2015 Annual Conference
"Enriching Knowledge. Empowering Relationships."
Boston, MA
November 9-10, 2015

Location:
Seaport Boston Hotel
1 Seaport Lane,
Boston, MA 02210
617-385-4514

Agenda

As of November 3, 2015 – subject to change

The annual conference is designed to meet the needs of third party marketers and money managers alike. The conference serves as a casual and intimate environment perfect for networking and knowledge building. Combining structured thought-provoking panels and free-flowing networking sessions, attendees can expect to discuss various marketing, regulatory and investment trends that present challenges and opportunities for our industry in the year ahead.

Monday, November 9, 2015

Day 1 – Preconference – 3PMs Only

10:00 am **Registration Desk**
Stop by to register and pick up your conference package, which will contain important information including times and locations for all of the sessions and networking events.

10:00 am — 5:30 pm **Sponsor Tables Open**
Visit our Sponsors throughout the conference. We are pleased to offer our members access to some of the industry's most prominent vendors.

10:00 am – 11:00 am **Continental Breakfast**

11:00 am – 11:15 am **Preconference Welcome and Opening Remarks**
President Stacy Havener will welcome 3PM attendees and review the agenda.

11:15 am – 12:15 pm **Keynote Workshop: Money Does Grow on Trees… Referral Trees**

Speaker: Rochelle Carrington, Founder & President - Second Wind Advisory Group

Generating referrals in your business is far more effective and fun than any other prospecting activity. Why is it that most people don't generate enough? Learn the behaviors, attitudes and techniques to reenergize your referral system and watch it grow

12:15 pm – 1:30 pm **Networking Lunch**

1:30 pm – 2:30 pm **Speed Dialogue: The Traditional 3PM Open Dialogue Session Meets Speed Dating**

Moderators: Donna DiMaria - Tessera Capital Partners and Stacy Havener - Havener Capital Partners

Due to the success of this session at past events, Speed Dialogue is back by popular demand. During this session, attendees will be presented with a series of scenarios and/or issues that each 3PM is likely to encounter throughout their tenure in this business. Attendees will be given a limited amount of time to discuss each topic with a small group of their peers and hear differing opinions on how to handle these real life situations. To keep things interesting each group will be shifted around after each issue is presented and discussed. The goal of this session is to give attendees an opportunity to meet as many 3PMs as possible and hopefully come away with some new contacts. Because of the limited time allotted to each discussion group, there will be no time for introductions. As such, each attendee should come with a stack of business cards to give to the other 3PMs they meet.

2:30 pm – 3:30 pm **Regulatory Update: Exploring the New CAB Ruleset and Exam Program w/ FINRA**

Speakers: Thomas M. Selman, CFA, Executive VP, Regulatory Policy, and Legal Compliance Officer and Willson Rasavongxay, Associate District Director of FINRA's Chicago District Office

Learn everything you need to know from **Executive VP of Regulatory Policy at** FINRA**, Thomas M.** Selman when he joins his colleague Willson Rasavongxay, Associate District Director of FINRA's Chicago District Office in exploring the **New CAB (Capital Acquisition Brokers)** Ruleset **and Exam Program** formerly known as LCFB (Limited Corporate Financing Brokers).

3:30 pm – 4:00 pm **Break with Exhibitors**

Day 1 Conference Begins

For 3PMs, Managers, and Intermediaries

4:15 pm – 4:30 pm **Conference Welcome and Opening Remarks**

President Stacy Havener will welcome all attendees and review the agenda.

4:30 pm – 5:30 pm **Opening Keynote Address: What to Expect When You're Expecting (Assets)**
Speaker: Meredith Jones

Hear from Meredith A. Jones as she speaks about managers and marketers who often approach a new 3PM relationship with vivid vision of the end result (more money) but without a clear idea of how to achieve that goal. This presentation will focus on the critical discussions that should take place before a marketing engagement begins so both parties can manage expectations and maximize fund raising success.

5:30 pm **Closing Remarks**

6:30 pm – 9:30 pm **Networking Cocktail Reception and Dinner**
Empire Restaurant, One Marina Park Drive, Boston, MA 02210

E·M·P·I·R·E
ASIAN RESTAURANT & LOUNGE

Situated just steps from Boston Harbor and the Seaport Hotel, the "Innovation District's" first Asian locale, Empire, offers a vibrant array of Asian favorites and delicacies ranging from the innovative and new to the beloved and traditional all in a beautiful space from an award-winning designer.

NORTHERN LIGHTS DISTRIBUTORS

Sponsored by: Northern Lights Distributors, LLC
Northern Lights Distributors, LLC is a broker-dealer specializing in mutual fund distribution. NLD helps investment advisors navigate the distribution universe through a high touch consulting service. Leveraging existing industry partnerships and a network of hundreds of established selling agreements, NLD assists investment advisors to uncover product distribution and sponsorship opportunities with wire houses, independent broker-dealers, regional broker-dealers, banks and trust companies. To maximize an investment advisor's sales potential, NLD co-develops customized action plans to fit each investment advisor's target market and current growth cycle.

Tuesday, November 10, 2015
Day 2 – For 3PMs, Managers, and Intermediaries

8:00 am **Registration Desk Opens**

8:00 am — 4:00 pm **Sponsor Tables Open**

8:00 am — 8:45 am **Continental Breakfast**

8:45 am — 9:00 am **Opening Remarks**
President Stacy Havener will recap Day 1 and review the agenda for Day 2.

9:00 am – 9:45 am **3PM New Initiatives: Manager Exchange**
Speakers: Frank Minard - XT Capital, Stacy Havener - Havener Capital Partners, Gabrielle Copperwheat - Third Party Marketers Association

9:45 am – 10:45 am **Third Party Marketing Think Tank**
Moderator: Donna DiMaria - Tessera Capital Partners
Panelists: Steve Rubenstein – Arrow Partners, Inc., David Frank – Stonehaven, LLC, Richard Jackson - Jackson Analytic, Brian Fitzgibbon – Fitzgibbon Toigo Associates

Industry experts will be on hand to discuss current trends in third party marketing covering how managers and marketers should conduct due diligence, best practices in beginning and ending partnerships, considerations for structuring fees/compensation between managers/marketers and managers/money owners. This session will serve as a primer for newer participants and a best practices session for more seasoned practitioners.

10:45 am — 11:15 am **Morning Break with Exhibitors**

11:15 am – Noon **Distribution Panel**
Moderator: Sandra Powers – ARK Global, LLC
Panelists: Neil Bathon, FUSE Research Network, Alma Piscitello - Northern Lights Distributors, LLC, Bob Peatman - Beaumont Capital Management

12:00 pm – 1:00 pm **Networking Lunch**

1:00 pm – 2:00 pm **Trendspotting: Regulatory Panel: Recent Regulatory Developments**
Panelists: Susan E. Bryant, Esq., Gregory S. Fryer, Esq. and Jon Stanley - Verrill Dana

The regulatory arena grows more complex every day. Think you can't operate your business the way you used to? Well you are right – you can't. But don't worry - Our panel of industry experts is going to help you navigate some of these new regulations and show you how you can turn them into new business opportunities. Topics for discussion will include:

- Offering private funds under the new rules,
- Facilitating mutual fund offerings,
- Current compliance issues,
- Regulatory highlights
- Cyber security

2:00 pm — 2:30 pm **Afternoon Break with Exhibitors**

2:30 pm – 3:30 pm **Trendspotting: Technology & Media**
Moderator: Andrew Phillips – Hamersley Partners

Panelists: Matt McCue,** Managing Director of Financial Investment News and Managing Editor of Emerging Manager Monthly, fin|daily and Nonprofit News,* ***Daniel Quinn - DQCOMM and Rick Gagnon - ProFusion

20 years ago no one would have believed that email would eventually be our primary source of communication, nor did anyone realize how important technology and social media would become. Our industry has been transformed by the changes that have occurred in a very short time – if only we'd known these innovations were coming and how they would change the landscape of how as marketers we operate we could have implemented these technological innovations early on. This session will look to the future and try to predict some of the trends in technology that are likely to take hold in the investment management arena. Panelist will then try to help firms to prepare for these trends so that as marketers we can stay ahead of the curve -instead of behind it.

3:30 pm – 4:30 pm **Investor Panel**

Moderator: Frank Minard - XT Capital

Panelists: Shannon Saccocia, CFA, CIMA - Boston Private Wealth, Kevin Leonard - New England Pension Consultants **and** *Susan Dahl –* ***Bainco International Investors***

A panel of diverse investors will explore trends in asset allocation, portfolio design and manager selection answering these questions and more:

- Which asset classes consistently outperform others? Which asset classes are being overlooked?
- Promising sectors to consider
- Choosing strategies and funds that best complement a portfolio
- Alternative styles and strategies, how they have evolved and where are they headed
- How risk management can generate outperformance
- Are correlations moving to 1 across all strategies? How can you find correlation benefit?
- What manager/strategy qualities and characteristics result in a deeper dive?

3:45 pm – 4:00 pm **Conference Wrap-Up**