CENTER FOR DUE DILIGENCE
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CFDD 2008 ADVISOR CONFERENCE
SCHEDULE OF EVENTS
(10/4/08)

"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

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

9:30 am – 6:45 pm

Conference Center's
Outside – Porte Cochere

Pre-Conference Registration Desk Opens

12:15 – 6:45 pm

Conference Center

PRE-CONFERENCE PROGRAM/TRAINING
For Wholesalers, TPA & RIAs

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

12:15 – 1:30 pm — **KEYNOTE SESSION (Wholesalers, TPAs & RIAs/Advisors)**

D&E — **Plan Design & Emerging Trends**
-Fred Reish, Managing Director, Reish Luftman Reicher & Cohen
(Sponsored by ING Retirement Services)

1:30 – 1:45 pm

TBD — **Break**

1:45 – 2:45 pm

F&G — **Basic Training for Wholesalers (Wholesalers)**
-Gary L. Anderson (Moderator), Midwest Regional Pension Manger, Stancorp Equities Inc.
-Scott Waite, Regional VP, John Hancock Retirement Plan Services
-Dany Yonan, Regional Director of Retirement Services, ING Retirement Products

D&E — **Opportunities & Challenges for TPAs in A Changing Marketplace (TPAs)**
-Ronald L. Bush, Principal, Brightwork Partners, LLC
-Allen L. Cairns, Senior Relationship Manager, John Hancock
Retirement Plan Services

H&I — **401(k) 101: Getting Started (RIAs & Advisors)**
-Steve Cronin, VP, National Sales Director, Ascensus

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

6:45 – 10:00 pm

Conference Center's
Outside – Porte Cochere **Conference Registration Desk Open**

2:45 – 3:00 pm

TBD **Break**

3:00 – 4:00 pm

F&G **Closing Larger Retirement Plans Business (Wholesalers)**
-Ann Schleck, Principal, Ann Schleck & Co.

D&E **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

H&I **How to Partner with Service Providers (RIAs & Advisors)**
-Kevin Adams (Moderator), CEO, Venture (k) Corp.
-Patricia Neal Jensen, Sr. VP, The Ryding Company
-George Revoir, Sr. VP - Distribution, John Hancock Financial Services
-John Hopkins, Executive Director, Alliance Benefit Group-National
-Jeremy Christensen, National Sales Rep, Sterling Trust Co

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

4:00 –

Conference Center **Exhibitor Setup**

4:00 – 4:30 pm

TBD **Snack/Beverage Break**

4:30 – 5:30 pm

F&G **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

D&E **Building A Partnership: How TPAs & Wholesalers Can Work Together (TPAs)**
-Ami Tully Lotka, President, Maximum IMPACT Partners

H&I **How to Incorporate Retirement Plans Into Your Practice (RIAs & Advisors)**
-Bryan Schneider, Sr. VP, SMITH HAYES

5:30 – 5:45 pm

TBD **Break**

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

5:45 – 6:45 pm

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

D&E — **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)

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

CONFERENCE PROGRAM/ACTIVITIES

Monday, October 13, 2008

6:30 – 7:45 am

Conference Center/Plaza **Registration & Breakfast**

7:45 – 8:15 am

D, E, F&G **Introduction & Day One Highlights**
-Phil Chiricotti, President, CFDD

8:15 – 9:15 am

D, E, F&G **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)

9:15 – 10:00 am

Exhibition Area **Networking Break**

Monday, October 13, 2008 (Conference Continued)

10:00 – 11:00 am

D&E

WHAT'S UP ON CAPITOL HILL:
Recent Pension Laws & Regulation
-Kathryn Capage, Strategic Planning Director, Institutional & Retirement Division, Invesco Aim

F&G

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

H

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

I

Building A Value Proposition & Effective Marketing for Retirement Plans Business
-Ann Schleck, Principal, Ann Schleck &Co.
-Richard Schainker, Retirement Plan Consultant, Invesco Aim

11:00 – 11:15 am **Networking Break**

11:15 am – 12:15 pm

D&E

ERISA Litigation Update
-Marcia S. Wagner, Esq., President, The Wagner Law Group

H

New Form 5500 & Audit Flags
-Andrew Gibson, Tax Partner, BDO Seidman, LLP
-Tony Leonard, BDO Seidman, LLP

F&G

Selecting Appropriate Target Date Funds
-Tom Idzorek, VP, Director of Research & Product Development, Ibbotson Associates

Monday, October 13, 2008 (Conference Continued)

11:15 am – 12:15 pm

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

12:15 – 1:15 pm

Conference Center/Plaza — **Lunch**

1:15 – 2:15 pm

H — **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

D&E — **Evaluating & Benchmarking Target Date Funds**
-John Rekenthaler, VP of Research & Product Development, Morningstar, Inc.

F&G — **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

I — **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

2:15 – 2:30 pm — **Networking Break**

Monday, October 13, 2008 (Conference Continued)

2:30 – 3:30 pm

D&E	**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.
H	**Seven Habits Of Highly Ineffective Advisors** -Kevin Bishopp, Practice Management Consultant, Russell Investments
I	**Dual Registration: Key Compliance Considerations** -Jeff Groves, President, ComplianceWorks, Inc. -Lisa Roth, CEO & President, Keystone Capital Corporation
F&G	**Developing Your Own RFP For Provider Evaluation** -Randy Long, Managing Principal, SageView Advisory Group -Jon Upham, Managing Director, Advisory Services, SageView Advisory Group

3:30 – 4:15 pm	**Networking Break**

4:15 – 5:15 pm

H	**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

D&E

New Retirement Income Products:
Threat & Opportunity For Advisors
-Introduction By Christina Stauffer, VP, PIMCO
-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)

F&G

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.

I

The Changing Paradigm of Retirement Plan Sales
-Jeffrey L. Hemker, Retirement Plans Consultant, Invesco Aim
-Michael Morris, Director Institutional Consulting, Ross, Sinclaire & Associates, LLC

5:15 – 6:30 pm

Exhibition Area

Cocktail Party

Tuesday, October 14, 2008

7:00 – 8:00 a.m.

Conference Center/Plaza **Breakfast**

8:00 – 8:15 am

D, E, F&G **Day Two Highlights**
-Phil Chiricotti, President, CFDD

8:15 – 9:15 am

D, E, F&G **KEYNOTE SESSION**

Fiduciary Ethos
-Introduction By Jon Blaze, Regional Retirement Sales Manager, Thornburg Investment Management
-Don Trone, President, Foundation for Fiduciary Studies

9:15 – 10:00 am **Networking Break**

10:00 – 11:00 am

I **Opportunities For RIAs & TPAs**
-Ronald L. Bush, (Co-Moderator) Principal, Brightwork Partners, LLC
-Allen L. Cairns (Co-Moderator) Senior Relationship Manager, John Hancock Retirement Plan Services
-John Carnevale, JD, President & CEO, Sentinel Financial Group
-Patrick Shelton, Partner, Benefit Plans Plus, LLC
-Daniel Boardman, Hickok & Boardman Retirement Solutions

Tuesday, October 14, 2008 (Conference Continued)

10:00 – 11:00 am

D&E **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

F&G **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. VP, Stanford Group Company

H **Acquiring & Monitoring DC Plans: The Application Of Research & Reporting Tools**
-John Faustino, VP, Desktop Software, Morningstar, Inc.

11:00 – 11:15 pm **Networking Break**

11:15 – 12:15 pm

D&E **Evaluating Target Date Funds: New Methodology Has Arrived**
-Grant Gardner, Director, Portfolio Strategies, Russell Investments

H **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)

Tuesday, October 14, 2008 (Conference Continued)

11:15 – 12:15 pm

F&G **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)

I **Are You Succeeding In Succession**
-Ray Henderson, Director, Business Health, PTY., Ltd.

12:15 – 1:15 pm

Conference Center/Plaza **Lunch**

1:15 – 2:15 pm

D&E **Fee Disclosure & Reporting Compliance**
-David Witz, Managing Director, Fiduciary Risk Assessment, LLC

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

H **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

F&G **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

Tuesday, October 14, 2008 (Conference Continued)

2:15 – 2:30 pm	**Networking Break**
2:30 – 3:30 pm	
D&E	**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
H	**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 -Steve Smith, VP, Diversified Investment Advisors
F&G	**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
I	**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
3:30 – 4:15 pm	**NETWORKING BREAK**

Tuesday, October 14, 2008 (Conference Continued)

4:15 – 5:15 pm

D&E	**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
F&G	**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
H	**Developing Business To Business Relationships** *(Restricted To Wholesalers & Home Office Personnel)* -Ray Henderson, Director, Business Health, PTY., Ltd.
I	**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. VP, Stanford Group Company

5:15 – 6:30 pm

Exhibition Area	**Cocktail Party**

Wednesday, October 15, 2008 (Conference Continued)

7:00 – 8:00 a.m.

Conference Center/Plaza **Breakfast**

8:15 – 9:30 am

D, E, F&G **KEYNOTE SESSION**

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

9:30 – 9:45 **Networking Break**

Wednesday, October 15, 2008 (Conference Continued)

9:45 – 11:00 am

D, E, F&G **Raffle Prizes**

Grand Prize Motorcycle Drawing

Photo-Ops

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. You may also visit the CFDD's website for more information at: http://www.thecfdd.com.