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# Industry Trends & Dynasty Guidance

Q2 2025

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# Team Spotlight: Dynasty Connect

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Dynasty Connect is Dynasty Financial Partners' referral and business development engine, designed to drive high-quality growth across our $115B+ independent advisor network. Connect aligns investors, institutions, and M&A candidates with top-tier advisors through a personalized, white-glove matchmaking process—powering expansion through four key pillars: Retail, Institutional, Commercial, and Ambassador-led referrals.

## The Four Pillars of Dynasty Connect

| Retail | Institutional | Commercial | Ambassador |
| --- | --- | --- | --- |
| End client leads we provide to our Network Partners | Advisor Leads for Network Partner Tuck-In Opportunities | Institutional engagements at the firm level | An invited group of influencers advocating for Dynasty; sourcing leads and creating industry awareness |

## How It Works

1. Lead generation through inbound interest, outbound calls, and referred connections
2. Lead qualification through in-depth screening process
3. Lead introduction to Network Partner based on client demographics and objectives, and firm's ideal client profile

## The Retail Process: Getting Started with Dynasty Connect

- Indicate interest to the Dynasty Connect Team or your Relationship Manager
- Introductory call with Dynasty Connect Team
- Review and execute the Dynasty Connect contract; free intro included, fees for ongoing services.
- Complete your Ideal Client Profile questionnaire
- Review the Ideal Client Profile and confirm your target leads
- Onboarding Complete!

## Meet the Team

**Jonathan Van Eaton**
Head of Dynasty Connect

**Jack Waltman**
Sales Development Representative

**CJ Ferro**
Sales Development Representative

**Joseph Carvin**
Sales Development Representative

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# Chief “Fun” Officer

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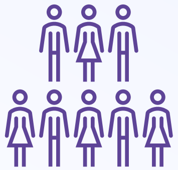
## Bringing Culture to Life at Your Firm

What is a Chief “Fun” Officer? The Chief Fun Officer fosters a healthy culture and team connection by organizing fun, engaging activities that boost morale and enhance employee engagement.

## Importance

| Enhance Employee Engagement | Foster a Positive Work Environment | Boost Employee Retention |
|---|---|---|





### Dynasty’s Recommendation for Implementation

1) Nominate or rotate the role among team members for a quarterly Chief “Fun” Officer.
2) Allocate a budget to support company events and activities.
3) Set a cadence (e.g., one team event/month plus one appreciation activity/quarter).

**Align activities with firm values and ensure visible support from leadership to reinforce the organization's commitment to promoting a healthy culture.**

## Responsibilities

| | |
|---|---|
| **Culture & Team Engagement** | Champion and promote firm culture in alignment with core values. |
| | Foster a sense of community, inclusion, and belonging among team members. |
| | Identify and implement initiatives that boost morale and employee satisfaction. |
| **Plan and Execute Team Activities** | Organize regular social events, team-building outings, wellness challenges, and celebrations (e.g., birthdays, work anniversaries, holidays, and cultural observances). |
| | Coordinate quarterly or annual team townhalls or offsites. |
| | Encourage participation across teams and remote staff (where applicable). |
| **Internal Communication & Visibility** | Share event updates, firm wins, or “shoutouts” in newsletters, communication channels, or internal meetings. |
| | Partner with leadership to ensure visibility and support for culture initiatives. |

# Smart Hiring: Best Practices for Lasting Impact

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Steps to Optimize Hiring Outcomes

### Define the role requirements clearly.

- Identify key certifications (e.g., CFP®, CFA®).
- Specify years of experience and relevant skills.
- Emphasize relationship-building for client-facing roles.
- Include soft skills like adaptability and communication.

### Implement a structured interview process.

- Include behavioral, technical, and scenario-based interviews.
- Involve multiple team members across different departments for broader perspective.
- Customize interview exercises to reflect real job tasks.

### Prioritize cultural alignment and growth potential.

- Look for alignment with firm values.
- Favor candidates who thrive in collaborative settings.
- For junior roles, prioritize attitude and learning potential.

### Conduct thorough background checks and reference verification.

- Confirm credentials to meet compliance standards.
- Run appropriate background checks.
- Speak with past supervisors about performance and reliability.

### Leverage your network and referrals.

- Use industry contacts to source strong candidates.
- Partner with local industry  organizations and professional groups.

Also consider an internal referral bonus structure, which helps align employee incentives to bring the right people to the organization.

# Course Correction: How to Effectively Leverage PIPs

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A **Performance Improvement Plan (PIP)** is a formal, structured process used by employers to help an underperforming employee improve their performance. PIPs give the employee a fair and transparent opportunity to succeed, while also documenting the company's efforts to address performance issues in a consistent and legally sound manner.

## Why are PIPs Necessary for Underperformers?

### Guide the Employee

Provides clear expectations, goals, and timelines to help the employee understand where performance is lacking and how to improve.

### Protect the Company

Documents a fair and consistent process for addressing performance issues, reducing legal risks, and demonstrating due diligence in the case of termination.

### Improve Communication

Establishes a formal framework for honest, structured conversations between the employee, their manager, and HR – minimizing misunderstandings.

### Promote a Culture of Performance

Signals to the broader team that performance standards matter and that the company is committed to fairness, development, and results.

### Increase Accountability

Reinforces that meeting performance expectations is a shared responsibility and that there are clear consequences if improvement doesn't occur, making it harder to ignore or defer performance issues.

# Course Correction: How to Effectively Leverage PIPs

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Things to Consider Before Putting an Employee on a PIP

### Provide Clear Onboarding and Training

Make sure new employees are properly onboarded and trained so they understand their role, tools, systems, and company culture.

### Set Goals Early and Collaboratively

Help employees set individual goals aligned with team and company objectives. Revisit and adjust at least twice a year to stay on track.

### Define Success for Employees

Ensure every role has clearly defined responsibilities, performance metrics, and expectations. Employees can't hit a target they can't see.

### Host Regular Performance Reviews

Hold formal reviews 1–2 times per year, with informal check-ins sprinkled throughout. Feedback should be timely, constructive, and forward-looking.

### Offer Coaching and Support

If an employee struggles, first try informal coaching. Ask questions to understand root causes and offer resources like mentoring, training, or workload adjustments.

If you can confidently confirm that all these steps have been taken and the performance issue is not just a temporary dip, it may be appropriate to move forward with a formal PIP. Before doing so, ensure that concerns have been raised early during performance reviews and coaching sessions to lay the groundwork and avoid surprising the employee. Contact your Dynasty Relationship Manager for guidance on PIPs and for a general template to leverage.

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