



INSIGHTS

Speaker Biography

Duane Thompson, AIFA®

Duane Thompson is president of Potomac Strategies LLC, a legislative and media relations consulting firm in the Washington, D.C. area. He also serves as Senior Policy Analyst at fi360. Previously he was managing director of the Financial Planning Association's Washington office.

Thompson has 20 years of experience lobbying on business issues in both Washington and more than two dozen state capitals around the country. As FPA's chief lobbyist, Duane was responsible for developing and managing a combined lobbying, public relations and litigation campaign that successfully challenged the SEC's controversial "Merrill Lynch" rule. The rule created a loophole in securities regulation that Wall Street exploited for seven years by allowing stockbrokers to compete on an unlevel playing field with financial planners in providing fee-based advisory services. A federal appeals court agreed with FPA and overturned the rule in 2007, requiring investment banks to transfer some \$300 billion in 1 million brokerage accounts to the fiduciary protections of adviser regulation. Before joining FPA, Thompson worked for the International Franchise Association, primarily on state legislative issues. Previous to that he worked on congressional staff as a press secretary and in the Reagan White House press office.

Thompson holds the Accredited Investment Fiduciary® designation, a Master's in journalism from the University of Missouri, and a Bachelor of Arts in history and studio art from Principia College in Illinois. He resides in Kensington, Maryland, with his two children.





INSIGHTS

Speaker Biography

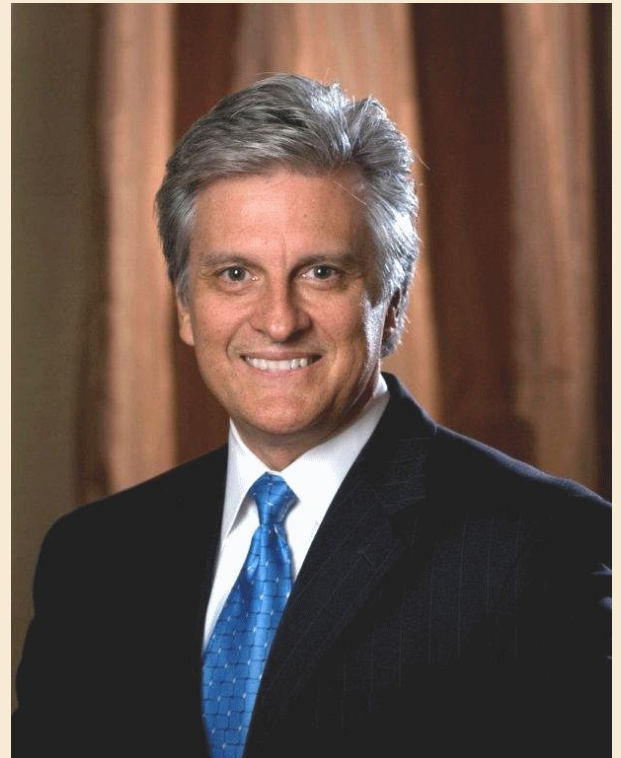
Al Otto, AIFA®

Al Otto, AIFA® is a Principal with Shepherd Kaplan, leading the firm's Atlanta Office. He is a nationally recognized author, speaker, expert witness and thought leader in the retirement plan industry. Over the last 30 years, Al's success has been built on high integrity, strong stewardship, transparency and prudent guidance for his clients. He works primarily with large market firms providing fiduciary guidance on their retirement plans.

Listed by 401(k) Wire for five years as one of the Industry's Most Influential Individuals, he is a champion of full disclosure, and believes that advisors can best serve their clients as an independent fiduciary. Over the last two decades, He has directed and advised numerous plan committees for some of the country's leading private and public companies.

A frequent speaker and lecturer on retirement plan issues, he recently spoke to the Dallas Bar Association on "Liability Considerations Involving ERISA Fee Disclosures: The View from an Expert Witness." In addition, he has authored "Fee Transparency - The Gateway to Retirement Dignity for American Workers", "Fee Disclosure Forensics", "Will Default Turn into Your Fault?", and "401(k) Plan Fee Disclosures for Dummies," and "The Pros and Cons of Target Date Funds."

He earned his Bachelor of Science in Mechanical Engineering from Virginia Tech and was a President's Fellow at Georgia Tech. He is an Accredited Investment Fiduciary Analyst®. Al is also an avid Crossfit enthusiast and active member of CEO Netweavers. For over a decade he has provided financial counseling to members of his church, where he also supports other stewardship efforts.





INSIGHTS

Speaker Biography

W. Scott Simon

W. Scott Simon is a principal with Prudent Investor Advisors, LLC, a registered investment advisory firm, which is regulated by the U.S. Securities and Exchange Commission. The firm provides fiduciary investment services to qualified retirement plans such as 401(k) plans, 403(b) plans and 457(b) plans. Simon is an expert on the Uniform Prudent Investor Act and the Restatement 3rd of Trusts (Prudent Investor Rule), and provides services as a consultant and expert witness on fiduciary investment issues in litigation and arbitrations. He is the author of two books: *The Prudent Investor Act: A Guide to Understanding and Index Mutual Funds: Profiting from an Investment Revolution*. Simon is a member of the State Bar of California, a Certified Financial Planner® and an ACCREDITED INVESTMENT FIDUCIARY ANALYST™. Since 2003, he has written a monthly column on fiduciary investment issues for Morningstar called *Fiduciary Focus*. Simon is the recipient of the 2012 Tamar Frankel Fiduciary of the Year Award.





INSIGHTS

Speaker Biography

Troy A. Doles

Troy Doles has been with Schlichter Bogard and Denton since 2006. Troy received his Bachelor's degree from Indiana University in 1992 and his Juris Doctorate from St. Louis University School of Law in 1996. He is licensed to practice law in Missouri and Illinois and is admitted to practice in multiple federal courts.

Troy has extensive experience in complex class action cases and complex commercial litigation, including Federal Court and Multi-District Litigation cases. He has been co-class counsel in multiple class actions against insurance companies and Fortune 500 companies. He has lectured to various national and state medical associations and state bar associations on various issues from ERISA compliance to health care reimbursement practices.

