Al Miller

ART DEALER

FINANCIAL COMMUNICATION SPECIALIST

MARKETING DEPLOYMENT GUIDE

Making Sense of Financial Advice



Marketing Strategy Deployment Guide

EVALUATION COPY

How to Use This Guide

This guide explains how to deploy “Making Sense of Financial Advice” as a prospect acquisition tool. All benchmarks are drawn from verified industry sources including Yardstick Agency (UK adviser firm specialists), Broadridge Financial Advisor Marketing Trends Report 2024, ON24 Webinar Benchmarks 2025, and Social Insider LinkedIn Benchmarks 2025.

The projections throughout this guide are deliberately conservative. Real-world results vary significantly based on execution quality, audience targeting, and market conditions.

Important: Financial Promotions Compliance

Every item of marketing material in this guide, including email templates, social media posts, and landing page copy, constitutes a financial promotion under FSMA Section 21 when used by an authorised firm. Each item must be reviewed and approved by your compliance function before use, in addition to the core guide itself.

1. Strategic Purpose

What This Document Does

“Making Sense of Financial Advice” is a prospect education piece. It explains what financial advice is, how the process works, and what to expect. Its purpose is to:

- Educate prospects before they engage
- Demonstrate your expertise and professionalism
- Pre-qualify enquiries (prospects who read it arrive better informed)
- Position advice as valuable, not a grudge purchase
- Differentiate your firm from competitors who provide nothing upfront

Where It Sits in the Advice Lifecycle

This is a top-of-funnel document. It works before the first meeting, not during the advice process itself.

Typical journey:

1. Prospect encounters your firm (website, referral, event)
2. Prospect downloads or receives “Making Sense of Financial Advice”
3. Prospect reads, understands what’s involved
4. Prospect decides whether to make contact
5. First meeting occurs with prospect already educated

The document does the explanatory work so your first meeting can focus on their situation, not on explaining your profession.

2. Primary Channel: Referral Partners

Why This Channel Matters Most

Research from Yardstick Agency shows referral and recommendation sources convert at significantly higher rates than other lead sources. Adviser firm conversion rates from referrals typically range from 35-50 per cent, compared to below 10 per cent for purchased leads.

Accountants and solicitors are ideal referral partners because:

- They have existing trust relationships with your target clients
- Their work naturally creates advice triggers (tax events, probate, divorce, business sales)
- They need to answer the question “should I see a financial adviser?” but lack the expertise to explain what’s involved

“Making Sense of Financial Advice” gives them something concrete to share.

How to Approach Referral Partners

Initial approach:

"I've prepared a guide that explains what financial advice involves, without any sales pitch. It's designed for your clients who ask whether they need an adviser but aren't sure what's involved. You're welcome to share it under your own cover. Would you like printed copies for your office?"

What you're offering:

- A useful resource they can share with clients
- Something that makes them look helpful and knowledgeable
- Zero obligation or cost to them

What you're not doing:

- Asking for referrals directly (yet)
- Proposing fee-sharing arrangements
- Making demands on their time

Accountant Deployment

Relevant triggers in accountancy practices:

- Year-end tax planning conversations
- Clients asking about pension contributions
- Business owners discussing exit planning
- Inheritance tax queries
- Clients with surplus income asking "what should I do with this?"

Suggested approach: Provide 10-20 printed copies with a simple cover note. Offer to refresh stock quarterly. After 3-6 months, ask if any clients have found it useful.

Solicitor Deployment

Relevant triggers in legal practices:

- Probate clients (executors and beneficiaries receiving inheritance)
- Divorce settlements involving pension sharing or lump sums
- Property sales generating surplus capital
- Clients updating wills with complex estates
- Personal injury settlements

Family law and probate are highest-converting because clients are at a decision point and have money requiring management.

Realistic Expectations: Referral Partners

Metric	Conservative Estimate	Notes
Partners approached	10	Local accountants and solicitors
Partners agreeing to stock guide	3-5	30-50% take-up is realistic
Guides distributed per partner per year	5-15	Depends on practice size
Enquiries generated per year	2-8	Not every reader will enquire
Guides distributed per partner per year	1-4	50%+ conversion from warm referrals

Timeline: 6-12 months to see meaningful results. Referral relationships take time to build.

Commercial reality: One good referral partner relationship can generate 2-5 clients per year indefinitely. This compounds over time.

3. Website Integration

Landing Page Strategy

Create a dedicated landing page for the guide with:

- Clear headline: “Thinking About Getting Financial Advice?”
- Brief description of what the guide covers (3-4 bullet points)
- Simple form: Name, email, phone (optional)
- No login required, no lengthy registration

Website Placement

Homepage: Secondary CTA: “New to financial advice? Download our free guide”

Services pages: Contextual links: “Not sure if you need advice? Our free guide explains what’s involved”

Exit intent popup: Final chance to capture: “Before you go. Download our free guide to understanding financial advice”

Realistic Expectations: Website

Metric	Conservative Estimate	Scene / Notes
Monthly website visitors	200-500	Typical small adviser firm
Landing page visitors	30-75	15% of total traffic
Download conversion rate	15-20%	Industry average for gated content
Downloads per month	5-15	
Enquiries from downloads (annual)	8-20	Not every month produces enquiries
Conversions to client (annual)	2-6	25-30% conversion from enquiries

These figures assume an established website with reasonable traffic. New websites may see significantly lower numbers initially.

4. Email Marketing

Privacy and Electronic Communications Regulations 2003 (PECR)

All email campaigns must comply with the Privacy and Electronic Communications Regulations 2003 (PECR). You must have either explicit consent or a qualifying soft opt-in from each recipient before sending marketing emails. Your compliance function should confirm your firm’s PECR position before launching any email campaign.

Nurture Sequence for New Downloads

When someone downloads the guide, they’ve shown interest but aren’t ready to commit. A nurture sequence keeps you visible without being pushy.

Email 1: Immediate (automated)

Subject: “Your guide to financial advice”

Thank you for downloading “Making Sense of Financial Advice.” The guide is attached. It covers what financial advice actually involves, how the process works, and what to expect from a first meeting with an adviser. If anything in the guide raises questions, I’m happy to clarify. I’ll follow up in a few days to see if you found it useful.

Email 2: Day 3

Subject: “Did the guide answer your questions?”

I wanted to check whether you’d had a chance to read the guide, and whether it raised any questions I could help with. Most people who read it come away with a clearer sense of what advice involves, but also a few specific questions about their own situation. If that’s you, I’m happy to have a brief conversation. No obligation, no pitch.

Email 3: Day 7

Subject: "One thing most people get wrong about financial advice"

Having sent this guide to hundreds of people, I've noticed a common misconception: most assume financial advice is mainly about investments. In reality, investments are usually the last piece of the puzzle. The real work is understanding what you're trying to achieve, what resources you have, and what risks you need to manage. The guide touches on this, but if you'd like to discuss what advice might look like for your specific situation, I'm here.

Email 4: Day 14

Subject: "Is now the right time?"

Two weeks ago you downloaded our guide to financial advice. I wanted to check in one final time. Some people download guides like this when they're actively considering advice. Others are just curious and not ready to act yet. Either is fine. If you're in the first group and would like to have a conversation about your situation, I'd be happy to arrange that. If you're in the second group, no problem at all. You know where to find me when the time is right.

Email Benchmarks

Metric	Financial Service Average	Conservative Target
Open rate	27-40%	25%
Click-through rate	1-3%	1.5%
Unsubscribe rate	0.2-0.5%	Under 0.5%

Apple Mail Privacy Protection has inflated open rate reporting since 2021. Focus on click-through rate and reply rate as more reliable indicators.

5. Social Media

FCA Social Media Guidance

The FCA has published specific guidance on social media financial promotions (FG15/4 and FG24/1). Each social media post must be standalone compliant, including appropriate risk warnings or disclaimers even within character limits. Your compliance function should review all social media content against this guidance before publication.

LinkedIn Strategy

LinkedIn remains the most relevant platform for adviser firm marketing. Based on Social Insider benchmarks (2025), organic engagement rates on LinkedIn range from 2-6 per cent, with financial services typically at the lower end.

Content approach: Extract key insights from the guide and share as individual posts over 4-6 weeks. This builds visibility and positions you as someone who educates rather than sells.

LinkedIn Benchmarks

Metric	Financial Service Average	Conservative Target
Organic reach (% of followers)	6-10%	Higher for smaller pages
Engagement rate	2-5%	Financial services lower end
Click-through rate (posts with links)	0.5-1%	Links reduce reach

Direct client acquisition from LinkedIn is unlikely. The value is visibility and credibility over time.

6. Seminars and Events

Educational Seminar Format

The guide can form the basis of a 50-minute educational presentation for prospects.

Title: "Financial Advice Explained: What It Is, What It Costs, What to Expect"

Section	Duration	Content
Introduction	5 mins	Why this matters, what we'll cover
What advice covers	10 mins	Beyond investments: planning, protection, tax
The advice process	10 mins	Stages from first meeting to ongoing relationship
How advisers charge	10 mins	Fee structures, typical costs, questions to ask
Q&A	15 mins	Open questions from attendees

Webinar Benchmarks

Metric	Industry Benchmark	Conservative Target
Registration to attendance	40-57%	40%
Average attendance	50-200	30-50 for small adviser firm
Attendee to enquiry conversion	10-20%	10%
Enquiry to client conversion	25-35%	25%

Source: ON24 Webinar Benchmarks 2025, GoToWebinar industry data.

7. Measuring Success

Key Metrics to Track

Metric	Industry Benchmark
Downloads	Interest levels
Download to enquiry rate	Content quality and follow-up effectiveness
Enquiry to first meeting rate	Qualification and booking process
First meeting to client rate	Sales process effectiveness
Cost per client	Overall marketing efficiency

What "Success" Looks Likely

For a typical small adviser firm, realistic annual outcomes from deploying this guide:

Channel	Likey Clients (Year 1)	Notes
Referral partners	1-4	Takes 6-12 months to build relationships
Website	2-6	Depends on existing traffic
Email nurture	1-3	From downloaded leads
Seminars/webinars	1-2	Per event held
Direct mail	0-2	Expensive, use selectively
TOTAL	5-17	Conservative estimate

These are Year 1 projections. Referral relationships and content marketing compound over time. Year 2-3 results are typically stronger.

8. Commercial Reality Check

What This Document Can and Cannot Do

It can:

- Educate prospects before they engage
- Demonstrate your professionalism and expertise
- Pre-qualify enquiries so first meetings are more productive
- Give referral partners something concrete to share
- Build credibility over time

It cannot:

- Generate clients on its own
- Replace the need for relationship-building
- Convert people who aren't ready for advice
- Substitute for a good first meeting process

The Honest Assessment

No single document will transform a practice. The guide is one component of a broader marketing approach.

Worst-case scenario: Zero new clients directly attributable to the guide. This is realistic and not failure. The guide may still contribute to credibility, prospect education, and referral partner relationships that produce results later.

Best-case scenario: 10-15 new clients in Year 1, primarily through referral partners and website downloads, with ongoing benefits in subsequent years.

Most likely scenario: 3-8 new clients in Year 1, with the guide contributing to a broader impression of professionalism that influences prospects across multiple touchpoints.

Worth knowing: Some prospects hesitate not because they don't understand advice, but because past investment experiences have left them wary. If you find clients struggling with emotional responses to market movements, "The Behaviour Guide" pairs well with this pack. It addresses the psychological side of financial decision-making.

Similarly, when markets are volatile and prospects ask "is now the right time?", having current UK equity analysis to hand can strengthen your conversations. The "UK Equity Outlook" pack provides that market context.

9. Compliance Checklist

Before Distribution

- ☐ Firm name inserted in all placeholders
- ☐ Contact details verified and correct
- ☐ FCA registration number (FRN) included
- ☐ No additional content added that alters compliance status
- ☐ Compliance sign-off obtained from firm's compliance function
- ☐ All email templates reviewed against PECR 2003 requirements
- ☐ All social media content reviewed against FCA guidance FG15/4 and FG24/1

Record Keeping (COBS 4.11)

- ☐ Master copy of document filed
- ☐ Record of distribution dates and channels maintained
- ☐ All supporting materials (emails, posts, ads) archived
- ☐ Records retained for minimum period required by FCA rules

10. Channel Priority Summary

Priority	Channel	Expected Outcome	Cost	Time to Results
1	Referral partners	Highest conversion, compounds over time	Low (print costs)	6-12 months
2	Website integrations	Steady flow of educated enquiries	Low (existing website)	3-6 months
3	Email nurture	Converts interested prospects	Low (email platform)	Immediate
4	Seminars/webinars	Positions expertise, generates enquiries	Medium (time + platform)	Immediate per event
5	LinkedIn	Builds visibility and credibility	Low (time only)	6-12 months
6	Direct Mail	Targeted campaigns only	High	1-3 months

Focus your effort on referral partners first. This channel has the highest conversion rates and lowest cost. Everything else supports this primary strategy.

Sources Cited

- Yardstick Agency (UK adviser firm conversion rate research)
- Broadridge Financial Advisor Marketing Trends Report 2024
- ON24 Webinar Benchmarks Report 2025
- Social Insider LinkedIn Benchmarks 2025
- Altruist/GetResponse email marketing benchmarks
- GoToWebinar industry statistics

This guide is provided to support FCA-compliant marketing of "Making Sense of Financial Advice." All campaigns should be reviewed by your compliance function before launch.

Al Miller

ART DEALER

FINANCIAL COMMUNICATION SPECIALIST

CLEAR THINKING FOR COMPLEX FINANCIAL DECISIONS

TELEPHONE: 00-350-5600-4546

EMAIL: INFO@ALMILLERFCS.COM

WEBSITE: WWW.ALMILLERFCS.COM