

fi360 Conference Agenda

May 4 – 6, 2011 | JW Marriott Hill Country Resort and Spa | San Antonio, TX

www.fi360.com/conference

Industry experts and influencers, forward thinking fiduciary-focused topics, and networking opportunities with progressive, dedicated professionals leading the way in fiduciary best practices: A conference experience you can't find anywhere else!

Conference Highlights:

The fi360 Conference provides you with an educational and networking experience unlike any other in the industry, including:

- 34 unique fiduciary-focused sessions featuring 43 individual speakers covering a broad range of topics that is sure to have something for everyone
- Fulfillment of continuing education requirements for the AIF® and AIFA® designations and up to 12 credit hours toward other industry credentials, including CFP®, CIMA, CIMC, CPA, and others
- Networking opportunities with industry professionals at the forefront of fiduciary excellence, including investment advisors, broker/dealers, financial planners, accountants, attorneys, and others
- Pre- and post-conference Training, Tools, and networking events

Conference Overview (all times CDT):

Monday, May 2 – Wednesday, May 4, pre-conference events:

In addition to the conference, fi360 is hosting pre-conference Accredited Investment Fiduciary® (AIF®) and Accredited Investment Fiduciary Analyst® (AIFA™) Designation programs and two Toolkit training sessions. To learn more about these opportunities visit our website (www.fi360.com/conference) or contact Carl Becker at carl@fi360.com or 866-390-5080 ext 228.

Wednesday, May 4:

The fi360 staff will be there to greet you during conference registration from 12:00 – 4:30 p.m. at the main registration desk located right outside of Cibolo Canyon Ballroom on Level 2 of the hotel. Then join us at the Welcome Reception from 5:00 – 6:30 p.m. for cocktails and light hors d'oeuvres on the event lawn just outside of the Crooked Branch lobby bar. Attendees are on their own for dinner.

Thursday, May 5:

Our continental breakfast and registration table for late check-ins will open at 7:00 a.m. The conference will begin with a Welcome and state of the industry address from fi360 leadership at 8:00 a.m., followed by a keynote session from Senator Christopher Dodd. The rest of the day provides the opportunity to choose from SIXTEEN break-out sessions. The day will end with a networking cocktail reception from 5:30 – 7:00 p.m., which will leave you plenty of time to explore the resort or head out to see the sites in San Antonio and enjoy a relaxing dinner with friends and colleagues.

Friday, May 6:

Friday's events will be very similar to Thursday. The continental breakfast will begin at 7:00 a.m. followed by a general session from Peter Elkind at 8:00 a.m. There will be SIXTEEN additional break-out sessions to choose from. The conference will conclude at 4:00 p.m.

Saturday, May 7, post-conference event:

Fi360 will be hosting the second ever Fiduciaries on the Fairways golf outing, to be held at the resort on the AT&T Oaks course, home of the Valero Texas Open. To learn more about this excellent opportunity to play a members-only TPC golf course while networking with your peers and fi360 staff, visit our website or contact us directly.

You can find information about fi360's all-things-fiduciary week on our website – www.fi360.com/conference. You can also contact the fi360 team directly with questions via email (conference@fi360.com) or call us at 1.866.390.5080 ext 226.

Monday				
May 2, 2011		TIME	EVENT	LOCATION
	8:00 - 5:00	AIFA Designation Training Program, Day 1		Cibolo Canyon 8

Tuesday				
May 3, 2011		TIME	EVENT	LOCATION
	8:00 - 5:00	AIFA Designation Training Program, Day 2		Cibolo Canyon 8
	1:00 - 5:30	AIF Designation Training Program, Day 1		Cibolo Canyon 9

Wednesday				
May 4, 2011		TIME	EVENT	LOCATION
	8:00 - 5:00	AIFA Designation Training Program, Day 3		Cibolo Canyon 8
	8:00 - 12:00	AIF Designation Training Program, Day 2		Cibolo Canyon 9
	1:00 - 3:00	fi360 Toolkit Session – Getting Started		Cibolo Canyon 9
	3:00 - 5:00	fi360 Toolkit Session – What's New		Cibolo Canyon 9
	12:00 - 4:30	Conference Registration		Registration Desk (Level 2)
	5:00 – 6:30	Welcome Cocktail Reception		Event Lawn 2 (outside Crooked Branch lobby bar)

Thursday					
May 5, 2011		TIME	EVENT	SPEAKER	LOCATION
	7:00 - 8:00	Continental Breakfast			Cibolo Canyon 6 & 7
	8:00 - 8:45	Welcome and state of the industry address		Blaine Aikin, AIFA Rich Lynch, AIFA	Grand Oaks Salon K
	8:45 - 10:15	Business, the Economy and Washington: A Look at Dodd-Frank's Impact on America		Senator Christopher Dodd	Grand Oaks Salon K
	10:15 - 10:30	Break			
	10:30 - 11:45	What are the specific fiduciary duties of those providing financial and investment advice to retail consumers		Ron Rhoades	Grand Oaks Salon K
		A Fiduciary's Challenge: Practical Advice for an Industry in Transition		Jim Patrick Michael Koffler	Cibolo Canyon 5
		Multiple Employer Plans: An institutional-level fiduciary and administrative solution for the smaller end of the 401(k) market		Terrance Power, AIFA Scott Pritchard, AIFA Mike Montgomery, AIF	Grand Oaks Salon N
		Sharia Investing: A very brief introduction to Islamic Finance		David Upton, AIFA	Grand Oaks Salon Q

12:00-1:15	Lunch		Cibolo Canyon 6 & 7
1:30 - 2:30	408(b)(2) Disclosures and Agreements	Fred Reish, AIFA	Grand Oaks Salon K
	Selling Yourself. Utilizing fi360, CEFEX & Your AIF®/AIFA® Designation to Win New Business	Katie Umile, AIFA	Cibolo Canyon 5
	Transitioning to the Fiduciary Standard from the Suitability Standard	Kevin Mahoney, AIFA	Grand Oaks Salon N
	fi360 Toolkit - Producing highly customizable reports with the new Report Template Editor	fi360 Tools Team	Grand Oaks Salon Q
2:45 - 3:45	Leveraging the Level 2 CAFE to Generate Consulting Business and CEFEX Certifications	Carlos Panksep Scott Reed, AIFA	Grand Oaks Salon K
	Value Standards: The Next Logical Step for our Industry	Tom Kmak	Cibolo Canyon 5
	Developing and Implementing Appropriate Investment Policy for Trusts, Sub-Trusts and Endowments	Liza Horvath, AIF	Grand Oaks Salon N
	Update on the Fiduciary Standard	Knut Rostad, AIF Bob Clark	Grand Oaks Salon Q
3:45 - 4:15	Break		
4:15 - 5:15	Self-Regulatory Organization for Investment Advisers	Mercer Bullard, AIF	Grand Oaks Salon K
	Understanding and Utilizing Computer Based Retirement Plan Participant Investment Advice	Stephen Lansing Peter Gulia	Cibolo Canyon 5
	Affirmative Fiduciary Liability Coverage and ERISA Bonding	Gary Sutherland Marcia Wagner	Grand Oaks Salon N
	fi360 Toolkit - Building, Analyzing, and Utilizing Models	fi360 Tools Team	Grand Oaks Salon Q
5:30-7:00	Networking Reception		Event Lawn 1 (near Sunday House)

Friday				
May 6, 2011				
	TIME	EVENT	SPEAKER	LOCATION
	7:00 – 8:00	Continental Breakfast		Cibolo Canyon 6 & 7
	8:00 – 8:15	The Tamar Frankel Fiduciary of the Year Award Presentation	Knut Rostad, AIF	Grand Oaks Salon K
	8:15 - 9:15	Business Ethics and Washington Regulation	Peter Elkind	Grand Oaks Salon K
	9:30 - 10:45	The New Form ADV, Part 2 Disclosure Requirements: How they relate to your investment strategies and product due diligence	Ron Rhoades	Grand Oaks Salon K
		Moving beyond target-date investing. Professionally managed 401(k) plans are the answer.	Jim McMichael Greg Kasten, AIFA	Cibolo Canyon 5
		What is your Professional Code of Ethics, and do you have the moral courage to adhere to it?	Mark Mensack, AIFA	Grand Oaks Salon N
		Clients and Patients: Informed Decisions, Informed Consent, and the Presentation of Financial Plans	Johann Klaassen, AIF	Grand Oaks Salon Q

10:45 - 11:00	Break		
11:00 - 12:00	The New Fiduciary Proposal and Its Consequences	Fred Reish, AIFA	Grand Oaks Salon K
	The <i>Art</i> of Economic Forecasting & the US Economic Outlook	Jeff Cleveland	Cibolo Canyon 5
	The World Inside the CAFE	Ed Lynch, AIFA Lynne McAuley, AIFA Don Jones, AIFA	Grand Oaks Salon N
	fi360 Toolkit - Tracking historical client and investment data	fi360 Tools Team	Grand Oaks Salon Q
12:15-1:30	Lunch		Cibolo Canyon 6 & 7
1:45 - 2:45	Lobbying for Fiduciary Principles, or, Stories about Sausage Making	Duane Thompson, AIF	Grand Oaks Salon K
	Get a Black Belt in Marketing: How to Avoid the Top 10 Pitfalls for Successful Marketing	Barbara Lewis	Cibolo Canyon 5
	Exploring the Cost of Socially Responsible Investing	David Blanchett, AIFA	Grand Oaks Salon N
	Prudent Practices Applied	Don Settina, AIFA Sharon Pivrotto, AIF Mario Giganti, AIFA Karen Matingou, AIFA	Grand Oaks Salon Q
3:00 - 4:00	Regaining Clarity During Regulatory Instability	Dan Bernstein	Grand Oaks Salon K
	Helping Your Client Know How DOL Thinks	Ed Lynch, AIFA Lynne McAuley, AIFA Don Jones, AIFA	Cibolo Canyon 5
	Fiduciary Responsibilities in Target Date Fund Investing	Ron Surz	Grand Oaks Salon N
	fi360 Toolkit -Creating, managing and documenting a Custom Due Diligence process	fi360 Tools Team	Grand Oaks Salon Q
4:00	Conference adjourns		

Saturday			
May 7, 2011		TIME	EVENT
			LOCATION
	8:00	Fiduciaries on the Fairways Golf Outing	AT & T Oaks TPC Course at the JW Marriott Hill Country Resort