CENTER FOR DUE DILIGENCE
P.O. Box 8 • Western Springs, Illinois 60558
(630) 662-0284 • Fax (630) 662-0286

E-mail: CFDD@TheCFDD.com Web: http://www.TheCFDD.com

CFDD 2009 ADVISOR CONFERENCE
SCHEDULE OF EVENTS

(9/21/09)

ADAPT, SURVIVE & PROSPER:
A Bull Market In BOR Changes

October 5-7, 2009 (Monday -Wednesday)
The Fairmont Scottsdale Princess
Scottsdale, Arizona

Sunday, October 4, 2009

3:00 – 10:00 pm

Conference Center's Outside – Porte Cochere

Conference Registration Desk Open

7:00 – 9:30 pm

Princess Plaza Courtyard

Kick-Off Party & Western Clothing Awards Sponsor: New York Life Retirement Plan Services

- **Music, Food, Cocktails & Entertainment**
- **His & Hers Authentic Western Getup Awards:** Presented To Party Attendees Sporting The Most Authentic Western Attire

---

CONFERENCE PROGRAM/ACTIVITIES

Monday, October 5, 2009

6:30 – 7:30 am

Conference Center/Plaza **Registration & Breakfast**

7:30 – 7:45 am

D, E, F&G **Introduction & Day One Highlights**

7:45 – 8:45 am

D, E, F&G

KEYNOTE:
More Laws, Regulations & Changes: Threats & Opportunities
-Fred Reish, Managing Director, Reish & Reicher
(Sponsored by ING Retirement Services)

8:45 – 9:15 am

Exhibition Area **Networking Break**

Monday, October 5, 2009

9:15 – 10:15 am

D&E — ***ERISA Litigation & Trend Update:***
The Assault On Traditional Business Practices Intensifies
-Marcia S. Wagner, Managing Director, The Wagner Law Group

F&G — ***Oracles Illuminated: Investment Market Forecasts From Proven Experts***
-Robert Huebscher, CEO, Advisor Perspectives

H — ***Misdemeanors Of Investment Reporting***
-David Witz (Moderator), Managing Director, FRA & Plan Tools LLC
-Jeff Schwartz, Managing Director, Markov Processes International, LLC (MPI)
-Robert Padgette, CEO, Klein Decisions

I — **Using Web-Based Interactive Videos To Engage Participants, Lower Costs, Win New Business & Satisfy Fiduciary Obligations**
-Tony Mingo (Moderator), President & CEO, vWise Inc.
-John Blossom, President & CEO, Alliance Benefit Group of Illinois, Inc.
-TBD, Advisor

10:15 – 10:30 am — **Networking Break**

10:30 – 11:30 am

D&E — ***What's Up On Capitol Hill?***
-Kathryn Capage, Director of Retirement Research, Invesco Aim

F&G — ***MPT: Bruised, Broken, Misunderstood or Misapplied***
-Jim Scheinberg (Moderator), Managing Partner,
North Pier Fiduciary Management, LLC
-James Lauder, CEO, Global Index Advisors, Inc
-Thomas Idzorek, CIO, Director of Research & Product Development,
Ibbotson Associates- a Morningstar Company
-Blaine Aikin, President & CEO, fi360

Monday, October 5, 2009

10:30 – 11:30 am

H **The Future Of DB Plans: Why & How Advisors Should Engage Clients Now**
-Brian Hubbell (Moderator), Principal, Hubbell Consulting, LLC
-Marcia Wagner, Managing Director, The Wagner Law Group
-Lynda Abend, Director, Actuarial Consulting, ERISA Services & Compliance, New York Life Retirement Plan Services

I ***Inspiring Plan Participants To Save During Turbulent Conditions***
-Heidi Walsh, Director of Intermediary Relations, T. Rowe Price

11:30 – 11:45 am **Networking Break**

11:45 am – 12:45 pm

D&E ***The Outlook For Passive Investing: Impact Of The Financial Crisis***
-David M. Blitzer, Chairman of the Index Committee, Standard & Poor's

F&G ***Best Practices For Demonstrating Value, Strengthening Your Business & Managing Increased Fee Transparency***
-Adrian Hodge (Moderator) Sr. VP, 401(k) Sales Management, Fidelity Investments
-Robert A. Goldstein, Principal, StoneStreet Equity, LLC
-John Mott, Smith Barney

H ***Advisors Needed To Rehabilitate The Hospital/Healthcare 403(b) Programs***
-Vince Rainforth (Moderator), VP Tax Exempt Market, Principal Financial
-Tom Scalici, Managing Director & CEO, Cornerstone Institutional Investors, Inc
-Robert Lavenberg, Partner, BDO Seidman, LLP

Monday, October 5, 2009

11:45 am – 12:45 pm

I — ***Plan Level Reporting: The Advisor's Role***
-Paul D'Aiutolo (Moderator), VP, Investments, UBS Institutional Consulting
-Dorann Cafaro, General Partner, Cafaro Greenleaf
-Doug Prince, Managing Director, Stifel Nicolaus

12:45 – 1:45 pm

Conference Center/Plaza — **Lunch**

1:45 – 2:45 pm

D&E — ***Plan Health & Retirement Readiness***
-George Revoir, Sr. VP Distribution, John Hancock Retirement Plan Services

F&G — ***Real Return Assets***
-Thomas Idzorek, CIO, Director of Research & Product Development, Ibbotson Associates- a Morningstar Company

H — ***The Terminal Annuity Bidding Process***
-Brian Hubbell (Moderator), Principal, Hubbell Consulting, LLC
-Marcel Haddad, AVP, SPGA Sales, , Transamerica Retirement Services
-Glenn O'Brien, Managing Director, Institutional Investments, Prudential Retirement
-Dan Smith III, Regional VP, Mutual of Omaha

I — ***Graduating To The Not-For Profit (403(b) Higher Education Market***
-Joe Masterson (Moderator), Sr. VP, Chief Sales & Marketing Officer Diversified Investment Advisors
-Michael Rosenbaum, Partner, Employee Benefits & Executive Compensation Practice Group, Drinker Biddle & Reath, LLP
-Trisha Brambley, President, Resources for Retirement
-Jeff Levy, Practice Leader, Retirement Plan Services, Cammack LaRhette

Monday, October 5, 2009

2:45 – 3:00 pm **Networking Break**

3:00 – 4:00 pm

D&E ***Benchmarking Retirement Plan Advisor Practices & Fees***
-Ann Schleck, Principal, Ann Schleck & Co.
-Sue Kelley, Principal, Ann Schleck & Co.

F&G ***Commodities As An Alternative Asset Class***
-John Cavalieri, Sr. VP, Product Manager, PIMCO

H ***The Forgotten Opportunity: 403(b) Sponsors Providing Charitable, Scientific, Literary & Social Services***
-Tom Blanchar, 403(b) & 457 Product Manager, The Standard
-TBD, Advisor

I ***Best Practices Pensionization***
-Kelli Hueler, CEO, Hueler Companies
-Paula Hogan, Founder, Hogan Financial

4:00 – 4:30 pm **Networking Break**

Monday, October 5, 2009

4:30 – 5:30 pm

D&E — ***The Future Of National Retirement Policy: Impact On 401(k) Plans, Sponsors & The Industry***
-Pete Swisher (Moderator), VP, Sr. Institutional Consultant, Unified Trust Company, NA
-David Wray, President, Profit Sharing/401(k) Council
-Fred Reish, Managing Director, Reish & Reicher
(Sponsored by ING)

F&G — ***Evaluating Commodity Indexes***
-David M. Blitzer, Chairman of the Index Committee, Standard & Poor's

H — ***Gross-To-Net Pricing Revisited: Now What?***
-Jim Scheinberg (Moderator), Managing Partner, North Pier Fiduciary Management, LLC
-Michael Morris, Director Institutional Consulting, Ross, Sinclaire & Associates, LLC
-Vince Morris, VP, Bukaty Companies
-Vanessa Watkins, VP, Strategic Alliances, The Newport Group

I — ***Trends, CLAIMS & Settled Cases: How To Use Professional Liability Insurance To Grow Your Business***
-Gary Sutherland (Moderator), CEO, NAPLIA
-Tom Schrandt, VP of Sales, NAPLIA
-Jason C. Roberts, Partner, Reish & Reicher
-Susan Stiles, Founder & CEO, Stiles Financial
-Alexander G. Assaley III, Financial Advisor, Corporate Retirement Plans, AFS Financial Group

5:30 – 6:30 pm

Exhibition Area — **Cocktail Party**

Tuesday, October 6, 2009

6:30 – 7:30 am

Conference Center/Plaza **Registration & Breakfast**

7:30 – 7:45 am

D, E, F&G **Introduction & Day Two Highlights**

7:45 – 8:45 am

D, E, F&G

KEYNOTE:
Risks, Rewards & The Regulation Of Investment Advisors
Under The New Fiduciary Standard
-Blaine Aikin, President & CEO, fi360

8:45 – 9:15 am

Exhibition Area **Networking Break**

Tuesday, October 6, 2009

9:15 – 10:15 am

D&E — ***Asset Allocation & Rebalancing: Tweaking The Old Model***
-Craig Israelsen, Ph.D., Associate Professor, Brigham Young University & Architect of the 7Twelve Portfolio

F&G — ***Can An Advisor Be A Fiduciary To The Plan & Provide Participant Advice?***
-Jim Scheinberg (Moderator), Managing Partner, North Pier Fiduciary Management, LLC
-Bruce Ashton, Partner, Reish & Reicher
-David Halseth, Principal, Strategies, LLC
-Chad Griffeth, Co-Founder, Actium

H — ***Looking Behind The Curtains: Using Stable Value To Add Value & Grow Your Business***
-Steve Ferber, Sr. VP, DC Practice, PIMCO

I — ***How To Target Professional Practices & Win 90% Of The Time***
-Pete Swisher, VP, Sr. Institutional Consultant, Unified Trust Company, NA
-Bryan M. Schneider, Sr VP, SMITH HAYES

10:15 – 10:30 am — **Networking Break**

10:30 – 11:30 am

D&E — ***Moving Beyond The Four Major Food Groups: Evaluating Alternative Approaches To The Dc Plan Investment Menu***
-Anne Lester, Managing Director, Sr. Portfolio Manager, Global Multi-Asset Group, JPMorgan Asset Management

F&G — ***Prohibited Transactions That Put Advisor Compensation At Risk: How To Avoid Disgorgement & Turn Compliance Into Sales***
-David Witz, Managing Director, Fiduciary Risk Assessment & Plan Tools LLC

Tuesday, October 6, 2009

10:30 – 11:30 am

H	***ETFs & Individual Portfolio Construction*** -Scott Burns (Moderator), Director of ETF Analysis, Morningstar, Inc. -Adam Gebler, Principal, iShares Product Services & Analytics -Ed McRedmond, Senior Vice President, PowerShares Business Development -Richard Ferri, CEO, Portfolio Solutions LLC, Author of *The ETF Book*
I	***Benchmarking Retirement Plans: Services, Features, Fees & Satisfaction*** -Tom Kmak (Moderator), CEO, Fiduciary Benchmarks, Inc -Susan Rose, Managing Director – Investments, Oppenheimer & Co., Inc. -Paul D'Aiutolo, VP, Investments, UBS Institutional Consulting

11:30 – 11:45 am **Networking Break**

11:45 am – 12:45 pm

D&E	***Tactical Asset Allocation*** -Ted Theodore, Chief Investment Officer, Avatar Associates, LLC -Michael Smith, Target Date Manager, Avatar Associates, LLC -Carl Fellhauer, Owner & Founder, Trusted Financial Advisors
F&G	***Wealth Planning Part II: Evaluating HNW Platforms, Software, Marketing & Support*** -Kent Fitzpatrick (Moderator), Asset Strategy Consultants -Bill Crager, President, Envestnet Asset Management -Edmond Walters, Founder & CEO, eMoney Advisor -David Snyder, CEO, Perspective Partners
H	***Cash Balance Plans: An Ideal Solution & A Business Generator*** -Daniel Kravitz, President, Kravitz, Inc. -Steve Sansone, Principal, Kravitz Investment Services, Inc.
I	***Total Cost Benchmarking: A Heart Attack Waiting To Happen.*** -Al Otto, CEO, OneFiduciary Group, LLC

Tuesday, October 6, 2009

12:45 pm – 1:45 pm

Conference Center/Plaza **Lunch**

1:45 – 2:45 pm

D&E ***Behind Every Successful Advisor Is A Good Team***
-Sue Kelley (Moderator), Principal, Ann Schleck & Co.
-Doug Prince, Managing Director, Stifel Nicolaus
-Brea Dantin, Sr. Client Service Manager, Stifel Nicolaus
-Randy Long, Managing Principal, SageView Advisory Group
-Jennifer C. Purisima, Director of Client Services, SageView Advisory Group

F&G ***The Impact Of Economic Distress On Retirement Plans & Advisors: Protocol For Retirement Plan Clients***
-Steve Glasgow (Moderator)**,** Sr. VP, Avondale Partners
-Robert M. Kaplan, VP, National Training Consultant, ING
-Bruce Ashton, Partner, Reish & Reicher
-James Worrell, President, GPS Investment Advisors
-Gary Sutherland, CEO, NAPLIA

H ***International Best Practices: A Global View Of Advisor Practices***
-Ray Henderson, Director, Business Health, PTY., Ltd.

I ***Target Date Fund Family Reports***
-John Rekenthaler VP, Research, Morningstar

2:45 – 3:00 pm **Networking Break**

Tuesday, October 6, 2009

3:00 – 4:00 pm

D&E ***Tools For Categorizing & Analyzing Target Date Funds***
-Glenn Dial, VP, Investment Only DC, JPMorgan Asset Management

F&G ***Developing & Integrating Wealth Management Teams***
-Jim O'Shaughnessy (Moderator), Principal, Sheridan Road Financial
-Vince Morris, VP, Bukaty Companies
-Paul D'Aiutolo, VP, Investments, UBS Institutional Consulting
-Joshua P. Itzoe, Principal, Greenspring Wealth Management

H ***Expanding Your Business While Corporations Are Downsizing***
-Jim Langenwalter, Chief Business Development Officer, RolloverSystems
-Robert L. Francis, COO, National Retirement Partners, Inc
-Charles Epstein, Founder, The 401k Coach Program

I ***Using Non-Standard Plan Design To Solve Personal & Business Issues***
-Allen L. Cairns (Moderator), AVP, Sr. Relationships Mgr, TPA Services, John Hancock Retirement Plan Services
-Daniel Kravitz, President, Kravitz, Inc.
-Gregory Matthews, CEO, Matthews Benefit Group, Inc. & Editor, 401(k) Advisor (CCH Publication)
-Stephen R. Rosen, President, Stephen H. Rosen & Associates, Inc.,

4:00 – 4:30 pm **Networking Break**

Tuesday, October 6, 2009

4:30 – 5:30 pm

D&E — ***Retirement Income Portfolio Construction***
-Keith Diffenderffer (Moderator), Founder & President, Endowment Income, LLC
-Robert Shapiro, VP, Alternative Investments, State Street Global Advisers
-Craig Israelsen, Ph.D., Associate Professor, Brigham Young University & Principal, Target Date Analytics LLC
-Garth Bernard, President & CEO, Sharper Financial Group

F&G — **The Future is Now: ETFs in 401(k) Plans**
-Tony Ferreira (Moderator), Managing Director, Cogent Research
-Greg Porteous, National Sales Manager, iShares 401(k), Barclays Global Investors
-Mike Vogel, VP, Strategic Delivery Services, Wealth Management, SunGard
-Michael P. Kiley, President, PAi
-Dick Darian, EVP, Chief Marketing Officer, NRP

H — ***What Worries Retirement Advisors Today***
-Neil Anderson (Moderator), Reporter, The 401k & MF Wire
-Scott Everhart, President, Everhart Financial Group, Inc.
-Ken Ulrich, Sr. VP, Complete Pension Services
-John Kellar, VP Investments, Retirement Plans Consultant, Wells Fargo Advisors
-Brian Ward, Managing Director-Investment Officer, Sr. Institutional Consultant, Ward Financial Advisory of Wells Fargo Advisors

I — ***Fiduciary Oversight: How To Structure An Effective Retirement Plan Committee***
-Randy Long, Managing Principal, SageView Advisory Group
-Jeff Gratton, Corporate Retirement Plan Consultant, SageView Advisory Group

---

5:30 – 6:30 pm

Exhibition Area — **Cocktail Party**

Wednesday, October 7, 2009

6:30 – 7:30 a.m.

Conference Center/Plaza **Breakfast**

7:30 – 8:30 am

D&E

KEYNOTE:
The DC System: Never So Strong, Never So Fragile
-David Wray, President, Profit Sharing/401(k) Council

8:30 – 8:45 am **Networking Break**

8:45 – 9:45 am

D&E

Customizing Your Own QDIA Asset Allocation Solution
-Michael Case Smith (Moderator) Target Date Manager, Avatar Associates, LLC
-John Blossom, President & CEO, Alliance Benefit Group of Illinois
-Jeff Gratton, Corporate Retirement Plan Consultant, SageView Advisory Group
-Jason C. Roberts, Partner, Reish & Reicher

F&G

How To Use The BrightScope Rating To Grow Your Business:
-Mike Alfred, Co-Founder & CEO, BrightScope, Inc.
-Ryan Alfred, Co-Founder & President, BrightScope, Inc.

9:45 – 10:00 am **Networking Break**

Wednesday, October 7, 2009

10:00 – 11:00 am

D&E ***How To Grow Your Business Through Broker of Record Changes: A Bull Market With Legs***
-Stace Hilbrant (Moderator), Managing Director, 401kAdvisors LLC
-Mike DiCenso, National Practice Leader, Gallagher Retirement Services
-Dave Kulchar, EVP, Director of Retirement Plan Services, Oswald Financial, Inc.

11:00 am

D&E **Raffle Prizes**

Grand Prize Luxury Ranch Vacation Sponsor: Paradigm Capital Management

The CFDD's 2009 Advisor Conference Grand Prize Luxury Ranch Vacation is a dream getaway for two at Montana's top rated Triple Creek Ranch. Other than advance conference registration, there are no eligibility requirements for the Grand Prize. Attendees must be present at the drawing to win the prize on Wednesday, 10/7/09. For more information on the Triple Creek Ranch, visit: http://www.triplecreekranch.com.

Photo-Ops

©Copyright 2009. All rights reserved. Center for Due Diligence. This release is published exclusively for the trade as general information and should not be viewed as a recommendation to buy or sell securities, other investments or to adopt any investment strategy. This material should also not be viewed as a forecast as CFDD opinions are influenced by marketplace dynamics and subject to change. The CFDD is not a law, advisory or investment firm. We do not give legal, tax, investment or any other type of advice. The CFDD does not warrant and is not responsible for the accuracy of content, errors or omissions. All investments involve risk. Reliance upon information in this material is at the sole discretion of the reader. The CFDD is an information & strategic resources firm serving retirement plan advisors. The CFDD also hosts the industry's largest conference for retirement plan advisors. The CFDD's October 5-7, 2009 Advisor Conference, *Adapt, Survive & Prosper* will be held at the Fairmont Scottsdale Resort in Scottsdale, Arizona. For more information about our publications, conferences and advertising opportunities, contact: 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 @TheCFDD. . You may also visit our website for more information at: http://www.thecfdd.com.