Wednesday April 10, 2019

6:00pm – 7:30pm

Welcome Reception and Registration Desk Hours

Thursday April 11, 2019

7:00am – 7:50am

Networking Breakfast

Sponsored by Proofpoint, Inc.

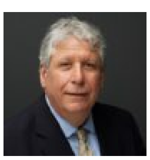
7:00am – 2:00pm

Registration Desk Hours

7:50am – 8:00am

Welcome and Conference Overview

Speaker



John Maurello
Managing Director, Private Client Services
SIFMA

8:00am – 8:15am

Invested in Our Clients: SIFMA Board Chair James R. Allen on Industry Priorities

As an industry, our guiding principle has always been the same: clients first- and that will never change. SIFMA Board Chair, James R. Allen, will discuss the importance of this foundational belief, as well as what specific measures we must take in 2019 to ensure complete and total alignment with our clients and their success.

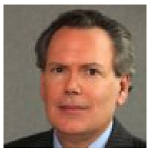
Speaker

James R. Allen
Chairman and Chief Executive Officer
Hilliard Lyons

8:15am – 8:50am

A Conversation about SIFMA and the Private Client / Wealth Management Group

Speakers



Kenneth E. Bentsen, Jr.
President and CEO
SIFMA

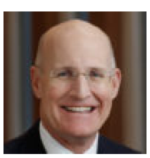
Ken Cella
Principal, Client Strategies Group
Edward Jones

Joseph E. Sweeney
President, Advice & Wealth Management, Products and Service Delivery
Ameriprise Financial, Inc.

8:50am – 9:10am

Empowering Clients: The Advisor as Gateway to the Future

Speaker



Andrew M. Sieg
President
Merrill Lynch Wealth Management

9:10am – 9:30am

Networking Break

Sponsored by Talisys

9:30am – 10:15am

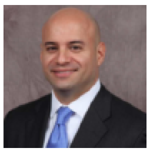
Hearing from Emerging Leaders

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 and Head of Business Development for Wealth Management USA
UBS

Panelists



Kenneth Correa
Executive Director, Market Head, Metropolitan Market
UBS

Chris Fils
Complex Manager
Raymond James & Associates, Inc.

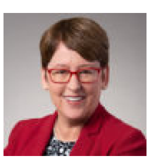
Dylana Hopler
Complex Director
Ameriprise Financial, Inc.

Deborah L. Shepherd
Managing Director, Market Executive
Merrill Lynch Wealth Management

10:15am – 10:35am

The Future of Wealth Management

Speaker



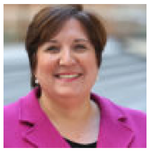
Shelley S. O’Connor
Co-Head of Wealth Management
Morgan Stanley

10:35am – 11:15am

The “Only” Experience: What Can We Do? Taking Responsibility for Shaping the Future

The next 10 years are key to transforming the industry, but how can the change required, be delivered? Panel will tackle different angles on the gender diversity conversation. Hear innovative strategies that are pushing diversity to the top of the agenda and learn what is disrupting the industry. You'll leave with practical tips to make the next step towards real progression.

Moderator

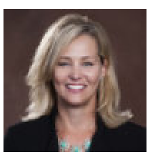


Tracy Eichler
Managing Director, Private Client Services
SIFMA

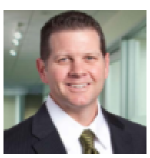
Panelists

Jen Auerbach
Director, Head of Strategic Growth Markets, Global Wealth & Investment Management
Merrill Lynch Wealth Management

Kristin Johnson
Principal - BOA Talent Acquisition & Performance
Edward Jones



Jodi Perry
President, Independent Contractor Division
Raymond James Financial Services



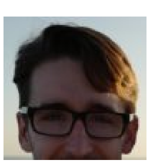
Joe Vietri
Senior Vice President, Branch Network
Charles Schwab & Co., Inc.

11:15am – 11:45am

Omnichannel Personalization and Triggered Advisor Actions

Advisors are under more pressure than ever to be tech-savvy, and expectations around digital engagement are at an all-time high. Investors expect communications to be real-time and personalized. Is it possible to balance quick and compliant? What about creating a seamless experience for both customers and advisors as they navigate between online and offline channels of communication? Join Chris Andrew to learn more about creating digital advisor success while transforming your client experience.

Speaker



Christopher Andrew
COO
Hearsay Systems

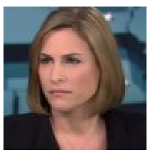
11:45am – 1:15pm

2020 & The Political Challenges Ahead

Veteran political consultant and MSNBC Political Analyst, Susan Del Percio will deliver the luncheon keynote address. As we get closer to the 2020 presidential election, we look forward to Susan's timely insights into the U.S. political environment and the biggest challenges that may lie ahead.

Luncheon Speaker Sponsored by Dow Jones & Company, Inc.

Speaker



Susan Del Percio
Political commentator and expert on strategic communications

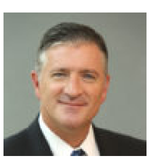
1:15pm – 2:00pm

Regulatory Panel

Industry and regulatory experts discuss current legislative and regulatory activities facing private client groups today, including:

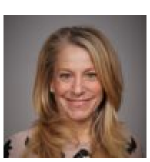
- The proliferation of best interest / fiduciary standards
- Migration from brokerage to advisory accounts

Moderator

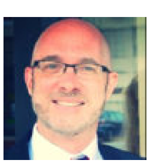


Kevin Carroll
Managing Director and Associate General Counsel
SIFMA

Panelists

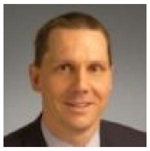


Susan F. Axelrod
Chief Supervisory Officer
Merrill Lynch Wealth Management



David Forman
Senior Vice President & Deputy General Counsel
Fidelity Investments

Chief Legal Officer
Fidelity Brokerage Services



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

Anne Tennant
Managing Director & General Counsel
Morgan Stanley Wealth Management

6:00pm – 8:00pm

Networking Reception

Sponsored by Hearsay Systems

Friday April 12, 2019

7:00am – 7:45am

Networking Breakfast

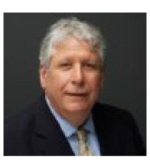
7:00am – 12:00pm

Registration Desk Hours

7:45am – 7:50am

Opening Remarks

Speaker

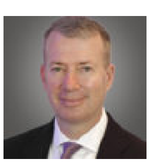


John Maurello
Managing Director, Private Client Services
SIFMA

7:50am – 8:10am

The Importance of Culture: The Future of Our Profession

Speaker



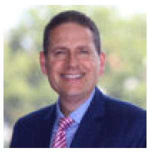
Tash Elwyn
President and CEO, Private Client Group
Raymond James & Associates, Inc.

8:10am – 8:50am

Financial Advisors – Helping Investors Achieve their Financial Goals

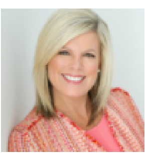
Financial Advisors provide important services to investors to help them attain their financial goals. FAs regularly help their clients financially navigate “life events,” such as birth, marriage, college funding, divorce, job transition, and aging. Each life event is a vital time in an investor’s life, and the FA/Client relationship is crucial for investors to reach optimal 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

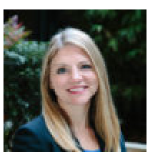


Steven M. Samuels
Managing Director, Head of FA Programs, Recognition and Strategy Integration
Merrill Lynch Wealth Management

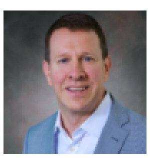
Panelists



Kelly O. Crisp
Financial Advisor
Edward Jones Investments

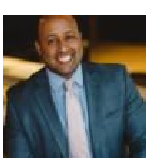


Corina L. Davis
Senior Vice President, Wealth Management Advisor, Portfolio Manager
Merrill Lynch Wealth Management



David Klenke
Director
Baird

Laura Steckler
Team Lead and Wealth Manager
Raymond James & Associates, Inc.

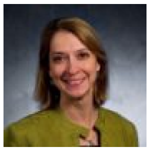


Meron Yemane
Associate Vice President, Family Wealth Advisor
Morgan Stanley Wealth Management - Rockville Bridge Group

8:50am – 9:10am

Turn Down the Noise – Turn up the Impact: Communicating with Meaning in a Content-Laden World

Speaker



Evamarie Schoenborn
President
Northwestern Mutual Investment Services, LLC
Vice President, Investment Products & Services
Northwestern Mutual

9:10am – 9:30am

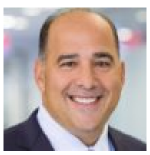
Networking Break

Sponsored by Appway Inc.

9:30am – 9:50am

From Baby Boomers to Gen Z – Transforming Client Experience

Speaker



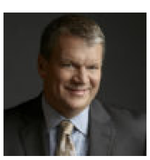
Chris Perry
President, Global Sales, Marketing and Solutions
Broadridge Financial Solutions

9:50am – 10:30am

Technology Panel

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

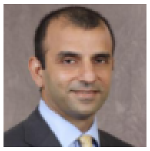


Kevin Alm
Principal - Client Strategies Group – Solutions
Edward Jones

Panelists

Rob Klapprodt
Corporate Strategy Officer
Vestmark, Inc.

Dan Nadir
Vice President of Digital Risk and Compliance
Proofpoint, Inc.



Kabir Sethi
Managing Director, Head of Digital Wealth Management
Merrill Lynch Wealth Management

10:30am – 11:15am

Synergizing Product Creation and Distribution

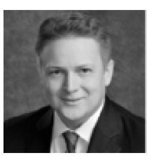
As the face of the individual investor evolves, so too does the opportunity to create investment advice tailored to their diverse needs across a variety of life stages. How can private wealth managers and asset managers partner to create a new generation of customized investment solutions?

Moderator

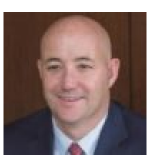
Jaime Magyera
Managing Director, Head of National Accounts – Wealth Business
BlackRock

Panelists

Sandy Bolton
Managing Director, Head of Managed Investments, Investment Solutions Group
Bank of America Merrill Lynch



Eric Koestner
Principal, Packaged Products
Edward Jones



Pete Thatch
Senior Strategic Relationship Manager
Capital Group

11:15am – 12:00pm

Retirement Trends and Changes

- A discussion of the newest trends in the industry from an emphasis on increasing auto-plan features to how firms utilize the digital marketspace.
- New regulations in place to protect seniors from financial exploitation, and what more is being done
- Retirement legislation has a chance for 2019 – hear the latest

Moderator

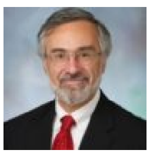
Lisa Bleier

Managing Director and Associate General Counsel, Federal Government Relations
SIFMA

Panelists

Laura A. Grogan O'Mara
Director - Retirement Policy Planning and Strategy, Retirement & Personal Wealth Solutions
Bank of America Merrill Lynch

Jason P. Kelly
Associate General Counsel
Edward Jones



David H. Koshgarian
Executive Director
Washington Council Ernst & Young LLP