# 2022 MMI Distribution Leadership Forum

# Agenda

**NOVEMBER 9-10**
**DIMENSIONAL FUND ADVISORS**
**CHARLOTTE, NC**

#MMIDistribution

## Wednesday, November 9

**11:00AM-11:15AM**

Welcome & Opening Remarks

Arlen Oransky, Executive Vice President, Chief Membership Office, MMI

Forum Co-Chairs:
Amanda Harwood, Head, Practice Management, BMO Private Wealth
Melissa Roe, Senior Vice President, Division Manager, Capital Group

**11:15AM-12:00PM**

Leadership Perspective: The Evolving Distribution Landscape
To kick off the Forum, hear from some of the most influential women leaders in distribution today. Learn how they are thinking about the distribution landscape and the impacts of new forces like FinTech, e-adoption, and change management. These thought leaders will also share personal career stories that will inspire and provide insight on ways to advance your professional growth and success.

Moderator:
Jason Bickler, Chief Distribution Officer of Individual Markets, Global Atlantic Financial Group

Panelists:
David Brown, Director, Wealth Planning Consultants, RBC Wealth Management
Terri Fiedler, President, Retirement Services, Corebridge Financial
Paula Nelson, Managing Director & Head of Growth Strategy, Global Atlantic Financial Group

**12:00PM-12:15PM**

The Coming Supercycle: What's Next for Asset Managers?
Based on Broadridge's global investment research, new money coming into the industry is drying up. With organic growth rates hovering around 1%, the key factor driving growth going forward will be competition. This session examines how two asset manager cohorts – innovators and disruptors – with five-year CAGRs well above the average have driven growth and the lessons to be learned from their strategies. Embedded in the presentation is proprietary research supporting the makeup of the future investor base, their impact on advisors and their product preferences, and the implications for intermediary distribution models.

Ben Phillips, Head of Asset Management Global Advisory Services, Broadridge Financial Solutions

**12:15PM-1:00PM**

Making It All Work: Finding Your Personal Equilibrium
Finding the elusive balance between work, personal life, and professional development is a personal journey of trial and error for each of us. Today, the search has been further complicated by the ever-shifting rules of Return to Office and our new hybrid world. Hear from some of your sales professional counterparts how they are navigating the current challenges in the struggle to achieve work-life balance. Our

panel will share candid stories, lessons learned, and practical tips to "make it all work."

Moderator:
Leah Ryan, Advisor Practice Management Consultant, Capital Group

Panelists:
Carla Lurz, Client Engagement Manager, T. Rowe Price
Kirsten Pickens, Co-Head of US Distribution, FS Investments
Linda Sherman, Co-Founder, Financially Empowered

**1:00PM-2:00PM** Networking Luncheon

**2:00PM-2:45PM** Leveraging Time with Technology: Managing Productivity for a New World

Technology should make our lives better. But with the proliferation of information through different channels, it can cause stress, exhaustion, make us feel more disconnected, and even unproductive. This is especially true in a post-pandemic world, where for most, all day video calls have become the norm. Time is our most precious resource, and technology can be a powerful tool to help us manage time and, ultimately, help us accomplish more each day. This session provides updates on the latest technology, mobile apps, and helpful tips to improve your productivity, personal connections, and peace of mind – both at home and at work.

Tracy Roediger, Digital Distribution Lead, Macquarie Asset Management

**2:45PM-3:00PM** Networking Break

**3:00PM-3:45PM** Modernizing the Sales Process for Today's Wholesaling World

As sales professionals, we are all navigating the new reality of work-from-home, travel, and hybrid wholesaling. Digital marketing, data analytics, and technology tools are not new, but ask yourself whether you are really using them as effectively as you could – and should – in the post-COVID world. This session prompts you to step back and reexamine how you approach your business. You will gain fresh perspective and ideas to help you elevate your practice heading into year-end and the start of 2023.

Moderator:
Ryan Robertson, Managing Director, National Sales Manager, Co-Head of US Distribution, FS Investments

Panelists:
Scott Ellspermann, Head of Internal Sales, American Century Investments
Mike Reese, Chief Operating Officer, Distribution, FS Investments
Leah Swanson, Managing Director, Director of Strategic Relationships, Thornburg Investment Management

**3:45PM-4:45PM** Breakout Group Discussions: Elevating Your Business Plan
To cap day one, we'll adjourn into smaller discussion groups to unpack the day's sessions. This is a unique chance to share ideas, best practices, and challenges with your fellow distribution professionals. Gain fresh perspective and inspiration to take your business to a new level in 2023.

Moderators:
Scott Ellspermann, Head of Internal Sales, American Century Investments
Amanda Harwood, Head, Practice Management, BMO Private Wealth
Ryan Robertson, Managing Director, National Sales Manager, Co-Head of US Distribution, FS Investments

**5:00PM-6:00PM** Cocktails & Networking Reception

## Thursday, November 10

**8:00AM-8:45AM** Networking Breakfast

**8:45AM-9:30AM** Keynote Presentation: Getting Good at Getting Great
As a three-time entrepreneur with more than 30 years of sales expertise, Jeff Lietz brings vast knowledge and keen first-hand experience to helping firms build and tune their sales engines. He is passionate about helping individuals become both magnetic and unstoppable by building the knowledge, skill, and discipline of exceptional performers. Learn how to show up, stand out, and break through in every room, on every Zoom, on every day, and in every way.

Jeff Lietz, Principal Partner, Sales Engine

**9:30AM-9:45AM** Distribution & Innovation Effectiveness in Asset Management
The median asset manager pursues more than 10 product innovations at any given time. But are these ambitious innovation agendas effective, and are they yielding results? This session explores a Simon-Kucher study that reveals that many planned innovations do not align with client demands or fit with existing distribution sales infrastructures. Are managers' expansive innovation agendas creating a lack of focus and attention? And while most managers are confident in their distribution teams' abilities to win and retain client mandates, is such widespread confidence justified in a market with a widening gap between winners and losers?

Daniel Worthen, Senior Director, Simon-Kucher & Partners

**9:45AM-10:30AM** Building an Inclusive Practice: Unlocking the Value in Diversity
Growth is no longer just about acquiring AUM. As the population in need of financial advice grows and diversifies, so must the advisory teams that serve them. Both financial advisors and the sales professionals that support them need a clear plan to keep up with the shifting wealth demographics that will define their future clients. Learn how to build a team that can keep pace with increasingly complex wealth management

needs.

Topics include:

- Expanding your practice to serve a growing client base that mirrors the evolution of wealth in your community and beyond;
- Seeking opportunities to better understand the unique circumstances and challenges of different client demographics;
- Attracting and retaining a diverse group of employees – one that reflects the client base you want to serve tomorrow;
- Demonstrating diversity-by-association by working with open-minded COIs, organizations, and charitable entities; and
- Creating an inclusive environment that welcomes all team members, practice associates, and clients.

Moderator:
Joy Crenshaw, Senior Managing Director, Head of Global Sales & Advisor Development, Nuveen

Panelists:
Sabrina Brathwaite, Senior Financial Advisor, Vice President, Merrill Lynch
Gerty Simon, Regional Diversity Officer, Morgan Stanley
Rachna Velamati, Chief Diversity Officer, Heitman

**10:30AM-10:45AM** Networking Break

**10:45AM-11:30AM** Supporting Financial Advisors through Retirement

Being a trusted resource for advisors through each stage of their retirement journey can not only help you bring in assets but keep them post transition. Learn about critical pre-retirement considerations for the advisor such as finding the right successor, increasing valuation, and gathering assets through the transition phase. We'll also examine effective ways to stay front-of-mind with the successor during the transition and help maintain assets. Hint: consistency, messaging, and investment philosophy are keys. You'll hear directly from your peers how they have successfully supported retiring financial advisors and grown assets.

Moderator:
Amanda Harwood, Head, Practice Management, BMO Private Wealth

Panelists:
Jim Cotchett, Co-Head of National Accounts, First Eagle Investment Management
Tina Downing, Senior Director and Lead of AIS Business Solutions, Russell Investments
Catherine Williams, Vice President, Head of Practice Management, Dimensional Fund Advisors

**11:30AM-12:15PM**

Managing Large Teams: Coverage Models for Mega-Teams and RIA Roll-Ups

As advisor assets increasingly concentrate with mega-teams and RIA roll-up platforms, the investment gatekeeping process is becoming even more complicated. The relatively straightforward process of sales specialists connecting with individual advisors has been replaced with nearly unlimited combinations of analysis and input at the platform, model, practice, and advisor levels. This session explores optimal combinations of engagement, staffing, and support to establish and expand partnerships with mega-teams and RIA roll-ups.

Moderator:
Scott Smith, Director, Advice Relationships, Cerulli Associates

Panelists:
Scott Bosworth, Head of Enterprise Group, Dimensional Fund Advisors
Will Rockett, RIA and Family Office Distribution, Morgan Stanley
Susan Swink, Executive Director, Divisional Sales Manager, J.P. Morgan Asset Management

**12:15PM-12:30PM**

Four Disciplines of Execution: Creating a High-Performance Culture

Every year, organizations spend more than $30 billion on strategy creation – and more than 80% of those strategies fail. FranklinCovey's The 4 Disciplines of Execution® methodology provides a framework for organizations seeking to increase strategic execution by creating a culture of high performance. Learn a simple, repeatable formula to execute your most important priorities and stand out from the competition.

David Chorba, Managing Director, National Sales Manager, Delaware Funds by Macquarie

**12:30PM-1:15PM**

Starting the Conversation: Engaging Advisors in an Unsettled Market

The environment for engaging the best advisors has changed materially. As a sales organization or sales representative, what is the key to engaging and incenting action with top advisors? This session focuses on managing your practice during a sustained period of market volatility, rising rates, and other negative economic factors. Our panel will offer their expert point of view on whether advisors will come back to the office, the growth of super teams, the consolidation of practices, changing client preferences, and the volatile state of the markets. Hear how top sales representatives are finding, engaging, motivating, and winning new advisor relationships amidst these environmental changes and ever-shifting market conditions.

Moderator:
Phil Casparius, Senior Managing Director, Head of Global Financial Institutions, John Hancock Investments

Panelists:
Kelly Friis, Senior Regional Sales Director, Team Lead of Private Wealth & Advisory, Voya Investment Management
Michael Natale, Senior Vice President, Head of Intermediary Distribution,

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| | Northern Trust Asset Management<br>Vanessa Touma, Head of Client Experience Strategy and Digital Sales, Invesco US |
| **1:15PM-1:20PM** | Closing Remarks and Adjournment<br><br>Forum Co-Chairs:<br>Amanda Harwood, Head, Practice Management, BMO Private Wealth<br>Melissa Roe, Senior Vice President, Division Manager, Capital Group |