REGAL
HOLDINGS
Integrity + Innovation + Independence

The Financial Professional
STRATEGIC PLAYBOOK

Regal is committed to:

Increasing Your Quality of Life

In 2014, we sat where you might be right now. At that time, we had a vision of making a transformative shift in our business model but couldn't find a group to affiliate with that truly understood what financial professionals like us needed to take our business to the next level and create a more valuable experience for our clients. The IQL impact process emerged as our solution and we now share it with you as

Advisors Partnering with Advisors.

Introduction:

A message from JAK II

John A. Kailunas II
LUTCF®, FSS®

I have seen massive changes in the financial services arena over the last three decades. These changes have been challenging, exciting, and opportunistic — all at the same time. There has been expanding regulatory demands, incredible advances in technology, and a generational wealth transfer happening right before our eyes.

My journey began in the late 1980's sitting at kitchen tables helping families protect one of their most valuable assets. It was at this time I learned that financial advisors have one of the most important jobs in America. I believe this to be even more true today. Americans need help more than ever to plan for retirement and to have a plan in retirement.

It's our goal to give financial advisors structure, guidance, and systems so they best serve their clients. In turn, the financial advisors are building a successful practice so the can best serve their families and their business. It's a purposeful approach to growth, where the advisors do well while their clients are doing well.

The journey of a financial advisor is not an easy one, and while it is one of the most rewarding professions, it is also one of the most challenging. It's for this reason we focus so much of our time and resources in helping advisors tackle these challenges. We hope the following guide will be an impactful inflection point or catalyst for growth for you on your personal and professional journey. We've been honored and humbled to have been awarded and recognized by our industry for the content we are sharing with you here.

Welcoming you to a journey to Increase the Quality of Your Life.

Sincerely,

John A. Kailunas II

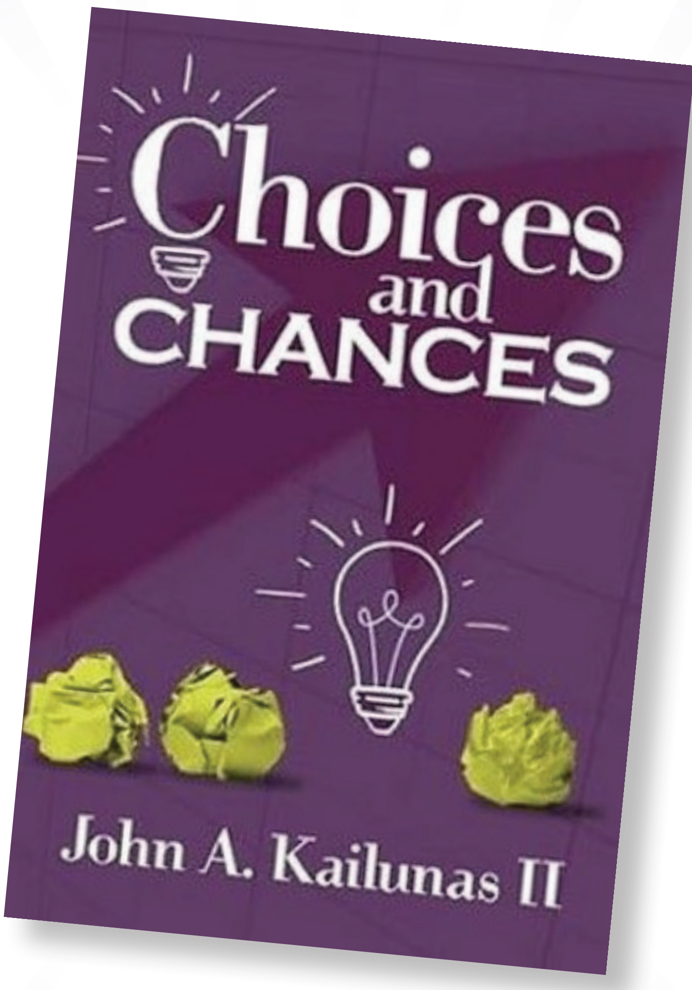
Regal Recognition

We share these awards not to impress you,
but to impress upon you that
by helping others, you help yourself.

Third-party rankings and recognition from rating services or publications are no guarantee of future investment success. Working with a highly rated advisor does not ensure that a client or prospective client will experience a higher level of performance or results. These ratings should not be construed as an endorsement of the advisor or by any client nor are they representative of any one client's evaluation. Generally, ratings, rankings and recognition are based on information prepared and submitted by the advisor. No fee was paid for consideration of any ranking or award.

A more thorough description of each award is available by visiting the investor disclosure page on regal-holdings.com.

We have helped hundreds of Financial Planning Practices ***grow their Business!***



2014 → **2024**

450 Million in AUM

2.54 Billion in AUM

Your WHY…

Let go of the past, embrace the present, and design your future. We have walked in your shoes and blazed trails. The path isn't easy, but our playbook and collective experiences can get you to the destination of your choice.

– John A. Kailunas II
LUTCF®, FSS®

I thankfully attest that by sharing my goals and dreams with Regal have been the catalyst for profound transformation in both my personal life and business growth. The decision to go through Regal's IQL process has undoubtedly been the most pivotal and rewarding choice I have made in my professional journey.

– Carlos Guzman
Financial Advisor – Regal Financial Group, San Dimas

Knowing your WHY will help you act with purpose!

1. Know your guiding Mission Statement
2. Identify and understand your ideal target audience
3. Clearly understand your unique value propositions
4. Know your client service level agreements and processes
5. Understand how to clearly convey your messages
6. Know your client experience and communication process

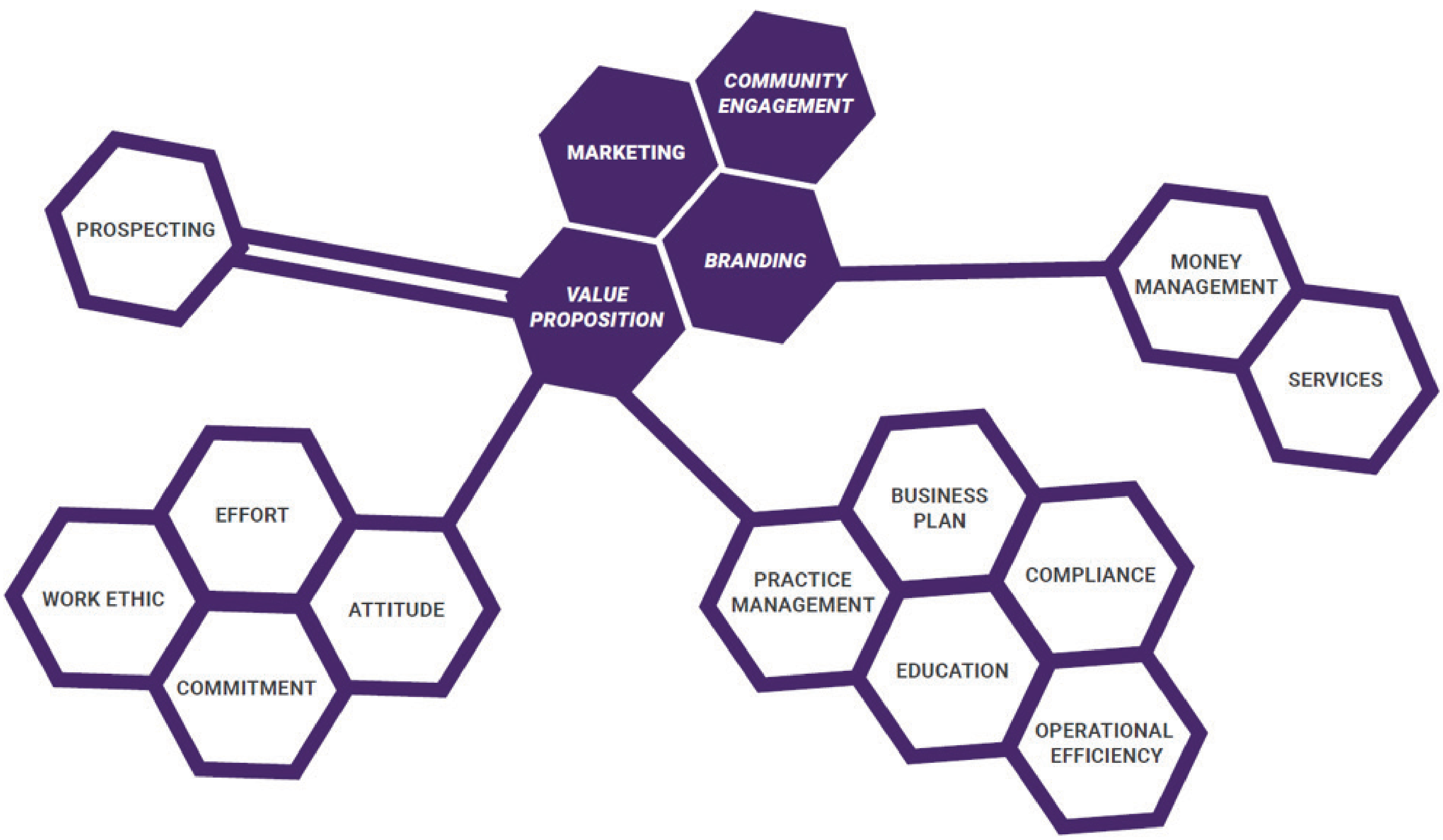
Building a marketing and activity plan off of my strengths has not only been a game changer for my business but has increased my quality of life because I am focused on things that are most important to me and my family. Working with the Regal team has helped my identify what sets me apart. This self-awareness not only fueled the creation of a unique and authentic brand but also shaped a marketing strategy that resonated with my target audience on a deeper level.

– **Kristen Smigelski**
Certified Financial Planner™ – Forest Financial Planning Group

The Regal Success Formula

The Regal Success Formula is an interdependent compound. Every part is connected and needed for the practice to survive, grow, and flourish.

The focus of each compound depends on your needs and/or desires. We work with you to maximize your strengths, strengthen your weaknesses, and intentionally outsource items that have no intrinsic value to your specific value proposition. We are helping you to expand your vision of your practice. We have helped hundreds grow and Increase their Quality of Life. We will use all of our resources to help you obtain your desired income.



Strategies & Tactics

We design a very ***customized and tailored approach*** to building your business that ***aligns with your strengths and how you want to spend your time.*** The strategies and tactics that we will help you implement will bring you new-found peace and success with your business and in your life!

As I've shared with many people over the years, success (especially mine) is never a straight line. The journey towards achieving one's goals is laden with challenges and obstacles, and it's in these moments of uncertainty that the true value of an accountability partner becomes evident. Having someone to share my aspirations, fears, and milestones with has created a support system that goes beyond the superficial. It's a relationship built on trust, mutual respect, and a shared commitment to personal and professional growth.

– **Jon McCardle**
President, AIF – Summit Financial Group

REGAL
HOLDINGS
Integrity • Innovation • Independence

Top Business Development Program for Advisors with 1,000 or Less Affiliates

WealthManagement.com
2023 Industry Awards
Winner

"

We're honored to receive this prestigious award from WealthManagement.com. Our approach is hands on and with an accountability component that makes and effects positive change in our affiliates' lives. This award represents our firm's ethos, and we couldn't be more proud.

– **John A. Kailunas II,** *Founder / CEO*

IQL IMPACT

This process begins and ends with helping you resolve your business headaches or creating systematic growth in your practice.

REGAL HOLDINGS
Integrity • Innovation • Independence

Impact Analysis Form

Name: ______________________ Website: ______________________

Email: ______________________ Phone: ______________________

What's missing in your life/business right now? ______________________

If you could change just ONE thing right now, what would it be? ______________________

What other problems would be resolved by fixing this one thing? ______________________

How important is this to you? ______________________

If you never took the necessary steps/actions to resolve this one thing, how would you feel one year from now?

____

Top Three Heartburn/Headache Issues

1: ______________________

2: ______________________

3: ______________________

To receive this form please contact Samantha Kronemeyer at skronemeyer@regalfin.com.

Advisors Partnering with Advisors...

This has been our mantra since we started the firm over two decades ago. Our founding principles have remained consistent — **we work for our advisors — not the other way around.**

Whether you're looking for more independence, more flexibility, more profitability, or more, we are in business to increase the quality of your life.

We've been recognized by our peers and have been successful by coaching advisors — we don't coach systems. We connect advisors with the right systems!

John A. Kailunas II LUTCF®, FSS®

Founder / CEO

jkailunas@regalfin.com
616-224-2204

Don Carlson CFEd

Partner / EVP

dcarlson@regalfin.com
616-224-2204

Our
Leadership Team

Bill Best
CPA, CA, CGB.D, CCB.D
Chief Operating Officer
bbest@regalfin.com
616-258-5055

Kevin Berwald
CFP®, ChFC®, CLU®, CASL®
National Sales Director
kberwald@regalfin.com
734-626-1281

Heather Christmann
SHRM
Chief of Staff
hchristmann@regalfin.com
616-258-5010

Lee Cole
Senior Advisor Advocate
lcole@regalfin.com
616-258-5043

Jordan Fischer
CFP®, AIF®
Portfolio Manager
jfischer@regalfin.com
616-258-5035

Samantha Kronemeyer
Recruiting Coordinator
skronemeyer@regalfin.com
616-258-5061

IQL Impact Process

No Judgement

Embracing a mindset of non-judgement is a liberating approach to helping you increase your quality of life. It involves cultivating an open and empathetic perspective, free from constraints of preconceived notions or biases. Choosing to withhold judgement allows individuals to appreciate the diversity of experiences and perspectives, fostering a positive experience and connection. Our firm has experienced numerous peaks and valleys – wisdom can be transferred by those that have walked the path.

No Alternative Motive

Adopting a state of mind devoid of alternative motives welcomes authenticity and transparency in our actions and interactions. This approach reflects a genuine commitment to honesty and sincerity, as we navigate our paths without hidden agendas. In a world filled with alternative motives, choosing to engage in a process or activity with integrity signifies your success. Our goal is to help you and partner with you to help each other with our collective goals.

Pragmatic Timeframes

Pragmatic timeframes are essential in helping one increase their quality of life. By adopting this level of commitment, we then recognize the importance of setting goals that align with the activities that are most important to us. This involves a careful assessment of resources, potential obstacles, and identifying one's strengths. The IQL process is a disciplined and practical approach to productivity.

Mutual Accountability

Mutual accountability is the foundation for one's personal and professional development. This powerful arrangement fosters a sense of trust and purpose, creating an environment where individuals feel empowered and invested in the collective success. By holding ourselves and others accountable, a culture of mutual responsibility emerges, enhancing collaboration and paving the way for exponential and sustained growth.

We won't ask you to do anything we haven't done or are willing to do ourselves to build "The Dream". We want you to be better for going through this process and our time spent together!

Be Intentional… where do you find value?

Identify what you value most in life and then rank them from most valuable on down.

List the top five things you value most in life then indicate the percentage of time you currently spend living, supporting, and giving attention to these values:

	Value	Rank	% of Time
1			
2			
3			
4			
5			

You reviewed this playbook for a reason…

1. You know you are destined for more, but don't know how to get there.
2. You are frustrated with obstacles that are holding you back from obtaining your own goals.
3. You have a desire to increase your business, but want to better use your time.
4. You are currently not happy with your professional relationships/partners.

Contact us for a confidential conversation with an equity owner of Regal. We can work with you on multiple fronts (sub advisory, consulting, affiliation). The degree of interaction is up to you. The time will be well spent and we will give you solutions on how to move forward with your practice and how to

Increase your Quality of Life.

Contact: Don Carlson

dcarlson@regalfin.com | 616-224-2204

REGAL HOLDINGS

Integrity • Innovation • Independence

2687 44th Street SE | Kentwood, MI 49512

800-357-4757 | info@regal-holdings.com | **regal-holdings.com**