sifma

40TH ANNUAL PRIVATE CLIENT CONFERENCE

Financial Advice in a Rapidly Changing Environment

April 11–13, 2018

THE RITZ-CARLTON NAPLES, FL

PROGRAM

Wednesday April 11, 2018 | Thursday April 12, 2018 | Friday April 13, 2018

6:00PM – 8:00PM

Registration Desk Hours

6:00PM – 8:00PM

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Welcome Reception

Sponsored by Fidelity Clearing & Custody Solutions

Wednesday April 11, 2018 | **Thursday April 12, 2018** | Friday April 13, 2018

7:15AM – 2:00PM

Registration Desk Hours

7:15AM – 8:00AM

Networking Breakfast

8:00AM – 8:05AM

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Welcome and Conference Overview

SPEAKER

John Maurello
Managing Director, Private Client Group
SIFMA
Biography

8:05AM – 8:35AM

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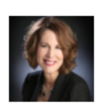
A Conversation about SIFMA and the Private Client Group

SPEAKERS

Kenneth E. Bentsen, Jr.
President and CEO
SIFMA
Biography



Valerie G. Brown
Executive Chairman of the Board
Advisor Group, Inc.
Biography

8:35AM – 8:55AM

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The Next Decade of Investing

Access to the markets and advice is at an all-time high, while the cost to invest or gain information is at an all-time low. With technology leading much of the change, what opportunities, challenges, and responsibilities do we, as an industry, have to navigate through the next decade?

SPEAKER

Lisa Kidd Hunt
Executive Vice President, Business Initiatives
Charles Schwab & Co., Inc.
Biography

8:55AM – 9:15AM

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As Good as it Gets?

SPEAKER

Katherine E. Nixon
Executive Vice President and Chief Investment Officer
Northern Trust
Biography

9:15AM – 9:30AM

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Networking Break

Sponsored by Talisys

9:30AM – 10:10AM

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Financial Advisors – Helping Investors Achieve their Financial Goals

Financial Advisors provide important services to investors to help them attain their financial goals. FAs regularly help their clients financially navigate "life events," such as birth, marriage, college funding, divorce, job transition, and aging. Each life event is a vital time in an investor's life, and the FA/Client relationship is crucial for investors to reach optimum financial decisions. This panel of experienced FAs from across the country will provide their insight on how they best serve their clients' interests and help them achieve desired results.

MODERATOR

Steven M. Samuels
Managing Director, Head of FA Programs, Recognition and Strategy Integration
Merrill Lynch Wealth Management
Biography

PANELISTS

Gail Childs
Financial Advisor
Edward Jones
Biography

Keith M. Jacoby
Managing Director - Investments
Wells Fargo Advisors
Biography

Brian J. Mariash
Senior Vice President–Wealth Management
Mariash Lowther Wealth Management - Merrill Lynch
Biography

10:10AM – 11:00AM

The Longevity Revolution: Is Your Firm Invested?

Financial Advisors are in the business of helping clients address life transitions. These transitions do not stop at retirement. Elder care planning is the investment goal no one plans for. This session will empower you with facts, and potential ways for the industry to move forward on the issues, and opportunities surrounding longevity. Panelists will share strategies for financing longevity, protecting clients from financial fraud, and creating innovative products, and services for successful aging.

MODERATOR

Tracy Eichler
Managing Director, Private Client Group
SIFMA
Biography

PANELISTS

Gentry Barnett Byrnes
Chief Fiduciary Officer
Raymond James Trust, N.A.
Biography

Leslie Labarthe Coyle
Senior Vice President, Managing Director
Hilliard Lyons Trust Company
Biography

Ronald Long
Director of Regulatory Affairs and Elder Client Initiatives
Wells Fargo Advisors
Biography

Nancy Nauheimer
Senior Vice President, Wealth Advisor
Northern Trust
Biography

11:00AM – 11:30AM

Solving the Loyalty Crisis: Scaling a High-touch Advisory Business

SPEAKER

Clara Shih
CEO and Founder
Hearsay Systems
Biography

11:40AM – 1:10PM

The 2018 Political Landscape

Luncheon Speaker Co- Sponsored by Dow Jones & Company, Inc. and Federated Investors, Inc.

SPEAKERS

Randy Snook
Executive Vice President, Business Policies & Practices
SIFMA
Biography

Elise Jordan
Columnist
TIME
Political Analyst
NBC News and MSNBC
Biography

1:15PM – 2:00PM

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Regulatory Panel

MODERATOR

Ira D. Hammerman
Executive Vice President & General Counsel
SIFMA
Biography

PANELISTS

Nina McKenna
Chief Legal Officer and General Counsel
Advisor Group, Inc.
Biography

Dean Pinto
Managing Director, Legal Department
Morgan Stanley Wealth Management
Biography

Michael Rufino
Executive Vice President, Head of Member Regulation - Sales Practice
FINRA
Biography

6:00PM – 8:00PM

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Networking Reception

Sponsored by Hearsay Systems

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Networking Breakfast

8:10AM – 8:15AM

Welcome Remarks

SPEAKER

John Maurello
Managing Director, Private Client Group
SIFMA
Biography

8:10AM – 12:00PM

General Session Audio Visual

Sponsored by eMoney Advisor, LLC

8:15AM – 8:40AM

Embracing Disruption: Opportunities to Create Value

SPEAKER

David J. Kowach
President and Head
Wells Fargo Advisors
Biography

8:40AM – 9:00AM

What Job Are We Doing?

SPEAKER

Penny Pennington
Principal, Client Strategies Group
Edward Jones
Biography

9:00AM – 10:00AM

Hearing from Emerging Leaders

Helping financial advisors succeed is critical to enhancing client service and relationships, and reducing FA turnover, recruitment. and retention costs. This panel of highly experienced regional and complex managers will discuss how inspired leadership can help advisors build their careers. The discussion will include operating and growth strategies, formal business and marketing plans, coaching, teaming, specialization, and leveraging highest-value activities.

MODERATOR

Paul C. Santucci
Managing Director, Head of Field Development & Productivity for Wealth Management USA
UBS
Biography

PANELISTS

William Cholawa
Managing Director, Market Head, Central New England Market, Wealth Management Americas
UBS
Biography

Heather Crist
Managing Director - Market Manager
Wells Fargo Advisors
Biography

Jonathan W. Decker
Senior Vice President
Merrill Lynch Wealth Management
Biography

James F. Dixon III
Executive Managing Director, Southern Region
Stifel Financial Corporation
Biography

Patrick O'Connor
Senior Vice President, Regional Director - Florida Region
Raymond James & Associates, Inc.
Biography

John P. Tyrrell
Vice President, Market Leader
Fidelity Investments
Biography

10:00AM – 10:20AM

Networking Break

10:20AM – 10:40AM

The Transformation of Financial Advice: Data, Intelligence, and Technology

SPEAKER

Steve Scruton
President
Broadridge Advisor Solutions
Biography

10:40AM – 11:20AM

Next Generation of Financial Advisors Panel

The panel will explore ongoing challenges and opportunities to attract new and diverse talent to the role of financial advisor. They will discuss ways to help candidates better understand the value of being a FA and their pathway to smooth integration into firms or teams. The group will address skills that are critical for success and tools, such as new technology, available to achieve it.

MODERATOR

Ken Cella
Principal, Branch Development
Edward Jones
Biography

PANELISTS

Emily de la Reguera
Head of Next Generation Advisor Development
UBS
Biography

Devin DeStefano
Managing Director – Associate Financial Advisor Program, Next Generation Talent
Wells Fargo Advisors
Biography

Dr. Denise P. Federer
Principal Owner
Federer Performance Management Group LLC
Biography

11:20AM – 12:00PM

Technology in Private Wealth Management

Our panel of technology experts will address the landscape of technology initiatives that are impacting private wealth management, including artificial intelligence, robo, and cyber security, with an eye towards best ways to leverage this new technology to enhance financial advice to investors.

MODERATOR

Tash Elwyn
President, Private Client Group
Raymond James & Associates, Inc.
Biography

PANELISTS

Darren Duffy
Head of Wealth Management Business Solutions
Thomson Reuters
Biography

Dan Nadir
VP of Product Management, Proofpoint Digital Risk and Compliance
Proofpoint, Inc.
Biography

Arjun Saxena
Principal
PwC
Biography

Rob Stanich
Offering Manager for Financial Markets and Banking
IBM Watson Financial Services
Biography