

**NYC Regional Roundtable**

**July 25, 2023**

**10:00 a.m. – 2:00 p.m. ET**

**AGENDA**

<b>10:00 a.m. – 10:05 a.m.</b>	<b>Welcome with Dale Brown – President &amp; CEO, FSI</b>
<b>10:05 a.m. – 10:20 a.m.</b>	<b>FSI Advocacy Update</b>
<b>10:20 a.m. – 11:15 a.m.</b>	<b>Look to the Future with Next-Gen Advisor Recruitment</b>
<b>11:15 a.m. – 11:25 a.m.</b>	<b>Stretch Your Legs</b>
<b>11:25 a.m. – 12:20 p.m.</b>	<b>A Focus on Next-Gen Client Support</b>
<b>12:20 p.m. – 1:05 p.m.</b>	<b>Lunch Break</b>
<b>1:05 p.m. – 2:00 p.m.</b>	<b>Engaging Your Next-Gen Home Office</b>
<b>2:00 p.m.</b>	<b>Meeting Adjourns</b>

**DETAILS\***

**Look to the Future with Next-Gen Advisor Recruitment**

1. Looking at the existing advisor mass exodus, what common practices and tools are we utilizing to attract new advisors into the business?
2. What does it take to partner with universities, accredited programs, etc. to provide Next-Gen advisors-to-be a better understanding of what it entails to be a financial advisor?
3. With Next-Gen wanting to work smarter not harder, how can an existing practice prepare to welcome and successfully integrate new hires?
4. How is your current relationship management structured? And, if applicable, how do you coordinate with the field on business focus (by region, by size of firm, etc.)?
5. How are firms encouraging FAs to set up succession and continuity plans so their inheriting clients, and therefore revenue, stay with the firm?



### **A Focus on Next-Gen Client Support**

1. Do advisors need to be all things to all clients? What is your niche?
2. How are we connecting with a young potential client's view of investments, making them relatable to the way they do business in their daily lives?
3. How do we adapt with the evolution of the advice model while preserving a personal touch?
4. Are Next-Gen advisors the key to reaching HENRY's - the new middle-class mass-affluent clients? And how do we tap this resource?
5. What role should regulatory agencies play, and how do we apply pressure, in helping to make financial advice accessible to young potential clients, and more importantly, work to encourage the public to work with advisors?

### **Engaging Your Next-Gen Home Office**

1. In a competitive hiring environment with low turnover, what standout methods are we using to attract the Next-Gen workforce?
2. How are you catering to your home office staff's preferred work environment – remote, in-office, hybrid?
3. What is the core skill sets to look for in a home office employee, i.e. support staff, management, executives?
4. How early are you starting internship programs at your firm?
  - a. Should firms start as early as high school to expose future hires to the financial services industry, continuing to engage them through college, in hopes for a return on investment hiring them after graduation?
  - b. Do all hires require a college degree, or can other qualifying certifications get them in the door?  
Are the current basic requirements attainable?

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\*Subject to updates