

# 2019 MMI SALES & MARKETING LEADERSHIP SUMMIT

MARCH 28-29, 2019 ■ MANDARIN ORIENTAL ■ MIAMI ■ WWW.MMINST.ORG



## FEATURED SPEAKERS



**Margo Cook**  
President  
Nuveen Advisory Services



**David Kowach**  
President  
& Head of Wells Fargo Advisors



**Sterling Shea**  
Global Head of Wealth & Asset Management  
Dow Jones



**John Sitalides**  
Principal  
Trilogy Advisors LLC



**William Stromberg**  
President  
& Chief Executive Officer  
T. Rowe Price Group

Sponsored by:



Brinker Capital



## AGENDA

Thursday, March 28, 2019

11:30AM - 1:00PM

**Registration and Executive Networking Luncheon**

1:00PM - 1:10PM

**Welcome and Opening Remarks**

**Patty Loepker**, Chair of the Board of Governors, Money Management Institute;  
Managing Director of Research Directed Advisory Programs, Wells Fargo Advisors

**Arlen Oransky**, Senior Vice President, Chief Membership & Programs Officer, Money Management Institute

**Summit Co-Chairs:**

**Noreen Beaman**, Chief Executive Officer, Brinker Capital

**Troy Thornton**, Managing Director, Goldman Sachs



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1:10PM - 2:00PM

## Executive Spotlight Panel: The Future of Advice

### Moderator:

**Craig Pfeiffer**, President & Chief Executive Officer, Money Management Institute

### Panelists:

**Adam Antoniadis**, President, Cetera Financial Group

**Margo Cook**, President, Nuveen Advisory Services

**William Stromberg**, President & Chief Executive Officer, T. Rowe Price Group

2:00PM - 2:50PM

## Reshaping the Broker-Dealer Relationship

The one thing that is constant about relationships is that they are always changing. This is especially true as it relates to the relationship between broker-dealers and their partners. On the table is the need to support research, due diligence, and portfolio construction, all of which are impacted by the changing client profile and the shifting regulatory landscape. This session highlights the latest trends affecting broker-dealers and service providers, detailing how those developments are changing everything from revenue models and partnerships to service levels.

We'll hear from experts in the areas of due diligence and portfolio construction as well as distributors about the steps that can be taken to make a positive impact on clients and financial advisors.

### Moderator:

**John Lloyd**, CFA, FRM, CAIA, Managing Director, Advisory Consulting Group, New York Life Investment Management

### Panelists:

**Joseph Curtin**, Managing Director, Head of Portfolio Management - Chief Investment Office, Global Wealth and Investment Management, Bank of America

**Nathan Palmer**, Managing Director, Wilshire Associates

**Mark Spina**, Head of Intermediary Solutions, Russell Investments

2:50PM - 3:20PM

## Refreshment and Networking Break

3:20PM - 4:10PM

## New Distribution Models for an Increasingly Competitive Marketplace

The path forward for the asset management industry is evolving rapidly, with firms facing challenges that range from fee compression and shelf space consolidation at major broker-dealers to getting the right meetings with the right advisors. As a result, asset managers are increasingly looking for ways to reinvent themselves and their approaches to distribution and digital marketing engagement. This session zeroes in on the innovative methods organizations are using to leverage data and analytics to be smarter about how they go to market, engage advisors through value-add programs and portfolio construction advice, and structure their sales forces to better align with rapidly evolving market trends.

### Moderator:

**Steven Miyao**, President, Digital AI & Analytics, Research and Compliance Solutions, SS&C Technologies

4:10PM - 5:00PM

## The Diversity Advantage: Better Corporate Performance, Better Products Ideas for driving diversity from the inside out

A growing body of research confirms the correlation between better-than-average corporate profits and diversity at the executive levels. While asset managers are creating ESG products that support this data, our industry as a whole – from asset managers to advisory practices – does not reflect diversity, especially in our top echelons. This panel explores:



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through an ESG lens, why companies with strong diversity factors tend to perform well; the implications that the changing demographics of younger generations will have on our industry and the world; and strategies for building a more diverse workplace at all levels of the organization.

**Moderator:**

**Andrew Lee**, Managing Director and Head of Sustainable and Impact Investing Americas, UBS Global Wealth Management

**Panelists:**

**Erika Irish Brown**, Chief Diversity Officer, Goldman Sachs

**Connie Lindsey**, Executive Vice President and Head of Corporate Social Responsibility, Northern Trust

5:00PM - 5:50PM

## The Evolving Cyber Threat Landscape

The incidence of reported cybersecurity breaches has grown by more than 66% in just the past three years. And, as new technologies continue to emerge, it's become increasingly challenging to stay ahead of cyber criminals. This is especially relevant for the financial services industry as we rely on the latest digital innovations to optimize the customer experience. Chad Renfro, Head of Enterprise Cybersecurity at Fidelity Investments, offers his insight on the changing dynamics of the global cyber threat landscape and recommendations on the preventative measures you can take to keep your business, your customers, and yourselves cyber safe.

**Chad Renfro**, Executive Vice President of Enterprise Cybersecurity, Fidelity Investments

5:50PM - 7:30PM

## Evening Reception & Networking

Kick back with your industry colleagues in a special evening reception to cap Day One of the Summit. We'll provide the cocktails, heavy hors d'oeuvres, and good company. Afterwards, Miami and its many fine restaurants await those who want to get out on the town and explore.

Friday, March 29, 2019

7:00AM - 8:00AM

## Networking Breakfast

8:00AM - 8:50AM

## The Growing Demand for Advice in a Changing Industry

In this fireside chat, Wells Fargo Advisors' David Kowach joins Ian MacEachern for an insightful discussion about the future of brokerage. In a free-flowing Q&A format, David will share his thoughts about where a financial advisor's real value lies, trends shaping our industry, and innovative ways to support today's FAs as they seek to deliver high-impact advice and services to clients.

**David Kowach**, President and Head of Wells Fargo Advisors

**Ian MacEachern**, Managing Director, Head of Investment Products, Wells Fargo Advisors

8:50AM - 9:20AM

## Sink or Swim: Tools to Manage Technology Challenges

Get ready for three rapid-fire technology sessions showcasing new tools to help you manage significant advisory business challenges.

*Navigating the collapse and rationalization of managed account programs*



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The movement towards implementing a Unified Advisory Platform is well underway. Many firms have consolidated platforms and are starting to look at simplifying their advisory program structure. What are the challenges associated with implementing a Unified Advisory Platform and what are the benefits? How does a Unified Advisory Platform impact how advisors interact with investors in structuring and tailoring advice? Learn about key decision points and the tools available to help you implement your advisory platform roadmap.  
**Rob Klapprodt**, President, Vestmark

## *Staying Abreast of Changes in Governance, Risk, and Compliance Technology*

Governance, Risk, and Compliance (GRC) technology continues to evolve rapidly. In the face of constrained budgets and resources, CCOs, compliance teams, and the vendors who serve them are looking for ways to increase the efficiency and productivity of compliance professionals, support firm growth, reduce exposure, and keep pace with the technology advances of the regulators. Learn about the latest trends in GRC technology offerings and the outlook for 2019 – what firms are implementing now and what they are evaluating for the future, what tools they are choosing to build in-house vs. using third-party solutions, and which technology investments are paying dividends.

**Matthew Girandola**, Consultant, ACA Compliance Group

## *Moving the traditional sales process into the digital age*

The traditional sales process is inefficient, analog, and not scalable. While it's important to recognize that digital and data can't replace the human element in sales and marketing, they can enhance it. Think how Netflix has been able to use data to inform human decisions with respect to its original programming. Advisory sales and marketing teams have the same potential to harness behavioral data to understand their clients in ways never before possible. Learn how machine learning capabilities are being deployed to improve the user experience and drive higher engagement, more customer data, and increasing ROI for clients.

**Peter Hans**, Chief Executive Officer, Harvest

9:20AM - 9:40AM

## President's Update

**Craig Pfeiffer**, President & Chief Executive Officer, Money Management Institute

9:40AM - 10:00AM

## Refreshment and Networking Break

10:00AM - 10:50AM

## Trend Watch: Emerging Opportunities

This session offers two distinct perspectives on evolving advisory trends and the opportunities they present:

### *The advisor portfolio of 2025*

The past ten years have seen a steady evolution in how advisors build portfolios, but what about the next ten? New product exposures, changing packaging structures, and evolving digital delivery platforms continue to reshape the investment advisory value proposition. This segment reviews key findings from a research project conducted by Casey Quirk by Deloitte, with input from MMI member firms, to map the future of investment advice over the next decade. Among the topics to be discussed: how technology has changed the way advisors receive product and allocation services; what the balance of product exposures will be going forward; how product development will change as a result; and how strategic partnerships will evolve to better service new product demands from sponsors and advisors.

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

**Chloe Gardner**, Senior Consultant, Casey Quirk by Deloitte



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## *The future of wealth management*

Drawing on Barron's observations of key trends in the wealth advisory industry, this segment examines likely future sources of disruption and shifts in the primary value proposition of advisors. The discussion examines the ramifications of those shifts for the U.S. asset management community, how the most successful advisors are evolving their business strategy, and what their key concerns and priorities are. The presentation closes with a series of verbatim quotes from Barron's-ranked advisors on what they want from their relationships with asset managers and how managers can best add value beyond the investment product sale.

**Sterling Shea**, Global Head of Wealth & Asset Management, Dow Jones

10:50AM - 11:40AM

## **Geopolitical Strategy: The Business Impact of Global Risk and American Politics**

As global affairs are increasingly marked by instability and disorder, military crises, diplomatic tensions, financial uncertainties, and societal upheavals, knowledge that enhances and supports global investment decisions and strategic business planning is more critical and valuable than ever before. But the daily headlines and 24/7 news coverage only scratch the surface. In this keynote presentation, John Sitalides, a geopolitical strategist and expert on global affairs and American politics, leads us on a highly visual exploration of potential sources of global disruption and geopolitical risk – both current and future. Along the way, he challenges the traditional analyst and media consensus on the world's most powerful political leaders, offering portraits of their decision-making processes, and the long-term political and economic ambitions that ultimately shape the international security agenda.

**John Sitalides**, Principal, Trilogy Advisors LLC

11:40AM

## **Closing Remarks and Adjournment**

**Craig Pfeiffer**, President & Chief Executive Officer, Money Management Institute



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