How the Best Become the Best

ADVISOR ADVANCEMENT INSTITUTE

NEW YORK LIFE INVESTMENTS

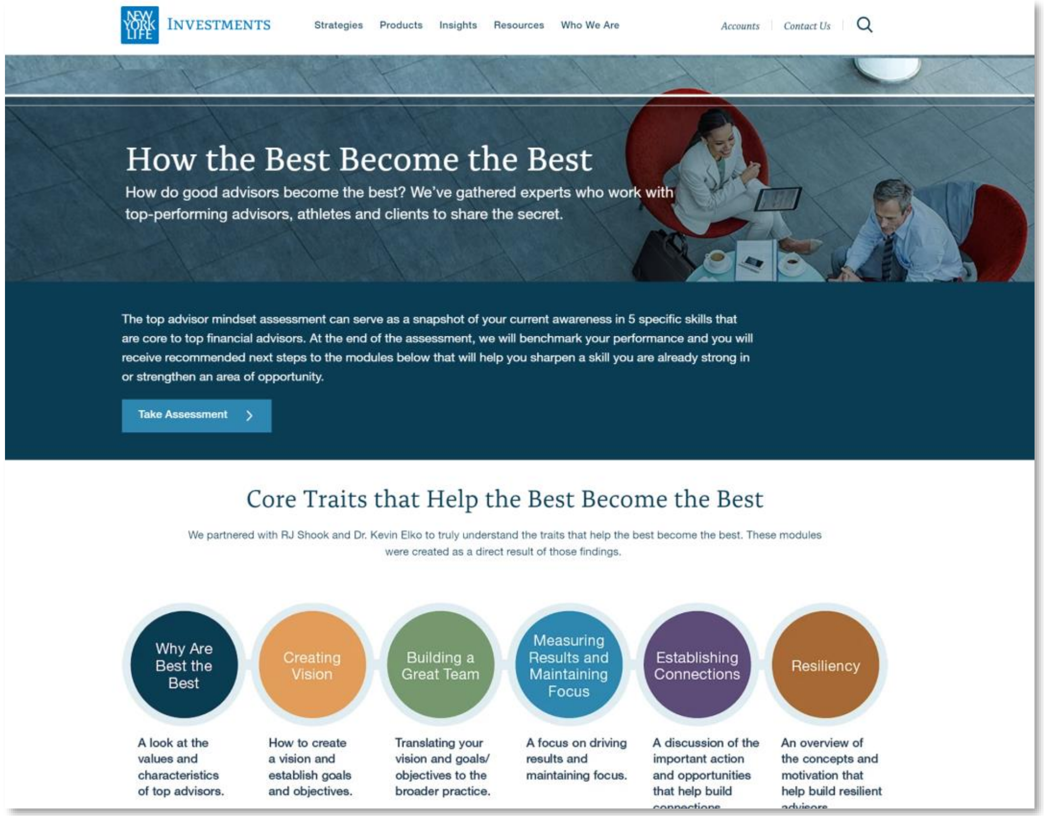
Advisor Advancement Institute

We are passionate about educating our colleagues and underserved communities about financial literacy and the importance of taking full control of one's financial future. We help advisors recognize growth by unlocking the value of client relationships through research, best practices, innovative ideas and hands-on coaching.

- Women & Investing
- Teaming & Leadership
- ESG
- How the Best Become the Best
- Speakers Bureau

How the Best Become the Best

- As the advisory business evolves, the best financial services professionals must evolve too
- Created in partnership with RJ Shook/Shook Research & Dr. Kevin Elko
- Program merges performance research from our industry along with academic research on the traits of top performers
- Online coaching program open to all financial professionals, consisting of self assessment, coaching videos and actionable worksheets
- [How the Best Become the Best | New York Life Investments]()



Meet R.J. Shook

R.J. Shook is Founder & President of SHOOK Research, and Senior Contributor to Forbes. As the world's only Advisor research organization that focuses on the quality of the Advisor and extensive due diligence, rankings are published in multiple feature stories in Forbes and other publications. He founded Winner's Circle in 2000 and provided Wealth Advisor rankings to Barron's (News Corp. acquired Winner's Circle in 2008).

SHOOK Research's philanthropy includes a ranking of America's Top Givers in Forbes magazine; the rankings helped raise over $300 million. SHOOK's national events have broken fund-raising records by raising over $3 million for: Susan G. Komen, Children's Cancer Research Fund and Make-A-Wish. After graduating Babson College, Shook spent his Wall Street career with Prudential Securities as a financial advisor, then research. He's written 10 books, including six of his popular Winner's Circle series. He lives in Boca Raton, FL with his wife and three kids.

Meet Dr. Kevin Elko

Dr. Elko is a performance and career-enhancement consultant, nationally renowned sport performance consultant, keynote speaker and best-selling author. He received his bachelor's degree in biology education and coaching from California University of Pennsylvania. He received two master's degrees and a doctorate at West Virginia University and was later inducted into West Virginia University Hall of Fame. Dr. Elko focuses on helping Fortune 500 organizations in the areas of Leadership, Goal Setting & Performance. With unparalleled energy, he highlights the incredible power of resiliency as well as teaches his unique solution to becoming a champion in life and in business.

Dr. Elko has also worked with various NFL teams including the Philadelphia Eagles, Dallas Cowboys, Pittsburgh Steelers, Miami Dolphins and New Orleans Saints as well as seven BCS National Championship Football Teams including University of Miami, L.S.U, University of Alabama and Florida State University.

Meet Jennifer Tarsney

Jennifer Tarsney is the Head of the Advisor Advancement Institute at New York Life Investments. In her role, Jen is responsible for the development and delivery of practice management thought leadership to assist both senior management and advisors in understanding key trends and best practices in asset and wealth management.

Jen joined New York Life Investments in June of 2000 as a Director on the National Account Management team, with responsibilities for building and maintaining strategic home office relationships with New York Life Investments most important client firms.

From June 2008 through October 2018, Jen was the Regional Vice President/Advisor Consultant in New York City, responsible for marketing mutual funds, separate accounts, alternative investments and ETF’s to retail wirehouses and regional brokerage firms. Jen began her career at OppenheimerFunds in 1995, where she spent 5 years on the Financial Institutions National Account team.

How the Best Become the Best – Self Assessment

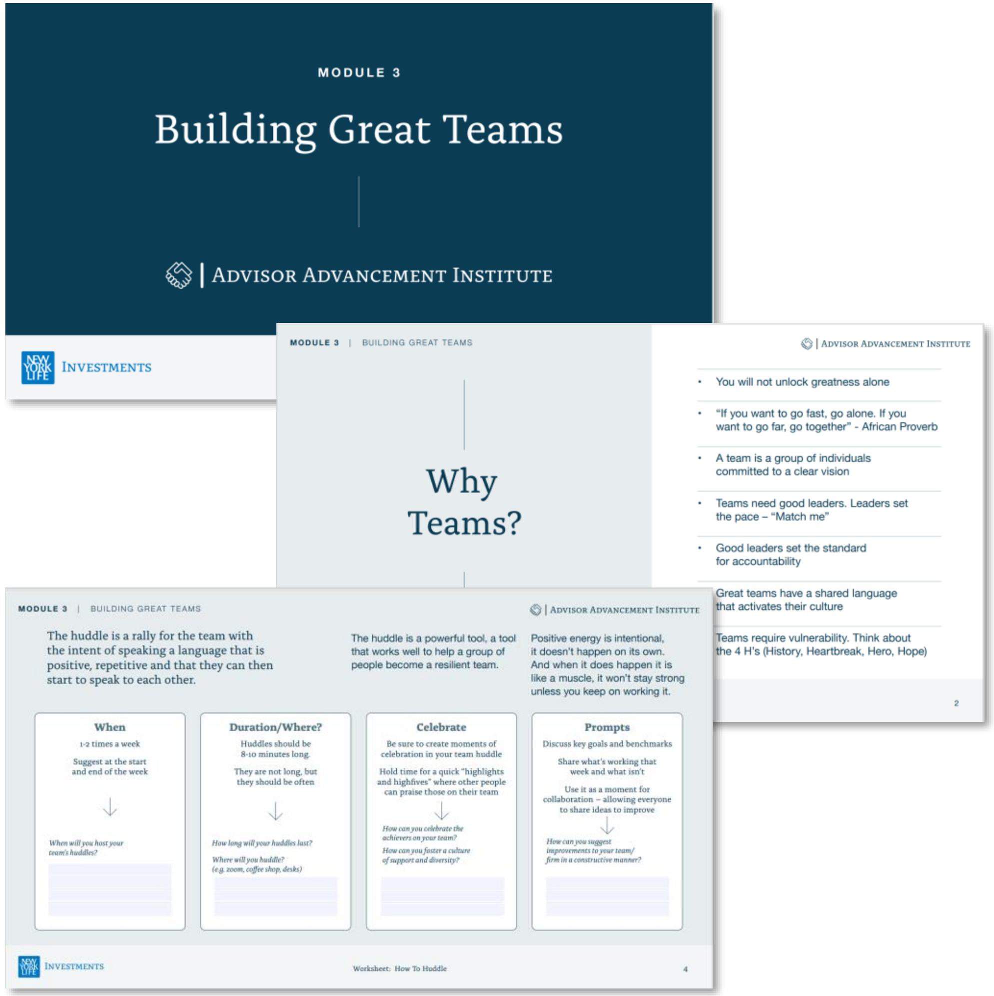
- "Top Advisor Mindset Assessment"
  - 50 question assessment focusing on 5 traits:
    - Resiliency
    - Connection
    - Goals
    - Boldness
    - Intrinsic Motivation
  - Summary of self assessment and performance in each trait provided post completion of assessment
  - Next steps

How the Best Become the Best – Video modules

- Modules available on-demand
- Assessment will provide direct linkage to the module that presents opportunity for growth
- Each module will have a corresponding worksheet
- Potential opportunity for 1 on 1 training sessions

How the Best Become the Best – Worksheets

- Module 1 – Why the Best are the Best
  - Review self assessment and provide holistic planning outline
- Module 2 – Creating Vision
  - Determine your vision and help your clients determine their vision
- Module 3 – Building a Great Team
  - Actionable steps to strengthen team relationships and communication
- Module 4 – Measuring Results and Maintaining Focus
  - Specific activities for goal planning and accountability
- Module 5
  - Guidance on how to demonstrate the **5 C's of Connection**: Concern, Coaching, Context, Communication and Commitment
- Module 6
  - How to build resiliency in yourself and others



Disclosures

This material is intended to be educational and informative in nature and is subject to change. It is not intended to provide any warranties or legal advice and is intended for educational purposes only.

R.J. Shook, SHOOK Research and Dr. Kevin Elko are not affiliated with New York Life Insurance Company or any of its subsidiaries.

The Advisor Advancement Institute is a program within New York Life Investments.

New York Life Investments is both a service mark, and the common trade name, of certain investment advisors affiliated with New York Life Insurance Company.