

2019 MMI ANNUAL CONFERENCE



OCTOBER 14-16, 2019
HYATT REGENCY ATLANTA

AGENDA

Monday, October 14, 2019

12:00pm - 1:00pm **Registration and Networking Luncheon in the Solutions Center**

1:00pm - 1:20pm **Welcome & Opening Remarks**

Arlen Oransky, Senior Vice President, Chief Membership & Programs Officer, MMI
Jennifer Abate, Chair, MMI Board of Governors; Managing Director, Financial Institutions Group, Lazard Asset Management

Conference Co-Chairs:

Elise Duncan, Head of Leveraged Sales, BlackRock

Tony Rochte, Head of Fidelity Institutional Investment & Technology Solutions, Fidelity Investments

1:20pm - 2:10pm **Opening Keynote Presentation**

On the Edge: The Art of High-Impact Leadership

Imagine yourself on the highest mountain in the world. You have to deal with the physiological effects of extreme altitude – along with bone-chilling temperatures, battering winds, and a climbing team that's counting on all of its members to make smart decisions. There's simply no room for poor judgment – one mistake or misstep can result in an "unrecoverable error." In any situation where lives are on the line or the stakes are exceptionally high, there's no better training ground for leaders than settings where people are pushed beyond their perceived limits. Drawing on her experience as team captain of the first American Women's Everest Expedition, Alison Levine makes a compelling case that the leadership principles that apply in the world of extreme adventure also apply to today's rigorously competitive business environments.

Introduction:

Eric Koestner, General Partner, Edward Jones

Speaker:

Alison Levine, Keynote Speaker, Boundary-Breaker, Game-Changer, *New York Times* Best-Selling Author

2:10pm - 3:00pm **The Human Element: The Advisor Differentiator**

Advancements in data, technology, and machine learning in the FinTech industry continue at an accelerating rate, and new client-facing programs and solutions are putting the investor more and more in the driver seat. But financial advisors have never mattered more. Why? Because the human element is essential and can't be replicated.



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Clients need the capability to turn to a real person and ask the most human question: “What should I do?” Advisors can leverage data and technology to arrive at an appropriate recommendation, but the capacity to feel and understand – to connect on a personal level – increases the value of the advice that advisors give their clients.

In this session, our expert panel will discuss:

- the ever-changing landscape of advice
- how it impacts the relationship between advisors and their clients, and
- the essential building blocks to creating a financial road map for clients.

Moderator:

Jack Sharry, Executive Vice President, Chief Marketing Officer, LifeYield

Panelists:

Bill Crager, Chief Executive, Envestnet Wealth Solutions

Jon Stein, Chief Executive Officer & Founder, Betterment

3:00pm - 3:10pm

Industry Innovation Demo

Leveraging New Technologies to Fuel Advisor Growth

The role of the investment advisor continues to evolve – with today’s advisors facing a more discerning, better-informed client base with access to more information than at any time in the past. As client expectations rise, advisors must be prepared to satisfy new demands that go beyond delivering investment returns and reaching fundamental financial goals. Clients also increasingly want their investments aligned with their core beliefs and values. Learn how advisors can thrive in this environment and solidify relationships with tech-savvy clients by leveraging new technologies that customize at scale, effectively measure results beyond performance, and deliver complex information simply and with impact.

Speaker:

Jay Lipman, Co-Founder & President, Ethic

3:10pm - 3:40pm

Networking Break in the Solutions Center

3:40pm - 3:50pm

Transition to Next Session

3:50pm - 4:00pm

Industry Innovation Demo

Fintech (r)Evolution

The continuous flow of new startups in our industry constantly tests and unleashes new experiences and, in the process, resets customer expectations. Simple interfaces and full mobile functionality are table stakes. Facing an onslaught of commoditized products and pervasive advertising, time-starved, simplicity-seeking customers will place a premium on



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curation and personalized guidance, whether from human or machine. The most exciting new fintechs are focused on three ways to improve customers' financial lives – automation, personalization, and democratization. Learn what advisors can do to harness these trends by leveraging technology to thrive during this massive transformation in wealth management.

Speaker:

John Dalton, Vice President, Research & Innovation, Fidelity Labs

4:00pm - 4:50pm

Executive Spotlight: The C-Suite Perspective

Craig Pfeiffer and three asset management executives discuss the converging forces reshaping the asset and wealth management industries, the future of advice delivery, and the keys to long-term sustainability. You'll hear directly from some of the industry's senior leaders how they are embracing change and adapting their businesses for future success.

Moderator:

Craig Pfeiffer, President & CEO, Money Management Institute

Panelists:

Scott Colyer, Chief Executive Officer & Chief Investment Officer, Advisors Asset Management

Christine Hurtsellers, Chief Executive Officer, Voya Investment Management

Doug Sieg, Managing Partner, Lord Abbett

6:00pm - 9:00pm

Opening Reception at the Georgia Aquarium

To cap the first day of the conference, all attendees are encouraged to join us for our Opening Reception at the Georgia Aquarium, the largest aquarium in the western hemisphere and star of Animal Planet's new TV series, "The Aquarium." We'll enjoy cocktails, hors d'oeuvres, and southern food stations in a gallery that provides an up close and personal view of some of the Aquarium's mesmerizing inhabitants – including whale sharks, manta rays, and thousands of other fascinating fish. Attendees will also have a chance to tour the Aquarium's diverse collection of exhibits. The Aquarium is located only 0.5 mile from the Hyatt Regency. Roundtrip transportation by bus will be available.

Tuesday, October 15, 2019

7:00am - 8:00am

Networking Breakfast in the Solutions Center

8:10am - 8:30am

President's Update

8:30am - 8:40am

MMI Member Recognition Awards



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8:40am - 9:30am

Complementing the Human Advantage with Technology

Whether you're an institutional investor, an asset manager, an advisor or an app, your value is based on how you improve and simplify your clients' lives. There are many components that go into "adding value" – product solutions, pricing, client experience, and service – and in order to maximize that value, firms need the right combination of the human element and technology capabilities. We know that the role of the human is essential to creating value, but it's more difficult to define the technology element, particularly when it comes to new technologies such as artificial intelligence, big data, and machine learning. How can you leverage these rapidly advancing technologies to deliver what clients want? This session will provide insights from one of the world's largest asset managers, and perspectives from research conducted with over 900 institutions, to help firms initiate, adjust or just validate their approach. Session attendees will gain a deeper understanding of:

- How the industry is using data to transform the client experience, through efficiencies and augmenting knowledge workers
- Specific use cases of how to leverage the benefits of AI, data analytics, and machine learning
- Practical, tangible steps firms can take to implement these technologies

Host:

Jennifer Abate, Managing Director, Financial Institutions Group, Lazard Asset Management

Speaker:

Judy Marlinski, President, Fidelity Institutional Asset Management

9:30am - 9:40am

Transition to Track Sessions

9:40am - 10:30am

Sales & Marketing Track: Session 1

Lessons in Inspiration and Innovation from Other Industries

Leaders in asset management continue to seek ideas and lessons learned by examining successful distribution strategies implemented in other industries. This session will look at the B2B model in other industries that share certain of the characteristics of managed solutions – namely professional buyer and field-based agents, complex buying processes, and the use of virtual and specialist sales. Leaders from the pharma, medical devices and hi-tech industries will deliver case studies revealing:

- The distribution challenges they faced
- How/why they came up with a successful strategy
- How they implemented that strategy
- Lessons learned and the impact on their firm and possibly their industry



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Moderator:

Rubesh Jacobs, Associate Principal, ZS Associates

Panelists:

Casey Burnham, Director, Business Analytics, Boston Bruins

Denis Guz, Director, Applied AI in Global Demand Center, Microsoft

Andy Wang, Global Head of Wealth and Asset Management, Salesforce

9:40am - 10:30am

Compliance & Regulatory Track: Session 1

Investment Advisory Regulatory Developments

The investment advisory regulatory landscape continues to evolve as the industry enters the third year of SEC Chairman Jay Clayton's tenure. While the SEC's focus on longstanding priorities such as enhancing protections for retail investors and evaluating firms' cybersecurity measures persists, there are other newer developments of which firms should be aware. This panel discussion will focus on recent SEC actions such as:

- Adoption of rules governing retail advice such as Regulation Best Interest, Form CRS, and Interpretative Guidance
- No-Action Letter on constructive delivery of mutual fund prospectuses to discretionary investment advisers

Moderator:

Svetlana Milina, Executive Director, Legal Counsel, Morgan Stanley

Panelists:

Allison Bevacqua, Senior Vice President, Deputy Advisory Chief Compliance Officer, LPL Financial

Thomas Grygiel, Principal Consultant, ACA Compliance Group

Jennifer Morton, Counsel, Sherman & Sterling

9:40am - 10:30am

Tools & Technology Track: Session 1

The Evolution of Remote Advice

With the continued innovation in technology and the changing needs of both advisors and clients, the adoption of remote advice models continues to take hold. Call center-based advice and service models, chatbots, co-browsing, and video are gaining traction across all channels. Asset managers, broker-dealers, and wirehouses are leveraging these tools to enable the servicing of advisors and clients in different ways, bringing into play new revenue streams and new methods of attracting/retaining clients. This session will delve into:

- The most effective service models, looking at firms that have successfully implemented remote advice
- New technologies being employed to support remote advice and best utilization practices



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- The unique investment product and client service requirements of remote advice as compared to traditional full-service advisor models

Moderator:

Randy Bullard, Global Head of Wealth, Charles River Development

Panelists:

Teron Douglas, Managing Director, Chief Digital Executive – Preferred, Consumer and Small Business Banking Division, Bank of America

Leonard Golub, Managing Director & Head of Wealth Advice Center, UBS

Anders Jones, Chief Executive Officer, Facet Wealth

9:40am - 10:30am

Product Development Track: Session 1

The Proliferation of Asset Allocation Models

Market demand for simple, packaged solutions and an increased willingness on the part of advisors to outsource various aspects of investment management have served to accelerate the growth of asset allocation models. In response to demand, asset managers are rapidly developing holistic portfolios comprised of proprietary and open-architecture mutual funds and ETFs while leveraging technology platforms that enable advisor customization and personalization. Hear from leaders in this space discussing:

- Trends in model adoption by advisors
- The impact of models on standalone investment products
- The technology and platforms driving increased utilization and customization
- Prospects for the future

Moderator:

Matt Hamilton, Vice President, Model Portfolios, Fidelity

Panelists:

Drew Prehmus, Partner, Prehmus Financial

Jonathan Scott, Director of Core Product, Riskalyze

Scott Smith, Director, Cerulli Associates

10:30am - 11:00am

Networking Break in the Solutions Center

11:00am - 11:10am

Transition to Track Sessions

11:10am - 12:00pm

Sales & Marketing Track: Session 2

Changing the Economics of Distribution

Our industry is potentially one of the most profitable on the planet, but most firms are struggling to maintain margins as assets migrate to lower-fee products. When all the



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expenses related to raising assets are tallied up, asset management has one of the most expensive distribution models – one that is eating up the bulk of gross margin. Leading firms have recognized this, but few have implemented anything but marginal refinements that result in little to no change in the economics of distribution. This session will cover:

- The economics of distribution and the main levers available to alter the current trajectory
- New distribution models and lessons from firms that are using them
- Key enablers of the new models
- Performance management and compensation considerations

Moderator:

John Halaby, Head of Distribution, Harbor Capital Advisors

Panelists:

Lee Kowarski, Vice President, Head of Data Science & Distribution Solutions, SS&C Technologies

Ashley Wood, Principal, ISS Market Intelligence

11:10am - 12:00pm

Compliance & Regulatory Track: Session 2

Current Trends in SEC and FINRA Examination and Enforcement

The number of annual investment adviser examinations continues to grow steadily as the SEC examined a record 17% of all registered investment advisers during 2018 and referred approximately six percent of those examinations to its Enforcement Division. As the SEC allocates more resources to its technological capabilities – including the ability to leverage data analytics to more effectively target its examination efforts – firms must remain as vigilant as ever to their regulatory risk profile. This session will focus on:

- Trends in SEC and FINRA examinations and enforcement efforts
- Significant areas of regulator interest across various asset classes, including the alternatives space
- Observations about recent SEC examination experiences from both practitioners and in-house personnel

Moderator:

Arthur Don, Shareholder, Co-Chair of Investment Regulation Group, Greenberg Traurig

Panelists:

Michael Freedman, Senior Vice President, Associate General Counsel, LPL Financial

Ivan Harris, Partner, Morgan Lewis

Nina Weiss, Director, Chief Compliance Officer, Advisor Solutions, BNY Mellon | Pershing



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11:10am - 12:00pm

Tools & Technology Track: Session 2

The Impact of Evolving Technology on Rep-as-PM

Advisors are faced with more pressure than ever before – more regulatory and compliance requirements, more product choices, and more demands from clients, to name just a few. The traditional Rep-as-PM structure has evolved over the years, and technology enhancements in platform model-delivery, operations, and risk-management have greatly accelerated changes in advisor business models. This session will focus on:

- Trends in bundling products enabled by UMA and UMH technology and the ability of asset managers to deliver more products in model format
- Best practices of advisors who have successfully transitioned from a primarily Rep-as-PM practice to model-delivery
- How technology-efficient platforms are supporting the evolution of advisor practices

Moderator:

Parks Strobridge, Head, Advisor Management, Investment Solutions & UHNW Advisory Solutions, UBS

Panelists:

Doug Fritz, Chief Executive Officer, F2 Strategy

Paul Gamble, Chief Executive Officer, 55ip

Richard Keltner, Director of Product Management, Fiserv

11:10am - 12:00pm

Product Development Track: Session 2

Active ETFs: The Next Big Game Changer?

Recent innovations have allowed ETFs to evolve beyond passive, index-linked strategies. Smart Beta ETFs have become popular with advisors, and there are new products coming to market that will allow asset management firms to deliver traditional portfolio strategies in an ETF wrapper. This session will cover:

- Trends in ETFs – including the increased prevalence and adoption of passive and strategic beta
- SEC update on active equity ETFs
- Potential role of active ETFs – including the relationship between Smart Beta, active ETFs, and mutual funds

Moderator:

Clint Harris, Head of Wealth Management Platforms, Invesco

Panelists:

Rick Genoni, Managing Director, Head of ETF Product Management, Legg Mason

Mark Roberts, Vice President, ETF Implementation, Fidelity

Daniil Shapiro, Associate Director, Product Development, Cerulli Associates



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12:00pm - 12:45pm **Networking Luncheon**

12:45pm - 1:15pm **Presentation of MMI Leadership Award**

The 2019 MMI Leadership Award, formerly known as the MMI Pioneer Award, will be presented to an individual whose visionary leadership and accomplishments have made a significant and lasting contribution to the asset and wealth management industry and the stakeholders it serves.

1:15pm - 1:30pm **Transition to Track Sessions**

1:30pm - 2:20pm **Sales & Marketing Track: Session 3**

Client-Centric Sales and Marketing: Developing New Capabilities to Enable Profitable Distribution

Sales and marketing teams often claim they are highly collaborative and well-aligned, and they are! But time and time again, clients (advisors, home office personnel, consultants) report that, from their perspective, there does not appear to be much coordination and cohesion among field sales, virtual sales, email campaigns, and the like. What is the disconnect? A truly client-centric approach supports tighter integration of sales and marketing. This session will delve into:

- What does a more client-centric distribution model look like?
- What are the real barriers to sales and marketing integration?
- What do leading firms do to increase cohesion between sales and marketing?
- What are the key capabilities to enable such a model?

Moderator:

Pete Mehr, Principal, ZS Associates

Panelists:

Andrea Lisher, Head of Americas, Client, JP Morgan Asset Management

Emily Pachuta, Chief Marketing & Analytics Officer – Americas, Invesco

1:30pm - 2:20pm **Insurance Solutions Track: Session 1**

Executive Spotlight: What Lies Ahead for Wealth Management

In a wide-ranging discussion, senior executives explore the converging forces reshaping the wealth management landscape. With all the buzz about technology changing the way our industry does business, this session will examine what's really happening on the front lines and the forces driving change across the industry, including:

- How firms are creating integrated systems and platforms that include financial products as well as insurance, software solutions, and platform technology



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- Their efforts to build an ecosystem that enhances the advisor's ability to provide personalized advice across an entire household portfolio
- Challenges they've encountered along the way and what they are doing to support advisors

Moderator:

Corey Walther, President, Allianz Life Financial Services

Panelists:

Gary Carrai, Senior Vice President, Product & Platform Management, LPL Financial

Ann Senne, Head of Advice & Solutions, RBC Wealth Management

John Yackel, Executive Managing Director, Head of Strategic Initiatives, Envestnet

1:30pm - 2:20pm

Tools & Technology Track: Session 3

Rejecting "One Size Fits All": The Digitization of Assets, Products, and Asset Class Exposures

With advances in technology and growing demands for advisors to better serve their clients with products that meet specific needs, there has been a growing interest in – and utilization of – digital assets, cryptocurrency, bespoke products, and direct indexing. This session will explore:

- How these products are being integrated into traditional wealth management service and product offerings
- The systems implications in terms of risk and risk control
- How technology has made these products more accessible and investable
- Adoption trends of these products by advisors and their clients

Moderator:

Matt Radgowski, Chief Operating Officer, Morningstar Investment Management

Panelists:

Emily Gray, Director of Product Management, Parametric

Tricia Haskins, Vice President, Digital Strategy & Platform Consulting, Fidelity

David Hyman, Partner, US Segment Leader, Financial Intermediaries, Mercer Investments

1:30pm - 2:20pm

Product Development Track: Session 3

Demand and Supply Dynamics for ESG

Environment, social, and governance (ESG) criteria are becoming increasingly important to managed account providers, and managed account sponsors have identified ESG mandates as an important area of focus. In the past, Socially Responsible Investing (SRI) was in the spotlight, but the demand for ESG products signals an important evolution beyond SRI. The session will review:



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- The types of consumers interested in ESG and how they are segmented
- Characteristics of successful ETF products and how they are best distributed
- How advisors are using ESG in portfolio construction
- Efforts needed to make advisors more comfortable discussing ESG products

Moderator:

Brett Wayman, Vice President, Impact Investing, Envestnet

Panelists:

Edward Allen, Managing Director, Head of Americas ESG Client Coverage, MSCI

Michele Giuditta, Research Director, Cerulli Associates

Lily Trager, Director of Investing with Impact, Morgan Stanley

2:20pm - 2:50pm

Networking Break in the Solutions Center

2:50pm - 3:40pm

Sales & Marketing Track: Session 4

Staying Relevant: The Most Pressing Issues

While the asset management industry has continued to improve wealth creation, investors are now demanding increasing levels of transparency, lower prices, and equal access to asset classes and products. These demands are driving changes across the asset management value chain and are forcing asset managers, distributors, advisors, consultants and others to re-examine how to profitably create value. There is a race to justify relevance, and there unquestionably will be winners and losers. Session attendees will gain a deeper understanding of:

- The most pressing issues faced by various stakeholders
- What it really means to “be relevant” to clients
- The capabilities that will determine the winners and losers

Moderator:

Tim Kresl, Principal, Distribution Insight, Broadridge Financial Solutions

Panelists:

Koley Corte, Senior Vice President & Global Head of Business Transformation, Alliance Bernstein

Heather Dzielak, Head, US Intermediaries Product & Marketing, T. Rowe Price

Cathy Saunders, Head of Client Engagement Center and Early Career Programs, Putnam Investments

Tim Stinson, Head of Wealth Management, Cetera Financial Group

2:50pm - 3:40pm

Insurance Solutions Track: Session 2

Beyond Traditional Annuities: A Look at Today's Guaranteed Products



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This session will highlight the evolution of traditional annuities into fully liquid solutions that are integrated into the asset management world. The discussion will center on what lies ahead with a focus on:

- The CIO perspective of the client benefits of incorporating insurance solutions into traditional wealth management
- How the industry can further evolve to create better client experiences and outcomes
- Trends in product development, integration, and the increasing importance of data

Moderator:

Timothy Munsie, Senior Vice President, Advisory Initiatives & Integrations, Jackson National Life Distributors

Panelists:

Scott Bowers, National Sales Director, BlackRock

Ed Mercier, President, RetireOne

Chris Scott-Hansen, Managing Director, Head of Portfolio & Trading Solutions, Morgan Stanley

2:50pm - 3:40pm

Tools & Technology Track: Session 4

The Impact of Technology: Bringing Scale and Relevance to Advisors' Practices

The advisor value prop around investment management is changing and, in many respects, is being reduced in importance by increased automation, centrally managed programs, models, and movement from bespoke and active portfolios to index and ETF-based solutions. Technology is now enabling a broader advisor service model with more scale than ever before – household level management that includes assets held away, deeper financial planning, broader product integration, and additional professional advice, including insurance, banking, and balance sheet considerations. In this session, you will:

- Hear from advisors successfully implementing advances in technology
- Understand how AI and data analytics, voice-enabled technology, and digital assistants are powering the new advisor model
- Explore the development of new advisor models – such as salary + FAs and digital-first hybrid FAs

Moderator:

Kevin Adams, Senior Vice President, Wealth Management Technology, Raymond James

Panelists:

Sean Lawlor, Vice President, Product Strategy & Engagement, Envestnet

Heeren Pathak, Chief Technology Officer, Vestmark

Matt Reiner, Chief Executive Officer & Co-Founder, Wela



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2:50pm - 3:40pm

Product Development Track: Session 4

Retirement Income Solutions in Managed Accounts

Developing sustainable income for retirees is a challenge. Managed account sponsors are looking for ways to develop retirement income strategies that provide stable cash flows with minimal volatility. This expert panel will examine:

- The role of fixed income products in SMAs, models, and mutual funds
- Technology solutions that can help deliver steady retirement income streams
- The potential role of annuities in delivering sustainable income in managed accounts

Moderator:

Hans Schemmel, Director of Retirement & Insurance-Based Solutions,
BNY Mellon | Pershing

Panelists:

Glenn Dial, Senior Retirement Strategist, American Century

Dennis Heinke, Channel Strategy & Product Development, Wells Fargo Asset
Management

Marcia Mantell, President, Mantell Retirement Consulting

3:40pm - 4:10pm

Networking Break in the Solutions Center

4:10pm - 4:20pm

Industry Innovation Demo

Business Transformation Through Portfolio Risk Technology

Learn how advances in portfolio and risk technology are enabling wealth managers to enhance and grow their businesses like never before. With new tools to stress-test in-house and held-away holdings, mass personalize portfolio solutions, and generate customized investment insights, advisors are increasing customer satisfaction, acquiring and consolidating wallet share, and differentiating their service to clients. Hear why one size no longer needs to fit all to achieve scale in portfolio advice.

Speaker:

Woo Fung Kwong, Co-Head of Aladdin Wealth Tech, BlackRock Solutions

4:20pm - 5:10pm

Increasing Focus and Action on Diversity and Inclusion

Hardly a day goes by without news articles about asset managers' efforts to increase diversity, gender pay gaps in the industry, a women's leadership conference, or troublesome claims and actions tied to harassment or discrimination. At the same time, both institutional and retail clients are increasingly making investment decisions based on asset managers' progress on these issues. It is fair to say that many of our organizations have been leaning into diversity issues in one way or another for some time – and others



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are now getting started. But is inclusion getting the focus it should? Without an unremitting focus on developing healthy cultures, processes, and norms for greater inclusion, it is a gamble to assume we will reap the benefits of diversity or even maintain them for very long. This session will focus on inclusion in a frank, open and application-oriented manner. Attendees will hear from a cross-industry panel of senior executives who are tackling the toughest inclusion issues. They will share their points of view and discuss the immediate and impactful steps they are taking to drive change.

Moderator:

Jonathan McBride, Managing Director & Global Head of Inclusion & Diversity, BlackRock

Panelists:

Anthony Abbatiello, Managing Director, Global Head of Consulting, Russell Reynolds Associates

Shareka Nelson, Head of Diversity, Equity and Inclusion, MailChimp

5:10pm - 6:30pm **Networking Reception in the Solutions Center**

6:30pm - 9:00pm **MMI/Barron's Industry Awards Dinner**
The annual MMI/Barron's Industry Awards Dinner is one of the highlights of the Annual Conference. Join us for this gala evening when we recognize innovation and leadership in the investment advisory solutions industry, while raising funds for MMI's Gateway to Leadership Foundation. Tickets for this fundraiser dinner must be purchased in advance [here](#) or by calling MMI at (646) 868-8500. Don't miss this truly special and inspirational event!

Wednesday, October 16, 2019

7:00am - 8:00am **Networking Breakfast in the Solutions Center**

8:10am - 9:00am **Track Discussion Salons**
These new Discussion Salons are an exciting addition to this year's conference. Reconvene with others who participated in the same Track to review the sessions, debate the takeaways and network in a smaller group setting. These highly interactive sessions, moderated by the Track Ambassadors, are your chance to ask follow-up questions, challenge conclusions, and make more personal connections with your industry peers.

9:00am - 9:30am **Networking Break in the Solutions Center**
During our final networking break, we'll announce the winners of our mobile app Conference Challenge contest. You must be present to win!

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9:30am - 10:15am

General Session

Rapid Fire Research

Three industry-leading research firms share their point of view on issues critical to the future of asset and wealth management – and what they mean to your firm.

- **The Future of Wealth Management**

One-quarter of advisors, representing nearly 40% of industry assets plan to retire in the next 10 years. Private equity firms and investment banks are building automated solutions to capture investors in the workplace. As the trends of succession and automation converge, how does this reshape the wealth management industry and what are the implications for wealth and asset managers?

Bing Waldert, Managing Director of U.S. Research, Cerulli Associates

- **The Future of Active**

With active performance faltering, alpha shifting to private markets, and low-cost commoditization of beta, a majority of active managers must re-invent their investment platform. Casey Quirk will provide their view on the active investment platform of the future and the roadmap to harvest existing businesses, re-organize talent, and invest in data and technology to defend and grow an active franchise in the next-generation of active management.

Tyler Cloherty, Head of the Casey Quirk Knowledge Center, Casey Quirk by Deloitte

- **The Future of Asset Management**

The level of competition among investment managers has never been higher. Executing on the sales, product and marketing fronts in today's dynamic environment is a challenge for managers both big and small. FUSE Research will highlight some of the biggest challenges facing asset managers today and how they should be thinking about preparing for the future.

Neil Bathon, Founder & Partner, FUSE Research Network

10:15am

Closing Remarks

Arlen Oransky, Senior Vice President, Chief Membership & Programs Officer, MMI



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