



SUSAN DANZIG, LLC  
Business Development Expert  
For Financial Services Professionals

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**Enrollment Strategies Template**

1. Begin by building rapport with your prospect with open-ended questions: *“Tell me about your financial situation.”*
2. Determine their desires (*which is the first reason why people hire you*):
  - “If you could wave a magic wand, where would you like your finances to be in 12 months? Is there anything *else* you would like to accomplish in the next 12 months?”
  - “And where would you like your financial situation to be in 3, 5, or 10 years?”
3. Help them see the impact of achieving their desires. This information will give you an idea as to what the prospect truly desires. This conversation will also give you an opportunity to get to know the prospect.
  - “If you were to have all of this exactly how you would like, what would that provide for you?”
  - “What would be the best part of having that desire become a reality?”
  - “**Why** would that be the best part of having that desire become a reality?”
4. Discover the Challenges:
  - “What do you think could be slowing you down, standing in the way, or stopping you from having these desires fulfilled?”
  - “What **else** do you think could be slowing you down, standing in the way or stopping you from achieving these desires?”
  - “Is there anything **else** that you see that could be slowing you down, standing in the way or stopping you from having your financial desires fulfilled?”

*The purpose of asking the question several times is to give them an opportunity to really think about their challenges and share them with you. I invite you to continue asking the question until they run out of responses to the question.*

5. Impact of the challenges
  - “How do you think these challenges are impacting you?”
  - “How else do you see the impact of these challenges showing up in your life?”
  - “Do you think these challenges are impacting other areas of your life?”
  - “What’s the worst part about having these challenges?”
  - “Which of these challenges is the worst one and why?”

*The answers to these questions will give you insight into the challenges your prospect is experiencing and how to overcome these challenges. For your prospect, having the opportunity to clarify these challenges and their impact will shine a light on them on the*



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*importance of getting help now. Remember, this is a **fact-finding session** on your part and you need to ask the questions until you find out what all of their fears and challenges are.*

## 6. Turn Around

- “If you could overcome these challenges and flow freely toward your goals what would that do for you?”

*The response will give you direction as to how to turn that prospect into a client. Once you know what they want and what is holding them back, it can be simple to address their challenges or their fears and put them at ease by telling them how you can provide what they want and need (as long as they are a fit for your practice and your business model).*

## 7. Presentation of your financial advisory services

- “I work with clients to overcome these sorts of challenges and achieve these sorts of goals. Would you like to hear about how I work with my clients?”
  - i. *At this point, if they say yes, go forward and share about your [branded system](#) and your [tiers of service](#).*
  - ii. *If they say no, I invite you to ask them: “Is there any reason why not?” This question will give you insight into whether it’s simply not the right time, or if their resistance is due to something else. If you don’t ask this question, you won’t know why they aren’t ready to move forward.*
- Outline your Branded System.  
“Do you have any questions about how I help my clients get their needs met?”
- Discuss the tier structure and options for engaging your services.
  - i. “Which of these options feels like the best fit for you?”
  - ii. “Do you have any questions about these options?”

## 8. Clarify how you get compensated (This depends on your business model and can vary)

- For example, commissions on different products, commissions on assets under management, referrals...



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9. Presumptive close
  - Given the information you were given during the enrollment process, make a recommendation to the prospect for where it makes the most sense to engage with your services:
    - i. “Shall we get started with this program now?”
      1. If this is not an easy yes, find out what their concerns are and address them.
      2. If they say no, ask “what do you need to know so that you are comfortable moving forward?”
  
10. Next steps:
  - “I look forward to working with you!”
  - Tell them what they need to do next to get started, like filling out a client intake form or requesting specific documentation.

Having a clear template for an enrollment conversation is crucial, not only to ensure you are closing new clients, but also to make sure that you’re communicating to them the overall value that you can provide to them as their financial advisor.

If you’d like support in improving your enrollment conversations, or building your practice, I invite you to reach out to me! I would love to speak with you. Email me today:  
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