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**MONDAY, JULY 26**

7:00 a.m. – 6:30 p.m.  
**Registration Open**

8:00 a.m. – 3:00 p.m.  
**FSI Board of Directors Meeting** (Board Members Only; Closed to Media)

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*

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.*

11:00 a.m. – 1:45 p.m.  
**FSI Council Meetings** (Council Members Only; Closed to Media)

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!*

4:00 p.m. – 5:15 p.m.  
**OPENING GENERAL SESSION**

**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.

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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**

## **TUESDAY, JULY 27**

6:30 a.m. – 6:30 p.m.  
**Registration Open**

6:45 a.m. – 7:45 a.m.  
**Networking Breakfast**

8:00 a.m. – 9:00 a.m.  
**CONCURRENT SESSIONS**

### **Reigniting & Rethinking Company Culture in a Flexible Work Environment**

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.

### **Navigating Compliance in the Evolving Investment Advisory Landscape**

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.

### **Fostering Successful Partnerships through Vendor Due Diligence**

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

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departments are represented on the committee? Join this session for answers to these questions and more from panelists from both sides of the contract.

9:00 a.m. – 9:30 a.m.

**Networking Break**

9:30 a.m. – 10:30 a.m.

**CONCURRENT SESSIONS**

**Lasting Effects of COVID-19 on Financial Advisory Practices**

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.

**Cybersecurity and Privacy Measures**

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.

**Responding to Trends Shaping Advisory Models**

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.

10:30 a.m. – 11:00 a.m.

**Networking Break**

11:00 a.m. – 12:00 p.m.

**GENERAL SESSION**

**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**

1:30 p.m. – 2:30 p.m.

### **CONCURRENT SESSIONS**

#### **The New Normal Workplace**

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.

#### **Virtual Branch Inspections and Supervision in the Time of Virtual Collaboration**

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.

#### **Mythbusters: Put These Advisory Beliefs to the Test**

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

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automatically debit fees from a contract! Learn why these are, in fact, myths and how to respond.

2:30 p.m. – 3:00 p.m.

**Networking Break**

3:00 p.m. – 4:00 p.m.

**CONCURRENT SESSIONS**

**See You Back at the Office?**

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.

**They Gotta Have It: A Critical Look at Special Products**

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.

**Innovation through Digital Marketing**

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.

4:15 p.m. – 5:15 p.m.

**GENERAL SESSION**

**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, ProEquities, Inc.*
- *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**

**WEDNESDAY, JULY 28**

7:00 a.m. – 10:00 a.m.

**Registration Open**

7:30 a.m. – 8:00 a.m.

**Discussion Breakfast\***

*Discussion Rooms (see Discussions)*

8:00 a.m. – 11:00 a.m.

- **COMPLIANCE DISCUSSION\***
- **DUE DILIGENCE DISCUSSION\***
- **HR DISCUSSION\***
- **INVESTMENT ADVISORY SERVICES DISCUSSION\***
- **MARKETING, GROWTH & DEVELOPMENT DISCUSSION\***
- **OPERATIONS & TECHNOLOGY DISCUSSION\***
- **SUPERVISION DISCUSSION\***

8:00 a.m. – 12:00 p.m.

- **CEO DISCUSSION\***

12:00 p.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*



**Hyatt Regency Grand Cypress  
Orlando, FL  
Conference Program**

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*Meeting (only).*

*\*Discussion meetings are closed to Media*