

- C Client/Plan Service
- i Investments
- R Regulatory Activity/Fees
- \$ Selling/Practice Management

Wednesday, September 23

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- 11:30–1:30 **Registration with Buffet Lunch** *(Ritz Carlton Ballroom Foyer)*
Lunch sponsored by Mercer
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- 1:30–1:45 **Opening Remarks** *(Ritz Carlton Ballroom)*
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- 1:45–2:45 \$ **Buying In or Selling Out**
What has the market done to the state of the adviser industry? With the turmoil, is it better for an adviser to be at a wirehouse, independent/regional, or RIA? What do current market trends say about the viability of each of these business model options? How do you know which business model is right for you?
- PANELISTS
Mark D. Temple, *Managing Director-Institutional Retirement Plans*, O'Hanlon Michener & Douglas,
An NRP Member Firm
Stephen DesRochers, UBS Financial Services Inc.
Michael E. Goss, *Executive Vice President*, Fiduciary Investment Advisors, LLC
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- 2:45–3:15 **Coffee Break** *Sponsored by Diversified Investment Advisors*
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- 3:15–4:15 R **Adviser Economics—A New Look at Adviser Compensation**
Scrutiny of fees has never been more intense. What is reasonable? What is the best way to communicate your fees and expenses to plan sponsor clients? Maintaining your profitability during a time of transparency and downward pricing pressure.
- PANELISTS
Fidelity
-
- 4:20–5:20 C **Plan Sponsor Confidential**
What do clients really think about advisers' services?
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- 5:30–7:00 **Opening Night Cocktail Party** *Sponsored by CPI Qualified Plan Consultants, Inc.*
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- 7:00–9:00 **Dinner** *Sponsored by UBS Wealth Management (Ritz Carlton Ballroom)*
Wine sponsored by Barclays Global Investors/ishares
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- After Dinner Cocktail Party** *Immediately following dinner (Citrus Gardens)*
Sponsored by J.P. Morgan Asset Management
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Thursday, September 24

7:00–8:30 **Breakfast & Exhibit Session** *Breakfast sponsored by Fidelity Investments (Ritz Carlton Ballroom)*

8:30–9:20 \$ **Benchmarking Your Practice**
Preview the latest *PLANADVISER* proprietary research about practice management, favorite recordkeepers and investment managers, and broker/dealer relationships.

WORKSHOP 1

9:25–10:15 \$ **The B/D Adviser**
Challenges and suggestions for advisers working at independent B/Ds

PANELISTS

Bruce Harrington, *SVP Retirement Solutions*,
LPL Financial

Robert Francis, *COO, National Retirement Partners*
Bo Bohanan, *Director of Retirement Plan Consulting*,
Raymond James

WORKSHOP 2

C **You're Hired**
Explaining Your Value Proposition In the days of auto-enrollment, auto-escalation, and default investments, how do you convince a plan sponsor to hire you? Hear how to distinguish yourself from competitors, and communicate your role to clients and prospects.

MODERATOR

PANELISTS

Patrick Oberlander, *Director of Corporate Retirement Plans*, UBS Financial Services Inc.

Anthony E. Cristiano, *Vice President, Wealth Advisor*,
Morgan Stanley Smith Barney

Michael Brown, *Partner, Retirement Plan Consultant*,
ClearPoint Financial

10:15–10:45 **Coffee Break** *Sponsored by Diversified Investment Advisors*

10:45–11:35 \$ **The Wirehouse Adviser**
Challenges and suggestions for advisers working at wirehouse B/Ds

MODERATOR

Michael E. Goss, *Executive Vice President*, Fiduciary
Investment Advisors, LLC

PANELISTS

Ed O'Connor, *Managing Director*, UBS Financial
Services Inc.

R **Government Mandated Disclosures
What Your Clients Will Be Asking**
New regulations force plan sponsors to ask some tough questions about their relationships with providers and advisers. Many will be looking to their advisers and consultants for help completing the new disclosures. What advisers should know about the new disclosure rules, including changes to the 5500, and what questions they should be prepared to answer.

PANELISTS

Jason K. Bortz, *Partner Attorney*,
Davis & Harman LLC

Randy Long, *Managing Principal*, SageView
Advisory Group

Douglas Prince, *Managing Director*, Stifel Nicolaus
DailyAccess Corporation

Please contact [Foster Wright](mailto:fwright@plansponsor.com) for further details at 203-595-3280 or fwright@plansponsor.com

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Thursday, September 24 *continued*

WORKSHOP 1

11:40–12:30 S **The RIA Model**

Striking out on your own, without striking out. The tools you'll need to build your practice, and where to find them.

MODERATOR

Randy Long, *Managing Principal, SageView Advisory Group*

PANELISTS

TD AMERITRADE

WORKSHOP 2

C **Customizing the Participant Experience**

One way to connect better with varied participant groups is by targeting plan demographics. What works and what doesn't, and how you can leverage providers to connect with various audiences.

MODERATOR

C.Todd Lacey, *Managing Partner, The (k)larity Group, An NRP Member Firm*

PANELISTS

Chad J. Larsen, *President, Moreton Retirement Partners, An NRP Member Firm*

Joseph McLaughlin, *Morgan Stanley*

12:30–2:00

Lunch *Sponsored by DailyAccess Corporation (Ritz Carlton Ballroom)*

WORKSHOP 1

2:05–2:55 I **Benchmarking Target-Date Funds**

Among investment managers, the disparities in opinions about glide path creation, fund construction, active vs. passive management, fees, and open vs. closed architecture in target-date funds are great. How do you decide if the fund you selected is right for your plan situation? How do you determine whether it is doing its job?

MODERATOR

James L. Worrell JD, *President, GPS Investment Advisors*

PANELISTS

David Krasnow, *Pension Advisors*

Sheree Yoder, *M&I*

Steve Ferber, *SVP, PIMCO*

WORKSHOP 2

S **Rolling into Opportunity**

The rollover market is expected to be the fastest growing segment of the retirement industry. Do you as a retirement plan adviser want to get involved? How do you cross-sell? Should you outsource to an IRA provider? Are there fiduciary issues if you are a plan-level fiduciary and advise participants to roll their money out of the plan?

PANELISTS

Richard Schooley, *VP, Morgan Stanley*

WORKSHOP 3

C **Happy Together?**

Leveraging your relationships with providers and wholesalers to increase your value proposition.

MODERATOR

Steven Dimitriou, *Managing Partner, Mayflower Advisors, LLC*

PANELISTS

Chris Augelli, *ADP*

Kendall B. Storch, *SVP, Retirement, Longfellow Benefits*

Stephen Davis, *National VP Mid Market Sales, ING*

Jim Stueve, *Managing Director of Sales, RidgeWorth*

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Thursday, September 24 *continued*

WORKSHOP 1

3:00-3:50

C **The Open Road**

The next generation of open architecture. You may think you know what open architecture means, but new players are revamping the traditional notion. Understand how the open architecture model has evolved and learn about available tools and services and how to deliver a finished product to your clients.

PANELISTS

Philip E. Steele, *President*, Pension Architects, An NRP Member Firm

Stewart Cohune, *President*, MG Advisory Services

Diversified

WORKSHOP 2

i **The Great Default**

With managed accounts, balanced and target date funds being given the green light as prudent investment defaults in DC plans, how can you help clients make the right choice? What are the pros and cons of each QDIA? What if a client wants to use a non-QDIA as a default?

MODERATOR

Brett Howell, *Wealth Management Advisor*, The Howell & Sharp Group at Merrill Lynch

PANELISTS

Mark Browne, *Vice President*, J.P. Morgan

Jon Upham, *SageView Advisory Group*

Jason Roberts, *Esquire*, Reish Luftman Reicher & Cohen

WORKSHOP 3

\$ **Deferred Gratification**

Making nonqualified deferred compensation plans part of your sales offerings. Understanding the changing landscape and the opportunities for advisers in deferred comp.

PANELISTS

Michael W. Kozemchak, *Managing Director*, Institutional Investment Consulting, An NRP Member Firm

Robert Nienaber, *Executive Benefit Sales*, Guardian Investor Services LLC

Jeffrey W. Kroh, *Associate*, Groom Law Group Chartered

3:50-4:20

Coffee Break *Sponsored by Diversified Investment Advisors*

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Thursday, September 24 *continued*

WORKSHOP 1

4:25 - 5:15

I **Moving Beyond Mutual Funds**

What is the future of investment alternatives in retirement plans? For which clients are these options available? How can you help make options, including ETFs and collective trusts, work for your clients?

PANELISTS

Dorann Cafaro, *General Partner*, Cafaro Greenleaf, An NRP Member Firm

BGI

Strategic Insight

WORKSHOP 2

S **How To Market To 403(b) Plans**

The three distinct marketplaces in the 403(b) space have varying demographics, needs, and expectations. For advisers, the 403(b) market represents a significant business opportunity, but it presents a significant challenge as well. Although some plans follow ERISA, no market segment is as simple as simply transferring an adviser's 401(k) practice to the tax-exempt space. Learn what it takes to succeed in each segment.

PANELISTS

David Hinderstein, *President*, Strategic Retirement Group, An NRP Member Firm

Steven Dimitriou, *Managing Partner*, Mayflower Advisors, LLC

Jon Prescott, *Chief Marketing Officer*, CPI Qualified Plan Consultants, Inc.

WORKSHOP 3

C **Balancing Act**

Cash balance plans can allow employers to offer a DB plan with larger tax deductions and accelerated savings.

PANELISTS:

Mark L. Lofgren, *Principal*, Groom Law Group, Chartered

5:30

Cocktail Party *Sponsored by ADP Retirement Services*

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Friday, September 25

7:00–8:30 **Breakfast & Exhibit Session** *Breakfast sponsored by Allianz Global Investors (Ritz Carlton Ballroom)*

8:30–9:20 R **Keeping Up with the DoL**
With a new administration, what's happening at the DoL? Hear about the goings-on in Washington for the retirement plan industry.

PANELISTS

Geoff Manville, *Principal*, Mercer
Marcia Wagner, *Attorney*, The Wagner Law Group
Roberta J. Ufford, *Principal*, Groom Law Group, Chartered

WORKSHOP 1

9:25–10:15 R **Battle Lines**
Advisers increasingly are embracing ERISA plan fiduciary status. How to stay out of trouble on the fiduciary front.

MODERATOR

PANELISTS

Stace A. Hilbrant, *Managing Director*, 401(k) Advisors LLC, An NRP Member Firm
John Cate, *SVP*, Morgan Stanley Smith Barney
Michael Case Smith, *VP Institutional Strategies*, Avatar Associates

WORKSHOP 2

\$ **Reeling Them In**
Advisers explain where and how they prospect for clients.

PANELISTS

Barnaby W. Horton, *Assistant Vice President*, Merrill Lynch Global Wealth Management
Aaron Hagwood, *First VP*, Morgan Stanley Smith Barney
Michael M. Kane, *President*, Michael M. Kane and Associates, An NRP Member Firm

10:15–10:45 **Coffee Break** *Sponsored by Diversified Investment Advisors*

- C Client/Plan Service
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Friday, September 25 *continued*

10:45–11:35 S **Team Building**

How do 401(k) adviser teams segment roles and responsibilities? Learn how some of the best teams are put together and how they delegate to deliver the best services to plan sponsors and participants.

MODERATOR

Douglas Prince, *Managing Director*, Stifel Nicolaus

PANELISTS

Jason Chepenik, *Managing Partner*, Chepenik Financial, An NRP Member Firm

Stephen Brown, *Private Wealth Advisor*, Merrill Lynch

Michael DiCenso, *National Practice Leader*, Gallagher Retirement Services

I **Retirement Income—The Next Generation**

The latest generation of retirement income. Is guaranteed income the only option for retirement income? Learn about the new guaranteed income products, as well as mutual funds making waves in this space. Discuss the pros and cons of various retirement income solutions.

MODERATOR

Dorann Cafaro, *General Partner*, Cafaro Greenleaf, An NRP Member Firm

PANELISTS

James Lyday, *SVP*, Prudential Retirement

Bill Hicks, *Divisional Vice President*, John Hancock
MassMutual

WORKSHOP 1

11:40–12:30 C **Setting the Standard**

How to benchmark a DC plan and its provider(s). What are the right measurements most crucial to a plan's success and how do you gauge them?

MODERATOR

Michael W. Kozemchak, *Managing Director*, Institutional Investment Consulting, An NRP Member Firm

PANELISTS

C. Todd Lacey, *Managing Partner*, The (k)larity Group, An NRP Member Firm

Paul D'Aiutolo, *Vice President*, Investments, UBS Wealth Management

WORKSHOP 2

S **Technology and the Modern Adviser**

How technology can help you automate services and improve efficiency while keeping client satisfaction high.

PANELISTS

Vince Morris, *Vice President*, Bukaty Companies, An NRP Member Firm

James L. Worrell JD, *President*, GPS Investment Advisors

12:30

Lunch Sponsored by *The Guardian Life Insurance Company of America*