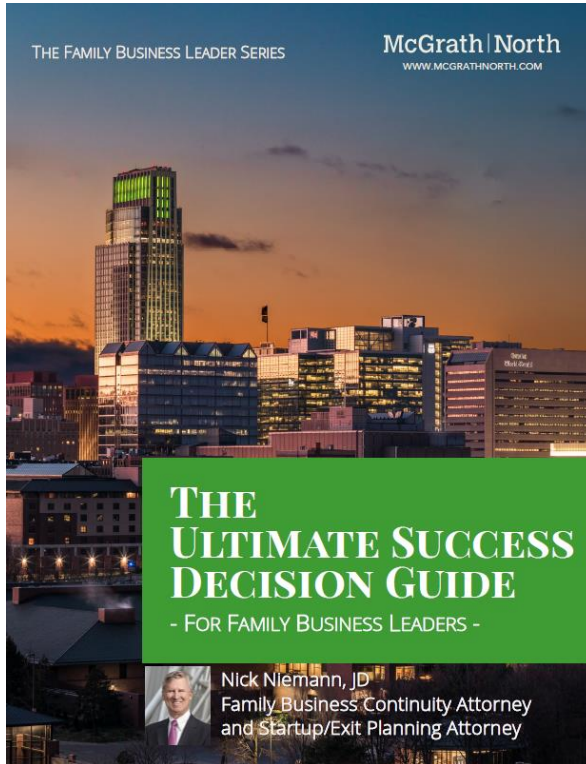
THE CODE OF BUSINESS CONDUCT
The Key To A Great Family Business




Nick Niemann, JD
Family Business Continuity Attorney
and Startup/Exit Planning Attorney

THE FAMILY BUSINESS LEADER SERIES

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WWW.MCGRATHNORTH.COM



THE ULTIMATE SUCCESS DECISION GUIDE
- FOR FAMILY BUSINESS LEADERS -



Nick Niemann, JD
Family Business Continuity Attorney
and Startup/Exit Planning Attorney

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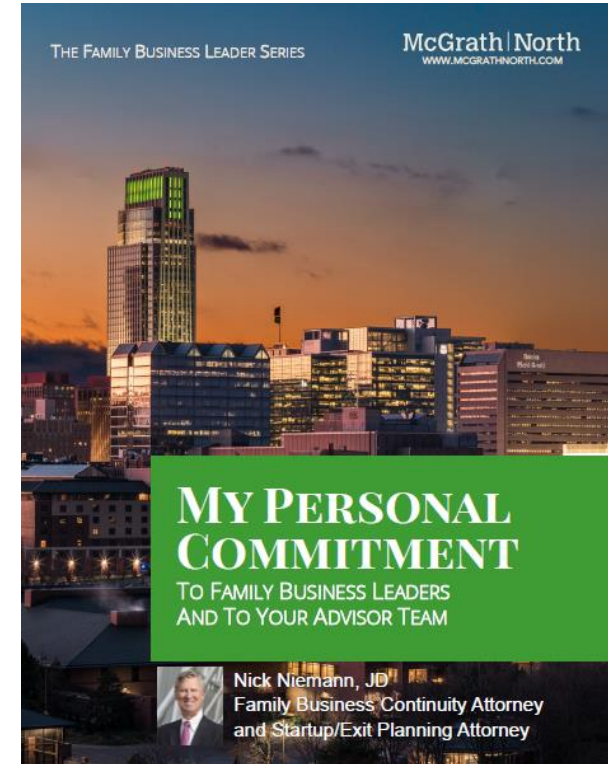
THE "GET MY COMPANY READY TO BE SOLD" PROTOCOL




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Family Business Continuity Attorney
and Startup/Exit Planning Attorney

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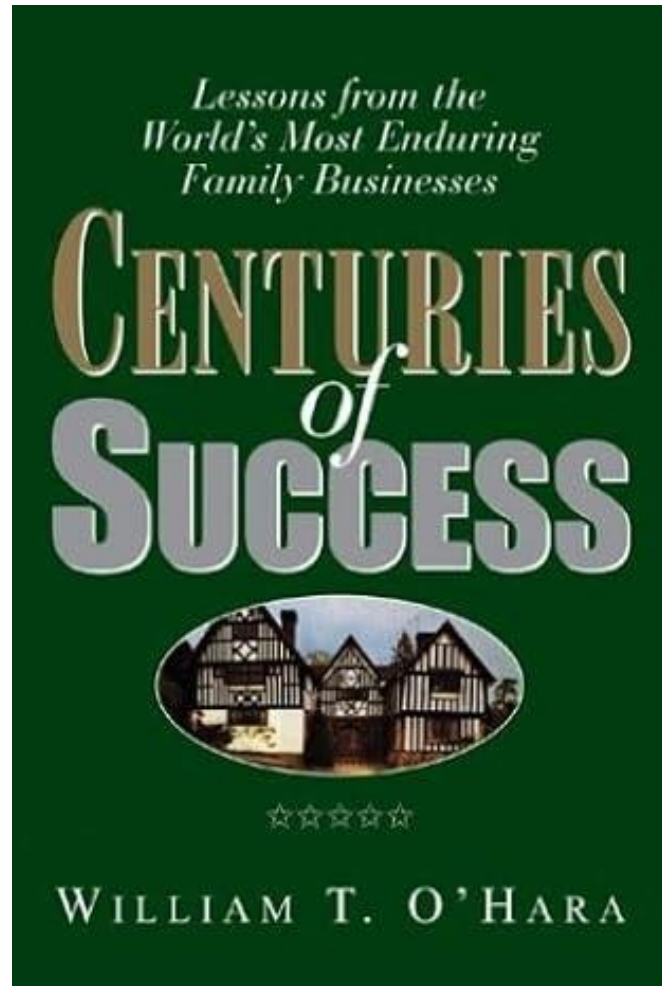


MY PERSONAL COMMITMENT
TO FAMILY BUSINESS LEADERS
AND TO YOUR ADVISOR TEAM



Nick Niemann, JD
Family Business Continuity Attorney
and Startup/Exit Planning Attorney

Additional Resources On This Topic



My Favorite
Book
This Year

Additional Resources On This Topic



If you'd like a complimentary copy of my book, please let me know.

Additional Resources On This Topic

**Lunch &
Learn
or 1-2-1**

**If you'd like this
Program presented
to your Team, or
to just discuss
further, please let
me know.**

**Let's "Build the Dream"
Together**



VIDEO

Questions?

NICK NIEMANN

**McGrath North Law Firm
Based In The United
States of America**

Thank You!



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The “Code of Business Conduct”

The Team Play Driver For Achieving Your Ultimate Success

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