

**CENTER FOR DUE DILIGENCE**  
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**CFDD 2008 ADVISOR CONFERENCE**  
**SCHEDULE OF EVENTS**  
(8/26/08)

***“AN INDUSTRY IN TRANSITION:  
Old Model Is Mature, New One Is An Infant”***

October 13-15, 2008 (Monday -Wednesday)  
The Fairmont Scottsdale Princess  
Scottsdale, Arizona

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**Sunday, October 12, 2008**

11:00 am –

*Kierland Golf Club*  
*15636 North Clubgate Drive*  
*Scottsdale, AZ 85254*  
*(480) 922 9283*

**Charity Golf Event**

Benefits to the Injured Marine Semper Fi Fund

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9:30 am – 6:45 pm

*Conference Center's*  
*Outside – Porte Cochere*

**Pre-Conference Registration Desk Opens**

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12:15 – 6:45 pm

*TBD*

**PRE-CONFERENCE PROGRAM/TRAINING**

For Wholesalers, TPA & RIAs

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Sunday, October 12, 2008 (Pre-Conference Continued)

12:15 – 1:30 pm

**KEYNOTE SESSION (Wholesalers, TPAs & RIAs/Advisors)**

*TBD*

**Plan Design & Emerging Trends**

-Fred Reish, Managing Director, Reish Luftman Reicher & Cohen  
(Sponsored by ING Retirement Services)

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1:30 – 1:45 pm

*TBD*

**Break**

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1:45 – 2:45 pm

*TBD*

**Basic Training for Wholesalers (Wholesalers)**

-Gary L. Anderson (Moderator), Midwest Regional Pension Manager,  
Stancorp Equities Inc.  
-Scott Waite, Regional VP, John Hancock Retirement Plan Services  
-Dany Yonan, Regional Director of Retirement Services,  
ING Retirement Products

*TBD*

**Opportunities & Challenges for TPAs in A Changing Marketplace (TPAs)**

-Ronald L. Bush, Principal, Brightwork Partners, LLC  
-Allen L. Cairns, Sr. Relationship Manager, John Hancock Retirement  
Plan Services

*TBD*

**401(k) 101: Getting Started (RIAs & Advisors)**

-Steve Cronin, VP, National Sales Director, Ascensus

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**Sunday, October 12, 2008** (Pre-Conference Continued)

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6:45 – 10:00 pm

*Conference Center's  
Outside – Porte Cochere*

**Conference Registration Desk Open**

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2:45 – 3:00 pm

*TBD*

**Break**

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3:00 – 4:00 pm

*TBD*

**Closing Larger Retirement Plans Business (Wholesalers)**

-Ann Schleck, Principal, Ann Schleck & Co.

*TBD*

**TPA & RIA Partnerships: How to Compete More Effectively (TPAs)**

-Paul D' Aiutolo (Moderator), VP, UBS Institutional Consulting

-David Hand, CEO & President, Hand Benefits & Trust

-Sunny J. Duncan, New Business Consultant, BPA Harbridge

-Craig Abbott, VP, Retirement Plan Consultant, Manning & Napier Advisors, Inc.

-Robert T. Edwards, Managing Director-Investments, Moran Asset Management Group, Wachovia Securities

*TBD*

**How to Partner with Service Providers (RIAs & Advisors)**

-Kevin Adams (Moderator), CEO, Venture (k) Corp.

-Patricia Neal Jensen, Sr. VP, The Ryding Company

-Allen L. Cairns, Sr. Relationship Manager, John Hancock Retirement Plan Services

-John Hopkins, Executive Director, Alliance Benefit Group-National

-Jeremy Christensen, National Sales Rep, Sterling Trust Co

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**Sunday, October 12, 2008** (Pre-Conference Continued)

4:00 –

*Conference Center*

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**Exhibitor Setup**

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4:00 – 4:30 pm

*TBD*

**Snack/Beverage Break**

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4:30 – 5:30 pm

*TBD*

**What Advisors Want From Wholesalers (Wholesalers)**

-Thomas Herbruck (Moderator), VP, Financial Services, Herbruck Alder  
-Samuel Brandwein, VP, Wealth Management, Smith Barney  
-Stace Hilbrant, Managing Director, 401kAdvisors LLC, (NRP Member)  
-Mark Paone, Corporate Retirement Director, Citi Inst'l Consulting

*TBD*

**Building A Partnership: How TPAs & Wholesalers Can Work Together (TPAs)**

-Ami Tully Lotka, President, Maximum IMPACT Partners

*TBD*

**How to Incorporate Retirement Plans Into Your Practice (RIAs & Advisors)**

-Bryan Schneider, Sr. VP, SMITH HAYES

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5:30 – 5:45 pm

*TBD*

**Break**

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**Sunday, October 12, 2008** (Pre-Conference Continued)

5:45 – 6:45 pm

*TBD*

**The Efficient Retirement Plans Wholesaler (Wholesalers)**  
-Ami Tully Lotka, President, Maximum IMPACT Partners

*TBD*

**What TPAs Can Provide RIAs & Advisors (TPAs, RIAs & Advisors)**  
-Gib Watson, President & CEO, Prima Capital Holding, Inc.  
(Subsidiary Matrix Financial Solutions)  
-Stewart Cohune, President, MG Advisory Services, LLC  
(Division Matrix Financial Solutions)

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7:00 – 9:30 pm

*Princess Plaza Courtyard*

**Kick-Off/Charity Golf Event Awards Party**  
**Sponsored by Russell Investments**

- Golf Awards/Sponsor Recognition
  - Music, Food, Cocktails & Entertainment
  - Authentic His & Hers H-D Leather MotorClothes  
Awarded To the Best Biker Attired at the Party
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**CONFERENCE PROGRAM/ACTIVITIES**

**Monday, October 13, 2008**

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6:30 – 8:00 am

*Conference Center/Plaza*

**Registration & Breakfast**

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8:00 – 8:30 am

*TBD*

**Introduction & Day One Highlights**

-Phil Chiricotti, President, CFDD

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8:30 – 9:30 am

*TBD*

**KEYNOTE SESSION**

**The Direction of 401(k) Plans: Shifting the Fiduciary Burden  
From Plan Sponsors to Providers & Advisors**

-Fred Reish, Managing Director, Reish Luftman Reicher & Cohen  
(Sponsored by ING Retirement Services)

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9:30 – 10:00 am

*Exhibition Area*

**Networking Break**

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**Monday, October 13, 2008** (Conference Continued)

10:00 – 11:00 am

*TBD*

**WHAT'S UP ON CAPITOL HILL:**

**Recent Pension Laws & Regulation**

-Kathryn Capage, Strategic Planning Director, Institutional & Retirement Division, Invesco Aim

*TBD*

**A Risk Reduction Shift To Low Cost & Passive Investing:  
Impact On The Retirement Plans Industry**

-David Witz (Moderator), Managing Director, Fiduciary Risk Assessment, LLC

-Brian C. Hubbell, Principal, Hubbell Consulting, LLC

-David Wray, President, Profit Sharing/401(k) Council of America

-Glenn Dial, VP, Investment Only-DC, JPMorgan Asset Management

-R. Bradford Huss, Esq., Partner, Trucker Huss, APC

*TBD*

**ERISA 408(b)(2) Fee Disclosure Impact On BDs:**

**Litigation, New Pressure & The Evolving RIA Model**

-Marcia S. Wagner, Esq., President, The Wagner Law Group

*TBD*

**Building A Value Proposition & Effective Marketing for  
Retirement Plans Business**

-Ann Schleck, Principal, Ann Schleck & Co.

-Richard Schainker, Retirement Plan Consultant, Invesco Aim

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11:00 – 11:15 am

**Networking Break**

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11:15 am – 12:15 pm

*TBD*

**ERISA Litigation Update**

-Marcia S. Wagner, Esq., President, The Wagner Law Group

*TBD*

**New Form 5500 & Audit Flags**

-Andrew Gibson, Tax Partner, BDO Seidman, LLP

-Tony Leonard, BDO Seidman, LLP

*TBD*

**Selecting Appropriate Target Date Funds**

-Tom Idzorek, VP, Director of Research & Product Development, Ibbotson Associates

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**Monday, October 13, 2008** (Conference Continued)

11:15 am – 12:15 pm

*TBD*

**The Sales Process: Improve Your Business With Better Execution**  
-Ami Tully Lotka, President, Maximum IMPACT Partners

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12:15 – 1:15 pm

*Conference Center/Plaza*

**Lunch**

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1:15 – 2:15 pm

*TBD*

**Liability Insurance In A Litigious Environment**  
-Gary B. Sutherland, CEO, North American Professional Liability Insurance Agency  
-Tom Schrandt, VP, North American Professional Liability Insurance Agency

*TBD*

**Evaluating & Benchmarking Target Date Funds**  
-John Rekenhaller, VP of Research & Product Development, Morningstar, Inc.

*TBD*

**Promoting Your Practice Through The Media: How Three Advisors Have Done It**  
-Bill Bongiorno (Moderator), President, Blue Chip Public Relations, Inc.  
-Don Schreiber Jr., President/CEO, WBI Investments, Inc.  
-Wayne Bogosian, President & Managing Director, PFE Advisors, Inc.  
-Vern Hayden, President, Hayden Wealth Management Group

*TBD*

**Service Contracts For RIAs & BDs Under the DOL's 408(b)(2)**  
-Pete Swisher, VP & Sr. Inst'l Consultant, Unified Trust Company, NA  
-Al Otto, CEO, OneFiduciary Group, LLC  
-Jason C. Roberts, Edgerton & Weaver, LLP

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2:15 – 2:30 pm

**Networking Break**

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**Monday, October 13, 2008** (Conference Continued)

2:30 – 3:30 pm

*TBD*

**QDIA's – Look Before You Leap**

- Joan McDonagh (Moderator), Esq., Manager, 401(k) Technical Services, Great-West Retirement Services
- Lloyd Dickinson, Partner, Foley & Lardner LLP
- Herbert A. Whitehouse, Chief Fiduciary Officer, The Bogdahn Group
- Jim Scheinberg, VP, Director Corporate Services Group, Oppenheimer & Co., Inc.

*TBD*

**Seven Habits Of Highly Ineffective Advisors**

- Kevin Bishopp, Practice Management Consultant, Russell Investments

*TBD*

**Dual Registration: Key Compliance Considerations**

- Jeff Groves, President, ComplianceWorks, Inc.
- Lisa Roth, CEO & President, Keystone Capital Corporation

*TBD*

**Developing Your Own RFP For Provider Evaluation**

- Randy Long, Managing Principal, SageView Advisory Group
- Jon Upham, Managing Director, Advisory Services, SageView Advisory Group

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3:30 – 4:15 pm

**Networking Break**

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4:15 – 5:15 pm

*TBD*

**Plan Design Features That Help Advisors Close Business**

- Joan McDonagh (Moderator), Esq., Manager, 401(k) Technical Services, Great-West Retirement Services
- Brett Howell, Wealth Management Advisor, The Howell & Sharp Group at Merrill Lynch
- Michael Quinlivan, Pension Planning Solutions, Inc.

**Monday, October 13, 2008** (Conference Continued)

4:15 – 5:15 pm

*TBD*

**New Retirement Income Products:  
Threat & Opportunity For Advisors**

- Joe Masterson (Moderator), Sr. VP, Chief Sales & Marketing Officer,  
Diversified Investment Advisors
- Tom Bruns, Divisional VP, John Hancock Retirement Plan Services
- Mitch Welsch, Managing Director, UBS
- Dan Beckman, VP, Product Management, Fidelity Investments
- Dorann Cafaro, Executive VP, The Cafaro Group (NRP Member)

*TBD*

**The Great Fiduciary Advisor Debate**

- Charles Epstein, Principal, Epstein Financial Group, Program Founder,  
The 401k Coach Program
- Blaine Aikin, CEO, fi360
- Louis Harvey, President, Dalbar, Inc.

*TBD*

**The Changing Paradigm of Retirement Plan Sales**

- Jeffrey L. Hemker, Retirement Plans Consultant, AIM Investments

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5:15 – 6:30 pm

*Exhibition Area*

**Cocktail Party**

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**Tuesday, October 14, 2008**

7:00 – 8:00 a.m.

*Conference Center/Plaza*

**Breakfast**

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8:00 – 8:15 am

*TBD*

**Day Two Highlights**

-Phil Chiricotti, President, CFDD

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8:15 – 9:15 am

*TBD*

**KEYNOTE SESSION**

**Fiduciary Ethos**

-Don Trone, President, Foundation for Fiduciary Studies

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9:15 – 10:00 am

**Networking Break**

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10:00 – 11:00 am

*TBD*

**Opportunities For RIAs & TPAs**

-Ronald L. Bush, (Co-Moderator) Principal, Brightwork Partners, LLC

-Allen L. Cairns, Sr. (Co-Moderator) Relationship Manager, John  
Hancock Retirement Plan Services

-John Carnevale, JD, President & CEO, Sentinel Financial Group

-Patrick Shelton, Partner, Benefit Plans Plus, LLC

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**Tuesday, October 14, 2008** (Conference Continued)

10:00 – 11:00 am

*TBD*

**Expanded Use of Low Cost Funds & The Future Of ETFs  
In The DC Marketplace**

- Antonio Ferreira (Moderator), Managing Director, Cogent Research
- Gregory Porteous, National Sales Manager, iShares 401(k), Barclays Global Investors
- Jamie Kitchens, CIO, NRP
- Mark Volker, Sr. VP, SunGard Wealth Management
- Steve Ferber, Sr. VP, Defined Contribution Practice, PIMCO

*TBD*

**Ethics & the Advisor: How to Pursue Business While Honoring  
Your Fiduciary Duties**

- Jim Scheinberg (Moderator), Sr. VP, Director Corporate Services Group, Oppenheimer & Co., Inc.
- Pete Swisher, VP & Sr. Inst'l Consultant, Unified Trust Company, NA
- Joe McLaughlin, Wealth Advisor, Portfolio Manger, Morgan Stanley
- Steve Glasgow, Sr. Inst'l Consultant, Wachovia Securities

*TBD*

**Acquiring & Monitoring DC Plans:  
The Application Of Research & Reporting Tools**

- John Faustino, VP, Desktop Software, Morningstar, Inc.
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11:00 – 11:15 pm

**Networking Break**

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11:15 – 12:15 pm

*TBD*

**Evaluating Target Date Funds: New Methodology Has Arrived**

- Grant Gardner, Director, Portfolio Strategies, Russell Investments

*TBD*

**Open Architecture: Evolution & Best Practices**

- Cliff Stanton, CIO, Prima Capital (Subsidiary Matrix Financial Solutions)
  - Gib Watson, President & CEO, Prima Capital, (Subsidiary Matrix Financial Solutions)
  - Stewart Cohune, President, MG Advisory Services (Division Matrix Financial Solutions)
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**Tuesday, October 14, 2008** (Conference Continued)

11:15 – 12:15 pm

*TBD*

**Who Owns The Client**

- Lisa Shidler (Moderator), Reporter, InvestmentNews
- Timothy J. Mahota, Chief Compliance Officer, Partnervest Securities Inc.
- Bo Bohanan, Director of Retirement Plan Consulting, Raymond James Financial
- Darla Sipolt, VP of Sales, TD Ameritrade Institutional
- Dorann Cafaro, General Partner, Cafaro Greenleaf (NRP Member)

*TBD*

**Are You Succeeding In Succession**

- Ray Henderson, Director, Business Health, PTY., Ltd.
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12:15 – 1:15 pm

*Conference Center/Plaza*

**Lunch**

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1:15 – 2:15 pm

*TBD*

**Fee Disclosure & Reporting Compliance**

- David Witz, Managing Director, Fiduciary Risk Assessment, LLC

*TBD*

**NQDC Plans Today**

- Bob Nienaber, The Phoenix Companies
- Chris Lakumb, Managing Director-Retirement Services, InterOcean Wealth Management
- Larry Comp, Principal, Humanomics, Inc.

*TBD*

**What Do You Do: Communicating Your Role To Plan Sponsors**

- Dorann Cafaro, General Partner, Cafaro Greenleaf (NRP Member)
- David Halseth, Principal, Strategies, LLC
- James Worrell, President, GPS Investment Advisors

*TBD*

**Gap Analysis: Revenue Growth & Participant Success**

- David Snyder, CEO, Perspective Partners
  - John Blossom, Alliance Benefit Group
  - Bruce Ashton, Esq., Partner, Reish Luftman Reicher & Cohen
  - Jim O'Shaughnessy, Principal, Sheridan Road Financial
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**Tuesday, October 14, 2008** (Conference Continued)

2:15 – 2:30 pm

**Networking Break**

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2:30 – 3:30 pm

*TBD*

**Tips & Traps For Advisors Who Are Fiduciaries & Pursue Rollover Business**

- Bruce Ashton, Esq., Partner, Reish Luftman Reicher & Cohen
- Jonathan W. Postal
- Al Otto, CEO, OneFiduciary Group, LLC

*TBD*

**403(b) Plan Opportunities**

- Michael J. DiCenso (Moderator), National Practice Leader, Gallagher Retirement Services, President, GBS Investment Consulting
- Vince Rainforth, VP Tax Exempt Market, Principal Financial Group
- Kevin Kidwell, VP, National Nonprofit Sales, OneAmerica/AUL Retirement Services
- David B. Ray, VP, National Practice Leader Not-for-Profit, Taft-Hartley & Public Sector Markets, Diversified Investment Advisors

*TBD*

**Using Technology To Increase Office Efficiency & Automate Plan Sponsor Services**

- Vince Morris (Moderator), VP, Bukaty Companies
- Adam Sokolic, Sr. VP of Operations, NRP
- Scott Revare, CEO, Center for Fiduciary Management
- John Halliday, Regional VP, Fiserv Investment Support Services

*TBD*

**How To Partner With Other Advisors Serving Your Plan Sponsor Clients**

- Michael Manning, Field VP, Retirement Plans Distribution, UNIFI Retirement Plans
  - Jim Schulz, Midlands Financial Benefits
  - Bill Janssen, VP, Sales Manager, Ameritas Investment Corp
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3:30 – 4:15 pm

**NETWORKING BREAK**

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**Tuesday, October 14, 2008** (Conference Continued)

4:15 – 5:15 pm

*TBD*

**Turning Fee Disclosure Into A Business Opportunity**

-David Wray, President, Profit Sharing/401(k) Council of America  
-Don Salama, Sr. Managing Director, Head of New York Life Retirement Plan Services

*TBD*

**The Distribution Process: Developing & Transferring Assets To Your Own Wealth Management Platform**

-Bryan Schneider (Moderator), Sr. VP, SMITH HAYES  
-Doug Prince, Managing Director, Stifel Nicolaus & Co  
-Hans Schemmel, VP, Retirement & AMA Products Consulting, National Financial Services

*TBD*

**Developing Business To Business Relationships** (*Restricted To Wholesalers & Home Office Personnel*)

-Ray Henderson, Director, Business Health, PTY., Ltd.

*TBD*

**Practice Management: Building A Better Business Model Through Plan Sponsor Satisfaction**

-Adrian Hodge, Sr. VP, 401(k) Sales Management, Fidelity Investments  
-Paul D' Aiutolo, VP, UBS Institutional Consulting  
-Steve Glasgow, Sr. Inst'l Consultant, Wachovia Securities

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5:15 – 6:30 pm

*Exhibition Area*

**Cocktail Party**

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**Wednesday, October 15, 2008** (Conference Continued)

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7:00 – 8:00 a.m.

*Conference Center/Plaza*

**Breakfast**

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8:15 – 9:30 am

*TBD*

**KEYNOTE SESSION**

**Retirement Plans Industry Update:  
No More Business As Usual**  
-Phil Chiricotti, President, CFDD

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9:30 – 9:45

**Networking Break**

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Wednesday, October 15, 2008 (Conference Continued)

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9:45 – 11:00 am

*TBD*

**Raffle Prizes**

**Grand Prize Motorcycle Drawing**

**Photo-Ops**

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For more information, contact Phil Chiricotti, President, at: CFDD, PO Box 8, Western Springs, IL 60558. We can be reached by phone at (630) 662-0284, by fax at (630) 662-0286 and by email at [CFDD@TheCFDD.com](mailto:CFDD@TheCFDD.com). You may also visit the CFDD's website for more information at: <http://www.thecfdd.com>.