



2018 MMI



ANNUAL CONFERENCE

OCTOBER 15-17, 2018 ■ HYATT REGENCY DALLAS ■ DALLAS, TX

Hyatt Regency Dallas | 300 Reunion Boulevard | Dallas, TX

Agenda as of October 14, 2018

Date	Time	Session Type
Monday, October 15	1:00pm-1:15pm	Opening Remarks
Monday, October 15	1:15pm-2:00pm	<p>Keynote Session</p> <p>Our Moment The old asset management model is being disrupted, but so too is the trust and faith that citizens have in leaders and institutions across the globe. This confluence of factors presents both a rare challenge and a rare opportunity for the money management industry. Legg Mason CEO Joe Sullivan explains why industry leaders need to not only reinvent our business, but embrace a higher calling for why we are in it.</p> <p>Joseph Sullivan, Chairman & CEO, Legg Mason</p>
Monday, October 15	2:00pm-3:00pm	<p>Connecting the Technology Dots: Empowering Advisors to Improve Outcomes With all the buzz about technology changing the way our industry does business, this session examines what is really happening on the front lines. What are financial advisors doing to leverage technology today, and what will it take to get them to connect all the technology dots in the months and years ahead? Our panelists are leaders at companies that support advisors and their clients by creating integrated systems and platforms that include financial products, software solutions, and platform technology. Hear firsthand about their efforts to build an ecosystem that enhances the advisor's ability to provide personalized advice across an entire household portfolio, the challenges they've encountered along the way, and what they are doing to encourage advisor adoption.</p> <p>Moderator: Jack Sharry, Executive Vice President, Chief Marketing Officer, LifeYield</p>

		<p>Panelists: Jess Liberi, Head of Product, eMoney Advisor Eric Lordi, Managing Director, Head of Advisory Platforms, Morgan Stanley Wealth Management Jud Mackrill, Chief Marketing Officer, Carson Group</p>
Monday, October 15	3:00pm-3:30pm	<p>Solutions Spotlight In this fast-paced session, two of our Annual Conference sponsors will offer quick-hitting "TED Talk"-style presentations that focus on timely topics pertinent to our conference theme. Prepare to be engaged and entertained!</p> <p>Trends Impacting Asset Managers – What Does it Mean for You?</p> <p>Robert Cirrotti, Managing Director, Head of Investments and Managed Accounts, BNY Mellon's Pershing</p> <p>Enabling Frictionless Advice Delivery</p> <p>Robert Klapprodt, President, Vestmark</p>
Monday, October 15	3:30pm-4:00pm	<p>Networking Break</p>
Monday, October 15	4:00pm-5:00pm	<p>Reinventing the Client Experience: Industry Perspective from Millennial Advisors Each generation has its own quirks and predilections. That's an important consideration for financial advisors, whether they are focused on working with millennial clients – or on attracting and retaining younger professionals as part of their practices. In this session, hear straight talk from a panel of millennial advisors on where they think advisors typically get it right in working with millennial clients and advisory team members and, more importantly, where they get it wrong. This session will provide valuable insight into how millennial advisory professionals are reshaping the financial advice profession – everything from the nature of that advice to how it is delivered to clients, and how it is paid for.</p> <p>Moderator: Fred Gabriel, Editor, <i>Investment News</i></p> <p>Panelists: Zachary Garber, Vice President, Client Advisor, Alex Brown, A Division of Raymond James Kyle Merino, First Vice President, Investments, Financial Advisor, Wells Fargo Advisors Mandy Sessler, Financial Advisor, Clintsman Financial Planning</p>

Monday, October 15	6:30pm-9:00pm	Opening Reception at The George W. Bush Presidential Library and Museum
Tuesday, October 16	7:00am-8:00am	Networking Breakfast
Tuesday, October 16	8:00am-9:00am	<p><i>ON FIRE: The 7 Choices to Ignite a Radically Inspired Life</i></p> <p>In 1987, John O’Leary was a curious nine-year old boy. Playing with fire and gasoline, John created a massive explosion in his home and was burned on 100% of his body. He was given a 1% chance to live. His epic story of survival was first told in <i>Overwhelming Odds</i>, a book written by his parents, and that book encouraged Mr. O’Leary to embrace his miraculous recovery and share it with the world. Today, he is a bestselling author and motivational speaker, teaching more than 50,000 people each year how to <i>live inspired</i>. His emotional story, laced with unexpected humor and authenticity, is an inspirational reminder that our lives have much less to do with what happens to us, and much more to do with how we react to the circumstances we find ourselves in.</p> <p>John O’Leary, Author & Motivational Speaker</p>
Tuesday, October 16	9:00am-9:45am	<p>Executive Spotlight: What Lies Ahead for Wealth Management</p> <p>In a wide-ranging discussion, Craig Pfeiffer and senior broker-dealer executives explore the converging forces reshaping the wealth management landscape. Topics include: the key challenges in positioning a firm for sustainability and long-term success, how firm value propositions and operating models must evolve as new forces come into play, attracting the next generation of talent to our industry, the steadily growing impact of data, and maintaining a client- and solutions-oriented focus.</p> <p>Moderator: Craig Pfeiffer, President & CEO, Money Management Institute</p> <p>Panelists: Christian Mitchell, Vice President, Investment Products & Services, President & CEO, Northwestern Mutual Wealth Management Company John Taft, Vice Chairman, Baird</p>
Tuesday, October 16	9:45am – 10:00am	<p>President’s Update</p> <p>Craig Pfeiffer, President and Chief Executive Officer, Money Management Institute</p>
Tuesday, October 16	10:00am-10:30am	Networking Break
Tuesday, October 16	10:30am-11:30am	Sales & Marketing: Session 1

		<p>Asset Managers as Partners in Sales and Marketing Many asset managers have dedicated tremendous resources to assist in the marketing of their products to financial advisors and end consumers. This session focuses on how effective those efforts have been and reviews proven ways for asset managers to help advisors overall while fostering greater distribution of their products.</p> <p>Moderator: Bill Finnegan, Chief Marketing Officer, AMG Funds</p> <p>Panelists: Rodney Allain, Director of Internal Regional Directors, Legg Mason Michael Keenan, President, MFS Fund Distributors Matt Schiffman, Principal, Atom Analytics</p>
Tuesday, October 16	10:30am-11:30am	<p>Compliance & Regulatory: Session 1</p> <p>The Compliance Challenges of Product Proliferation This session focuses on the suitability and supervision challenges of new product sets. Topics include: the introduction of new or different types of investment products within managed programs (hedge funds, private equity, annuities), including specialized advisory vehicles (fee-based structures) and associated supervisory considerations; developments in mutual fund share class selection and disclosure requirements; considerations related to similar strategies implemented through different structures (mutual funds, active ETFs, SMAs); and considerations when fulfilling the cash asset allocation within managed programs.</p> <p>Moderator: Thad Ingersoll, Vice President, Compliance and Risk Liaison, Ameriprise Financial</p> <p>Panelists: Jennifer Klass, Partner, Morgan Lewis & Bockius Michelle Logue, Chief Compliance Officer, Lockwood Advisors and Director of Compliance for Pershing LLC, a BNY Mellon company Maureen Sheehan, Senior Counsel, Wells Fargo</p>
Tuesday, October 16	10:30am-11:30am	<p>Tools & Technology: Session 1</p> <p>Blockchain – Holy Grail or Overhyped? The term Blockchain has become ubiquitous in the financial press and at industry conferences. Is the attention warranted or is the hype overblown? This session surveys the current state of Blockchain usage</p>

		<p>in financial services, implementation successes and failures, and future challenges to adoption.</p> <p>Moderator: Charles Smith, Executive Director, EY</p> <p>Panelists: Deva Annamalai, Director of Solution Consulting, Fiserv Mark Rotzler, Director- Pershing Managed Account Technology, Pershing LLC Ben Spiegelman, Corporate Development & Strategy, Symbiont</p>
Tuesday, October 16	10:30am-11:30am	<p>Product Solutions: Session 1</p> <p>Products and Solutions to Enable Advisor Growth Financial advisors face a host of daily challenges – wrestling with disparate systems, staying current with new products, and acquiring and nurturing new client relationships, to name a few. In this session, business leaders representing different sides of the advisory business focus on the tools their firms are developing to facilitate better client outcomes and advisor growth. The panel will also share their observations on the types of mindset and approach that help advisors achieve growth.</p> <p>Moderator: Travis Wilson, Regional Productivity Manager, Southwest Region, Senior Vice President, Business Development Group, Wells Fargo Advisors</p> <p>Panelists: Gary Carrai, Senior Vice President, LPL Financial Tricia Rothschild, Chief Product Officer, Morningstar Ann Senne, Head, Advice and Solutions Group, RBC Wealth Management</p>
Tuesday, October 16	11:30am-12:45pm	Networking Luncheon
Tuesday, October 16	12:45pm-1:45pm	<p>Sales & Marketing: Session 2</p> <p>What Works and What Doesn't...Success Secrets from Top Advisors This FA panel provides an honest appraisal of whether old school techniques – like cold calling and seminar marketing – still work. The group will share the new strategies and tactics advisors are adopting to grow their practices in an increasingly crowded marketplace.</p> <p>Moderator: Ron Fiske, Co-Head of Retail, Apex Clearing</p>

		<p>Panelists: Marie Moore, Managing Director, Family Wealth Director, The Moore Group, Morgan Stanley Wealth Management John Nersesian, Head of Advisor Education, PIMCO Bill Simonet, Managing Principal, Simonet Financial Group</p>
Tuesday, October 16	12:45pm-1:45pm	<p>Compliance & Regulatory: Session 2</p> <p>Digital Tools and Communications This session focuses on keeping pace with the rapid evolution of digital tools and new methods of communication. Topics include: the evolution in how clients and advisors communicate (texting, videoconferencing); expectations of the modern-day investor (virtual assistants, digital storage solutions, self-service); and privacy and cybersecurity concerns, including new regulations (GDPR).</p> <p>Moderator: Sean Lawlor, Vice President, Product Strategy & Engagement, Envestnet</p> <p>Panelists: Scott Kirwin, Vice President & Associate General Counsel, Fidelity Investments Elizabeth Marino, Counsel, Sidley Austin Jack Sharry, Executive Vice President, Chief Marketing Officer, LifeYield</p>
Tuesday, October 16	12:45pm-1:45pm	<p>Tools & Technology: Session 2</p> <p>How Technology Can Help Firms Meet the Rising Demand for Alternative Investments Demand for alternative investments has increased in recent years as investors seek new ways to achieve enhanced income and non-correlated returns. This session explores how the alternatives landscape has evolved, the operational challenges associated with alternatives, and how technology is making alternatives more accessible and transparent.</p> <p>Moderator: Parker Roy, Managing Director, Brookfield Asset Management</p> <p>Panelists: James Bruno, Managing Director, Morgan Stanley Wealth Management Mike Huisman, Senior Director- Digital, DST Zach Klehr, Executive Vice President, Fund Management, FS Dan Vene, Co-Founder & Managing Partner, iCapital Network</p>

Tuesday, October 16	12:45pm-1:45pm	<p>Product Solutions: Session 2</p> <p>Digital Transformation: New Avenues for Growth This panel explores digital transformation – what it is, and how digital products and solutions are transforming the day-to-day experience for the investor, the advisor, and the home office. The expert panel will review the host of new tools, including robotic process automation, artificial intelligence, and blockchain and the distributed ledger, and provide a realistic assessment of their potential to drive efficiencies and enable growth.</p> <p>Moderator: Anthony Perkins, Chief Information Officer, Investment Services, Fiserv</p> <p>Panelists: David Armstrong, Editor-in-Chief, WealthManagement.com Eric Lordi, Managing Director, Head of Advisory Platforms, Morgan Stanley Wealth Management Roger Paradiso, Head of Alternative Distribution, Legg Mason</p>
Tuesday, October 16	1:45pm-2:45pm	<p>Sales & Marketing: Session 3</p> <p>How Centralized Decision-Making Changes Intermediary Sales The industry has observed a marked increase in centralized decision making, including the growing use of model portfolios, which has been mandated by various advisor networks. This session examines how this trend is impacting intermediary sales and what a switch to marketing to the home office rather than individual advisors entails.</p> <p>Moderator: Matt Goulet, Senior Vice President, Model Portfolios, Fidelity Investments</p> <p>Panelists: Stacy Bernstein, Head of Financial Intermediaries, American Century Investments Thomas Jones, Head of Strategic Relationships, Columbia Threadneedle John Moninger, Director of Retail Sales, Eaton Vance</p>
Tuesday, October 16	1:45pm-2:45pm	<p>Compliance & Regulatory: Session 3</p> <p>Regulatory Developments Impacting Investment Advisers This session provides an overview of relevant regulatory initiatives affecting investment advisers. Topics include: a discussion of the Regulation Best</p>

		<p>Interest, Form CRS and Investment Advisor Interpretive Guidance proposals; an update on SEC enforcement cases and e-delivery/e-signature regulations; an overview of regulatory actions and guidance regarding crypto offerings; an update on applicable state regulatory initiatives; and an analysis of the tensions between state and federal regulations.</p> <p>Panelists: Jim Anderson, Partner, Willkie Farr & Gallagher Susan Boccardi, Executive Director, JP Morgan Jennifer Morton, Counsel, Shearman & Sterling</p>
<p>Tuesday, October 16</p>	<p>1:45pm-2:45pm</p>	<p>Tools & Technology: Session 3</p> <p>Tech-Enabled Advice for the Modern Advisory Practice</p> <p>Today's financial advisor must find scalable methods for delivering personalized experiences to clients while decreasing the costs of doing business. This panel reviews the evolving expectations of the modern-day investor, how advisors can use technology to drive growth, and the ways hybrid advice has helped many advisors reach new clients.</p> <p>Moderator: Kyle Simpson, Director, FS Investments</p> <p>Panelists: Yanni Bousnakis, Head of Investment Solutions, Cetera Financial Group Bob Conchiglia, Vice President, Advisory Sales, Advent Black Diamond Lori Hardwick, President & Founder, AI Labs</p>
<p>Tuesday, October 16</p>	<p>1:45pm-2:45pm</p>	<p>Product Solutions: Session 3</p> <p>Innovation on Advisory Platforms</p> <p>This session looks at advisory product trends, with an eye to the hidden risks – and opportunities – you can't afford to ignore. The panel will review the changing roles of ETFs, MFs, SMAs, UMAs and take a closer look at some of the new types of alternative investments that are worth a second look in today's rapidly evolving product marketplace.</p> <p>Moderator: Rich LaVoice, Executive Vice President Retirement Distribution Strategy, Symetra</p> <p>Panelists: Carl Katerndahl, Executive Vice President, Nuveen Kevin Osborn, Executive Vice President, Wealth Management Solutions, Envestnet Scott Stolz, Senior Vice President, Raymond James</p>

Tuesday, October 16	2:45pm-3:15pm	Networking Break
Tuesday, October 16	3:15pm-4:15pm	<p>Sales & Marketing: Session 4</p> <p>Generation Next: How Will Our Industry Pivot to Meet the Needs of Younger Investors? The wealth management industry must reinvent itself to meet the needs of an increasingly diverse population. This expert panel looks at proven steps to enable diversity among the advisor population and what it will take to make our profession attractive to new, previously untapped, sources of talent.</p> <p>Moderator: Estee Jimerson, Managing Director, Head of Asset Manager Distribution & Engagement, Envestnet</p> <p>Panelists: Kate Healy, Managing Director, Generation Next, TD Ameritrade Matthew Kocanda, Wealth Manager, Financial Professionals Practice Group Leader, Balasa Dinverno Foltz Patty Quinn McAuley, Director of Marketing, Clark Capital Management Group</p>
Tuesday, October 16	3:15pm-4:15pm	<p>Compliance & Regulatory: Session 4</p> <p>Compliance, Regulation and the Modern-Day Financial Advisor This session focuses on the evolution of the financial advisor's role and the relevant regulatory initiatives affecting investment advisers. Topics include: an overview of goals-based planning and financial planning and the regulatory guidance relating to asset aggregation services; supporting a multi-generational practice; and considerations for millennial vs. senior clients.</p> <p>Moderator: Anna Pacewicz, Director and Counsel, Morgan Stanley Wealth Management</p> <p>Panelists: Matthew Girandola, Consultant, ACA Compliance Rose Palazzo, Head of Financial Planning, Morgan Stanley Wealth Management Ted Angus, Executive Vice President, General Counsel, AssetMark</p>
Tuesday, October 16	3:15pm-4:15pm	<p>Tools & Technology: Session 4</p> <p>Reducing the Operating Friction Between Tech/Ops and Distribution and Product Teams Product platform decisions have downstream impacts on technology and operations infrastructure. This</p>

		<p>panel will examine how back offices can best partner with diligence and business development teams to minimize time and effort in bringing new products to market.</p> <p>Moderator: Dan Sinclair, Managing Director, Separately Managed Accounts, SEI Investments</p> <p>Panelists: Vilas Mhatre, Managing Director, Investment Products and Services, Morgan Stanley Wealth Management Maree Moscati, Chief Executive Officer, Copytalk Nick Nolan, Director, Solutions Consulting, SS&C Advent</p>
<p>Tuesday, October 16</p>	<p>3:15pm-4:15pm</p>	<p>Product Solutions: Session 4</p> <p>Is Your Advisory Platform Vulnerable to Market Volatility Risk?</p> <p>This panel will discuss platform risks tied to market volatility and possible approaches to reduce their impact. Specific topics include how well traditional alternative investments will hold up in a bear market, the ways that best-in-class advisors are reworking their portfolio risk management strategies, and why the emergence of hybrid robo-advisors is a plus. The panelists will offer advice on positioning your advisory business against these risks and taking advantage of new opportunities that emerge.</p> <p>Moderator: Gary Gallagher, Senior Vice President, Fidelity Investments</p> <p>Panelists: Gregory Lai, Principal, Lead Portfolio Manager, Affinity Investment Advisors Michelle Mikos, Senior Director, ETF Due Diligence, Invesco Steve Snyder, Senior Vice President, Investment Product Management, LPL Financial</p>
<p>Tuesday, October 16</p>	<p>4:15pm-5:15pm</p>	<p>Beyond the Sustainable Investment Echo Chamber: Intersections with the Broader Sea Change in Financial Services</p> <p>Not a day goes by without a new announcement about the rapid rise of sustainable investing; the game board is set and the pieces are moving. But, with a larger sea change already under way in financial services, the raft of ESG developments are not taking place in a vacuum. Numerous forces – behavioral finance, changing demographics, a rethink of MPT, and technological innovation, to name a few – are</p>

		<p>converging. The implications for how the industry will approach client recruitment and retention, portfolio construction, and product distribution in the future are profound, and still coming into view. This session examines the emergence of sustainable investing in the context of the other major trends impacting financial services. Panelists representing different perspectives on the advisory continuum will weigh in on shifting client demands, emerging tools, and how big a force sustainable investing will prove moving forward.</p> <p>Moderator: William (“Bill”) Burckart, President, The Investment Integration Project (TIIP)</p> <p>Panelists: Kelly Major Green, Institutional Consultant, Graystone Consulting A Business of Morgan Stanley Phil Palanza, Senior Research Analyst, State Street Global Advisors Mark Sloss, CEO, Regenerative Investment Strategies</p>
Tuesday, October 16	5:15pm-6:30pm	Networking Reception
Tuesday, October 16	6:30pm-9:00pm	MMI/Barron’s Industry Awards Dinner
Wednesday, October 17	7:00am-8:00am	Networking Breakfast
Wednesday, October 17	8:00am-9:00am	<p>Due Diligence Panel: The Gatekeeper Perspective In this timely session, due diligence heads from different channels talk frankly about the evolution of the due diligence process at their firms, changing requirements and hot spots, and what they are looking for today in manager and fund candidates. Discussion topics include: the trends and sectors getting their attention in this later stage of the market cycle, the changing fee landscape and how it plays into evaluations, how the ability to get similar exposures across different types of investment vehicles impacts the process, and the top challenges research teams face in dealing with fund managers.</p> <p>Moderator: Keith Glenfield, Managing Director, Head of Investment Products, Bank of America, Merrill Lynch</p> <p>Panelists: Erina Ford, Mutual Fund Research, Raymond James Govind Kilambi, Alternative Investments, Due Diligence Executive, Merrill Lynch Jeff Raupp, Chief Investment Officer, Brinker Capital</p>
Wednesday, October 17	9:00am-9:30am	<p>Solutions Spotlight In this fast-paced session, two of our Annual Conference sponsors will offer quick-hitting "TED</p>

		<p>Talk"-style presentations that focus on timely topics pertinent to our conference theme. Prepare to be engaged and entertained!</p> <p>Moving to Unified Managed Households</p> <p>Bryan Sachdeva, Director, Consulting Services, Portfolio Management, CGI</p> <p>The New Era of Asset Management: Rethinking Old Paradigms</p> <p>Lee Kowarski, Vice President, SS&C/DST Systems</p>
Wednesday, October 17	9:30am-10:30am	<p>The Future-Ready Workforce: Challenges & Strategies</p> <p>Conceptually, it's easy to agree that attracting, engaging, and inspiring diverse talent – and different ways of thinking – are critical to the future of our industry. Putting this theory into practice isn't as easy. This session will provide a leadership perspective on the practical realities of building and retaining a truly diverse workforce in today's rapidly changing financial services marketplace. The panelists will share their personal experiences, offer a candid assessment of the relevant issues, and discuss the strategies that forward-looking firms are employing to move the needle on diversity and build a "future-ready" workforce.</p> <p>Moderator: Cheryl Nash, President, Investment Services, Fiserv</p> <p>Panelists: Noreen Beaman, Chief Executive Officer, Brinker Capital Joanne Courtenay-Hooley, Vice President, Human Resources & Communications, Galderma Laboratories Michael Pratt, Managing Director, Head of Human Resources, Voya Investment Management</p>
Wednesday, October 17	10:30am-11:00am	Networking Break
Wednesday, October 17	11:00am-12:00pm	<p>Redemption in PyeongChang: A Tale of Teamwork</p> <p>The U.S. women's hockey team won gold in PyeongChang in a thrilling 3-2 shootout victory over archrival Canada. The win ended 20 years of frustration on the Olympic stage for the U.S. women and provided sweet redemption after what was viewed as a collapse four years earlier in Sochi. Along the path to gold, the women overcame not only the weight of expectations, but a variety of other challenges, including a gamble to achieve equitable support, a move to Tampa, Florida which started with riding out a hurricane in a hotel lobby, and the complete turnover</p>

		<p>of the coaching staff. Members of the team will share the inspiring story of how they bounced back from defeat, overcame obstacles on and off the ice, and persevered as a team to cement their legacy.</p> <p>Moderator: John Moninger, Director of Retail Sales, Eaton Vance</p> <p>Panelists: Hannah Brandt, 2018 Olympic Gold Medalist, U.S. Women's Hockey Team Nicole Hensley, 2018 Olympic Gold Medalist, U.S. Women's Hockey Team Kendall Coyne Schofield, 2018 Olympic Gold Medalist, U.S. Women's Hockey Team</p>
Wednesday, October 17	12:00pm	Closing Remarks