

## Monday, September 20

11:00–1:00	<b>Registration with Buffet Lunch</b> <i>Sponsored by Wells Fargo (Ritz Carlton Ballroom Foyer)</i>
1:00–1:10	<b>Welcome Remarks</b> <i>(Ritz Carlton Ballroom)</i>
1:10–2:25	<p><b>What to Expect in 2011</b> How to move your practice into the next generation of retirement plan servicing.</p> <p>MODERATOR <b>Nevin Adams</b>, <i>Editor-in-Chief, PLANSPONSOR and PLANADVISER</i></p> <p>PANELIST <b>Denise Diana</b>, <i>Vice President, Middle Market Leader, The Hartford Retirement Plans Group</i> <b>Kenneth Cochrane</b>, <i>Managing Director, Pulse Logic</i> <b>Antonio Ferreira</b>, <i>Managing Director, Cogent Research, LLC</i> <b>Rick Wedge</b>, <i>Retirement Plan Practice Leader, Northgate Benefits/An NRP Member Firm</i></p>
2:25–2:55	<b>Coffee Break</b> <i>Sponsored by Diversified Investment Advisors (Ritz Carlton Ballroom Foyer)</i>
2:55–4:10	<p><b>Money Talks</b> Commission, flat-fee, asset- or participant-based. How you get paid might be more important than what you get paid. How advisers can justify their fees, what they need to be prepared to disclose, and what questions they should be prepared to answer.</p> <p>MODERATOR <b>Alison Cooke Mintzer</b>, <i>Executive Editor, PLANADVISER</i></p> <p>PANELIST <b>Doug Prince</b>, <i>Managing Director, Stifel Nicolaus</i> <b>Patrick Oberlander</b>, <i>Executive Director of Corporate Retirement Plans, UBS Financial Services Inc.</i> <b>David N. Levine</b>, <i>Principal, Groom Law Group Chartered</i> <b>James H. Williams</b>, <i>President, Financial Telesis, Inc.</i></p>
4:15–5:30	<p><b>Plan Sponsor Confidential</b> What do clients really think about advisers' services? How does an adviser add value to plans?</p> <p>MODERATOR <b>Nevin Adams</b>, <i>Editor-in-Chief, PLANSPONSOR and PLANADVISER</i></p> <p>PANELIST <b>Marion Wise</b>, <i>Finance Director, Southwinds Inc.</i> <b>Donnie Brown</b>, <i>Vice President, Human Resources, Tindall Corporation</i> <b>Darren Rieger</b>, <i>Director, Benefits, Itron, Inc.</i> <b>Christina Giese</b>, <i>Director, Retirement Plan Administration, Stage Stores Inc.</i></p>
5:30–7:00	<b>Cocktail Reception</b> <i>Sponsored by OppenheimerFunds (Exhibit Hall–Ritz Carlton Ballroom)</i>
7:00–9:00	<p><b>Dinner with Featured Speaker: John Heilemann</b> <i>(Ritz Carlton Ballroom)</i> A national political correspondent and columnist for <i>New York</i> magazine. He writes <i>The Power Grid</i> column for the magazine, as well as longer features. He is the co-author, with Mark Halperin, of the instant national best seller <i>Game Change: Obama and the Clintons, McCain and Palin, and the Race of a Lifetime</i>—the definitive account of the 2008 presidential election.</p> <p><i>Dinner sponsored by UBS Wealth Management</i> <i>Wine sponsored by CPI Qualified Plan Consultants, Inc.</i></p>
9:00–10:30	<b>After-Dinner Party</b> <i>Sponsored by JPMorgan (Citrus Garden)</i>

## Tuesday, September 21

7:00–8:30 **Breakfast & Exhibit Session** *Sponsored by Bank of America Merrill Lynch (Exhibit Hall–Ritz Carlton Ballroom)*

8:30–9:45 **Keeping Up with D.C.**  
What's happening at the DoL and in Congress? Hear about the goings-on in Washington for the retirement plan industry.

MODERATOR

**Alison Cooke Mintzer**, *Executive Editor, PLANADVISER*

PANELIST

**Marcia Wagner**, *President, The Wagner Law Group PC*  
**Roberta J. Ufford**, *Principal, Groom Law Group, Chartered*  
**Jason K. Bortz**, *Partner, Davis & Harman LLC*

9:45–10:15 **Coffee Break & Exhibit Session** *Sponsored by Diversified Investment Advisors (Exhibit Hall–Ritz Carlton Ballroom)*

10:15–11:05 **PANEL 1**  
**Technology and the Modern Adviser**  
How to use social media, such as LinkedIn, Twitter, and blogs to better promote yourself and your practice.

MODERATOR

**Jaime Benedetti**, *Owner/Financial Advisor, Benedetti, Gucer & Associates (Ameriprise)*

PANELIST

**Jim Stueve**, *President, Ridgeworth Investments*  
**John C. Stone, III**, *Founder and President, Revenue Architects*  
**T Henry Yoshida**, *Retirement Plan Advisor, The Maresh Yoshida 401k Group*

**PANEL 2**  
**Target-Date Funds: Not Created Equal**  
What to do about the disparities in opinions about glide-path creation, fund construction, active vs. passive management, fees, and open vs. closed architecture in target-date funds.

MODERATOR

**Steve Dimitriou**, *Managing Partner, Mayflower Advisors, LLC*

PANELIST

**Lynn Avitabile**, *Managing Director, Global Asset Group, J.P. Morgan Asset Management*  
**Rich Weiss**, *Sr. VP and Sr. Portfolio Manager, American Century Investments*  
**Jerome Clark**, *Vice President, Portfolio Manager, T. Rowe Price Retirement Funds*

**PANEL 3**  
**Hidden Traps of ERISA**  
What are the most common pitfalls advisers encounter in trying to comply with the Employee Retirement Income Security Act?

MODERATOR

**Timothy J. Dougherty**, *President, Wealth Advocate LLC, a member firm of Retirement Plan Advisory Group*

PANELIST

**Attila Toth**, *Principal, Portfolio Evaluations*  
**Robert Kaplan**, *VP, National Training Consultant, ING*  
**Peter Welsh**, *VP, Product and Marketing Strategy, OneAmerica*

Tuesday, September 21 *continued*

<p>11:10–12:00</p>	<p><b>PANEL 1</b> <b>Moving Beyond Mutual Funds</b> What is the future of investment alternatives in retirement plans? For which clients are these options available? How can you help make options, including ETFs and collective trusts, work for your clients?</p> <p>MODERATOR <b>John B. Mott</b>, <i>SVP, Investments, Corporate Client Group Director, Morgan Stanley Smith Barney LLC</i></p> <p>PANELIST <b>Dana R. Hartwell</b>, <i>Senior Vice President, Natixis Global Associates</i> <b>Greg Porteous</b>, <i>Director, iShares 401(k) Sales, BlackRock</i> <b>Reno Regalbuto</b>, <i>Vice President, Sales, TD AMERITRADE Institutional</i></p>	<p><b>PANEL 2</b> <b>Battle Lines?</b> How to work with your B/D's compliance department.</p> <p>MODERATOR <b>Craig Stanley</b>, <i>Director of Retirement Plan Services, Summit Group of Virginia</i></p> <p>PANELIST <b>John Barry</b>, <i>Principal, JMB Wealth Management, Inc.</i> <b>Michael M. Kane</b>, <i>President, Michael M. Kane and Associates/ An NRP Member Firm</i> <b>Christopher Dubie</b>, <i>Senior Vice President, Corporate Client Group Director, Morgan Stanley Smith Barney</i></p>	<p><b>PANEL 3</b> <b>The 403(b) State</b> Now that plans have to be in compliance, what's going on in the 403(b) world? Learn what frequent mistakes experts see in advising these plans and how you can help plans fix them.</p> <p>MODERATOR <b>David Hinderstein</b>, <i>President, Strategic Retirement Group, Inc./ An NRP Member Firm</i></p> <p>PANELIST <b>David Ray</b>, <i>Vice President, Strategic Sales, TIAA-CREF</i> <b>Vince Rainforth</b>, <i>VP, Business Development—Tax Exempt Market, Principal Financial Group</i> <b>Ryan Gardner</b>, <i>Principal, Fiduciary Investment Advisors</i> <b>Jewell Lim Esposito, Esq.</b>, <i>Partner, Constangy, Brooks, &amp; Smith</i></p>
<p>12:00–1:30</p>	<p><b>Lunch &amp; Exhibit Session</b> <i>Sponsored by The Newport Group (Exhibit Hall—Ritz Carlton Ballroom)</i></p>		
<p>1:30–2:15</p>	<p><b>Participant Readiness, Plan Health, and You</b> <i>(Ritz Carlton Ballroom)</i> How to leverage provider resources and strategies to help plan participants achieve a successful retirement outcome—and prove your own value in the process.</p> <p>FEATURED SPEAKER <b>Elaine A. Sarsynski</b>, <i>EVP, MassMutual's Retirement Services Division, Chairman and Chief Executive Officer, MassMutual International, LLC</i></p>		

## Tuesday, September 21 *continued*

2:25–3:15

### PANEL 1

#### Breaking it Down

One way to connect better with varied participant groups is by targeting plan demographics. What works and what doesn't, and how you can leverage providers to connect with various audiences.

#### MODERATOR

**Paul D'Aiutolo**, *ERISA Consultant*, UBS Financial Services, Inc.

#### PANELIST

**Chris Augelli**, *VP, Alliance Programs & Business Development*, ADP Retirement Services

**Kris Gates**, *AVP, Participant and Interactive Marketing*, MassMutual Retirement Services

**Sheri Fitts**, *Director Communications and Large Plan Sales*, The Standard

### PANEL 2

#### ERISA 408(b)(2) Regulations

The proposed amendments to Section 408(b)(2) require service providers to disclose their fees and any potential conflicts of interest in writing—in some cases, advisers would be considered service providers. What does this mean for your practice?

#### MODERATOR

**Dorann Cafaro**, *General Partner*, Cafaro Greenleaf

#### PANELIST

**Gisele M. Sutherland**, *VP & Associate General Counsel*, M&I Institutional Trust Services

**Don Jones**, *Regional Vice President*, Nationwide Financial

**Jason C. Roberts**, *Partner*, Reish and Reicher

### PANEL 3

#### Rolling Over

The rollover market is expected to be the fastest growing segment of the retirement industry. Do you, as a retirement plan adviser, want to get involved? How do you cross-sell? How can you capture those rollovers? Should you outsource to an IRA provider? Are there fiduciary issues if you are a plan-level fiduciary and advise participants to roll their money out of the plan?

#### MODERATOR

**Richard B. Curtin**, *President*, The Lynn Advisory Group, LLC

#### PANELIST

**Jonathan P. Murray**, *Senior Vice President, Investments*, The Murray Group

**Richard Schooley**, *Vice President*, Morgan Stanley Smith Barney

**Don Holt**, *Vice President*, Payden Retirement Services Group

3:15–3:45

**Coffee Break & Exhibit Session** Sponsored by Diversified Investment Advisors (Exhibit Hall—Ritz Carlton Ballroom)

3:45–4:35

### PANEL 1

#### Let's Make a Deal

How to price your fees for service.

#### MODERATOR

**Tim Black**, *Sr. VP*, Mosse & Mosse Associates

#### PANELIST

**Barbara Delaney**, *Principal*, StoneStreet Equity, Inc. / An NRP Member Firm

**Lucas Barton**, *Partner–Vice President*, Lockton Investment Advisors, LLC

**Adrian Hodge**, *Senior Vice President, Retirement Sales*, Fidelity Investments Institutional Services Company

### PANEL 2

#### Retirement Income— The Next Generation

The latest generation of retirement income. Is guaranteed income the only option for retirement income? Learn about the new guaranteed income products, as well as mutual funds making waves in this space. Discuss the pros and cons of various retirement income solutions.

#### MODERATOR

**Michele Suriano**, *President*, Castle Rock Investment Company

#### PANELIST

**George Revoir**, *Senior Vice President, Distribution*, John Hancock Financial Services

**Frederick Conley**, *Vice President*, Goldman Sachs Asset Management

**James A. Lyday**, *Senior Vice President, Distribution Secure Retirement Solutions*, Prudential Retirement

### PANEL 3

#### Deferred Gratification

Making nonqualified deferred compensation plans part of your sales offerings. Hear about common challenges in working with these plans and how to avoid them.

#### MODERATOR

**Michael Kozemchak**, *Managing Director*, Institutional Investment Consulting / An NRP Member Firm

#### PANELIST

**Jeff McCarthy**, *EVP*, American Financial Systems, Inc.

**Kenneth A. Dayton**, *Regional Director*, The Newport Group

**James M. Clary**, *President*, MullinTBG, A Prudential Company

## Tuesday, September 21 *continued*

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4:40–5:30	<p><b>PANEL 1</b> <b>Getting the Word Out</b> How to create, manage, and audit your brand.</p> <p>MODERATOR <b>Michael E. Goss</b>, <i>Executive Vice President</i>, Fiduciary Investment Advisors, LLC</p> <p>PANELIST <b>Michael Maresh</b>, <i>Financial Advisor</i>, The Maresh Yoshida 401k Group <b>C. Todd Lacey</b>, <i>President</i>, The (k)larity Group / An NRP Member Firm <b>Gary Weuve</b>, <i>Practice Management Consultant</i>, CPI Qualified Plan Consultants, Inc.</p>	<p><b>PANEL 2</b> <b>Building a Better RFP/RFI</b> How to ask better questions—and get better answers.</p> <p>MODERATOR <b>Chad A. Larsen</b>, <i>President</i>, Moreton Retirement Partners/ An NRP Member Firm</p> <p>PANELIST <b>Michael Kozemchak</b>, <i>Managing Director</i>, Institutional Investment Consulting / An NRP Member Firm <b>Phil Senderowitz</b>, <i>Senior Plan Consultant</i>, 401(k) Advisors <b>Matthew A. Savage</b>, <i>Senior Business Development Manager</i>, Strategic Insight</p>	<p><b>PANEL 3</b> <b>Target-Date Funds: Construction Zone</b> What are the trends in open-architecture fund selection in target-date funds? What options are there for customization, and at what plan sizes are these available?</p> <p>MODERATOR <b>Brett Howell</b>, <i>Wealth Management Advisor</i>, The Howell &amp; Sharp Group at Merrill Lynch</p> <p>PANELIST <b>L. Rita Fiumara</b>, <i>First Vice President</i>, Investments, UBS Financial Services <b>Phil Murphy</b>, <i>Senior Director</i>, S&amp;P Indices Channel Management &amp; Solutions Group, Standard &amp; Poor's <b>Joseph J. Masterson</b>, <i>SVP, Chief Sales and Marketing Officer</i>, Diversified Investment Advisors</p>
5:30–7:00	<p><b>Cocktail Reception</b> <i>Sponsored by The Hartford (Da Vinci Lawn &amp; Terrace)</i></p>		

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## Wednesday, September 22

7:00–8:30 **Breakfast & Exhibit Session** *Breakfast sponsored by Fidelity Investments (Exhibit Hall–Ritz Carlton Ballroom)*

8:30–9:20 **Insights From PLANADVISER Research**

PRESENTER

**Alison Cooke Mintzer**, *Executive Editor, PLANADVISER*

9:25–10:15 **Things You're (Probably) Doing Wrong as a Plan Adviser**

Common mistakes advisers make—in practice management and client service—sometimes without even knowing it.

MODERATOR

**Nevin Adams**, *Editor-in-Chief, PLANSPPONSOR and PLANADVISER*

PANELIST

**Melissa Cowan**, *Director and Program Manager, UBS DC Advisory Program*

**Rick Shoff**, *Managing Director, Advisor Support Group, CAPTRUST Financial Advisors*

**Bradford P. Campbell**, *of Counsel, Schiff Hardin LLP*

10:15–10:40 **Coffee Break & Exhibit Session** *Sponsored by Diversified Investment Advisors (Exhibit Hall–Ritz Carlton Ballroom)*

10:45–11:35 **PANEL 1**  
**Participant Education in the Age of Technology**

Learn how to use Webcasts, newsletters, and other online tools to your advantage and better connect with varied participant groups.

MODERATOR

**James Sampson**, *Managing Principal, Cornerstone Retirement Advisors*

PANELIST

**Mary Hollingsworth**, *Sr. VP, Director of Client Communications, Product and Business Support, Wells Fargo Institutional Retirement and Trust*

**Dale Magner**, *VP, Retirement Product Sales, Guardian Life Insurance Company*

**Kenneth Catanella**, *Senior Vice President, Investments, UBS Institutional Consulting – The Catanella Institutional Consulting Group*

**PANEL 2**  
**Team Building**

How do 401(k) adviser teams segment roles and responsibilities? Learn how some of the best teams are put together and how they delegate to deliver the best services to plan sponsors and participants.

MODERATOR

**David Altimont**, *Senior Vice President and Practice Leader, Dallas Office, Lockton Investment Advisors, LLC*

PANELIST

**Michael Brown**, *Partner, Retirement Plan Consultant, Clearpoint Financial / An NRP Member Firm*

**Vincent Morris**, *Vice President, Bukaty Companies / An NRP Member Firm*

**Tony Duggan**, *Wealth Management Advisor, Merrill Lynch*

11:40–12:30 **PANEL 1**  
**Managed Growth**

Setting growth expectations for your practice: How to expand your business regionally and nationally.

MODERATOR

**Troy Hammond**, *President & CEO, Pensionmark Retirement Group*

PANELIST

**Alex Assaley III**, *Lead Adviser, Corporate Retirement Plan, AFS Financial Group, LLC*

**David Boucher**, *SVP, Retirement Services, Longfellow Benefits*

**Mark Temple**, *Managing Director, National Retirement Partners*

**PANEL 2**  
**Planning Ahead**

Implementing a service plan and/or communications plan for servicing the needs of participants/sponsors.

MODERATOR

**Jason Chepenik**, *Managing Partner, Chepenik Financial/ An NRP Member Firm*

PANELIST

**Bruce Gsell**, *Managing Director, Investments, Merrill Lynch Wealth Management*

**Carlos Tocabens**, *Consultant, RetirementRx, Inc.*

**Paul Temple**, *VP of Retirement Sales, OppenheimerFunds*

12:30 **Lunch** *Sponsored by American Century Investments (Ritz Carlton Ballroom Foyer)*