

# Mutual Fund & Financial Advisor KPA Review System

## Key Performance Areas Framework & Monthly Business Planning Dashboard

In financial advisory, mutual fund distribution, and wealth management, advisors operate as both business owners and practitioners. To maintain consistent practice growth, advisors must enforce a systematic monthly performance review mechanism on the first business day of every month.

### 1. THE 5 CORE METRICS OF THE KPA FRAMEWORK

The Key Performance Area (KPA) framework evaluates productivity across five primary operational dimensions:

| # | Key Performance Metric                     | Benchmark / Ideal Target | Strategic Focus & Purpose                                                      |
|---|--------------------------------------------|--------------------------|--------------------------------------------------------------------------------|
| 1 | New Names Added to Prospecting List        | 150 Names / Month        | Fueling the top of the funnel to avoid prospecting dry spells.                 |
| 2 | First Appointments (Introductory Meetings) | 40 Meetings / Month      | First-time discovery calls/meetings (excluding follow-ups).                    |
| 3 | Sales in Process (Active Pipeline)         | < 50 Active Cases        | Preventing pipeline stagnation; pruning unready or unresponsive prospects.     |
| 4 | Achievement to Target (% Year-to-Date)     | ≥ 8% / Month             | Pacing monthly contribution against the annual business objective.             |
| 5 | Growth in New Business (Y-o-Y)             | Positive % Growth        | Comparing year-to-date business against the identical period last fiscal year. |

### 2. KEY PERFORMANCE METRIC FORMULAS & AUDIT RULES

#### Metric 3: Pipeline Governance Rule

**Rule of 50:** Maintain **fewer than 50 active cases** in the pipeline. If sales in process exceed 50, conduct a case-by-case audit. Immediately purge unpromising or non-responsive prospects to focus resources on high-intent clients.

#### Metric 4: Achievement to Annual Target Formula

Achievement to Target (%) = (Business Premium / AUM Achieved in Month ÷ Total Annual Target) × 100

#### Metric 5: Year-over-Year (YoY) Growth in New Business Formula

Growth in New Business (%) = [(Current YTD Business - Previous YTD Business) ÷ Previous YTD Business] × 100

### 3. MONTHLY REVIEW & PLAN WORKSHEET (JULY 2026 / AUGUST 2026)

| # | Key Performance Area Metric                | July-2026 (Actual Review) |                 | August-2026 (Target Plan) |                  |
|---|--------------------------------------------|---------------------------|-----------------|---------------------------|------------------|
|   |                                            | Review Target             | Actual Achieved | Planned Goal              | Target % / Value |
| 1 | New Names added to Prospecting List        | 150                       | 0               | 150                       | --               |
| 2 | First Appointments (Introductory Meetings) | 40                        | 0               | 40                        | --               |
| 3 | Sales in Process (Active Pipeline Cases)   | < 50                      | 0               | < 50                      | --               |
| 4 | Achievement to Target (%)                  | 8.33%                     | 0%              | 8.33%                     | 0%               |
| 5 | Growth in New Business (%)                 | Positive %                | 0%              | Positive %                | 0%               |

### 4. ANNUAL PERFORMANCE REVIEW TRACKING GRID (CALENDAR YEAR 2026)

| KPA Review Metric        | Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec |
|--------------------------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|
| New Prospect Names       | -   | -   | -   | -   | -   | -   | -   | -   | -   | -   | -   | -   |
| First Appointments       | -   | -   | -   | -   | -   | -   | -   | -   | -   | -   | -   | -   |
| Sales in Process         | -   | -   | -   | -   | -   | -   | -   | -   | -   | -   | -   | -   |
| Target Achievement %     | -   | -   | -   | -   | -   | -   | -   | -   | -   | -   | -   | -   |
| Growth in New Business % | -   | -   | -   | -   | -   | -   | -   | -   | -   | -   | -   | -   |

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