



#### 2005 fi360 Conference - Santa Fe, NM

- Blaine's first day of work
- 95 people attended conference
- 1,000 Designees
- 100 Toolkit users
- 10 fi360 employees



### INSIGHTS 2014 - Nashville

- 500 attendees
- 6,500 Designees
- 3,000 Toolkit users
- 60 fi360 employees



# Serving Our Clients' Common Purpose

Gather, grow, and protect assets through better decision-making



# Promoting Professional Excellence

- Knowledge
  - Tools
  - Credibility



## Positioning for the Future

- Acquisitions
- Partnerships
- Leadership Team Additions
  - Marketplace Intelligence



### Acquisitions

#### **Financial Service Standards**

- Practice management and compliance resources for retirement plan professionals
- Includes the PPC training and designation
- Leadership team:



**Sharon Pivirotto** 



**Don Settina** 



### Acquisitions

#### **IPS AdvisorPro**

- Investment policy statement generation and management technology
- To be integrated with the fi360 technology platform later this year
- Leadership team:



Norm Boone



**Linda Lubitz Boone** 



### Acquisitions

#### Ann Schleck & Co.

- Practice management tools and services
- Includes research and technology, training and development, and branding and marketing
- Leadership team:



**Ann Schleck** 



Sue Kelly



### Strategic Partnerships

- Client Data Integration: Charles Schwab,
   TD Ameritrade Institutional, more to come
- Disclosure and Benchmarking Information:
   Castle Rock
- Fiduciary Implications of Financial Planning: FPA
- Due Diligence: MacroRisk



#### Green is Good!

- Exciting study results from G. Michael Phillips, Ph.D., James T. Chong, Ph.D., and William P. Jennings, Ph.D.
- On average, the 5-year total return of fi360 "green" funds was 365 basis points higher than fi360 "red" funds.
- Expanding relationship with Macro Risk





#### Ken Robb - CTO

- Joined fi360 in April 2013
- 20 years of IT management experience, overseeing more than \$1 billion in IT assets
- Master's in economics from Indiana
   State; bachelor's in business
   administration from University of Dayton



#### **Bob DiMaggio – CPO**

- Joined fi360 in May 2013 as VP,
   Integration & Data Analytics
- Entrepreneurial and data management experience
- MBA from Carnegie Mellon; Bachelor's in electrical and computer engineering







#### **Bill Mueller - CFO**

- Joined fi360 in April 2014
- More than 10 years experience directing accounting and finance operations
- MBA from the Wharton School at the University of Pennsylvania; bachelor's degree from University of Notre Dame



#### **Matt Wolniewicz – CRO**

- Joined fi360 in April 2014
- Formerly Head of Sales, Global Advisor and Wealth Management Solutions at Morningstar
- Nearly 25 years experience in sales, including with Travelex and Pitney Bowes





### Marketplace Intelligence

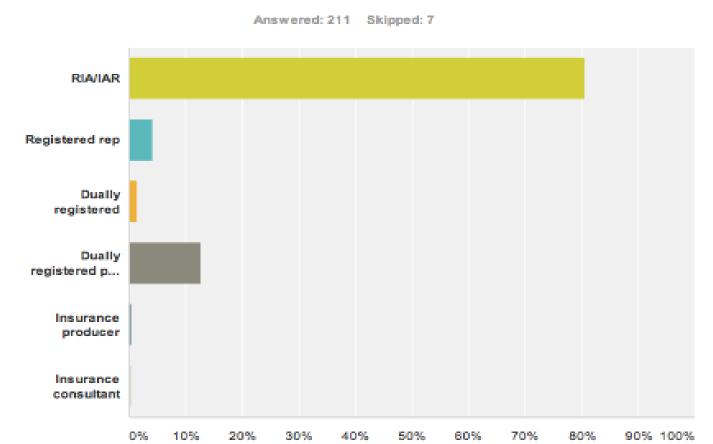
- Regulatory Environment
  - SEC: Stymied
  - DOL: Determined
  - FINRA: Fascinating
- Competitive Environment
  - Strong fiduciary-oriented trend underway
  - Marketplace differentiation will be key



- •Since 2011, survey of advisors, registered reps, dual registrants
- •Tracking attitudes about fiduciary issues for financial professionals who work with individual investors
- Terrific support already; streamlined survey takes 5-10 minutes
- In 2013 broader participation, insurance consultants and producers; encouraging more participation by registered reps.
- •Findings cited / included in analyses by Members of Congress, DOL, CFPB, AARP and media.
- Invite everyone here to participate and invite your professional network of colleagues to participate as well



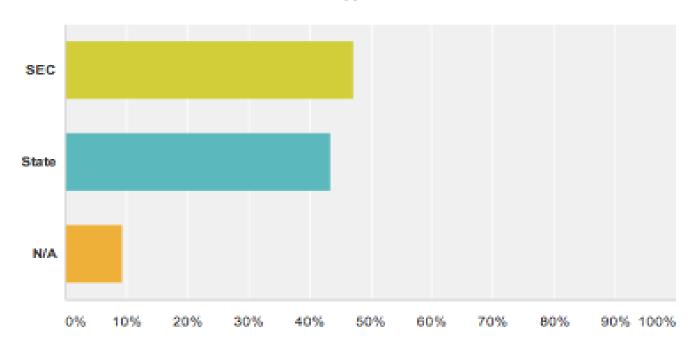
#### Q1 How are you currently registered?





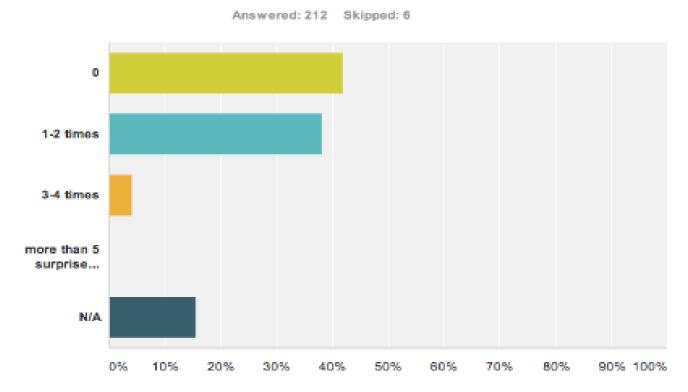
#### Q2 If you are affiliated with an RIA, is it a State or SEC-registered firm?





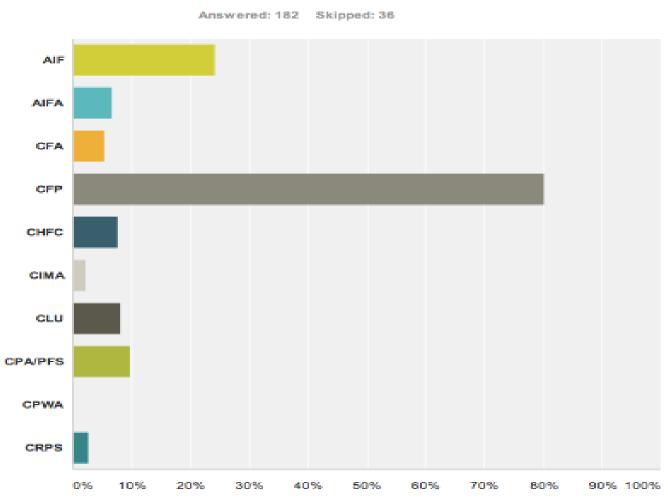


Q3 If you are affiliated with an RIA, how many times in the last 10 years has your office been subject to surprise inspections by your regulator?



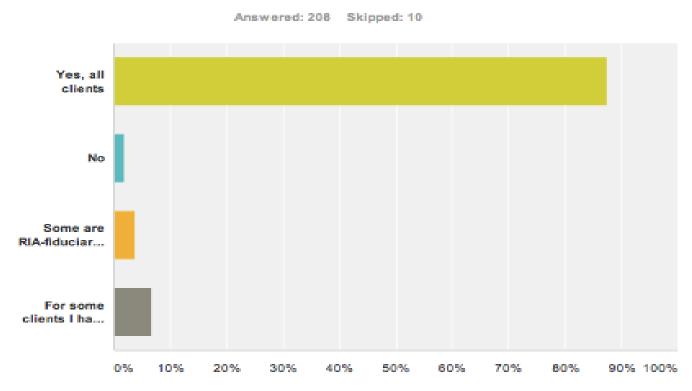


#### Q7 Which designations do you hold?





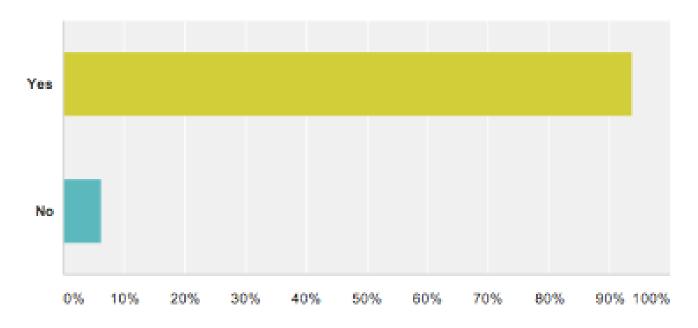
#### Q18 Do you have a fiduciary relationship with your clients?





#### Q22 Do you believe there needs to be clearer differentiation between product providers and advice providers?

Answered: 209 Skipped: 9





- Almost 90% say it does not cost investors more to work with fiduciaries than brokers
- 81% say a fiduciary standard of care would not price some investors out of the market for advice
- 75% say a fiduciary duty for brokers would not reduce product or service choice for investors



- 73%\* (61% in 2012) agree with the Labor Department's plan to expand the number of advisors who are considered fiduciaries under ERISA
- 77% (72% in 2013) say the same fiduciary standard that applies to 401(k) plans should apply to IRA accounts
- 86% say the fiduciary standard should apply to advice on rollovers from 401(k) to IRA accounts



Thank you!



### **Article Competition**

#### Winning Article:

- Leaving Your 401(k) Past Behind -- Concerns Over Terminated Participants With An Account Balance by Robert Leahy, AIF
- Robert has won \$1,000 and his article will be published soon in RIA Biz.
- Go to <u>www.fi360.com/articlecompetition</u> to view all of this year's entries.