



**ANNUAL KICKOFF 2022**  
January 31–February 2  
Dallas

Conference Program as of 1/9/22

## MONDAY, JANUARY 31

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)

Sponsored by Vestmark

11:00 a.m. – 1:30 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!*

**Sponsored Fidelity Investments**

### **Empowered Women Leaders: Authentically Engaging and Leading from the Top**

According to [Catalyst research](#) conducted in 2020 women control over \$31.8 trillion in worldwide spending. In the US women make up more than half of the U.S. population, and control or influence 85% of consumer spending. Any organization who wants to grow must get serious about ensuring that women have a seat at the table. It is time not only to increase women's representation at the C-Suite and CEO level, but women should be respected for their authentic leadership skills that are needed now more than ever before.

Join us for this pre-conference workshop bringing together women as well as male allies who support advancing women leaders in our industry.

The session will be led by Trudy Bourgeois, Founder and CEO of the Center for Workforce Excellence, a global leadership development company specializing in DEI and author of *EQUALITY: Courageous Conversations About Women, Men and Race to Spark & Diversity and Inclusion Breakthrough*.

Participants will have an opportunity to engage in dialogue that sparks action to help women create their own equality. Every woman does not want to be CEO, but every woman is a leader who can add value no matter what title they hold. Smart and successful organizations understand that there is a sense of urgency to cultivate cultures where women can authentically engage and do their very best work daily. Smart and successful women recognize that the time has come for them to take full ownership of charting their own futures on their own terms. In this highly interactive session, participants will come away with practical strategies to step into full empowerment and leverage male allies to accelerate their success.

4:00 p.m. – 5:15 p.m.

## **OPENING GENERAL SESSION**

### **But Wait, There's More: Emerging Political and Financial Challenges**

After the surprises of 2020 and the quick adaptations throughout 2021, it might be reasonable to assume you've seen it all. Instead, 2022 is likely to usher in fresh challenges as we incorporate trends and realities that have recently emerged.

Greg Valliere, chief U.S. Policy Analyst at AGF Investments, will explore the interplay between U.S. politics and global markets and its influence on where we are headed.

How will the markets and the Federal Reserve respond to inflation and budget trends? Who's up and who's down in the 2022 election calculus? What regulatory and geo-political developments should you keep an eye on? Greg will draw on his extensive background in economic policy, the Federal Reserve and U.S. politics to illuminate the answers to these questions and others.

Greg has held several positions within the financial services industry, including Director of Research at the Charles Schwab Washington Research Group. He is frequently quoted in the Washington Post, the Wall Street Journal and Barons, and is a regular guest on Bloomberg TV and radio, CNN, Fox Business News, CNBC and CBS radio.

- [Greg Valliere](#), *Chief U.S. Policy Strategist, AGF Investments*  
**Sponsored by Athene**

5:15 p.m. – 6:30 p.m.

### **Opening Networking Reception**

## **TUESDAY, FEBRUARY 1**

7:00 a.m. – 6:30 p.m.

### **Registration Open**

7:00 a.m. – 8:00 a.m.

### **Networking Breakfast**

8:15 a.m. – 9:15 a.m.

## **CONCURRENT SESSIONS**

### **A Focus on Growth**

#### **[Tagged for CEO, Sponsored by Invent.us](#)**

What will drive business growth for firms in 2022 and beyond? During this session, we'll look at growth through different lenses, including "share of wallet" and alternative sales. We will also examine how new client prospecting is evolving in terms of organic growth, recruiting and acquisitions. You'll come away with a better grasp of the economics of business growth for both RIAs and broker-dealers.

#### **Panel Includes:**

- *Jodi Perry, President, Independent Contractor Division, Raymond James Financial Services, Inc.*
- *Evamarie Schoenborn, President & CEO, Northwestern Mutual Wealth Management Company*
- *Von D. Cook II, AIF®, Managing Partner, Client Centric Advisors*

- *Moderator: Kevin Darlington, VP - General Manager, Broadridge Advisor Solutions, Broadridge Financial Solutions*

## **Building Ensemble Practices**

### ***Tagged for Marketing, Growth & Development, Sponsored by FMG Suite***

Understand what an “ensemble” team really means in terms of staffing, training, and day-to-day operations. Gain insights into what attracts advisors to an ensemble and what is effective in training new hires. Find out more about what ensemble teams need from broker-dealers and what makes these teams unique.

#### **Panel Includes:**

- *Christine Byrne, MBD CRPS<sup>®</sup>, Partner Wealth Advisor, Back Cove Financial*
- *Erinn Ford, EVP, Advisor Engagement, Advisor Group*
- *Abby Salameh, Chief Marketing Officer, CAIS*
- *Moderator: Tammy Robbins, EVP & Chief Business Development Office, Cambridge Investment Research, Inc.*

## **Educating Employees and Clients about Cybersecurity**

### ***Tagged for Compliance, HR & Ops/Tech, Sponsored by Broadridge Financial Solutions, Inc.***

Each day’s news brings more stories about cybersecurity breaches, creative “phishing” that unearths personally identifiable information, money laundering and frauds that drain accounts. Get a handle on all the latest trends and come away with new ways to educate employees and clients so that your firm is not the next victim.

#### **Panel Includes:**

- *Gary Rossi, Vice President, Practice Management & Consulting, Fidelity Investments*
- *Sid Yenamandra, CEO, Entreda*
- *Moderator: John Foster, President & CEO, Bedford & Main*

## **The New SEC Investment Adviser Marketing Rule**

### ***Tagged for Compliance, Investment Advisory Services & Marketing, Growth & Development***

Let’s talk testimonials and endorsements! The new marketing rule gives the green light to testimonials and replaces “solicitors” with endorsements. In this session, experts will discuss the rule’s parameters and required documentation, as well as implications in terms of FINRA and state regulations.

#### **Panel Includes:**

- *Mike Pagano, Vice President, Chief Compliance Officer, Avantax Wealth Management*
- *Seth Miller, Executive Vice President, General Counsel, and Chief Risk Officer, Cambridge Investment Research, Inc.*
- *Moderator Julie Sullivan, Senior Vice President, The Strategic Financial Alliance, Inc.*

## **Evolving Our Mindset about Advisory Product Development**

### ***Tagged for Investment Advisory Services, Sponsored by BlackRock***

Learn how firms are managing the traditional constraints on independent financial services firms right now. This panel will explore client suitability, advisor suitability and supervision. They’ll detail strategies for matching needs to the growing advisory product shelf, including defined outcome strategies, alternatives to private letter rulings on annuities, clone products and the role of third parties.

#### **Panel Includes:**

- *Jay Womack, Managing Director – Investment Products & Personalization, Independent Advisor Solutions by SEI*
- *Yanni Bousnakis, SVP, Head of Investment and Advisory Platforms, Kestra Financial, Inc.*

- *Colleen Bell, Executive Vice President, Operations and Chief Fiduciary Service Officer, Cambridge Investment Research, Inc.*
- *Moderator: Derek Anderson, Managing Partner – CO, Winget Spadafora & Schwartzberg, LLP*

9:15 a.m. – 9:45 a.m.

### **Networking Break**

9:45 a.m. – 10:45 a.m.

### **CONCURRENT SESSIONS**

#### **Addressing End Clients' Changing Expectations**

*Tagged for [CEO & Marketing, Growth & Development](#), Sponsored by [Invent.us](#)*

What is top of mind for your clients going into 2022? During this session we'll discuss three areas of focus:

- Fee structure
- Emerging challenges with available products
- Expectations for advisor service to clients

#### **Panel Includes:**

- *David Knoch, CEO, Docupace Technologies*
- *Tim Stinson, Head of Wealth Management and Recruiting Sales, Cetera Financial Group*
- *Denise B. Barrows, CPA, CFP®, Financial Advisor, Barrows Trostle Advisors, LLC*
- *Moderator: Michael McElroy, Vice President, Practice Management & Consulting, Fidelity Investments*

#### **Next-Gen Talent: Recruitment, Engagement and Retention**

*Tagged for [CEO, HR & Marketing, Growth & Development](#), Sponsored by [FMG Suite](#)*

The precise mechanism by which diverse financial advisors drive results and allow firms to capture more market share is still being established. Hear success stories from those who have recruited and engaged financial advisors of diverse populations and identify factors that made those 'wins' possible.

#### **Panel Includes:**

- *Alex David, President & CEO of Stifel Independent Advisors*
- *Desiree Sii, President & CEO, SagePoint Financial*
- *Anand Sekhar, Vice President, Practice Management & Consulting, Fidelity*
- *Moderator: Bill Brady, Director of Distribution and Head of Wealth Management, Capital Group*

#### **How to Become “Easy to do Business With”**

*Tagged for [Ops/Tech](#), Sponsored by [Broadridge Financial Solutions, Inc.](#)*

One of the best differentiators for a firm, with both clients and advisors, is whether business goals are achieved with little difficulty. Fewer clicks and increased self-service are the low-hanging fruit. But what really hits the “Easy” button? Join us for a panel discussion about what firms are doing right now.

#### **Panel Includes:**

- *Nick Graham, Executive Vice President and Chief Technology Officer, Cambridge Investment Research, Inc.*
- *Dan Kocher, V.P., Operations and Service Excellence, Avantax Wealth Management*
- *Oleg Tishkevich, CEO, Invent.us*
- *Moderator: Farayi Chimbangu, Director, Albridge Solutions, BNY Mellon | Pershing*

## **DOL Delayed Enforcement (Closed to Media)**

### ***Tagged for Compliance***

What specifically are firms doing now to comply with the DOL rule, and what still has to happen before the February 1 and June 30, 2022 deadlines? The delay both helped and complicated compliance, immediately affecting firms' level of preparedness. Industry experts will delineate changes already made and the changes still ahead for their firms.

#### **Panel Includes:**

- *Joseph Gallo, Chief Counsel, Lincoln Financial Network*
- *Kevin Mechtley, Government Affairs, Sammons Institutional Group*
- *Virginia Cook, VP, Compliance Officer, PFS Investments, Inc.*
- *Matthew Watts, Senior Vice President, Supervision, Raymond James Financial, Inc.*
- *Moderator: Jason Roberts, CEO of PRI and Managing Partner of Retirement Law Group*

## **Insource vs. Outsource: Customizing Investment Management**

### ***Tagged for Investment Advisory Services & Ops/Tech, Sponsored by BlackRock***

Numerous firms are growing their third-party support for investment strategy and Separately Managed Account business. Delve into how they are working with financial advisors to make the shift – and make it positive for the financial advisor, the firm and ultimately the client. Is this truly a win-win, or are concerns about higher costs and lack of customization prevailing? This session will also cover new solutions coming to market, including ESG/Socially Responsible Investing, High Net Worth solutions and more.

#### **Panel Includes:**

- *Rob Klapprodt, Corporate Strategy Officer, Vestmark, Inc.*
- *Jason Moore, Chief Solutions Officer, Orion Advisor Solutions*
- *Kara Murphy, Chief Investment Officer, Kestra Financial, Inc.*
- *Eve Cout, Managing Director, Head of Model Portfolios Product, BlackRock*
- *Moderator: Shannon Larson, SVP, Platform Management and Product, Advisor Group*

11:00 a.m. – 12:00 p.m.

## **GENERAL SESSION**

### **Resetting the Employee Experience: Retaining Top Talent During the Great Resignation**

Described as a “battle between people and their employers about who gets to decide what ‘work’ can and should mean,” the Great Resignation has struck all industries, including financial services. For years, business leaders have focused on the customer or client experience. Now, the Great Resignation is telling us we must also pay attention to the employee experience. But how?

Join Trudy Bourgeois, renowned leadership expert, author and Founder & CEO of the Center for Workforce Excellence, as she dives into the critical drivers of this global workforce phenomenon and shares strategies to stay competitive in vying for top talent.

12:00 p.m. – 1:30 p.m.

## **Networking Lunch**

1:30 p.m. – 2:30 p.m.

## **CONCURRENT SESSIONS**

### **Driving Employee Engagement and Culture in a Hybrid Work Environment**

#### ***Tagged for CEO & HR, Sponsored by Invent.us***

Employee engagement and company culture are critical to success. And they're harder to drive effectively with fewer employees co-located. How have companies adjusted their practices to meet

this new paradigm? HR experts will share their recent experiences with new employee onboarding and how they have successfully connected with people they haven't met face to face. What assets can be leveraged to create an engaging onboarding experience? How do you set up a manager for success? Beyond flexible scheduling, what improves employee satisfaction? We will examine these factors and others as part of creating an "at work" community that goes beyond shared physical space.

**Panel Includes:**

- *Larry Fisher, Chief Human Resources Officer, Advisor Group*
- *Jamila Ramnanan, VP Human Resources, Avantax Wealth Management*
- *Margreet van Dijk, Managing Director, Senior Director Human Resources, BNY Mellon | Pershing*
- *Moderator: Noreen Beamon, President, Orion Advisor Solutions*

**Combining Earned Media and Marketing with Social Media to Grow Your Brand**

***Tagged for Marketing, Growth & Development, Sponsored by FMG Suite***

Social media has become the hottest tool in recent years for financial advisors and firms to advertise their business and generate leads. Traditional marketing, PR, and overall combined earned media may have been discounted as a result. This session will concentrate on how to use all forms of marketing to establish your brand, assert yourself as a thought leader in the industry and recruit advisors and investors.

**Panel Includes**

- *Debra Brennan Tagg, CFP® is President, BFS Advisory Group*
- *Jeff Vivacqua, EVP & Chief Marketing Officer, Cambridge Investment Research, Inc.*
- *Representative, Hearsay*
- *Moderator: Susan Theder, Chief Marketing and Experience Officer, FMG Suite*

**Robotics in Finance**

***Tagged for Ops/Tech, Sponsored by Broadridge Financial Solutions, Inc.***

See how one firm has automated tasks traditionally done by humans and learn how robotics contribute to efficient operations. This case study reveals how robotics can cut costs, increase efficiency and accuracy, and eliminate unnecessary overhead. We will also discuss the effects on humans. How can we repurpose jobs and create new positions as we move into this new age?

**Presenters Includes:**

- *Amit Chogle, Dir., Enterprise Business Process Management, Commonwealth Financial Network*
- *Frank Smith, SVP, Chief Information Security Officer and Data Privacy, First Command Financial Services, Inc.*

**Writing Disclosures That Get Read**

***Tagged for Compliance & Marketing, Growth & Development***

Both clients and advisors are inundated with a plethora of disclosures. In this session, industry experts show how to write effective disclosures that catch the reader's attention, are easy to read and contain all necessary information.

**Panel Includes:**

- *Swatika Rajaram, General Manager, Broadridge Financial Solutions, Inc.*
- *Moderator: A. Valerie Mirko, Partner, North America Financial Regulation and Enforcement Practice, Baker & McKenzie LLP*



## Top Five Opportunities for Firms Right Now

*Tagged for CEO, Compliance, HR, Investment Advisory Services, Marketing Growth & Development & Ops/Tech, Sponsored by BlackRock*

Let's talk about what those in the investment advisory space most want to know. We surveyed members to find out what the hottest topics are. They include:

- Evolving technology
- Competitive pricing & methodologies
- ESG/SRI product and platform development
- Tax overlay capabilities
- Top integrations
- Financial planning solutions
- Flexible billing models, such as asset-based vs. flat fee
- Non-traditional assets like crypto, and how to bill on them
- Building in-house investment management

### Panel Includes:

- *David Robinson, Managing Director, Head of Strategic Partnerships & Enterprise Consulting, Envestnet Asset Management, Inc.*
- *Mike Alexander, President of Wealth Management, Broadridge Financial Solutions, Inc.*
- *LaChadra Mason, Director, Senior Annuity Product Manager, BNY Mellon | Pershing*
- *Moderator: Gavin Spitzer, President, Wealth Consulting Partners*

2:30 p.m. – 3:00 p.m.

### Networking Break

3:00 p.m. – 4:00 p.m.

### CONCURRENT SESSIONS

## How to Recruit and Retain Competitively in Today's Environment

*Tagged for CEO, HR & Ops/Tech, Sponsored by Invent.us*

All industries are experiencing a tight labor market that is driving a "war" for talent. What must companies do to ensure they remain attractive to candidates and retain their current employees? Many firms are challenged by hiring people who are the right fit and creating effective compensation structures. Join this discussion to learn how firm executives are getting creative: thinking outside the box for recruitment, offering perks that work for both firm and employee and accommodating flexibility in scheduling. Gain ways to help new employees transition to trusted members of your team.

### Panel Includes:

- *Ryan Shanks, Co-Founder & CEO, FA Match*
- *Leigh McCluskey, Senior Vice President, Talent Acquisition, Advisor Group*
- *Moderator: Julie Lane, SPHR, SHRM – SCP, Chief Human Resources Officer, Orion Advisor Solutions*

## Strategies to Bring New Advisors into the Fold

*Tagged for Marketing, Growth & Development, Sponsored by FMG Suite*

It's a competitive landscape in recruiting and acquisitions. Learn how firms are successfully positioning themselves to attract and close on acquisitions of RIAs, solo practices, and groups. This session will examine today's trends, including how virtual acquisitions work and how deals are currently priced.

### Panel Includes:

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

- *Dan Mayes, SVP Succession Planning and Business Acquisition, Cetera Financial Group*
- *Mark Schoenbeck, EVP, Advisor Engagement Kestra Financial, Inc.*
- *Moderator: Carolyn Armitage, Head of Thrivent Advisor Network, Thrivent Advisor Network, LLC*

### **Agile Methodology: A Case Study**

***Tagged for Ops/Tech, Sponsored by Broadridge Financial Solutions, Inc.***

Easy revisions and quick delivery – sign us up, right? First, hear how one firm brought agile into their operations. Understand the pros, the cons and the level of commitment required. How fast does change happen? How big does a company have to be for agile to make sense? You'll get answers to these questions and more.

#### **Co-Presenters Includes:**

- *Emilio Primus, Agile Release Train Engineer, First Command Financial Services, Inc.*
- *Allen Eickelberg, CFP®, VP, Director of Operations, Spire Investment Partners, LLC*

### **Compliance as a Partner – Not an Afterthought**

***Tagged for CEO & Compliance***

Stumped by how involved compliance should be in your business? Is the role of compliance staff to interpret rules, provide guidance and stand back for operational implementation of necessary changes? Or should they be involved in the day-to-day details of meeting regulatory requirements? Speakers from compliance, marketing and operations teams will discuss how to ensure compliance is seen as a valuable partner.

#### **Panel Includes:**

- *Gwen Weithaus, V.P., Risk & Controls, Northwestern Mutual Investment Services, LLC*
- *Mike Pedlow, EVP, Chief Compliance Officer, Kestra Financial, Inc.*
- *Christina Kramer, SVP, Compliance Officer, PFS Investments, Inc.*
- *Rob Molinari, Chief Regulatory Affairs Officer, Commonwealth Financial Network*
- *Moderator: Rob Dearman, Chief Innovation Officer, DCG Insight*

### **Next Generation of Fee-Based Advisors**

***Tagged for CEO, Compliance, HR, Investment Advisory Services, Marketing Growth & Development & Ops/Tech, Sponsored by BlackRock***

New financial advisors are challenging “business as usual” when it comes to technologies, policies, and pricing. Fee-based services are key to their approach, as new financial advisors engage differently, and their clients expect a different experience. Join this discussion of hot topics like enabling only Investment Advisor Representative (IAR) relationships, collaborative technology, subscription services, basing fees on income vs. assets under management, overlay solutions and more.

#### **Panel Includes:**

- *Kristen Kimmell, Head of Business Development, Advisor Group*
- *Michael Kim, President & Chief Client Officer, AssetMark, Inc.*
- *Tammy Robbins, EVP & Chief Business Development Officer, Cambridge Investment Research, Inc.*
- *Moderator: Jeffrey R. Hoenle, Chief Executive Officer & Co-Founder, Advanced Planning Educational Group, Inc.*



4:15 p.m. – 5:15 p.m.

### **GENERAL SESSION**

#### **CEO Panel: Building a Strong Foundation for 2022 & Beyond**

The past two years have been unlike any other. New challenges at seemingly every turn have also brought unique opportunities.

This panel of veteran industry CEOs will share reflections on maintaining resiliency and a sense of stability during this time of rapid change in the industry, the markets and the world. Gain insights into how to prepare your firm for the year ahead and discover how as an industry we can emerge stronger than ever from this time of transformation.

#### **Panel Includes:**

- *Alex David, President & CEO, Stifel Independent Advisors*
- *Doug Ketterer CEO and Founding Partner, Atria Wealth Solutions, Inc.*
- *Amy Webber, President & CEO, Cambridge Investment Research, Inc.*
- *Moderator: Ed Forst, President & CEO, Lincoln Investment*

5:15 p.m. – 6:30 p.m.

### **Networking Reception**

## **WEDNESDAY, FEBRUARY 2**

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.

- **CEO DISCUSSION\***,
- **COMPLIANCE DISCUSSION\***,
- **HR / OPERATIONS & TECHNOLOGY DISCUSSION\***,
- **INVESTMENT ADVISORY SERVICES DISCUSSION\***,
- **MARKETING, GROWTH & DEVELOPMENT DISCUSSION\***,

*\*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*

11:00 a.m.

### **Conference Adjourns**