



THE HERITAGE DESIGN PROFESSIONAL™ COACHING PROGRAM

This coaching program is designed for successful professionals who desire to take their practice and their relationships with their clients to the next level. For many professionals, the “next level” means increasing their profits, increasing their retention, and/or working with higher net worth families. You will not achieve any of those outcomes by doing whatever you are doing now (“what got you here won’t get you there”). Transformation does not come from doing things bigger, better, faster or doing more of it. Transformation comes from starting from a different place.¹

Heritage Design and the Heritage Design Professional™ Coaching Program start from a different place. It will give you the tools, skills and competencies necessary to achieve your desired outcomes.

When asked what they want for themselves and their families, many clients describe their desire for confidence in their own lives, that their family thrives together for multiple generations, and that each successive generation is prepared for the inheritances they will receive. **Unfortunately research shows, and our experience confirms, that only 10% of families are successful at attaining those desired outcomes, despite quality financial and estate planning.**

Helping your clients (and their families) attain their desired outcomes builds a unique bond between you and your clients by giving the clients what they are looking for/demanding, and it increases your profits.

Our most active Members say the training they received through this Coaching Program has:

- Distinguished them from their competition,
- Increased their profits, retention, and engagements of new “A” clients,
- Equipped them to build deeper client relationships,
- Created multi-generational client engagements, and
- Increased the value of their practice.

¹ Carter, Doug.

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The certification program is designed to be completed within two years. It is our experience that it takes three or more years to master the concepts and skills provided in the first two years, and to build the practice you may desire to build.

If you have not completed your certification requirements by the end of your second year, you may extend the coaching program for one additional year. You must complete your certification requirements during this year. Your investment for this third year extension will be \$6,900.00 which must be paid upon renewal. As you continue towards completing your certification requirements, your third year extension investment includes attendance at our Annual Meeting & Dinner and up to four mentoring calls. You will not be eligible to have access the Certified Members team and library on Knowledge Vault or be eligible to attend the Year 3+ Coaching Program until you have completed your certification. Our certification provides assurances to your clients that you are both trained and proficient in Heritage Design. You cannot become or remain proficient if you do not actively apply your Heritage Design training (which is why there are both ongoing experience and continuing education requirements to maintain your certification). Consequently, if you have not completed your certification requirements by the end of your third year extension, you may become a THI Member. You will not, however, be allowed to complete your certification without starting the entire certification program over.

The **first year** of the program includes four (4) in-person meetings plus twelve (12) coaching/ mentor calls, three (3) mid-term session group calls (if requested by team), and pre- and post-session homework. Also included are copies of the books *Beating the Midas Curse* and *What Matters*, participation in the Stratton ILS survey, Expectations Conversation, Quantification Exercise and other assessments to understand your leadership and communication styles, plus you will experience what you are being trained to do. The four in-person sessions are:

Better Listening. Better Questions. Better Relationships Academy² gives you both an overview of the Principles of Heritage Design services, and specific, practical training that you can use the next day to increase your profit and retention in your existing practice. This Academy is for successful advisors who

² *This session may include other professionals not enrolled in the coaching program and is formerly known as Principles of Heritage Design.



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desire to build deeper relationships with their existing clients and take their practice to the next level.

The pre-session requirement:

- 📖 View a webinar providing the overview of Heritage Design and how it fits with financial and estate planning and within your existing practice;

During the session you will receive training and practice the following:

- 📖 The details of the 7-step Alignment Conversation™, and the Expectations Conversation© which are key in dramatically improving your relationships in many different situations.
- 📖 Understanding and facilitating your client/prospect's decision making process
 - Levels of Understanding
 - Decision making triangle
 - Decision making process
- 📖 Creating Alignment with Existing Clients and Engaging New “A” Clients
 - Drafting and asking the right questions the right way
 - How and when to quote your fee
 - Setting clear, agreed upon expectations for both you and them
- 📖 Uses of the Alignment Conversation within your office
- 📖 Using the Expectations Conversation to set clear, agreed upon expectations with your clients, prospects, and within your office. One definition of disappointment is “the difference between someone’s expectations and their experience.” Our clients often have unstated (and sometimes unrealistic) expectations. If we do not know what those are, you are likely to unknowingly disappoint them.



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The remaining three sessions in the first year will be:

Alignment Days: For Families, Businesses, and Organizations. (formerly Family Alignment Days®).

- 👑 During this session you will experience Family Alignment Day® (Day 1) and learn how to facilitate the day (Day 2) that includes:
 - Creating alignment within the family/business/organization
 - Identifying the family's or entity's purpose
 - Identifying the leadership and communication styles within the family or entity
 - Creating common vision
 - Identifying the purpose of the family's or entity's financial wealth and value of keeping it together
 - Priorities and next steps

Guided Discovery Process™

During this session you will receive training and practice the following skills:

- 👑 Empathetic listening
- 👑 Drafting and asking compelling questions
- 👑 Documenting your client's story, life lessons, values, standards and principles
- 👑 How the principles of Guided Discovery are the key to the entire Heritage Process and building better relationships both personally and professionally.

Engagements NOW!

During this session you will receive training and practice the following skills:

- 👑 Introducing the concepts of Heritage Design to clients, prospects and allied professionals
- 👑 Quantifying the value of Heritage Design to clients, prospects and allied professional

You will also actually make appointments with clients, prospects and/or allied professionals during this session.



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During the first year we will help you understand and identify the roles you want to fulfill, **and you must complete at least two Guided Discovery engagements that lead to Heritage Statements and at least one Family Alignment Day® as part the requirements of your certification.**

The **second year** of the Coaching Program is required to achieve the Heritage Design Professional certification. This year includes three (3) in-person Advanced Coaching Sessions, three (3) mid-term session group calls (if requested by team), and nine (9) coaching/ mentoring calls focused on the following topics:

Sustaining Engagements and Initial Heritage Days

The key difference between the 90% and the “successful 10%”

- 👑 Engaging children, grandchildren, and future generations
- 👑 How to build an agenda to meet families desired outcomes
- 👑 Mentoring both G1 and G2 during the year between Family Alignment Day and the Initial Heritage Day.
- 👑 Setting HOOKS during every conversation

Ongoing Heritage Days/Family University/Exercises

During this session you will receive training and practice the following skills:

- 👑 Mentoring both G1 and G2 during the year between the Initial Heritage Day and On-going Heritage Days.
- 👑 Understanding Elements of Pre-inheritance Experiences
- 👑 Choosing and Facilitating group exercises to meet desired outcomes
- 👑 Participating in group exercises to understand what the family will be experiencing

Collaborative Teams and Live Cases

During this session you will receive training and practice the following skills:

- 👑 Clearly identify the roles necessary for your client to achieve their desired outcomes



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- 👤 Clearly identify the role(s) you desire to perform and
- 👤 How to profitably create the collaborative team of professionals that will fill all other roles.

During your second year you should complete all of your remaining certification requirements.

As part of your Coaching Program investment you will receive a limited intellectual property license to use our intellectual property that you have received during your coaching sessions, listing on our website, the right to attend any other Academies at a discounted tuition, tuition free attendance at our Annual Meeting (just the Annual Meeting and Dinner), and access to the THI Member Community on our Knowledge Vault.

After you obtain your certification you may join our Year 3+ Certified Member coaching program which is where you will reach mastery plateaus, and continue to refine the roles you desire to perform and build and facilitate the collaborative team of professionals to perform all of the other roles. As part of your Certified Member fee for Year 3 and beyond you will receive a full intellectual property license to use our intellectual property, participation in an advanced Coaching Group, tuition free attendance at our Annual Meeting (just the Annual Meeting and Dinner portion), the right to use the Heritage Design Professional™ designation if you are a Certified Member in Good Standing, the right to attend any of our other Academies at a discounted tuition, and access to Knowledge Vault.

Current Coaching Program investment and Membership fees are as follows:

- 👤 \$17,800.00 for the first year Coaching Program. In addition to the Coaching investment, you must pay to have a qualified HDP facilitate your personal Guided Discovery (typically \$1,000 plus travel expenses, if any). You may also incur additional expenses for transcription, travel and books;
 - 👤 \$13,800.00 for the second year of the Coaching Program; and
 - 👤 \$6,900.00 for third year extension of the Coaching Program
(if you have not completed your certification during the first two years)
- OR
- 👤 \$ 5,350.00/year for the Third Year and Beyond Certified Membership.



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The Heritage Institute is a community within which professionals can prepare for and experience their most desired professional and personal outcomes.

We are recognized as the world's foremost authority on creating successful multi-generational families. And, we have an unmatched wealth of intellectual property, processes, training, expertise, and resources for building deeper client relationships, creating relationships with your existing clients' families, and helping your client families stay together for multiple generations.

This Coaching Program utilizes those assets to prepare you to help your clients in ways no other advisor is helping them, while increasing both your profit and your personal satisfaction. But, in the end, many of our members find that our most valuable asset is the community itself. By itself, the ability to interact with and benefit from the wisdom and experience of like-minded professionals from across the nation (and the UK and Canada) generates a huge return on your investment.





Heritage Design Professional™ Coaching Two-Year Timeline upon Approval

- Enrollment** Complete application and send in with initial payment
Approval of application and mentor/coach assigned
- 1-2 months before** Welcome/Introduction Call
Begin required reading and book reports – *Beating the Midas Curse, Start with Why*
Watch Heritage Design webinar
- Session 1:** ***Better Listening, Better Questions, Better Relationships (2 days)***
Qtr 1 First 2 Coaching calls (of 12 for Year 1)
Schedule personal Guided Discovery
Survey Results/ Alignment Conversations with Clients/Creating Engagements;
- Session 2:** ***Alignment Days: Family, Business, Organizations Training Program or Guided Discovery Process™/Heritage Statement (2 days)***
Qtr 2 Required Reading, Assignments and one FAD engagement or Guided Discovery (\$) ***Personal Guided Discovery completed (typical investment \$1,000 plus travel); Personal GD Transcription completed (typical investment, if outsourced \$200-\$350);***
Coaching calls –Creating Engagements;
- Session 3:** ***Alignment Days: Family, Business, Organizations Training Program or Guided Discovery Process™/Heritage Statement (2 days)***
Qtr 3 Required Reading, Assignments, 1 Alignment Day & 2 Guided Discoveries (\$) ***Personal Sabbatical (ideally with Spouse)***
Coaching calls –Creating Engagements & On-line Heritage Statement Training;
Begin working on your own Heritage Statement Outline
- Session 4:** ***Engagements NOW! (2 days)***
Qtr 4 Coaching calls –Working with Families/Creating Engagements;
Required Reading, Assignments - Guided Discoveries & Alignment Days (\$) ***Finishing your own Heritage Statement***
Mid-Term Group Coaching Call
- YEAR 2 -** Each Coaching Session will focus on one of the following topics: ***Sustaining Engagements and Initial Heritage Days (2 days), On-going Heritage Days/Family University/Exercises (2 days), Collaborative Teams and Live Cases (2 days)***
- Session 1:** First 2 Coaching calls (of 9 for Year 2)
Required Reading, Assignments
Heritage engagements (Guided Discoveries, FADs, and/or Heritage Days) (\$) ***Working with Families/Other advisors/Creating Engagements***
- Session 2:** Coaching calls – Working with Families/Other advisors/Creating Engagements
Required Reading & Assignments
- Session 3:** Mentor calls –THE PLAN call - focus on completing requirements
Fulfilling remaining certification requirements including Heritage Days (\$)

BOLD - Travel/hotel expenses & personal guided discovery/transcription/heritage statement are NOT included in HDP™ coaching program fee. (\$) – Revenue opportunities.

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Achieving Certification

Each HDP™ Candidate must complete:

- 🏰 Personal Guided Discovery and Heritage Statement,
- 🏰 Attend and complete all seven (7) coaching sessions,
- 🏰 Complete the assignments plus focus on demonstrating competency in THP and integration of THP into your life and practice by:
 - 🏰 Completing at least six (6) Guided Discovery Process™ engagements with transcription that lead to six (6) Heritage Statements,
 - 🏰 Facilitate the implementation of at least two (2) Alignment Days, and
 - 🏰 Facilitate at least one (1) Initial Heritage Day/On-going Heritage Day.

Must also satisfactorily:

- 🏰 Pass a written examination (which will be scheduled after completion of the requirements described above); and
- 🏰 Pass an oral examination given by THI's Director of Mentoring (or his designee) which will require demonstration of:
 - Successful and profitable integration of Heritage Design into life and practice;
 - An understanding of the value of team and interdependence, and how to actively practice teamwork;
 - Mastery of applicable stories to be used when introducing Heritage Design/The Heritage Process™ to clients, prospects, and other advisors.

Initial



The Heritage Institute Heritage Design Professional™ Coaching Group 2018-1

EARLY REGISTRATION ADDENDUM

This Early Registration Addendum is to be attached to and made a part of the Application of:

Name: _____ Dated: _____

Pursuant to the 20% Early Registration discount offered for this Program, the first year investment for this Coaching Program is \$14,240.00, payable as follows: There is an initial \$4,000.00 due with this application. The remaining balance is payable as follows (initial your elections):

_____ **Annual** investment in advance: \$9,240.00. In order to receive the \$1,000 discount, payment must be made by check or wire transfer, otherwise payment by credit card is \$10, 240.

_____ **Semi-Annual** Fee: \$5,120.00 per payment.

The application must be submitted on or before December 31, 2017 and be one of the first seven (7) applications we receive. If your application is received after that date or is not one of the first seven (7) applications received, then the payment terms shall be as described in the original application. You will receive a notice within 10 days after receipt of your application whether you qualify for the 20% discount. If you do not, you may withdraw your application within 10 day.

_____ **Enclosed is my check in the amount of \$13,240.00. Or**

_____ **Please charge my (Circle One):** Visa Mastercard AMEX

The Heritage Institute is authorized to charge my card immediately for the amount due with the application, and to charge my card the remaining balance of my fees described in my election above. The Heritage Institute is further authorized to keep my card on file and use it for all the fees described above and other items which I order from The Heritage Institute or its affiliated entities.

Card Number: _____ Expiration Date: _____ SCV Code: _____

Card holder's name as it appears on the card: _____

Billing address: _____

Signature: _____ **Date:** _____



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Name: _____ Date: _____

Company: _____

Business Address: _____

Telephone: _____ Email: _____

The first year investment for this Coaching Program is \$17,800.00, payable as follows: There is an initial \$4,000.00 due with this application. The remaining balance is payable as follows (initial your elections):

_____ **Annual** investment in advance: \$12,800.00. In order to receive the \$1,000 discount, payment must be made by check or wire transfer, otherwise payment by credit card is \$13,800.

_____ **Semi-Annual** Fee: \$6,900.00/payment.

The application must be submitted on or before January 1, 2018. If your application is received after that date, there is an additional \$500.00 late registration fee due with your initial \$4,000 payment. Your Annual investment or first Semi-Annual investment is due/will be charged upon acceptance of your application. The second semi-annual payment is due/will be charged on or before July 31, 2018.

Unless you notify us in writing prior to 30-days after the 4th in-person session of your election not to renew, your participation in the Coaching Program will automatically renew for the second year. The second year fee is \$13,800.00 and will be payable in the same manner as your remaining balance election above. _____(Initial here)

Please charge my (Circle One): Visa Mastercard American Express

The Heritage Institute is authorized to charge my card immediately for the amount due with the application, and to charge my card the remaining balance of my fees described in my election above. The Heritage Institute is further authorized to keep my card on file and use it for all the fees described above and other items which I order from The Heritage Institute or its affiliated entities.

Card Number: _____ Expiration Date: _____ SCV Code: _____

Card holder's name as it appears on the card: _____

Billing address: _____

Signature: _____ **Date:** _____



In order to maximize the value you will receive from this coaching program, you agree as follows: (read and initial each)

_____ I agree to attend the four (4) first year sessions for which I am applying: March 1-2, 2018 (during the Annual Meeting Week), May 7-8th, August 15-16th, and November 7-8th. All the first year's meetings will be held in Dallas, TX. Upon my renewal for the second year, I agree to attend the three (3) second year session which are tentatively scheduled for February 25-26th, 2019 (during the Annual Meeting Week), May 6-8, and September 25-26. All of the second year's meetings are also tentatively scheduled to be held in Dallas. And, I understand and agree that there is no credit for missed sessions.

_____ I understand and agree that all sessions end at 5:00pm, and will make my travel arrangements to allow for me to attend the entire session.

_____ I understand and agree that I may terminate my participation in the Coaching Program after the forth first year session if I provide written notice to The Heritage Institute within 30 days after the 4th session.

_____ I agree to protect The Heritage Institute's Intellectual Property, and agree that any reproduction, presentation, distribution, transmission, or commercial use of the concepts, strategies, methods, materials, and all other trademarks, in any media, now known or hereafter invented, is prohibited without the express written permission of The Heritage Institute. I agree that I shall not use any device, now existing or hereafter invented, to make an audio and/or visual recording, transmission, or broadcast of any workshop session, in whole or in part.

_____ I agree that The Heritage Institute has the right to reschedule workshops and/or substitute coaches.

_____ I understand that the Heritage Design certification curriculum is a two year process, and that this Coaching Program provides the first two years of Academic content. I am also expected to apply what is learned through practical experiences and insights as I go, and mastery of the concepts will continue after certification and during Year 3 and beyond of my membership.

_____ And, I agree that The Heritage Institute reserves the right to decline or terminate my participation in the Program for any reason at any time.



Date of Birth: _____ Social Security Number: _____

Background: In the past five years, have you (circle one):

Been the subject of any complaint or proceeding by any regulatory body or organizations Yes No

Been suspended, expelled, fined, barred, censured or otherwise disciplined or found to have violated any law or rule by any employer or regulatory body or organization? Yes No

Been refused a license or had a license suspended or revoked by any regulatory body or organization? Yes No

Had a bonding company deny, pay out or revoke a surety or fidelity bond for you? Yes No

Paid any sum, personally or through your employer to compromise or settle a complaint against you? Yes No

Been convicted of or plead *nolo contendere* to any felony or misdemeanor? Yes No

If the answer to any of the preceding questions is *yes*, please type out and attach a detailed explanation.

Years in Business: _____ Designations: _____

Other Qualifications: _____

Name of the THI Member(s) who recommends you: _____

Name of your Broker Dealer (if applicable): _____



The purpose of The Heritage Institute is to help as many families as possible sustain their family wealth and unity across generation. That purpose is only fulfilled by training people who are going to help families. Our Heritage Design Certification Coaching Program is very interactive and limited in the number of people who can attend each session therefore, we will only accept people who are going to use the training and help families so please answer the following:

What do you desire to get out of this program?

How do you anticipate using the training?



Please list three **personal** references (Please Print Legibly):

<u>Name</u>	<u>Phone</u>	<u>State</u>
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____

Please list three **professional** (Please Print Legibly):

<u>Name</u>	<u>Phone</u>	<u>State</u>
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____

I understand that, if this application is accepted, this Membership shall be effective for a term of one year, and will renew automatically for additional one year terms unless it is terminated as described below. I understand that this membership may be terminated if, in the sole discretion of THI, I have failed to comply with any of the Membership qualifications, I have not maintained my practice in a manner consistent with The Heritage Process™ espoused by THI, I have violated THI's Code of Ethics, or I take any action that THI deems to be not in the best interest of THI or any of its Members. I understand and agree that said determination is subjective, and will be made by THI in its sole discretion. If this Heritage Design Professional™ Membership Application is accepted and THI agrees to renew this Membership each year, this Membership will be automatically renewed with no further action from me. If I desire to terminate this Membership at the end of any term, I agree to provide THI with notice of said termination not less than 30 days prior to the renewal date. The renewal fees shall be at the then applicable rates (which may be modified from time to time by THI).

I understand that The Heritage Institute videotapes academies and events. I hereby authorize The Heritage Institute to use my image and/or voice as it is so recorded on its web site or in any other media as it so chooses.

Signature: _____ Date: _____

Please scan and email your completed application to amy@theheritageinstitute.com or fax it to 503-214-8123.