

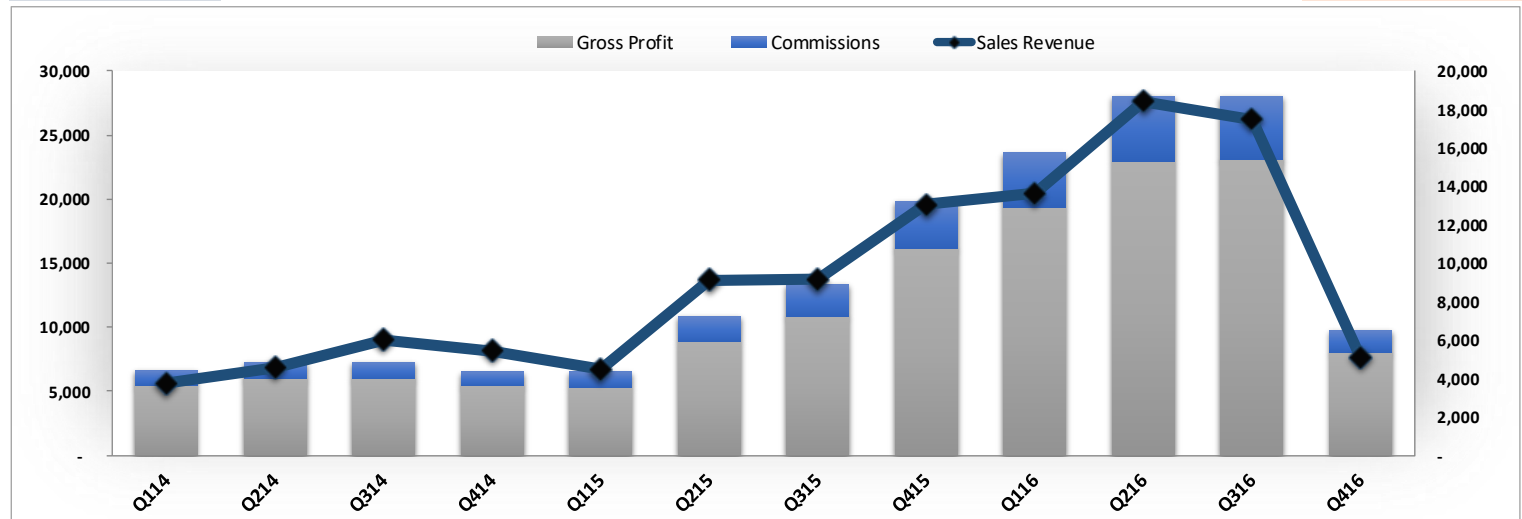
# Northeast Region Field Sales Planning

SAMPLE Data!

Lets talk Strategy...

# Mutual Funds Category Quarterly

*in millions	Actuals												Growth YoY (2015-2016)		
	Q114	Q214	Q314	Q414	Q115	Q215	Q315	Q415	Q116	Q216	Q316	Q416	Q1	Q2	Q3
Sales Revenue	5,619	6,850	9,029	8,140	6,691	13,692	13,743	19,547	20,415	27,658	26,256	7,648	205%	102%	91%
Gross Profit	3,594	3,998	3,957	3,580	3,556	5,896	7,245	10,774	12,917	15,302	15,360	5,341	263%	160%	112%
Commissions	794	864	867	772	750	1,302	1,633	2,429	2,846	3,391	3,365	1,175	280%	161%	106%
Total Profit	2,800	3,134	3,090	2,808	2,806	4,595	5,611	8,345	10,071	11,911	11,996	4,166	259%	159%	114%



Team	Q114	Q214	Q314	Q414	Q115	Q215	Q315	Q415	Q116	Q216	Q316	Q416	Q1	Q2	Q3
<b>Boston Team</b>															
Sales Revenue	2,203	2,681	2,357	2,519	2,858	2,833	2,971	5,527	7,735	10,076	8,255	2,503	171%	256%	178%
Gross Profit	2,046	2,696	2,172	2,719	2,619	2,491	2,682	4,473	6,522	6,734	6,544	2,278	149%	170%	144%
Commissions	409	539	434	544	524	498	536	895	1,304	1,347	1,309	456	149%	170%	144%
Total Profit	1,637	2,156	1,737	2,175	2,095	1,993	2,146	3,578	5,217	5,387	5,235	1,823	149%	170%	144%
<b>NYC Team</b>															
Sales Revenue	2,124	1,976	3,107	2,249	2,296	6,059	6,776	10,309	9,786	12,926	11,815	3,470	326%	113%	74%
Gross Profit	1,510	1,288	1,506	1,118	774	2,448	3,689	5,488	5,259	6,609	5,854	2,140	579%	170%	59%
Commissions	377	322	376	279	194	612	922	1,372	1,315	1,652	1,463	535	579%	170%	59%
Total Profit	1,132	966	1,129	838	581	1,836	2,767	4,116	3,944	4,957	4,390	1,605	579%	170%	59%
<b>Hartford Team</b>															
Sales Revenue	1,245	2,162	3,549	3,353	1,507	4,781	3,977	3,674	2,697	4,186	5,652	1,538	79%	-12%	42%
Gross Profit	2	(18)	271	(272)	142	947	859	777	972	1,452	2,479	763	586%	53%	189%
Commissions	0	(4)	54	(54)	28	189	172	155	194	290	496	153	586%	53%	189%
Total Profit	2	(15)	217	(218)	113	757	687	621	777	1,162	1,983	610	586%	53%	189%
<b>Upstate NY</b>															
Sales Revenue	47	31	16	19	30	18	19	37	197	470	533	137	560%	2459%	2706%
Gross Profit	35	33	9	15	22	11	14	36	164	507	484	160	658%	4561%	3286%
Commissions	7	7	2	3	4	2	3	7	33	101	97	32	658%	4561%	3286%
Total Profit	28	26	7	12	17	9	11	29	132	405	387	128	658%	4561%	3286%

## Overview

- Largest Customer segment

## Highlights/Opportunity

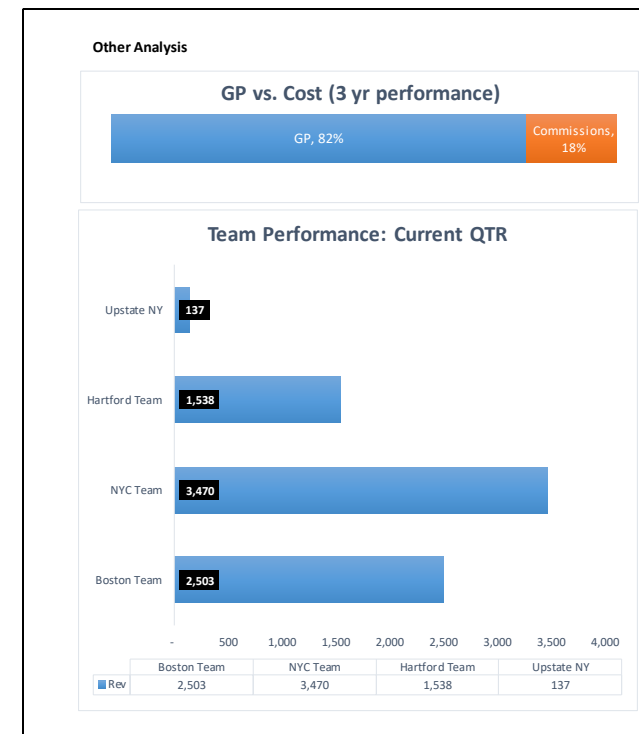
- Growing upstate NY
- Reducing commission spend in Boston

## Challenges

- Keeping the reps motivated about the profit

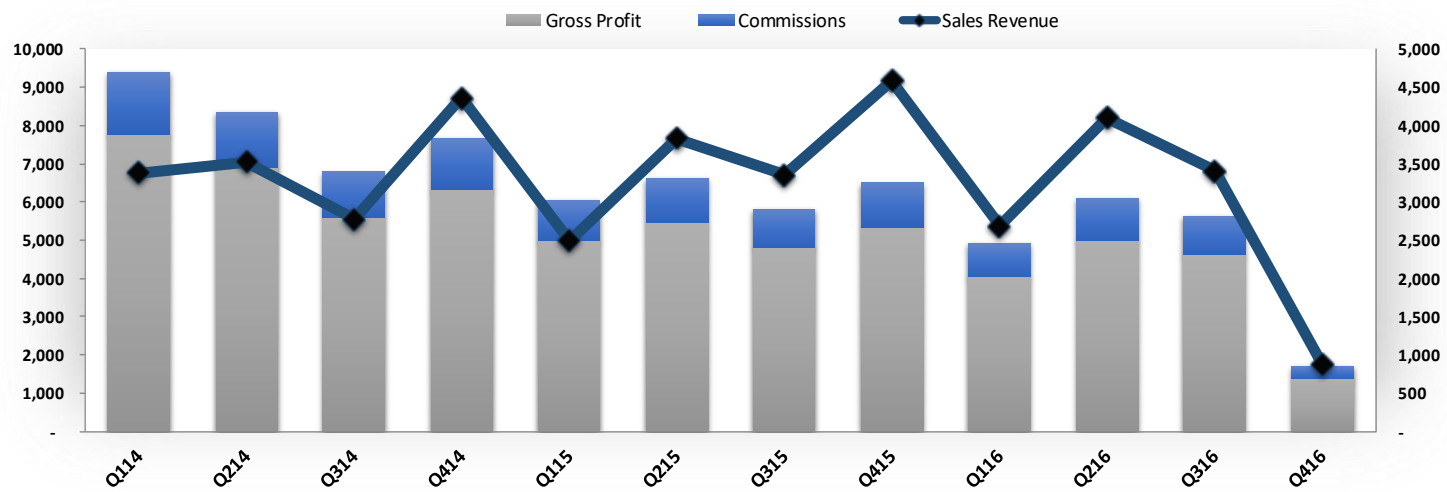
## New Changes in 2016

- We are seeing less spend in our customers overall, however we are working old leads and want to put out some new incentives.



# Insurance Category Quarterly

*in millions	Actuals												Growth YoY (2015-2016)		
	Q114	Q214	Q314	Q414	Q115	Q215	Q315	Q415	Q116	Q216	Q316	Q416	Q1	Q2	Q3
Sales Revenue	6,753	7,054	5,543	8,718	4,991	7,665	6,704	9,184	5,377	8,194	6,806	1,755	8%	7%	2%
Gross Profit	3,883	3,451	2,803	3,165	2,486	2,725	2,397	2,669	2,020	2,493	2,305	694	-19%	-9%	-4%
Commissions	802	716	593	667	522	580	516	576	438	556	509	151	-16%	-4%	-1%
Total Profit	3,081	2,735	2,210	2,498	1,964	2,144	1,881	2,093	1,581	1,937	1,796	543	-19%	-10%	-4%



Team	Q114	Q214	Q314	Q414	Q115	Q215	Q315	Q415	Q116	Q216	Q316	Q416	Q1	Q2	Q3
<b>Boston Team</b>															
Sales Revenue	2,588	3,061	1,943	2,040	1,928	3,165	2,362	2,854	2,199	3,334	2,669	718	14%	5%	13%
Gross Profit	1,728	1,555	1,178	1,076	1,156	1,037	1,021	960	936	935	1,014	326	-19%	-10%	-1%
Commissions	346	311	236	215	231	207	204	192	187	187	203	65	-19%	-10%	-1%
Total Profit	1,383	1,244	942	861	925	830	817	768	749	748	811	261	-19%	-10%	-1%
<b>NYC Team</b>															
Sales Revenue	1,731	1,785	1,683	2,741	1,513	2,395	2,346	3,191	1,992	3,734	2,726	749	32%	56%	16%
Gross Profit	501	515	653	683	501	711	739	838	689	1,158	959	241	38%	63%	30%
Commissions	125	129	163	171	125	178	185	209	172	289	240	60	38%	63%	30%
Total Profit	376	386	489	513	376	533	554	628	517	868	719	181	38%	63%	30%
<b>Hartford Team</b>															
Sales Revenue	322	563	594	417	276	587	973	888	445	624	1,110	156	61%	6%	14%
Gross Profit	197	532	353	223	183	331	198	282	190	259	167	57	4%	-22%	-16%
Commissions	39	106	71	45	37	66	40	56	38	52	33	11	4%	-22%	-16%
Total Profit	157	425	282	178	146	265	159	225	152	207	133	46	4%	-22%	-16%
<b>Upstate NY</b>															
Sales Revenue	2,112	1,644	1,323	3,520	1,273	1,518	1,022	2,252	741	503	300	132	-42%	-67%	-71%
Gross Profit	1,457	850	620	1,183	647	645	439	589	204	141	166	70	-68%	-78%	-62%
Commissions	291	170	124	237	129	129	88	118	41	28	33	14	-68%	-78%	-62%
Total Profit	1,166	680	496	946	518	516	351	471	163	113	133	56	-68%	-78%	-62%

## Overview

- Largest Customer segment

## Highlights/Opportunity

- Growing upstate NY
- Reducing commission spend in Boston

## Challenges

- Keeping the reps motivated about the profit

## New Changes in 2016

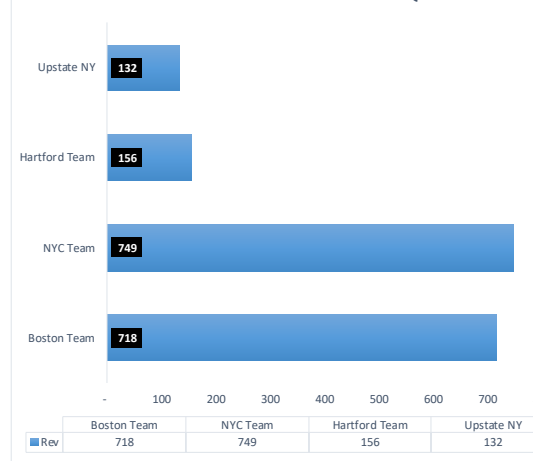
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### Other Analysis

#### GP vs. Cost (3 yr performance)

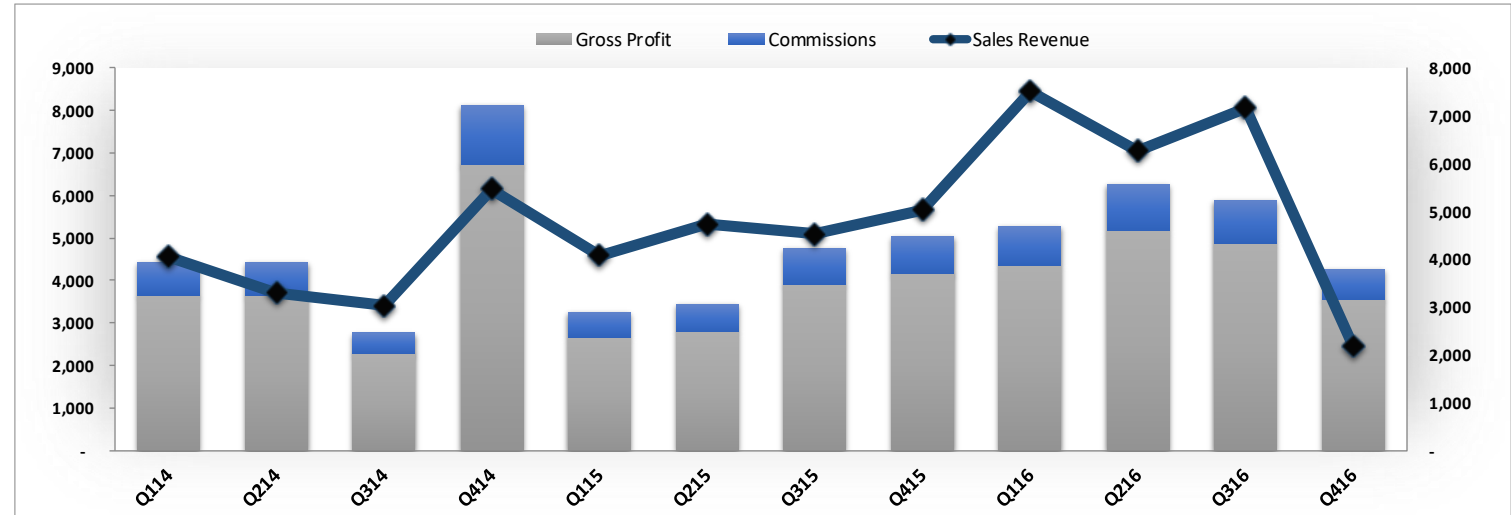


#### Team Performance: Current QTR



# Bonds Category Quarterly

*in millions	Actuals												Growth YoY (2015-2016)		
	Q114	Q214	Q314	Q414	Q115	Q215	Q315	Q415	Q116	Q216	Q316	Q416	Q1	Q2	Q3
Sales Revenue	4,562	3,705	3,403	6,147	4,586	5,327	5,099	5,664	8,452	7,060	8,059	2,466	84%	33%	58%
Gross Profit	3,227	3,239	2,017	5,987	2,368	2,492	3,465	3,684	3,863	4,581	4,319	3,152	63%	84%	25%
Commissions	686	675	432	1,233	513	568	764	806	824	979	916	644	60%	72%	20%
Total Profit	2,541	2,564	1,585	4,754	1,855	1,924	2,701	2,878	3,039	3,602	3,403	2,508	64%	87%	26%



Team	Q114	Q214	Q314	Q414	Q115	Q215	Q315	Q415	Q116	Q216	Q316	Q416	Q1	Q2	Q3
<b>Boston Team</b>															
Sales Revenue	1,660	1,694	1,439	1,747	1,375	1,588	1,527	1,831	2,942	2,737	2,697	716	114%	72%	77%
Gross Profit	1,752	1,389	1,314	903	1,280	922	1,287	1,468	1,939	1,785	1,883	892	52%	94%	46%
Commissions	350	278	263	181	256	184	257	294	388	357	377	178	52%	94%	46%
Total Profit	1,401	1,111	1,051	723	1,024	738	1,030	1,175	1,551	1,428	1,507	714	52%	94%	46%
<b>NYC Team</b>															
Sales Revenue	2,015	1,177	1,411	1,912	2,681	2,752	2,548	2,851	2,811	3,032	3,672	606	5%	10%	44%
Gross Profit	818	541	572	717	793	1,393	1,421	1,380	1,021	1,260	1,049	279	29%	-10%	-26%
Commissions	205	135	143	179	198	348	355	345	255	315	262	70	29%	-10%	-26%
Total Profit	614	405	429	538	595	1,045	1,066	1,035	766	945	786	209	29%	-10%	-26%
<b>Hartford Team</b>															
Sales Revenue	821	786	531	2,459	506	948	1,000	962	2,596	1,086	1,477	1,097	413%	15%	48%
Gross Profit	623	1,277	110	4,355	279	150	739	821	849	1,536	1,238	1,953	204%	923%	68%
Commissions	125	255	22	871	56	30	148	164	170	307	248	391	204%	923%	68%
Total Profit	498	1,022	88	3,484	224	120	591	657	680	1,229	990	1,563	204%	923%	68%
<b>Upstate NY</b>															
Sales Revenue	66	49	22	30	24	39	25	20	103	206	214	47	330%	433%	770%
Gross Profit	35	33	21	13	17	26	17	15	54	1	149	28	222%	-96%	765%
Commissions	7	7	4	3	3	5	3	3	11	0	30	6	222%	-96%	765%
Total Profit	28	26	17	10	13	21	14	12	43	1	120	22	222%	-96%	765%

## Overview

- Largest Customer segment

## Highlights/Opportunity

- Growing upstate NY
- Reducing commission spend in Boston

## Challenges

- Keeping the reps motivated about the profit

## New Changes in 2016

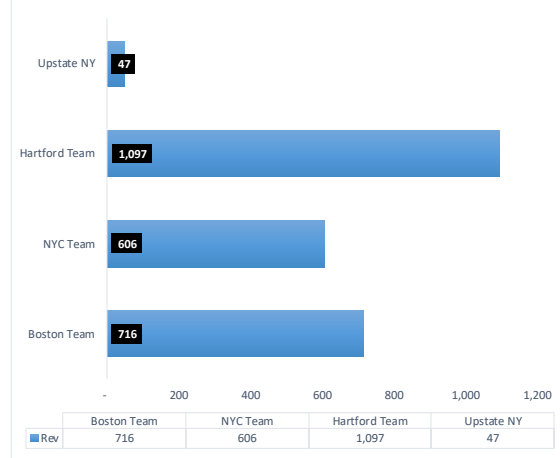
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### Other Analysis

#### GP vs. Cost (3 yr performance)

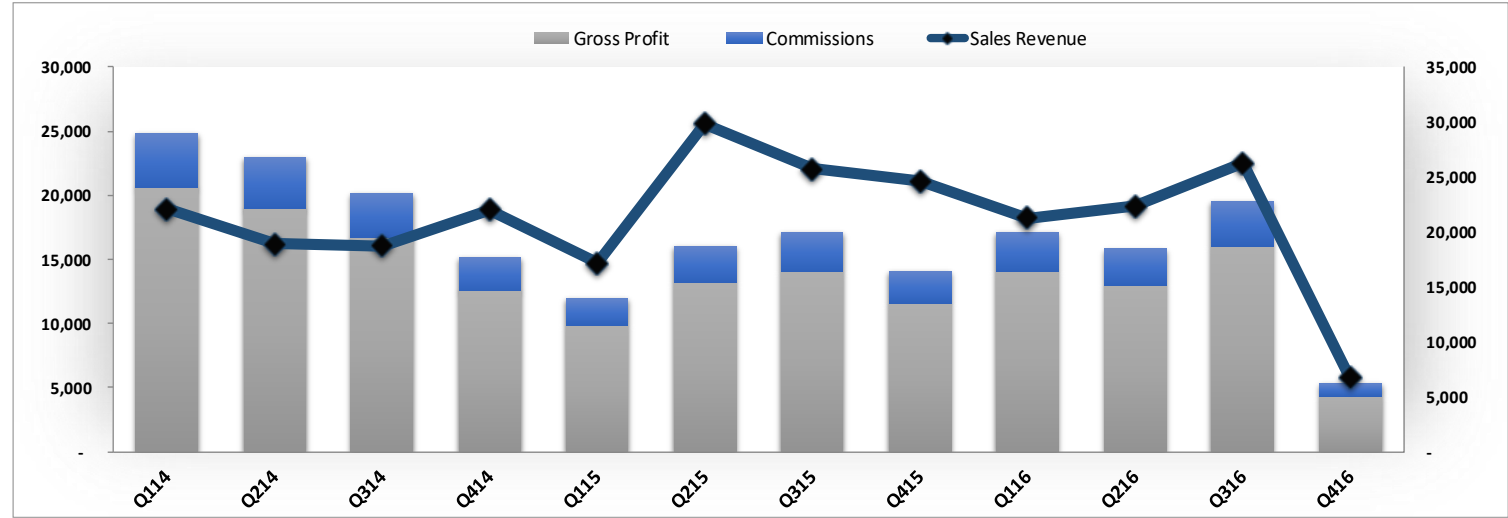


#### Team Performance: Current QTR



# Other Securities Category Quarterly

*in millions	Actuals												Growth YoY (2015-2016)		
	Q114	Q214	Q314	Q414	Q115	Q215	Q315	Q415	Q116	Q216	Q316	Q416	Q1	Q2	Q3
Sales Revenue	18,930	16,233	16,058	18,895	14,722	25,563	22,049	21,111	18,230	19,132	22,493	5,764	24%	-25%	2%
Gross Profit	23,975	22,138	19,394	14,595	11,491	15,402	16,366	13,463	16,451	15,169	18,711	5,071	43%	-2%	14%
Commissions	5,012	4,628	4,051	3,134	2,466	3,319	3,594	2,968	3,511	3,267	4,053	1,119	42%	-2%	13%
Total Profit	18,962	17,511	15,343	11,461	9,026	12,083	12,773	10,496	12,940	11,902	14,658	3,952	43%	-1%	15%



Team	Q114	Q214	Q314	Q414	Q115	Q215	Q315	Q415	Q116	Q216	Q316	Q416	Q1	Q2	Q3
<b>Boston Team</b>															
Sales Revenue	7,045	6,496	6,274	6,921	6,206	6,924	6,272	7,224	7,514	7,444	8,051	2,309	21%	8%	28%
Gross Profit	7,409	9,231	9,587	7,409	6,518	6,827	7,501	6,480	8,835	7,794	9,251	2,073	36%	14%	23%
Commissions	1,482	1,846	1,917	1,482	1,304	1,365	1,500	1,296	1,767	1,559	1,850	415	36%	14%	23%
Total Profit	5,927	7,385	7,670	5,927	5,215	5,461	6,001	5,184	7,068	6,235	7,401	1,658	36%	14%	23%
<b>NYC Team</b>															
Sales Revenue	8,540	6,927	7,343	9,600	6,001	12,868	10,279	10,364	6,425	7,028	8,711	2,241	7%	-45%	-15%
Gross Profit	4,349	4,003	3,438	4,299	3,349	4,776	6,409	5,497	4,423	4,673	6,210	2,096	32%	-2%	-3%
Commissions	1,087	1,001	859	1,075	837	1,194	1,602	1,374	1,106	1,168	1,553	524	32%	-2%	-3%
Total Profit	3,262	3,002	2,578	3,224	2,512	3,582	4,807	4,123	3,317	3,505	4,658	1,572	32%	-2%	-3%
<b>Hartford Team</b>															
Sales Revenue	2,506	2,089	2,189	2,056	2,284	5,580	5,283	3,328	4,014	4,092	4,906	909	76%	-27%	-7%
Gross Profit	926	1,012	2,546	1,482	1,397	3,360	2,111	1,139	2,417	1,962	1,805	483	73%	-42%	-14%
Commissions	185	202	509	296	279	672	422	228	483	392	361	97	73%	-42%	-14%
Total Profit	741	809	2,037	1,185	1,118	2,688	1,689	911	1,934	1,570	1,444	387	73%	-42%	-14%
<b>Upstate NY</b>															
Sales Revenue	838	721	253	317	231	191	216	195	277	568	826	304	20%	197%	283%
Gross Profit	11,291	7,892	3,823	1,406	228	439	345	347	776	739	1,445	418	241%	68%	319%
Commissions	2,258	1,578	765	281	46	88	69	69	155	148	289	84	241%	68%	319%
Total Profit	9,032	6,314	3,058	1,125	182	351	276	277	621	592	1,156	335	241%	68%	319%

## Overview

- Largest Customer segment

## Highlights/Opportunity

- Growing upstate NY
- Reducing commission spend in Boston

## Challenges

- Keeping the reps motivated about the profit

## New Changes in 2016

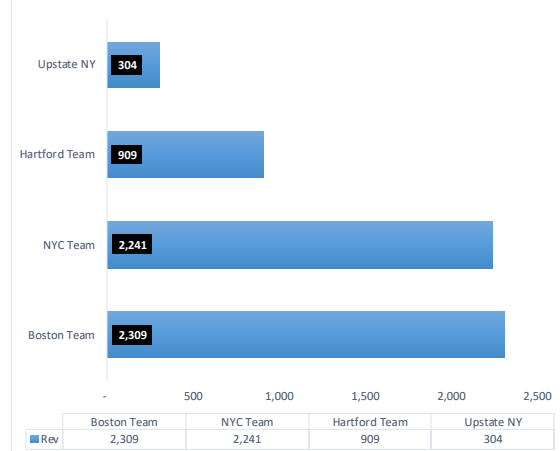
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### Other Analysis

#### GP vs. Cost (3 yr performance)

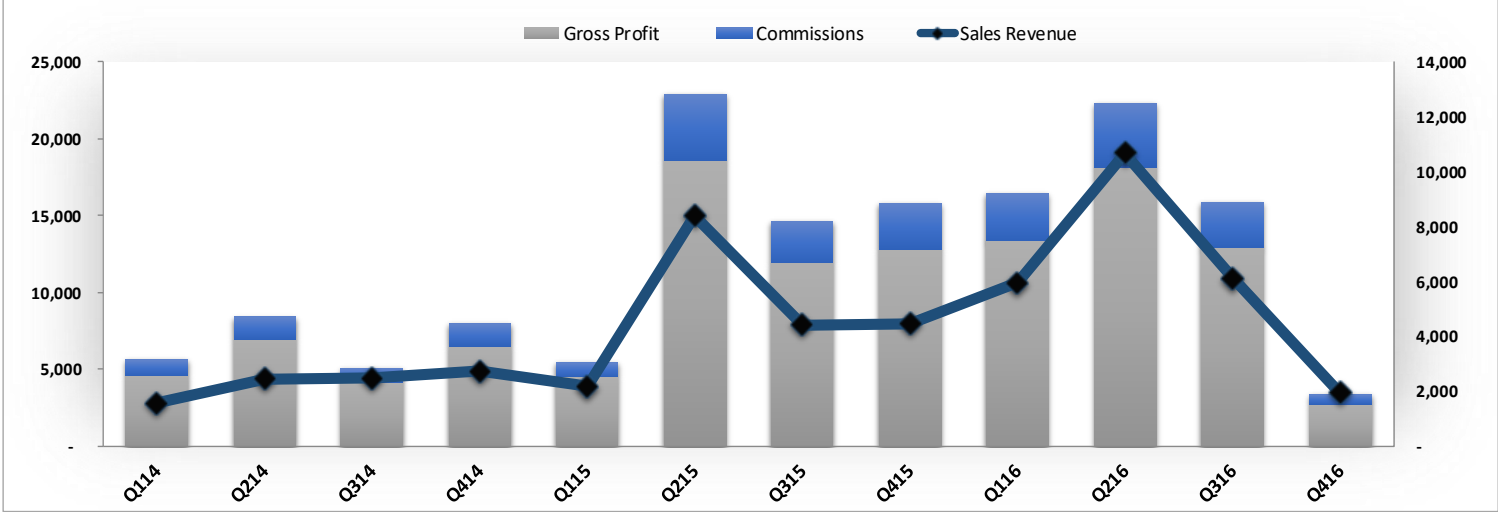


#### Team Performance: Current QTR



# Stocks Category Quarterly

*in millions	Actuals												Growth YoY (2015-2016)		
	Q114	Q214	Q314	Q414	Q115	Q215	Q315	Q415	Q116	Q216	Q316	Q416	Q1	Q2	Q3
Sales Revenue	2,800	4,352	4,392	4,851	3,843	15,017	7,880	7,961	10,636	19,083	10,918	3,448	177%	27%	39%
Gross Profit	2,580	3,880	2,350	3,664	2,526	10,430	6,657	7,183	7,497	10,138	7,202	1,514	197%	-3%	8%
Commissions	538	826	504	778	527	2,399	1,533	1,647	1,713	2,332	1,676	352	225%	-3%	9%
Total Profit	2,043	3,054	1,846	2,886	1,999	8,031	5,124	5,536	5,784	7,806	5,525	1,162	189%	-3%	8%



Team	Q114	Q214	Q314	Q414	Q115	Q215	Q315	Q415	Q116	Q216	Q316	Q416	Q1	Q2	Q3
<b>Boston Team</b>															
Sales Revenue	1,896	1,836	2,574	2,616	2,394	1,655	1,845	2,024	3,578	3,690	2,912	1,119	49%	123%	58%
Gross Profit	2,102	2,318	1,304	2,629	1,848	2,257	1,703	2,380	2,741	2,368	1,640	415	48%	5%	-4%
Commissions	420	464	261	526	370	451	341	476	548	474	328	83	48%	5%	-4%
Total Profit	1,682	1,855	1,043	2,103	1,478	1,806	1,362	1,904	2,192	1,894	1,312	332	48%	5%	-4%
<b>NYC Team</b>															
Sales Revenue	608	740	826	1,372	949	5,607	4,818	3,986	3,576	5,598	4,820	1,681	277%	0%	0%
Gross Profit	430	1,000	677	905	428	6,252	4,027	4,201	4,271	6,087	4,720	983	899%	-3%	17%
Commissions	108	250	169	226	107	1,563	1,007	1,050	1,068	1,522	1,180	246	899%	-3%	17%
Total Profit	323	750	508	679	321	4,689	3,020	3,151	3,203	4,565	3,540	737	899%	-3%	17%
<b>Hartford Team</b>															
Sales Revenue	251	1,739	959	834	481	7,739	1,203	1,927	3,454	9,758	3,135	628	618%	26%	161%
Gross Profit	(3)	524	342	95	233	1,906	914	576	460	1,647	794	101	97%	-14%	-13%
Commissions	(1)	105	68	19	47	381	183	115	92	329	159	20	97%	-14%	-13%
Total Profit	(3)	419	274	76	187	1,525	731	461	368	1,318	635	81	97%	-14%	-13%
<b>Upstate NY</b>															
Sales Revenue	44	36	34	28	19	16	14	25	27	37	50	20	41%	128%	257%
Gross Profit	51	38	27	35	17	14	13	26	25	36	49	16	48%	150%	274%
Commissions	10	8	5	7	3	3	3	5	5	7	10	3	48%	150%	274%
Total Profit	41	30	21	28	14	11	10	21	20	29	39	12	48%	150%	274%

## Overview

- Largest Customer segment

## Highlights/Opportunity

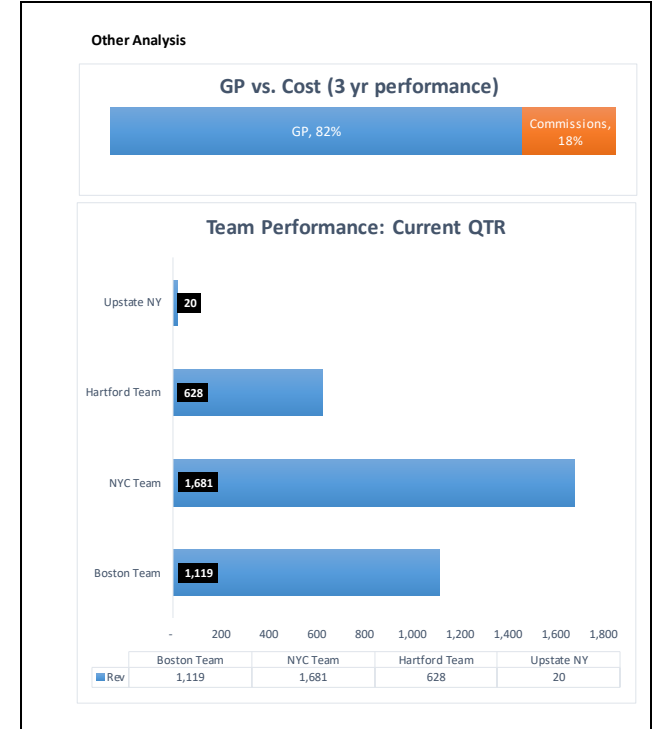
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