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**FOR IMMEDIATE RELEASE**

## SWAY RESEARCH PUBLISHES 10 PRINCIPLES OF DCIO SUCCESS

*Based on Nearly a Decade of Conversations with DC and DCIO Executives*

**January 13, 2010, Newton, NH**—Released to the general public for the first time today, Sway Research’s 10 Principles for DCIO Success covers a wide range of areas, including sales strategy, staffing, marketing, and product. Designed for asset management sales and marketing executives, these 10 rules were gleaned over years of researching and consulting with DCIO sales leaders on sales, marketing, and product strategy. Sway’s founder and principal—Chris J. Brown—has authored five in-depth studies on the DCIO marketplace—the most recent being *The State of DCIO Distribution: 2010 - Strategies for Increasing Productivity and Profitability*, published in October 2009.

“Having worked with dozens of asset managers to create or enhance a DCIO market strategy, I know from experience that each firm has a unique set of capabilities and distribution relationships that can leveraged to build a DCIO sales effort,” says Mr. Brown. “Although situations differ, most, if not all, of these principles can be applied to improve sales force productivity and enhance relationships with key partners, such as providers, retirement advisers, and investment consultants—leading to greater market share and more revenue,” added Brown.

The following page features 4 of the 10 principles. To receive a PDF file containing all 10 Principles for DCIO Success, simply send an email request with contact information to [info@swayresearch.com](mailto:info@swayresearch.com).

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*On Strategy* - **Take a top-down bottom-up approach.** In other words, support all of the key menu influencers, including those at the top of the sales cycle, such as provider home office staff and investment consultants, and those at the bottom of the sales cycle, such as platform wholesalers and retirement advisers.

*On Staffing* - **Experience equals credibility.** The strongest DCIO sales personnel — possess firsthand knowledge of the DC market, an understanding of the plan sales cycle, and a network of influential contacts.

*On Marketing* - **Address the needs of DC platform partners and retirement advisers.** Do this through value-add programs, including sales tools and educational materials, as well as sponsorships of sales training and certifications, industry speakers, and partner events. Good performance is not enough to ensure steady flows over time.

*On Product* - **Take an agnostic attitude toward product structures.** Make portfolios available in mutual fund R- and I-shares, collective investment trusts, and through sub-advisory arrangements—that is if a reasonable profit margin can be earned on this business.

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### **About Sway Research LLC**

Sway Research provides market data and analysis that empowers financial services executives to make decisions, effect change, and grow revenue. Leading manufacturers and distributors of investment products purchase Sway's research in syndicated reports, custom research projects, and strategy engagements. Sway is the leading provider of research and intelligence on the defined contribution investment-only market. Please visit [www.swayresearch.com](http://www.swayresearch.com) for more information.