
MONDAY, JULY 26

7:00 a.m. – 6:30 p.m.

Registration Open

Registration Desk 1, Grand Cypress Foyer

8:00 a.m. – 3:00 p.m.

FSI Board of Directors Meeting (Board Members Only; Closed to Media),

Sponsored by Morningstar

Poinciana

9:00 a.m. – 10:30 a.m.

DOL Investment Advice Rule & PTE Workshop: Your Questions Answered*

**Pre-registration and additional fee are required to attend this workshop,*

Closed to Media

Palm

The DOL PTE for Investment Advice Fiduciaries going into effect is a significant step toward regulatory harmonization as well as an advocacy achievement for our industry. However, implementation has raised dozens of questions and created new compliance_hurdles for independent financial services firms.

During this workshop, Baker McKenzie's regulatory experts will answer your questions and build upon the conversations from our previous [Breaking It Down & Implementing the PTE](#) workshop. Didn't attend the workshop? Not a problem. Join us for insights on how to get your firm across the implementation finish line.

Workshop attendees will receive an advance copy of our DOL PTE FAQs, developed by Baker McKenzie and FSI, to jump start your implementation.

Panelists:

- **Valerie Mirko, Partner, Baker McKenzie**
- **Jennifer Klass, Partner, Baker McKenzie**

11:00 a.m. – 1:30 p.m.

FSI Council Meetings (Council Members Only; Closed to Media)

- **Accounting & Finance,**
Regency 5
- **Compliance,**
Regency 4
- **HR,**
Regency 6

- **Investment Advisory Services,**
Regency 8-9
- **Operations & Technology,**
Regency 7

2:00 p.m. – 3:45 p.m.

PRE-CONFERENCE: Advancing Women in Leadership Workshop*

**Pre-registration and additional fee are required to attend this workshop, so sign up today!*

Palm

Following a year that upended every workplace, it is apparent women were particularly likely to have experienced negative effects on their careers, their personal lives, or both. Many companies realize they are at risk of losing women in leadership and future women leaders, not to mention years of progress toward gender diversity.

Join us for this pre-conference workshop bringing together men and women who support advancing women leaders in our industry. During a fireside chat with Frieda Lewis, Chief Commercial Diversity Officer, Broadridge Financial Solutions, [Jennifer Barrett](#), head of content at Fidelity and author of *Think Like a Breadwinner*, will speak about empowering women financially and personally.

Barrett will reframe the narrative around women being “breadwinners” and explore how taking control of their careers and finances leads to creating the lives they want. In fact, nearly half of working women in the United States are their household's main breadwinner, but they aren't brought up to think or to act like them. In fact, they can be discouraged from pursuing their full earning potential and providing for others. With concrete practical tools, as well as examples from her own journey, Barrett shows how women can claim and benefit from success in their careers.

Sponsored by Broadridge Financial Solutions and Fidelity Institutional

Co-Presenters:

- *Frieda Lewis, Chief Commercial Diversity Officer, Broadridge Financial Solutions*
- *Jennifer Barrett, Head of Content, Fidelity Investments*



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Hyatt Regency Grand Cypress
Orlando, FL
Conference Program
As of July 27

4:00 p.m. – 5:15 p.m.

OPENING GENERAL SESSION

Grand Cypress, DEF

The Future Economy: Opportunities for Growth

The world will see more economic change in the next five years than anyone has seen in the last 100. Beginning this year, trends super-charged by the pandemic will exert themselves on the economy. AI, robotics, ESG, cryptocurrency and online meetings and collaboration are just a few of the extraordinary tools businesses are leveraging now to meet challenges, adapt and thrive.

How are you preparing to align yourself with the future? Take your first steps with futurist and economist Andy Busch, who will dive deep into how innovation, policy change and societal shifts will drive opportunities for your clients and your business.

Come away with Andy's suggestions for running your business better today and transforming it for the years ahead.

- *Andy Busch, Former Chief Market Intelligence Officer, Commodities and Futures Trading Commission CFTC*

5:15 p.m. – 6:30 p.m.

Opening Networking Reception

Grand Cypress Foyer

TUESDAY, JULY 27

6:30 a.m. – 6:30 p.m.

Registration Open

Registration Desk 1, Grand Cypress Foyer

6:45 a.m. – 7:45 a.m.

Networking Breakfast

Grand Cypress Foyer



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8:00 a.m. – 9:00 a.m.

CONCURRENT SESSIONS

Reigniting & Rethinking Company Culture in a Flexible Work Environment

Grand Cypress A

If the word “culture” essentially means “how we do things around here,” then how should leaders build and sustain company culture when “around here” may be anywhere? We will discuss best practices for leadership and communication in a rapidly evolving work environment.

Panel Includes:

- *Mary Creagh, Senior Human Resources Business Partner / Manager, Commonwealth Financial Network*
- *Jeffrey Green, Senior Vice President, Human Resources, Advisor Group*
- *Chris Perry, President, Broadridge Financial Solutions*
- *Moderator: Michelle Barry, President, Grove Point Financial*

Navigating Compliance in the Evolving Investment Advisory Landscape

Palm

The continued flow of assets to advisory platforms presents numerous compliance challenges and questions for firms. Join our panelists to identify and address potential areas of opportunity.

This session will explore important considerations, including:

- Best practices for monitoring and supervising the transition of assets from a brokerage to an advisory platform;
- Criteria and considerations for advisors seeking to manage their own portfolios and monitoring ongoing performance management; and
- Methods advisory firms can employ to review portfolio allocations ensuring compliance with Reg BI and other regulatory standards.

Panel Includes:

- *Michael Bryan, CEO, Triad Hybrid Solutions*
- *Seth Miller, General Counsel, EVP, Risk Management & Chief Risk Officer, Cambridge Investment Research, Inc.*
- *Chris Thurston, SVP, CCO, Investment Advisory Compliance, Raymond James Financial Services Inc.*
- *Moderator: Denis Dice, Managing Partner-Philadelphia Office, Winget, Spadafora and Schwartzberg, LLP*



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Fostering Successful Partnerships through Vendor Due Diligence

Grand Cypress BC

Third-party vendors are important partners and provide essential services for our firms. This session will explore the processes needed to comply with both legal requirements and a company's standards and pave the way to a beneficial partnership. What factors come into play in your decision? How do you determine the frequency of periodic reviews? Do you establish a formal process or is it on a one-off basis each time? Which departments are represented on the committee? Join this session for answers to these questions and more from panelists from both sides of the contract.

Panel Includes:

- *Amy Magnotta, SVP, Head of Discretionary Portfolios, Orion Advisor Solutions*
- *Jessica Penovich, General Counsel & Deputy Chief Compliance Officer, J.W. Cole Financial, Inc.*
- *Blake Wood, SVP, Director of Strategy, Investnet Inc.*
- *Moderator: Leo Kogan, Partner, Freeman Mathis & Gary*

9:00 a.m. – 9:30 a.m.

Networking Break

Grand Cypress Foyer

9:30 a.m. – 10:30 a.m.

CONCURRENT SESSIONS

Lasting Effects of COVID-19 on Financial Advisory Practices

Grand Cypress BC

The pandemic has forced financial advisors to make major changes to their technology and client acquisition practices at a rapid pace. Clients' service expectations have evolved simultaneously. Join us to discuss key lessons learned during this time, which changes should be retained post-COVID, and what additional changes the future may hold.

Panel Includes:

- *Denise Barrows, Financial Advisor, Barrows Trostle Advisors, LLC*
- *Steve Horn, President, Prosperity Financial Group*
- *Tom Santucci, Founder and President, Gateway Investments*
- *Moderator: Mitch Bell, Managing Director and a Senior Relationship Manager, BNY Mellon | Pershing*



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Cybersecurity and Privacy Measures

Grand Cypress A

A perennial favorite among regulators' examination priorities, cybersecurity is also among the biggest risks for all firms big and small. We will discuss practical best steps (not just for those with unlimited tech budgets) to safeguard your firm against catastrophic intrusion. From email security, phishing protection, and multi-factor authentication to controls that monitor access to critical systems, we will identify the essential components of a cybersecurity policy. Our discussion will address usage scenarios including one-person shops, working from home, small offices, and mobile device interactions.

Panel Includes:

- *Guru Rao, Chief Information Security Officer, Lincoln Investment*
- *Kathleen Santeufemio, Business Information Security Officer, Fidelity Investments*
- *Mark Schlesinger, CIO, Broadridge Financial Services Solutions, Inc.*
- *Moderator: Frank Smith, SVP, Chief Information Security Officer and Data Privacy, First Command Financial Planning, Inc.*

Responding to Trends Shaping Advisory Models

Palm

As the move to fee-based advisors accelerates, some trends have emerged. Regulatory considerations, product evolution and Fintech enhancements increasingly impact a financial professional's decision making. Join us for a discussion about when and why dual registration can make sense. Learn how the industry is adapting to support the most successful advisory models.

Panel Includes:

- *Colleen Bell, Executive Vice President, Operations and Chief Fiduciary Service Officer, Cambridge Investment Research, Inc.*
- *Sam Edgerton, Partner, O'Hagan Meyer*
- *Desiree Sii, President and CEO, SagePoint Financial*
- *Moderator: Amy Rehn, Sr. Vice President, Advisory Services, Triad Advisors, Inc.*

10:30 a.m. – 11:00 a.m.

Networking Break

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11:00 a.m. – 12:00 p.m.

GENERAL SESSION

Grand Cypress, DEF

Ready for Action: Committing to Diversity and Inclusion

One of the best ways to ensure access to professional financial advice for all Americans is to grow our industry to reflect a broader range of perspectives and cultures. Bringing together people of varying experiences and backgrounds promotes an enhanced environment filled with an array of fresh ideas for the benefit of our clients, our firms and our industry.

Although shifting to new paradigms can be difficult to navigate, change is imperative for a successful and sustainable business. How can you walk the walk with the future in mind? It will take planning, listening, a lot of conversations, and courageous commitment.

We're inviting you to take this journey with us! Dale Brown will share FSI's vision and personal commitment to diversity and inclusion.

As a CFP® professional, business owner, DEI Strategist, and non-profit leader, Lazetta Rainey Braxton galvanizes C-Suite executives, financial professionals, and the next generation of leaders to greater awareness and action. Her mantra is financial planning is truly for everyone. Lazetta will outline key tools and processes for helping individuals and firms stay relevant in an increasingly diverse environment.

Co-Presenters:

- *Dale E. Brown, CAE, President & CEO, Financial Services Institute*
- *Lazetta Rainey Braxton, MBA, CFP®, Co-Founder and Co-CEO of 2050 Wealth Partners and Founder and CEO of Lazetta & Associates*

12:00 p.m. – 1:30 p.m.

Networking Lunch

Grand Cypress Foyer



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1:30 p.m. – 2:30 p.m.

CONCURRENT SESSIONS

The New Normal Workplace

Grand Cypress BC

Thankfully, in the United States the COVID-19 pandemic may soon be in its final phase. How should we plan to do business in the “new normal” of a post-COVID environment? This session will provide an overview of how COVID-19 has affected technology, operations, practice management, conferences, events, and other aspects of business. We will also reflect upon emerging trends which may accelerate in the future.

Panel Includes:

- *Nate Biddick, V.P., Wealth Management Growth, Avantax Wealth Management*
- *Jennifer Brittingham, SVP, Retail Services, PlanMember*
- *Liz Stiles, Director of Practice Management Coaching, Raymond James Financial Services, Inc.*
- *Moderator: Shaun Tucker, Senior Vice President, Sales Enablement Leader, North America, Captial Group, American Funds*

Virtual Branch Inspections and Supervision in the Time of Virtual Collaboration

Grand Cypress A

In 2020, every single firm’s inspection program went from 70 mph to zero within days as travel stopped, forcing firms into virtual inspections. Advisors shifted to virtual collaboration tools as they were forced from offices into dens, living rooms, and basements. Learn from experts on the changes they made to compensate for the loss of physical, in-person components along with the compliance and supervisory considerations relevant to the oversight of client meetings using Zoom, Teams, FaceTime, and other tools.

Panel Includes:

- *Gregor Maitland, VP, Chief Compliance Officer-Distribution, Lincoln Financial Group*
- *Matt Sugden, VP, Compliance, Commonwealth Financial Network*
- *Julie Sullivan, SVP, Group Chief Compliance Officer, The Strategic Financial Alliance, Inc.*
- *Moderator: Robert Cruz, VP, Information Governance, Smarsh*



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Mythbusters: Put These Advisory Beliefs to the Test

Palm

As the advisory landscape rapidly evolves, it can be difficult for financial professionals, compliance staff and non-advisory leadership to navigate change. Join us for a lively session busting myth that have taken hold as our environment transforms. C-shares are fee shares! Independent RIAs affiliated with a broker-dealer have free rein in their decision-making! An annuity company's private letter ruling (PLR) means advisors can automatically debit fees from a contract! Learn why these are, in fact, myths and how to respond.

Panel Includes:

- *Maura Creekmore, Managing Director, Co-Head, Wealth Solutions, BNY Mellon | Pershing*
- *Ben Harrison, Managing Director, Co-Head, Wealth Solutions, BNY Mellon | Pershing*
- *Shannon Larson, SVP Platform Management and Product Development, Advisor Group*
- *Tim Stinson, Head of Wealth Management and Recruiting Sales, Cetera Financial Group*
- *Moderator: Chris Roberts, Senior Vice President, Sales Support, Grove Point Financial*

2:30 p.m. – 3:00 p.m.

Networking Break

Grand Cypress Foyer

3:00 p.m. – 4:00 p.m.

CONCURRENT SESSIONS

See You Back at the Office?

Grand Cypress BC

Many broker-dealer / RIA firm executives envision three categories of home office staff in the future workplace: "Resident," or regularly working on site; "Mobile," or sometimes working on site; and "Remote," or usually working off site. How can firm leaders determine who best fits into each category? What ramifications will these decisions have on the quantity and utilization of physical office space? We'll address these questions as well as ways to ensure effective employee communication across varied work locations.

Panel Includes:

- *Lauren Brouhard, Head of Workforce Strategy and Talent Management, Fidelity Investments*
- *Jeannie Finkel, Chief Human Resources Officer, Cetera Financial Group*
- *Stephen Langlois, President, Kestra Financial, Inc.*
- *Moderator: Noreen Beaman, President, Orion Advisor Solutions*



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They Gotta Have It: A Critical Look at Special Products

Grand Cypress A

Like devoted gamers staring at the latest PlayStation with lusty eyes and open wallets, your clients are equally eyeing “trendy” and “hot” investment products. Yes, we are talking about bitcoin, SPACs, alternative mutual funds, and non-vanilla ETFs. *Lions and tigers and bears, oh my!* These products are also gaining scrutiny from regulators and the plaintiff’s bar. So, what do you need to know about them? Panelists will weigh in from three perspectives:

- Compliance: The risks and how to monitor them;
- Supervision: Who can purchase these products and what limitations, if any, are appropriate; and
- Due Diligence: Determining what products and issuers are appropriate to offer.

Panel Includes:

- *Mike Pagano, Chief Compliance Officer, Avantax Wealth Management*
- *Marissa Macdonald, Chief Compliance Officer, Fidelity Digital Assets*
- *Dan Weiss, SVP, Product Diligence, Advisor Group*
- *Moderator: Summer Pretzer, Risk & Regulatory Affairs, Cetera Financial Group*

Innovation through Digital Marketing

Palm

The challenges of the last year prompted many companies to utilize digital marketing techniques to reach existing clients and find new ones, all while providing personalized experiences. During this session, we will share client-facing success stories of creative use of apps, social media and digital commerce. We will discuss how to address and manage regulatory challenges as well as the expectations of employees and advisors. Now is the time to create a digital experience that enhances how your firm communicates, trains and provides client support.

Panel Includes:

- *Kevin Darlington, General Manager, Broadridge Advisor Solutions, Broadridge Financial Solutions, Inc.*
- *Patti Newcomer, CMO, FMG Group*
- *Robert Sofia, CEO, Snappy Kraken*
- *Moderator: Leah Alter, AVP, Advisor Marketing, Kestra Financial, Inc.*



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4:15 p.m. – 5:15 p.m.

GENERAL SESSION

Grand Cypress, DEF

FIRM EXECUTIVES PANEL

The Post COVID World: Moving #ForwardTogether

Join our panel of leaders from firms across the country, both large and small, to process what the pandemic has meant for our industry, our firms and our lives.

Panelists will discuss changes made in response to COVID-19 and the differing effects by firm type. We'll delve into the issues, identifying opportunities and possible long-term benefits. Together, let's discover and share the silver linings and how we accomplished it all more quickly than ever imagined.

Panel Includes:

- *Libet Anderson, President, Concourse Financial Group Securities*
- *George Chuang, President & CEO, Transamerica Financial Advisors, Inc.*
- *Jamie Price, President & CEO, Advisor Group*
- *Moderator: Estee Faranda, CEO, PFS Investments, Inc.*

5:15 p.m. – 6:30 p.m.

Networking Reception

Grand Cypress Foyer

WEDNESDAY, JULY 28

7:00 a.m. – 10:00 a.m.

Registration Open

Registration Desk 1, Grand Cypress Foyer

7:30 a.m. – 8:00 a.m.

Discussion Breakfast*

Discussion Rooms (see Discussions)

8:00 a.m. – 11:00 a.m.

- **CEO DISCUSSION***,
Grand Cypress AB
- **COMPLIANCE DISCUSSION***,
Grand Cypress GH
- **HR / OPERATIONS & TECHNOLOGY DISCUSSION***,
Grand Cypress C
- **INVESTMENT ADVISORY SERVICES DISCUSSION***,
Regency 4
- **MARKETING, GROWTH & DEVELOPMENT DISCUSSION***,
Regency 8-9
- **SUPERVISION DISCUSSION***,
Regency 7

11:00 a.m.

Conference Adjourns

**Sponsor and exhibit personnel are ineligible to attend the Wednesday morning discussion meetings with the following exceptions:
Ambassador and Premier Sponsors may send one (1) attendee to each of the discussion meetings.*

Partner Law Firm Sponsors may send one (1) attendee to the Compliance Discussion Meeting (only).

**Discussion meetings are closed to Media*