



Family Firm Resources

Family Business Strategies • Assessing the Present • Assuring the Future

968 Bromley Road, Suite B • Charlotte, NC 28207 • 704.334.3534

Representative Presentations

Robert Caldwell, M.A.
1997-2009

Strategic Planning in Family Business—Charlotte, NC, UNC-C Family Business Forum, October 1, 1997

What is strategic planning? Why is it important for your family business? A process to undertake and carry out a strategic planning.

Working with Family Owned Business—Gastonia, NC, Gaston County CPA's, April 28, 1998

Discussed insider versus outsider conflicts among family enterprise stakeholders and how to help facilitate those so the family and business can accomplish what they need to do.

Connection, Commitment and Continuity—Charleston, WV, Mountain State YPO, August 23, 2002

- Strategic planning in closely-held companies and in community or trade organizations, including organizational mandates:
 - What must the organization do?
 - What must the organization not do?
 - Is the organization currently stepping outside of the bounds of its mandate?
 - Does the organization push sufficiently against the boundaries it encounters?

Assisting Family Business Succession—Charlotte, NC, Wachovia Bank east coast wealth managers, via phone conference, September 30, 2002

Statistics indicate that 1 family owned business in 3 will successfully transfer from the first generation to the second. Only 1 in 8 will transfer successfully from the second generation to the third. Lenders have become increasingly aware of the risk inherent in lending to family business owners who have not done realistic and substantial succession planning. Without a well-crafted exit strategy that can be implemented in the turmoil surrounding the death or disability of the senior generation leader, chaos can ensue. Financial advisors close to the family have the opportunity to help make succession a positive experience.

Emotional Intelligence in the Family Business—Charlotte, NC, The Family Business Alliance, October 16, 2003

A common problem. . .in entrepreneurial leaders -- particularly those who started a company and continue to run it -- is their failure to develop a wide enough array of leadership styles to keep people motivated and performing their best. It's the common cold of entrepreneurs.

-- Daniel Goleman



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Conflict in the Family Business: managing the inevitable—Greensboro, NC Chamber of Commerce, November 4, 2003

- Conflict is going to occur
- Conflict is not always negative
- Agreed-upon conflict resolution mechanisms are vital
- Positive handling of conflict leads to stronger business and stronger family

The Human Side of Wealth Transfer—Charlotte, NC, The Queens Estate Planning Seminar, General Session, January 29, 2004

70% of all family wealth transfers fail, not because of errors or omissions on the parts of professional advisors, but because of a lack of adequate intergenerational planning, preparation and execution on the human side of the equation. The 30% of families who do transfer wealth successfully share a few common traits and practices that make all the difference. By becoming more aware of these human dynamics advisors can help their clients beat the odds and successfully transfer their hard won assets into strong hands.

- **Coaching Closely-Held Business Leaders**—Charlotte, NC, International Coach Federation Chapter, July 9, 2006

Coaching the top executives of family-owned or closely-held companies is a different experience than coaching in corporate America. The concerns are somewhat different, the viewpoint often more long term and the emotional content more in play than in publicly held businesses. Core tenets of coaching, however, still prevail: authenticity, self-confidence, courage and self-perception are key elements in differentiating you from others who might want to do this work.

- **Babcock Graduate School of Management, Wake Forest University, 8 successive yearly presentations about family business dynamics, January 2002-2009, as Babcock Family Business Fellow**

This is an annual teaching opportunity with MBA and JD students who are enrolled in Dr. Stan Mandel's family business class. We discuss basic family business issues and do case studies from among the class members, many of whom will be next generation business successors.

- **Coaching within Family Owned Businesses, Lee Hecht Harrison, national teleconference, February 20, 2007**
 - Overview of the coaching methodology
 - Overview of coaching themes, issues and obstacles using case examples
 - Success factors, tips and rewards



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- Assisting Family Business Succession, Investment Management Consultants Association (IMCA), Ballantyne Resort Hotel, Charlotte, NC, November 5, 2007

Investment management professionals have an opportunity to help family owned businesses successfully pass ownership and leadership from one generation to the next. Their often long standing role as a trusted advisor provides them a platform to speak openly and to provide honest perspective on the crucial issue of intergenerational succession. Also, by forming alliances with the younger generation the advisor can continue his or her good work into the future for the benefit of all.

- Family Business Matters, Southeastern Portable Sanitation Association, Charleston, SC, November 17, 2007

Succession strategy, conflict management, leadership development, relationship development and management, and other matters of interest and benefit to family business owners as they consider passing the torch to the next generation or maintaining the health of their companies

- Succession Planning for Your Family Business: by design or by default, Southeastern Portable Sanitation Association, Concord, NC, April 12, 2008

Planning for succession is one of the most important things a business owner can do. In a family business it can be done by design, where the outcome is hopefully aligned with the desires of the family, or by default where chaos and failure often ensue. The choice is yours. Here are tips and things to be aware of in the process.

- Family Business Matters, Portable Sanitation Association International, Daytona Beach, Florida, November 6, 2008, Family Business Matters

Succession strategy, conflict management, leadership development, relationship development and management, and other matters of interest and benefit to family business owners as they consider passing the torch to the next generation or maintaining the health of their companies.

- The Human Side of Wealth Transfer, Transamerica Financial Advisors, Chicago, IL, May 8, 2009
- The Human Side of Wealth Transfer, Transamerica Financial Advisors, Philadelphia, PA, May 15, 2009
- The Human Side of Wealth Transfer, Transamerica Financial Advisors, Phoenix, AZ, May 20, 2009

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- Wealth: Creation, preservation and succession, First Citizens Bank, Charlotte, NC, September 24, 2009

This presentation to wealth management and commercial bankers focused on the continuum of clients from the “get rich” to the “stay rich”. The “get rich” are serviced by the bankers by lending and commercial bank services while the “stay rich” are serviced by the wealth management group. Something often happens along the way from gaining wealth to preserving it and passing it on to future generations that causes many of these transfers to fail. Help your clients be among the successful few who are able to preserve and pass on theirs.

- Four Critical Aspects of Family Business, Business Owners’ Roundtable, Charlotte, NC October 14, 2009

While working IN our family business is always demanding, it is also important and often neglected that we work ON the business as well. Succession planning, governance, leadership development and relationship management are crucial issues that require time and attention if the business is going to succeed long term.