

TALKING POINTS FOR NON-QUALIFIED PLAN PROSPECTS

Part One: Where is My Target?

1 In your own client list—identify:

All for-profit entities, preferably a current taxpaying organization

- Cash management clients
- 401(k) clients
- Stock option plan clients
- Pension funds
- Individual corporate executives

CEO Any Board members

COO HR Director

CFO Benefits Director

GC Director of Compensation

CAO Director of Marketing

CIO National Sales Manager



Part Two: What Do I Say to Them?

2 Your goal is a fact-finding conference call with you, your client and a Summit professional.

Does your company have a deferred compensation plan?

- Many companies do have a plan
 - 91% of the Fortune 1000.
- If “no,” then ask: “Is there any special reason?”
 - If the CEO simply doesn’t want one, don’t continue any further.

Company has no plan - why?

- Never felt the need
- Had one before but little interest
- Costs were too high
- Too much administrative work

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Plan Now in Place?

- *Is your client/contact a participant?*
 - *Yes*
 - *No*

Your Client IS a Participant...

- *Are you generally happy with it?*
- *What are your investment options?*
- *What are the criteria for eligibility?*
 - *(Title, income level, seniority, etc.)*
- *Have you been happy with your statements and reporting?*
- *Do you have on-line account access?*
- *Do you have to call a broker to make investment changes?*
- *Would you direct me to your contact in HR or Benefits?*

Client NOT a Participant?

- *Know anyone who is?*
 - *Can you direct me to them?*
- *Do you know what group CAN participate?*
- *Can you direct me to someone in HR or Benefits?*