



NOVEMBER 2 - 4, 2021
NOW VIRTUAL!

Updated as of 10/27/21

Please note this virtual event is closed to Media

TUESDAY, NOVEMBER 2

12:00 p.m. – 1:00 p.m. ET

OPENING GENERAL SESSION

FSI Welcome

- *Dale Brown, President & CEO, Financial Services Institute*

The Washington Update

- *Sponsored by Sammons Institutional Group®*

No two ways about it, the fall 2021 legislative agenda is jam-packed. Get up to speed on the topics in play with the comprehensive, nonpartisan “The Washington Update” General Session.

Speaker Jeff Bush will cover critical matters including:

- Proposed tax changes
- The American Families Plan and its economic impact
- Increasing the debt limit to avoid default on outstanding U.S. debt and Congressional appropriations to fund the federal government
- Strategies to mitigate and take advantage of potential tax changes

Jeff’s insights and analysis are based on his 30+ years of experience in financial industries and briefing Fortune 500 firms. You’ll get to know the players, the issues, and the potential effects on taxes and investment strategies.

Most important, you’ll take away new ideas to help mitigate volatility, anticipate possible market effects, and increase your effectiveness.

- *Jeff Bush, The Washington Update*

1:00 p.m. – 2:00 p.m. ET

FIRM EXECUTIVES SESSION

Gaining Access: Integrating ESG into the Advisor Workflow

The rapid expansion of the ESG market and the growing ubiquity of consumer personalization hasn’t afforded advisors the kind of grace period necessary for educating themselves on the expanding sea of ESG data and insights while still meeting investors’ expectations. This session will surface the data to bear out investor demand for ESG investing strategies, debunk the myths surrounding ESG performance penalties, and showcase strategies for integrating ESG within client portfolios and engaging clients in meaningful conversation.

- *Matt Radgowski, Head of Advisor Solutions, Morningstar*

1:00 p.m. – 2:00 p.m. ET

FINANCIAL ADVISORS SESSION, Hosted by Orion

Understanding ESG: As Easy as 123

Environmental, Social, and Governance in the context of investing can be interpreted differently by many. Regardless of perception, a tidal wave is coming. With double digit projected growth in global ESG assets for the next decade, it is important to clear up the misconceptions and understand what ESG investing really means to advisors and our clients.

- *Michael Garberich, CFA, Senior Investment Officer & Director of Analytics, LeafHouse Financial*

2:00 p.m. – 2:30 p.m. ET

GENERAL SESSION, Hosted by BNY Mellon | Pershing

A 360-Degree View on Independent Contractor Threats

The rise of the gig economy and the impacts of the pandemic have led Congress, the Department of Labor and the states to reevaluate worker classification. The PRO Act, unemployment reform, DOL rule repeal, and state proposals all jeopardize advisors' independent contractor status. The FSI Advocacy Team will break down what each means for independent financial advisors' businesses and delve into our efforts to preserve advisors' independence.

Panel Includes:

- *Renee Barnett, Director of Federal Regulatory Affairs and Senior Counsel, Financial Services Institute*
- *Dan Barry, Director, State Legislative Affairs, Financial Services Institute*
- *Matt Landers, Director, Political Engagement, Financial Services Institute*
- *Hanna Laver, Director, Legislative Affairs & Senior Counsel, Financial Services Institute*
- *Moderator: David T. Bellaire, EVP & General Counsel, Financial Services Institute*

WEDNESDAY, NOVEMBER 3

12:00 p.m. – 1:00 p.m. ET

GENERAL SESSION, Hosted by Fidelity Institutional

Technology & Modernization

This panel will discuss current technology issues, opportunities, and challenges in the industry, including remote work, remote inspections, digital engagement practices, and investor expectations.

Panel Includes:

- *Alex Khachaturian, Director, Office of Financial Innovation, FINRA*
- *Jonathan Sokobin, Chief Economist and Senior Vice President, FINRA*
- *Geri Walsh, President, FINRA Investor Education Foundation, Senior Vice President, FINRA*
- *Moderator: Renee Barnett, Director of Federal Regulatory Affairs and Senior Counsel, Financial Services Institute*

1:00 p.m. – 2:00 p.m. ET

FIRM EXECUTIVES SESSION

Hot Topics with State Regulators

An in-depth conversation about hot topics with state regulators. Topics include Senior Fraud, Commodities, Cyber Crime, Self-Directed IRAs, training and more...

- *Denis Dice, Esq., LLM, Winget, Spadafora and Schwartzberg, LLP*

1:00 p.m. – 2:00 p.m. ET

FINANCIAL ADVISORS SESSION

Why You Need a Business Valuation NOW and Routinely

Even if you have no plans to sell your firm or buy someone else's, a business valuation is more than just a number. When done correctly, and comprehensively, a valuation provides deep insights into the performance of your business and offers a roadmap for the future. In this session, you will learn how to produce an independent valuation and how to use it to improve your financial advisory business.

Speakers:

- Owen Dahl, Board Member and Head of Professional Services, Truelytics
- Mike Langford, Host of The Modern Financial Advisor Podcast and CEO, finservMarketing

2:00 p.m. – 3:00 p.m. ET

FIRM EXECUTIVES SESSION

DOL PTE 20-02: Practical Tips from the Trenches

The Department of Labor's Investment Advice Exemption (PTE 2020-02) significantly expanded the activities giving rise to fiduciary status and prohibited transactions under ERISA and the Internal Revenue Code (IRC) – particularly when it comes to IRA rollovers. The "Temporary Enforcement Policy" is set to expire on December 20, 2021, and financial institutions will be required to implement the full conditions of the PTE to avoid incurring significant penalties under ERISA and/or the IRC.

Jason and his firms, Pension Resource Institute and Retirement Law Group, are currently assisting approximately 75 financial institutions navigate the conditions and implement the required changes. During this session, he will describe how firms, large and small, are balancing compliance with possible unintended consequences and operational challenges, using both manual and automated solutions. Jason will outline necessary steps to appropriately train supervisors and financial professionals and best practices for preparing for the required retrospective reviews.

- *Jason Roberts, Chief Executive Office, Pension Resource Institute*

2:00 p.m. – 3:00 p.m. ET

FINANCIAL ADVISORS SESSION

Navigating through Retirement Plan Pitfalls and Misconceptions

PEPs, MEPs, and 3(16) administrators are all ways that plan sponsors and fiduciaries can allocate their duties to professionals who are better equipped to handle the functions. However, if you are one of the professionals, it is important to make sure that both you and your client are getting what you bargained for. While you want to be of help, you don't want to take on more than you expected in either duties or risk. Join us for a practical discussion of how to best structure these programs to successfully meet everyone's needs and expectations.

- *Ilene H. Ferenczy, Managing Partner, Ferenczy Benefits Law Center LLP*

THURSDAY, NOVEMBER 4

12:00 p.m. – 1:00 p.m. ET

CLOSING GENERAL SESSION, Hosted by Broadridge Financial Solutions

Trends in Cybersecurity

Cybersecurity has emerged as a critical issue for financial services firms for several reasons. First is the paramount obligation to protect client data from falling into the wrong hands, but others include regulatory compliance, protecting a firm's good reputation, and avoiding the costs of damage repair.

Join us to better understand not only the key threats facing your firm right now, but also the most common and necessary fraud prevention and client protection measures.

Trish McGinity, Head of Cybersecurity Communications for Empower Retirement, educates financial professionals nationwide on cybersecurity and technology. She will offer best practices and actionable information for improving data security. She'll also describe Empower Retirement's approach to these issues, include some unique protection measures they have enacted.

Don't miss out on this important information and the roadmap it provides for improving your firm's security protocols now.

- *Trish McGinity, Head of Cybersecurity Communications, Empower Retirement*

1:00 p.m. – 2:30 p.m. ET

Diversity and Inclusion Workshop, Sponsored by Fidelity Institutional

During this workshop, we'll explore how to develop and sustain D&I practices that foster opportunities for staff of all backgrounds and help cultivate a diverse client base.

Presenters Include:

- *Christine Byrne, Partner, Wealth Advisor, Back Cove Financial*
- *Jeffrey Green, SVP, Human Resources, Advisor Group*
- *Victor Nieves, Director, Head of Enterprise and Product Consulting, BNY Mellon | Pershing*
- *Anand Sekhar, VP, Practice Management & Consulting, Fidelity Investments*

2:30 p.m. – 3:00 p.m. ET

FINANCIAL ADVISORS SESSION, Hosted by Docupace

Digital Empowerment

Digital Empowerment is a measure of how a wealth management firm embraces a culture of innovation and uses technology to power their business. Achieving digital empowerment enables firms to:

- Scale sales, service, and operational functions – allowing them to focus on other value driving areas to clients, i.e., Value Stack
- Deliver more value and deepen client relationships
- Elevate their client and advisor experiences
- Attract clients, talent, and M&A targets
- Develop resiliency, for continuity and innovation

This session will review what digital empowerment is, why it's important, and how to achieve it.

- *Tricia Haskins, Product Area Leader, Integration Solutions, Fidelity Investments*

2:30 p.m. – 3:30 p.m. ET

FIRM EXECUTIVES SESSION, Hosted by Inland Real Estate Corporation

Advisor Panel

Panel of advisors address challenges in a changing regulatory and digital environment.

Panel Includes:

- *Brad Greenbaum, Vice President, Altigro Pension Services, Inc.*
- *Elizabeth Kietzman, Financial Advisor, Artisan Financial Group*
- *Rhonda Heineman, Financial Advisor, Heineman Financial Strategies*
- *Moderator: Steve Horn, President, Prosperity Financial Group*