2019 MMI
DISTRIBUTION LEADERSHIP FORUM

NOVEMBER 13, 2019
NEW YORK ATHLETIC CLUB

AGENDA

8:00 AM – 8:30 AM
Registration and Breakfast

8:30 AM – 8:45 AM
Opening Remarks

Arlen Oransky, Senior Vice President, Chief Membership and Programs Officer, Money Management Institute

Forum Co-Chairs:
Jeffrey D. Carlin, Senior Managing Director, Head of U.S. Retail Distribution, Nuveen
John Moninger, Managing Director, Retail Sales, Eaton Vance

8:45 AM – 9:45 AM
Opening Keynote Presentation: Five Industry Trends Reshaping Financial Advice
The recent rise of the "robo-advisor" has called into question the relevance of financial advisors and the viability of current financial advisor business models. Yet the reality is that the "disruption" of advisor practices by technology isn't new. It has happened repeatedly over the past several decades – forcing advisors to adapt and move up the value chain or be left behind.

In this session, Michael Kitces, noted industry commentator of Nerd's Eye View fame, looks at how technology is once again forcing major changes in advisor business models. This latest round of disruption is driving a great convergence across historically separate industry channels and triggering a crisis of differentiation, a search for new business models, and increased pressure to improve the client experience. And in the coming years, these trends will only be accelerated as the consumers of financial planning – and financial planners themselves – shift from Baby Boomers to the Gen X and Millennial generations who, as "digital natives," will expect and demand advisors to both leverage technology and add value on top!

Michael E. Kitces, Partner and Director of Wealth Management, Pinnacle Advisory Group; Co-Founder, XY Planning Network

9:45 AM – 10:45 AM
A Look at Effective Digital Marketing and Social Media Tools
In an era when we are increasingly deluged with electronic messages, digital marketing, and social media, learn what marketing efforts are working with advisors. In this session, you'll hear about effective tactics – including paper-based campaigns and customized, high-touch, scalable marketing – and how to use digital and social media tools professionally. Our panel will also share perspective on how compliance guidelines differ by firm and how to best navigate within the latitude you're given.

Moderator:
Brendan Finn, Director, Strategic Relationships, Artivest

Panelists:
Xan McGivney, Vice President, Senior Digital Marketing Automation Manager, Voya Investment Management
Sean Nelson, Director, Client and Partner Group, KKR
Chris Smirti, Regional Advisor Consultant, Putnam Investments

10:45 AM – 11:15 AM
Networking and Refreshment Break

11:15 AM – 12:15 PM
How to Leverage and Maximize the Value of Data
Hear how other wholesalers are leveraging data to increase their productivity. Whether you work for a large firm with a dedicated BI team to parse purchased data packs or you're at a smaller firm with fewer resources, this session will showcase different approaches to make best use of the data available to you. Learn how successful firms are segmenting data and putting in into practice. Our panel will share insights on who owns, processes and communicates data in their respective firms and, more importantly, how that data can create sales opportunities for you.

Moderator:
Jeff Robinson, Associate Director, Digital Sales and Service, Russell Investments

Panelists:
Mark Smith, Executive Director, Investment Solutions/Relationship Management Group, Morgan Stanley Wealth Management
Mike Tran, Sales Enablement Strategist, Amundi Pioneer
Jamie Weinstein, Data and Systems Manager, Distribution Intelligence and Sales Enablement, Delaware Funds by Macquarie

12:15 PM – 1:20 PM
Networking Luncheon

1:20 PM – 1:30 PM
The Demise of Wholesaling: Myth or Fact?

Speaker:
Matt Schiffman, Principal – Distribution Insight, Broadridge Financial Solutions, Inc.

1:30 PM – 2:30 PM
How Centralized Decision-Making is Changing the Rules
As advisor practices become larger, they are becoming simultaneously more complex, and the proliferation of aggregators and super OSJs is changing the game for wholesalers. On one hand, advisors likely still expect the same level of support, despite changing their business model or affiliation. On the other, in the face of increased specialization and centralized decision-making power, distribution firms must figure out how to

effectively approach and service these big teams. This session will home in on the requirements for successful sales management in a centralized environment – and how your approach may need to differ by channel.

Moderator:
Mark Najarian, Global Head of Consultant Relations & Professional Buyers, American Century Investments

Panelists:
Chris Arthur, Director, Portfolio Strategy Consulting, Eaton Vance
Ryan Keating, Vice President, Account Manager, Private Client Group, PIMCO
Matt Koth, Head of U.S. Platform Development, Russell Investments

2:30 PM – 3:30 PM
Working with Internal and External Partners
As a wholesaler, choosing when and where to bring in the right partner can make all the difference in the outcome. In this session, hear from wholesalers and internals who collaborate successfully with their national accounts or strategic accounts groups, as well as those who tap specialists. You'll learn how to best leverage portfolio specialists, CPMs, and DC specialists and make the best use of their time. This panel will also address how a wholesaler's communications, tools, and approach must change when a team is being deployed against a territory rather than a single salesperson.

Moderator:
Jeffrey D. Carlin, Senior Managing Director, Head of U.S. Retail Distribution, Nuveen

Panelists:
Jim Brick, Vice President, Senior Strategic Relationship Manager, RBC Wealth Management
Ira Cox, Senior Vice President, Amundi Pioneer
Dan Noonan, Executive Vice President, Head of U.S. Global Wealth Management ETF Sales, PIMCO

3:30 PM – 3:45 PM
Networking and Refreshment Break

3:45 PM – 4:45 PM
Helping Advisors Drive Growth: What Works?
It goes without saying that helping advisors drive revenue growth within their practices is key to wholesaler success. In this session, learn strategies to add value for advisors with different areas of focus and business models. Of course, just as important as bringing something of value to the table is identifying those advisors who will apply the idea or tool and follow through. So, this session will also share tips on finding the right advisors, including how to leverage internal resources – such as lending, estate planning and insurance specialists – to uncover opportunities.

Moderator:
John Moninger, Managing Director, Retail Sales, Eaton Vance

Panelists:
Rachel Bertsch, Vice President, Portfolio Strategist, Investment Solutions Group, Merrill Lynch
Barry Motz, Director, Relationship Management Group, Lord Abbett
Steven Pogorelec, Senior Vice President, External Advisor Consultant, PIMCO

4:45 PM
Closing Remarks
Forum Co-Chairs:
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John Moninger, Managing Director, Retail Sales, Eaton Vance