2023 MMI Emerging Asset Managers Forum

MAY 11–12 | DENVER, CO

AGENDA *(subject to change)*

Thursday May 11, 2023

9:30AM – 10:00AM
Registration & Networking

10:00AM – 10:15AM
Welcome & Opening Remarks

Arlen Oransky, Executive Vice President, Chief Membership Officer, Money Management Institute

Forum Co-Chairs:
Robbie Cannon, Founder, Board Member, Horizon Investments
Steven Carl, Principal, Chief Distribution Officer, Chairman of the Executive Committee, Madison Investments
Kirsten Pickens, Co-Head of U.S. Distribution, FS Investments
Mark Rewey, Director of Marketing & Business Development, Segall Bryant & Hamill

10:15AM – 11:00AM
The Aggregator Channel: What It Takes for Emerging Managers to Be Successful

For emerging managers, one of the best opportunities for growth is in the aggregator channel, but it is critical to understand the key elements for success in this arena. In this session, three of the fastest-growing aggregators in the industry discuss their structures, business models, and investment research frameworks. You will gain a clear understanding of their key products and the growth opportunities, as well as some of the principal trends and challenges facing their advisors today.

Moderator:
Gabriel Gavilanes, Executive Director, National Accounts – RIA Aggregators, FS Investments

Panelists:
Matthew Cooper, President, Beacon Pointe Advisors
Patrick McGowan, Managing Director, Head of Manager Research & Alternative Investments, Sanctuary Wealth

11:00AM – 12:00PM
Optimizing Your Sales Resources and Structure: Small-Group Discussions

In a world where more advisors are working remotely and are increasingly comfortable doing business electronically, how do you keep in front of them and be viewed as a valuable resource? From people and process to technology tools and modern techniques, a successful distribution strategy requires constant refinement of multiple inputs. Get ready to share your experience and perspective with your fellow attendees. Everything is on the table for this interactive session – from coverage models and effective use of data to the proper mix of internal, external and hybrid wholesalers and the role of key accounts.

12:00PM – 12:15PM
Refreshment & Networking Break

12:15PM – 1:15PM
Evaluating and Implementing New Product Structures: Making the Right Choices

Mutual funds, manager-traded separate accounts, model-delivered separate accounts, CITs, and various flavors of ETFs – emerging managers have more choices today than ever before of product structures and vehicles through which to deliver their portfolio management expertise. This session examines the advantages and disadvantages of different product structures, their appeal to retail and institutional allocators, and the ease and cost of launching them.

Moderator:
Bing Waldert, Managing Director, U.S. Research, Cerulli Associates

Panelists:
Bobby Brooks, President of RiverShares, RiverFront Investment Group
Steve Kyllo, Senior Vice President, Director and Chief Compliance Officer, SS&C ALPS
TBA

1:15PM – 2:15PM
Networking Luncheon

2:15PM – 3:00PM
To Outsource or Not to Outsource?

The opportunity exists for emerging managers to outsource virtually every aspect of their business except portfolio management. This session focuses on how to determine which functions to outsource and which to handle in-house. Our panel will discuss how allocators view a manager's decision to outsource various functions, best practices in vendor selection, and the risks and challenges of switching out an underperforming vendor.

Moderator:
Matt Caulfield, Chief Revenue Officer, Archer

Panelists:
Matt Harris, Associate Director, Asset & Wealth Management Consulting – North America, Alpha Financial Markets Consulting
Sara Levin, Director, ETF and Derivative Trading, WallachBeth Capital
Brent Nicks, Associate Director, Oyster Consulting, LLC

3:00PM – 4:00PM
Meet the Gatekeepers: Round Robin Session 1

Getting the time and attention of distribution gatekeepers can be tough. We're here to help! We're dedicating four hours over the two days of the Forum afternoon to highly interactive roundtable sessions that put you face-to-face with representatives from key firms across a range of distribution channels.

The small-group, round robin format allows you to:

- interact directly with knowledgeable decision makers across various channels,
- learn the best ways to engage with different platforms and add value to their efforts, and
- develop a roadmap and next steps to navigate specific distributors.

To provide maximum value and make efficient use of the available time, attendees are encouraged to submit questions for the platform representatives in advance of the session.

Wirehouse Channel:
Andrew Folsom, Senior Investment Analyst, Wells Fargo Investment Institute
Kristen Griffin, Head of Investment Manager Analysis, UBS
Anna Snider, Head of Due Diligence, CIO Office, Bank of America Merrill Lynch

National Channel:
Jason Hoody, Head of Investment Manager Research, LPL Financial
Johnny Suarez, Director, Manager Research, Asset Management Services, Raymond James
Aaron Hanson, Vice President, Manager – U.S. Due Diligence, Global Manager Research, RBC Wealth Management

TAMP Channel:
Zoe Brunson, Chief Investment Strategist, AssetMark
Brooks Friederich, Principal Director, Investment Solutions Strategy, Envestnet
Chris Hart, Head of Investment Due Diligence, Orion
Sharon Hughes, Director, Third Party Asset Manager Network, Morningstar

Multi-Channel:
Will Beck, Senior Vice President, Wilshire Associates
Cameron Cooke, Executive Vice President, Investment Consulting, HUB Retirement and Wealth Management
Rufat Garalov, Senior Investment Analyst, Transamerica Asset Management
Raani Varma, Senior Research Analyst, Investment Manager Research, Charles Schwab Investment Advisory

4:00PM – 4:15PM
Refreshment & Networking Break

4:15PM – 5:15PM
Meet the Gatekeepers: Round Robin Session 2

5:15PM – 6:30PM
Cocktail & Networking Reception

Friday May 12, 2023

7:30AM – 8:00AM
Networking Breakfast

8:00AM – 8:15AM
Welcome & MMI Emerging Manager Survey Results

Forum Co-Chair:
Robbie Cannon, Founder, Board Member, Horizon Investments

8:15AM – 9:15AM
Marketing Moves Center Stage

In today's digital world, larger asset managers are investing heavily in advisor segmentation and advisor-facing marketing. How can emerging managers effectively compete and use innovative marketing strategies to capture advisor mindshare? This session looks at the techniques, technologies, and systems that are critical to building a successful marketing effort. Learn how to create compelling content that stands out in a crowd, the critical role that third-party data can play, and how marketing and sales can work together to drive growth.

Moderator:
Mark Spina, President and Chief Revenue Officer, FLX Networks

Panelists:
Phil Edelstein, Founder, Substance Strategy & Creative
Azy Kiai, Senior Vice President, Marketing, U.S., White Marble Consulting
Cindy Knowlton, Director of Marketing, Segall Bryant & Hamill

9:15AM – 9:45AM
Perspective from the Trenches: Insights on Effective Platform Management

Getting your product roadmap right is critical for any emerging asset manager. Hear insights on effective platform development directly from one of your industry counterparts. You will gain perspective on key aspects of the process, including competitive landscape analysis, structure and pricing, and messaging of the platform framework.

Arne Noack, Head, Systematic Investment Solutions, Americas, DWS Group

9:45AM – 10:00AM
Refreshment & Networking Break

10:00AM – 11:00AM
Meet the Gatekeepers: Round Robin Session 3

11:00AM – 12:00PM
Meet the Gatekeepers: Round Robin Session 4

12:00PM – 12:45PM
Working Luncheon: Top Challenges and How to Overcome Them

Emerging managers face a unique set of challenges – never more so than in today's extremely fluid business and market environment. Our working lunch provides a unique opportunity to discuss key issues and challenges with your emerging manager peers. No topic is off the (lunch) table, so come prepared with your toughest questions and biggest frustrations – and swap ideas and experiences with your fellow attendees.

12:45PM – 12:50PM
Closing Remarks & Adjournment

Forum Co-Chairs:
Robbie Cannon, Founder, Board Member, Horizon Investments
Steven Carl, Principal, Chief Distribution Officer, Chairman of the Executive Committee, Madison Investments
Kirsten Pickens, Co-Head of U.S. Distribution, FS Investments
Mark Rewey, Director of Marketing & Business Development, Segall Bryant & Hamill