



**New Orleans Marriott, New Orleans, LA**  
**Conference Program**  
*(as of 1/22/2019)*

**MONDAY, JANUARY 28**

8:00 a.m. – 3:00 p.m.

**FSI Board of Directors Meeting (Board Members Only; Closed to Media)**

10:00 a.m. – 6:30 p.m.

**Registration Open**

*Preservation Hall, (2nd Floor)*

11:00 a.m. – 2:00 p.m.

**FSI Compliance Council Meeting (Compliance Council Members Only; Closed to Media)**

*Studio 10, (2nd Floor)*

12:00 p.m. – 2:00 p.m.

**FSI Investment Advisory Services Council Meeting (IAS Council Members Only; Closed to Media)**

*Studios 1, (2nd Floor)*

2:00 p.m. – 3:30 p.m.

**FSI Operations & Technology Council Meeting (Ops & Tech Council Members Only; Closed to Media)**

*Studio 3, (2nd Floor)*

2:00 p.m. – 3:45 p.m.

**PRE-CONFERENCE: Advancing Women in Leadership Workshop\***

Sponsored by Broadridge Financial Solutions, Inc. and Fidelity Clearing & Custody Solutions  
*Mardi Gras Ballroom, Salon E, (3rd Floor)*

Kick off OneVoice with this educational and inspiring workshop bringing together female executives from across the independent financial services industry for an opportunity to network, exchange ideas and gain insights on professional development and issues important to women in today's workforce.

**\*Pre-registration is required to attend this complimentary workshop, so sign up today!**

Speakers Include:

- *Jaime Desmond, Chief Operating Officer, Asset Management, Ladenburg Thalmann*
- *Erinn Ford, President, KMS Financial Services, Inc.*
- *Frieda Lewis, Managing Director, Global Relationship Management, Broadridge Financial Solutions*
- *John Phillips, EVP, Head of Bank & Broker-Dealer Sales, Fidelity Clearing & Custody Solutions*
- *Melissa Mita Robinson, Vice President Operations, J.W. Cole Financial, Inc.*
- *Amy Webber, President, Cambridge Investment Research, Inc.*

4:00 p.m. – 5:15 p.m.

**OPENING GENERAL SESSION**

*Grand Ballroom, Carondelet, (3rd Floor)*

**Inside the Mind of Innovators**

In today's fast-paced world, you must not only learn faster, but be able to learn, unlearn and relearn to stay ahead of the times. In this interactive session, award-winning host, filmmaker and entrepreneur, Jay Shetty, will share four key mindsets you need to thrive in the age of uncertainty using examples from organizations and people that make it look effortless.

Jay was named the Forbes 30 Under 30 Class of 2017 for being a game-changer and influencer in the world of media. Before leading social media innovation at Accenture for two years, he helped build sustainable villages and philanthropic ventures while living as a monk.

*Jay Shetty, Motivational & Lifestyle Vlogger, Presenter and Former Monk*

5:15 p.m. – 6:30 p.m.

**Opening Networking Reception**

*Grand Ballroom, Acadia & Bissonet, (3rd Floor)*

## TUESDAY, JANUARY 29

6:30 a.m. – 6:30 p.m.

### Registration Open

*Preservation Hall, (2nd Floor)*

6:45 a.m. – 7:45 a.m.

### Networking Breakfast

*Grand Ballroom, Acadia & Bissonet, (3rd Floor)*

8:00 a.m. – 9:00 a.m.

## CONCURRENT SESSIONS

### CEO TRACK

#### Developing Your Bench Strength

*Mardi Gras Ballroom, Salon D, (3rd Floor)*

10,000 baby boomers retire every single day, resulting in a continual drain of valuable leadership experience and skill from the nation's C-suites. What are you doing to identify and groom successor leaders for your company? Today's leadership development is a crucial component of tomorrow's success and this panel will delve into what it takes to develop your bench.

Panel Includes:

- *Thomas Berthel, CEO/President/Chairman of the Board, Berthel Fisher Companies*
- *Scott Curtis, President, Private Client Group, Raymond James Financial*
- *Mary Nelson, President & CEO, Allstate Financial Services, LLC*
- *Moderator: Bill Brady, Senior VP-Distribution, American Funds by Capital Group*

### COMPLIANCE TRACK, Sponsored by Workplace by OS33

#### Making the Shift from the Departments of Labor's Fiduciary Rule to SEC Regulation Best Interest

*Mardi Gras Ballroom, Salon E, (3rd Floor)*

This session is designed to provide an overview of the SEC's Proposed Regulation Best Interest and the differences between Regulation BI and the Fiduciary Rule. We will discuss the practical implications of shifting from the Fiduciary Rule to Regulation BI and get the collective wisdom of the panel and the room.

Panel Includes:

- *Derek Anderson, Partner, Winget, Spadafora & Schwartzberg, LLP*
- *Elizabeth Hansen, SVP, Chief Compliance Officer, Waddell & Reed, Inc.*
- *Susan Krawczyk, Partner, Eversheds Sutherland (US) LLP*
- *Julie Sullivan, Chief Compliance Officer, Senior Vice President, The Strategic Financial Alliance, Inc.*
- *Moderator: Mark Quinn, Director of Regulatory Affairs, Cetera Financial Group*

## **DUE DILIGENCE TRACK**

### **Processes and Procedures**

*Studios 7 – 8, (2nd Floor)*

Broker-dealers have responsibilities to conduct a reasonable basis suitability determination on recommended products. With little regulatory guidance except enforcement precedence, firms often take significantly different approaches to meet this requirement. Attend this session to gain and share valuable insights into how our panelists have structured their due diligence processes, policies and procedures.

Panel Includes:

- *Will Schmitt, General Counsel, Prospera Financial Services Inc.*
- *Timothy Stickney, AVP, Product Risk Management, Lincoln Financial Network*
- *Daniel Weiss, SVP, Product Due Diligence & Research, Advisor Group*
- *Moderator: Amy Magnotta, SVP, Head of Discretionary Portfolios, Brinker Capital*

## **INVESTMENT ADVISORY SERVICES TRACK**

### **Is Flat Fee Pricing a Viable Option?**

*Mardi Gras Ballroom, Salons F-H, (3rd Floor)*

During this session our panel will discuss the pros and cons of a flat fee pricing model. What processes should be in place to properly supervise this structure and what challenges might exist when implementing? Benefits in favor of and arguments against the more typical asset-based pricing and consulting/hourly fee models will be explored as well as trends in the industry.

Panel Includes:

- *John Anderson, Managing Director, Practice Management, SEI Investments*
- *Dean Harman, President, Harman Wealth Management, LLC*
- *Dave Robinson, Managing Director, Head of Strategic Partnerships & Enterprise Consulting, Investnet*
- *Moderator: Shannon Larson, SVP, Product Development & Management, Advisor Group*

## **MARKETING, GROWTH & DEVELOPMENT TRACK**

*Mardi Gras Ballroom, Salons A-C, (3rd Floor)*

### **Leveraging Technology**

As our business and our practices continue to evolve, so must we. This session will focus on helping you refine your skills and resources as it concerns your technology and help you to stay ahead of the ever-changing, fast-paced technology curve and be relevant and efficient with your prospects and clients.

Panel Includes:

- *Daniel Hamer, Vice President, Director of Product Engagement, Investnet*
- *David Mehlhorn, Director of Sales, Redtail Technology*
- *Timothy Stone, Senior Vice President and Head of Operations, Cetera Advisor Networks LLC*
- *Moderator: Stephen Kareta, Strategic Acquisitions and Development, Securities America, Inc.*

## **OPERATIONS & TECHNOLOGY TRACK, Sponsored by CGI**

### **Vendor Management**

#### **Studios 9 – 10, (2nd Floor)**

This session will discuss the challenges and solutions of vendor management in both the home office and field.

Panel Includes:

- *Carie Heckler, Chief Compliance Officer, Lion Street Financial*
- *Chip Kispert, Managing Partner, Beacon Strategies, LLC*
- *Eric MacDonald, Senior Relationship Manager, Broadridge Financial Solutions, Inc.*
- *Moderator: Jason Mayor, Sr. Manager, IT Governance, Risk, and Compliance, Raymond James Financial Services, Inc.*

## **SUPERVISION TRACK**

### **Supervising Conflicts of Interest**

#### **Studios 1 – 2, (2nd Floor)**

Conflicts of interest in our industry continue to be a focus of regulators. The panel will discuss best practices being employed by FSI member firms to eliminate and/or mitigate conflicts of interest relating to hybrid advisors, product share classes, complex products and commission vs. fee-based accounts.

Panel Includes:

- *Thomas Delaney, SVP, Chief Compliance Officer, First Command Financial Planning, Inc.*
- *Katharine Michaels, Vice President, Raymond James Financial Services, Inc.*
- *Christopher Osborne, VP, Head of Supervision, Thrivent Financial*
- *Moderator: Gregory Smith, Senior Vice President, Supervision, Securities America, Inc.*

9:00 a.m. – 9:30 a.m.

### **Networking Break**

#### **Grand Ballroom, Acadia & Bissonet, (3rd Floor)**

9:30 a.m. – 10:30 a.m.

## **CONCURRENT SESSIONS**

### **CEO TRACK**

#### **Building vs. Buying Technology**

##### **Mardi Gras Ballroom, Salon D, (3rd Floor)**

What are the pros and cons of developing proprietary technology systems vs. integrating off-the-shelf solutions? This session will evaluate this important decision from both competitive and economic perspectives.

Panel Includes:

- *Chris Perry, President, Global Sales, Marketing & Client Solutions, Broadridge Financial Solutions, Inc.*
- *Daniel Lutz, SVP, Platform Product Management, Fidelity Clearing & Custody Solutions*
- *Frank Smith, SVP, Information Security and Data Privacy, First Command Financial Services*
- *Moderator: Michelle Feinstein, Director, BNY Mellon | Pershing*

## **JOINT COMPLIANCE AND DUE DILIGENCE TRACK, Sponsored by Workplace by OS33 Regulatory Update**

### ***Mardi Gras Ballroom, Salon E, (3rd Floor)***

Both broker-dealer compliance and due diligence professionals must keep a close eye on changes to the regulatory landscape in order to proactively anticipate changes and trends in the industry that will have an impact on product design and distribution challenges. Our panel of industry experts will share some of the more prominent updates in the industry and how those changes have impacted our approach to products and services.

Panel Includes:

- *Alice Joe, VP, Federal Government Affairs, Fidelity Investments*
- *Brandon Reif, Managing Partner, Reif Law*
- *Thomas Selman, Executive Vice President, Office of Regulatory Analysis, FINRA*
- *Moderator: Robin Traxler, Senior Vice President, Policy & Deputy General Counsel, Financial Services Institute*

## **INVESTMENT ADVISORY SERVICES TRACK**

### **Trends and Options in RIA Structures**

#### ***Mardi Gras Ballroom, Salons F-H, (3rd Floor)***

Join us for a look at trends and options in RIA structures. Expert panelists will review the distinctions between corporate RIA and Independent RIA choices for affiliated financial advisors. Are they seeing trends in attrition or addition to one versus the other? When discussing how to best serve independent RIAs, what value adds should be in place to maintain strong relationships and, further, what supervision requirements are suggested? Regulatory insights will be highlighted as well.

Panel Includes:

- *Michael Bryan, CEO, Triad Hybrid Solutions, LLC & Senior Vice President, Advisory Services, Triad Advisors, LLC*
- *Adam Roosevelt, Director, Advisor Solutions, BNY Mellon | Pershing*
- *Stephen Smith, Chief Compliance Officer, 1st Global*
- *Moderator: Erinn Ford, President, KMS Financial Services, Inc.*

## **MARKETING, GROWTH & DEVELOPMENT TRACK**

### **Attracting and Learning from the NextGen Advisor**

#### ***Mardi Gras Ballroom, Salons A-C, (3rd Floor)***

Millennials are the largest generation in the U.S. labor force and will soon be the largest living adult generation. How can we attract more NextGen financial professionals into the advice industry? What do we need to consider in serving NextGen clients in anticipation of the significant transfer of wealth from baby boomers to Generation X and millennials? Come to this session and get answers to these questions and more.

Panel Includes:

- *Kathleen Johnson, Vice President, Practice Management Consulting, BNY Mellon | Pershing*
- *Kimberly Kropp, Owner/Partner, Moylan Kropp Inc.*
- *Matt Chisholm, SVP, Head of Practice Management and Consulting, Fidelity Clearing & Custody Solutions*
- *Moderator: Colleen Bell, Senior Vice President, Chief Fiduciary Services Officer, Cambridge Investment Research, Inc.*

## **OPERATIONS & TECHNOLOGY TRACK, Sponsored by CGI Innovation**

### **Studios 9 – 10, (2nd Floor)**

This session will showcase a collection of innovative solutions implemented to improve service and operations.

Panel Includes:

- *Brian Bichler, Head of Platform Experience, Atria Wealth Solutions*
- *Frank Coates, Executive Managing Director, Envestnet | Yodlee Analytics*
- *Robert Krugman, SVP, Digital Strategy, Broadridge Financial Solutions, Inc.*
- *Terri Kraning, Vice President, Digitization of Service Program, Fidelity Investments*
- *Moderator: Dan Sachar, VP, Enterprise Innovation, Ladenburg Thalmann Financial Services*

## **SUPERVISION TRACK**

### **Outside Business Activities and Private Securities Transactions**

#### **Studios 1 – 2, (2nd Floor)**

In June of 2017, FSI published a detailed white paper on Outside Business Activities with many practical applications. In 2018, FINRA began publicly considering a significant rule change with regard to OBAs. This panel will discuss the ramifications of the rule under consideration as well as best practices related to the FSI white paper.

Panel Includes:

- *Courtney Haddad, SVP, Head of Supervision, Raymond James Financial Services, Inc.*
- *Robert Molinari, Chief Regulatory Affairs Officer, Commonwealth Financial Network*
- *Michael Pedlow, SVP, Chief Compliance Officer, Kestra Financial, Inc.*
- *Moderator: Marcus Arneaud, EVP, Chief Compliance Officer, Investacorp, Inc.*

10:30 a.m. – 11:00 a.m.

### **Networking Break**

#### **Grand Ballroom, Acadia & Bissonet, (3rd Floor)**

11:00 a.m. – 12:00 p.m.

## **GENERAL SESSION**

### **Grand Ballroom, Carondelet, (3rd Floor)**

## **FSI FIRM LEADERSHIP PANEL**

In this session, you will hear from an all-women panel of firm leaders, on strategies for growth and success. This panel discussion will provide invaluable insights on emerging ideas, trends and developments in the independent financial services industry.

Panel Includes:

- *Valerie Brown, Executive Chairman of the Board, Advisor Group*
- *Jodi Perry, President, Raymond James Financial Services, Inc.*
- *Evamarie Schoenborn, President, Northwestern Mutual Investment Services, LLC*
- *Moderator: Mimi Bock, President, Cetera Advisors and First Allied Securities*

12:00 p.m. – 1:30 p.m.

### **Networking Lunch**

#### **Grand Ballroom, Acadia & Bissonet, (3rd Floor)**

1:30 p.m. – 2:30 p.m.

## **CONCURRENT SESSIONS**

### **CEO TRACK**

#### **Leveraging Clearing Firms/Vendors/Sponsors**

*Mardi Gras Ballroom, Salon D, (3rd Floor)*

The nature of vendor partnerships has evolved significantly in the past few years. This panel will examine current best practices in leveraging vendor relationships to the mutual benefit of both partners while maintaining your firm's unique identity and objectivity.

Panel Includes:

- *Noreen Beaman, Chief Executive Officer, Brinker Capital*
- *Carolyn Clancy, Executive Vice President, Head of Broker Dealer Segment Fidelity Clearing & Custody Solutions*
- *Michael Row, Chief Relationship Officer, BNY Mellon | Pershing*
- *Moderator: Michelle Barry, President, H. Beck, Inc.*

### **COMPLIANCE TRACK, Sponsored by Workplace by OS33**

#### **Hot Topics in Supervision**

*Mardi Gras Ballroom, Salon E, (3rd Floor)*

This session will address certain supervisory issues, such as supervising independent and corporate RIA activities, in this landscape and if FINRA's proposal is finalized into a rule, as well as navigating certain complexities of direct business.

Panel Includes:

- *Sam Edgerton, Partner, O'Hagan Meyer*
- *Michael Gilliland, BD & IA Consulting Leader, MML Investors Services, Inc.*
- *Judith Knudsen, AVP, General Counsel, 1st Global*
- *Moderator: Kevin Miller, EVP, General Counsel & Chief Compliance Officer, Securities America, Inc.*

### **JOINT DUE DILIGENCE AND INVESTMENT ADVISORY SERVICES TRACK**

#### **Advisory Program Product Mix – All Products are Not Created Equal**

*Mardi Gras Ballroom, F-H (3rd Floor)*

In the world of advisory, all products are not created equal. Join this panel discussion for a look at the product shelf available in fee-based accounts across member firms including alternative investments, mutual fund share classes, variable annuities, cash and more. Best practices and key insights about policies and parameters will be shared. Investment Advisory Services Council Members will share results from a product survey including stats on projected trends regarding specific products and insights on firms' policies.

Panel Includes:

- *Karen Joy Bean, Vice President, Investment Products, Kestra Financial, Inc.*
- *Thayer Gallison, Vice President – Due Diligence Officer, Ladenburg Thalmann Financial Services Inc.*
- *Joseph Gallo, VP, Senior Counsel, Lincoln Financial Network*
- *Moderator: Kimberly Terranella, Director, Variable Annuity Product Development, Prudential*



## **MARKETING, GROWTH & DEVELOPMENT TRACK**

### **Leveraging Apps and Software Tools for Marketing Efficiency**

*Mardi Gras Ballroom, Salons A-C, (3rd Floor)*

Looking to save time while being more productive, or just know what's new and cool in FinTech marketing? This session will focus on investing in efficiency and effectiveness through software tools and apps focused on marketing performance and other business needs.

Panel Includes:

- *Jeffrey Ball, VP, Technology Planning, Protective Life*
- *Dave Christensen, Chief Product and Technology Officer, FMG Suite*
- *Kevin Darlington, Director, Product Development, Broadridge Financial Solutions, Inc.*
- *Brenda Tsai, Chief Marketing Officer, BNY Mellon*
- *Moderator: Nick Graham, CTO, Cambridge Investment Research, Inc.*

## **OPERATIONS & TECHNOLOGY TRACK, Sponsored by CGI**

### **Metrics for Service Management**

*Studios 9 – 10, (2nd Floor)*

This session will showcase how firms use metrics to manage service as well as their data collection methods.

Panel Includes:

- *Michael Alexander, President, Wealth & Capital Market Solutions, Broadridge Financial Solutions, Inc.*
- *Kris Chester, Executive Vice President + Chief Operating Officer, Kestra Financial, Inc.*
- *Cynthia Hamel, EVP, Strategic Initiatives and COO, Advisor Group*
- *Claire Santaniello, Managing Director, BNY Mellon | Pershing*

## **SUPERVISION TRACK**

### **Supervision of High Risk Brokers**

*Studios 1 – 2, (2nd Floor)*

FINRA continues to place the supervision of high-risk brokers at the top of their exam priorities. State regulators have also dramatically increased their focus on these advisors. This panel will discuss the recent FINRA Notices to Members 18-15 and 18-16 and will examine best practices for carrying out heightened supervision programs. In addition, a recruiter will discuss the challenges of recruiting and integrating high-risk brokers into new firms.

Panel Includes:

- *Gregg Johnson, EVP, Branch Office Development & Acquisitions, Securities America, Inc.*
- *Andrea Shafer, FVP, Legal, Cambridge Investment Research, Inc.*
- *Chad Weaver, Partner, Freeman Mathis & Gary, LLP*
- *Moderator: Frank Weldon, Director of Supervision, Kestra Financial, Inc.*

2:30 p.m. – 3:00 p.m.

### **Networking Break**

*Grand Ballroom, Acadia & Bissonet, (3rd Floor)*

3:00 p.m. – 4:00 p.m.

## **CONCURRENT SESSIONS**

### **JOINT CEO AND OPERATIONS & TECHNOLOGY TRACK, Sponsored by CGI**

#### **Cybersecurity**

##### ***Mardi Gras Ballroom, Salon D, (3rd Floor)***

Both the frequency and magnitude of cybersecurity threats continues to grow. All business leaders need to be focused on protecting customer data and investing the right resources in cybersecurity. This session will discuss business strategies for protecting customer data, from both a systems and business process perspective, while balancing the cost of this evolving landscape.

Panel Includes:

- *Frank Berger-Gilligan, President-Elect, NASAA & Assistant Commissioner, Tennessee Securities Division*
- *John Brady, Senior Vice President, Cyber Security/CISO, FINRA*
- *Brian Edelman, Chief Executive Officer, FCI*
- *Leon Johnson, Chief Information Security Officer, SVP, Infrastructure and Technology Support, Securities America, Inc.*
- *Pablo Martinez, Head Cyber Operations, Fidelity Investments*
- *Moderator: Mark Schlesinger, CIO, Broadridge Financial Solutions, Inc.*

### **COMPLIANCE TRACK, Sponsored by Workplace by OS33**

#### **The Continuing Share Class Conundrum**

##### ***Mardi Gras Ballroom, Salon E, (3rd Floor)***

This session will discuss current share class issues faced by FSI member firms and the implication of the new tax laws on 529 plans.

Panel Includes:

- *Mike Pedlow, SVP, Chief Compliance Officer, Kestra Financial, Inc.*
- *Brian Rubin, Partner, Eversheds Sutherland*
- *Russ Tipper, Product Management Director, American Funds*
- *Moderator: Jeff Smith, CEO, Preferred Capital Securities*

### **DUE DILIGENCE TRACK**

#### **Communicating Product Decisions and Changes**

##### ***Studios 7 – 8, (2nd Floor)***

With myriad departments and stakeholders within an organization, it is all too easy for new products to be introduced, or critical changes to existing products to fall through the cracks or to miss a critical, target audience. Our panelists will discuss their strategies designed to prevent these circumstances, ensuring that proper education and orientation is conducted, and new information is smoothly and effectively communicated.

Panel Includes:

- *Matthew Fries, Product Strategy Leader, Cetera Financial Group*
- *Susan Kelly, VP, Investment Management and Research, Commonwealth Financial Network*
- *Michael Pagano, EVP, Compliance, Licensing & Risk Assessment, 1st Global*
- *Moderator: Linda Cobelo, EVP, National Accounts & Business Development, Preferred Capital Securities*

## **INVESTMENT ADVISORY SERVICES TRACK**

### **Advisory Technology Parameters and Best Practices**

#### ***Mardi Gras Ballroom, Salons F-H, (3rd Floor)***

This session will provide a discussion on technology as it relates to advisory businesses. Panel will review key systems allowed, parameters related to advisor use, and general best practices specific to reporting/aggregation tools, financial planning systems, trading/rebalancing platforms, and client portal options.

Panel Includes:

- *Roger Ash, Vice President, Broadridge Financial Solutions, Inc.*
- *Brad Chambers, Senior Vice President, Wealth Management Platforms, Advisor Group*
- *Suzanne Daly, Vice President, Solutions and Platform Consulting, Fidelity Clearing & Custody Solutions*
- *Moderator: Amy Rehn, COO, Triad Hybrid Solutions and Senior Vice President, Advisory Services, Triad Advisors, LLC*

## **MARKETING, GROWTH & DEVELOPMENT TRACK**

### **Business Development and Strategic Planning**

#### ***Mardi Gras Ballroom, Salons A-C, (3rd Floor)***

The profession we have chosen is unique in that it is in a constant state of evolution with influences from a myriad of different sources. We have a very competitive marketplace for clients, a very regulated environment for firms and advisors and a lot of moving parts that we need to be aware of and manage. This session will discuss what we all need to do as an Industry and as a firm to be relevant and thrive in 2019 and beyond.

Panel Includes:

- *John Barragan, Head of Strategic Operations, Cetera Financial Group*
- *Ryan George, AVP, Marketing & Communications, 1st Global*
- *Joseph Kuo, President & Managing Partner, Haven Tower Group, LLC*
- *Jeff Vivacqua, Executive Vice President and Chief Marketing Officer, Cambridge Investment Research, Inc.*
- *Moderator: Gregg Johnson, EVP, Branch Office Development & Acquisitions, Securities America, Inc.*

## **SUPERVISION TRACK**

### **Supervising Client Communications in the Social Media Era**

#### ***Studios 1 – 2, (2nd Floor)***

Technology advances and social media are radically changing our culture at an incredible pace. Every day a new platform or app becomes available for promoting an advisor's practice. Many financial applications now provide clients the ability share documents with advisors and view their accounts at any time. This panel will discuss tools and techniques for ensuring advisors stay compliant in this rapidly changing environment.

Panel Includes:

- *Mason Burnham, Senior Vice President, Divisional Supervisory Manager, Wells Fargo Advisors Financial Network (Fine)*
- *James Cella, President, SiteQuest Technologies*
- *Lisa Graham, Director, Product Management, eMoney Advisor, Inc.*
- *Moderator: Frank Weldon, Director of Supervision, Kestra Financial, Inc.*

4:15 p.m. – 5:15 p.m.

**GENERAL SESSION**

*Grand Ballroom, Carondelet, (3rd Floor)*

**The Alliance: How to Manage Talent in the Networked Age**

The employer-employee relationship faces a seemingly impossible dilemma: You can't afford to offer lifetime employment, but you can't build a lasting, innovative business where everyone acts like a free agent. Ben Casnocha's solution: Stop thinking of employees as family or free agents and start thinking of them as allies on a tour of duty.

Named "one of America's top young entrepreneurs" by *BusinessWeek*, Ben draws upon his experience to outline a new, innovative framework for managing today's employees. He will share how to recruit, manage and retain the entrepreneurial employees your business needs to succeed in the networked age. The session will explore how to rebuild trust and loyalty with your employees even though you cannot guarantee lifetime employment, managing employees who seek constant career growth by defining unique "tours of duty," how to develop an employee value proposition that resonates with millennials, why it pays to empower employees to build their personal brands and expand their professional networks and more!

**Ben Casnocha**

5:15 p.m. – 6:30 p.m.

**Networking Reception**

*Grand Ballroom, Acadia & Bissonet,(3rd Floor)*

**WEDNESDAY, JANUARY 30**

7:00 a.m. – 10:00 a.m.

**Registration Open**

*Preservation Hall, (2nd Floor)*

7:30 a.m. – 8:00 a.m.

**Discussion Breakfast\***

*Varies (see Discussions)*

8:00 a.m. – 10:00 a.m.

- **MARKETING, GROWTH & DEVELOPMENT DISCUSSION\***  
*Studios 1 – 2, (2nd Floor)*

8:00 a.m. – 11:00 a.m.

- **DUE DILIGENCE DISCUSSION\***  
*Studios 4, (2nd Floor)*
- **INVESTMENT ADVISORY SERVICES DISCUSSION\***  
*Studios 7 – 8, (2nd Floor)*

8:00 a.m. – 12:00 p.m.

- **CEO DISCUSSION\***  
*Galerie 2, (2nd Floor)*
- **COMPLIANCE DISCUSSION\***  
*Galerie 3, (2nd Floor)*
- **OPERATIONS & TECHNOLOGY DISCUSSION**  
*Studios 9 – 10, (2nd Floor)*

10:00 a.m. – 12:00 p.m.

**FSI Marketing, Growth & Development Council Meeting (MG&D Council Members Only; Closed to Media)**  
*Studios 1 – 2, (2nd Floor)*

11:00 – 12:00 p.m.

**FSI Due Diligence Council Meeting (Due Diligence Council Members Only; Closed to Media)**  
*Studios 4, (2nd Floor)*

12:00 p.m.

**Conference Adjourns**

*\* Sponsor and exhibit personnel are ineligible to attend the Wednesday morning discussion meetings with the following exceptions:*

- *Ambassador and Premier Sponsors may send one (1) attendee to each of the seven discussion meetings.*
- *Partner Law Firm Sponsors may send one (1) attendee to the Compliance Discussion Meeting (only).*

*\*Discussion meetings are closed to Media*