

**CENTER FOR DUE DILIGENCE**  
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**CFDD 2010 ADVISOR CONFERENCE**  
**SCHEDULE OF EVENTS**  
(9/30/10)

***NEW AGE MARKETING:***  
***What Worked In The Past Is No Longer Effective***

October 6-8, 2010 (Wednesday-Friday)  
The Chicago Fairmont Millennium Park Hotel  
Chicago, IL

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**Tuesday, October 5, 2010**

3:00 – 9:30 pm

*Imperial Foyer*  
*B-2 Level*

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**Conference Registration Desk Opens**

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7:00 – 9:30 pm

*Fairmont Chicago Hotel*  
*Moulin Rouge Room*  
*Lobby Level*

**Kick-Off Party, Awards & Prizes**  
Sponsored By:  
**New York Life Retirement Plan Services**

**-Music, Food, Cocktails & Entertainment**  
**-His & Hers 50's Attire Awards**  
**-Twist Contest**  
**-Hula Hoop Contest**

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**CONFERENCE PROGRAM/ACTIVITIES**

**Wednesday, October 6, 2010**

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6:30 – 7:30 am

*Imperial Ballroom*

**Registration & Breakfast**

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7:30 – 7:45 am

*Int'l Ballroom*

**Introduction & Day One Highlights**

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7:45 – 8:45 am

*Int'l Ballroom*

**KEYNOTE:**

***Washington Update***

-Steve Saxon, Chairman, Groom Law Group

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8:45 – 9:15 am

*Imperial Ballroom*

**Networking Break**

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**Wednesday, October 6, 2010**

9:15 – 10:15 am

*Int'l Ballroom*

***ERISA Litigation & Trend Update:***

-Marcia S. Wagner, Managing Director, The Wagner Law Group

*Gold*

***Cross-Selling Strategies & ERISA Compliance:***

***Avoiding The Regulatory Crosshairs***

-Jason Roberts, Partner & Co-Chair Financial Services Group, Reish & Reicher

*Crystal*

***Leveraging Centers Of Influence***

-Bob Clark, Managing Director, Retirement Services, The Bostonian Group

-Chip Hardy, Principal & Co-Founder, PrimeTRUST Advisors

-Troy Hammond, President & CEO, Pensionmark

*Regent*

***Credentials I: Which Ones & Why***

-Kevin Mahoney (**Moderator**), VP, The Mahoney Group

At Merrill Lynch (*AIFA*)

-Larry E. Crocker, CEO, Fiduciary Consulting Group, Inc. (*PPC*)

-Ryan Madigan, VP, Corporate & Institutional Relationships,

First National Bank (*CIMA*)

-John Kellar, VP Investment Officer, Sr. Institutional Consultant,

Wells Fargo Advisors (*AIF*)

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10:15 – 10:30 am

*Imperial Ballroom*

**Networking Break**

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10:30 – 11:30 am

*Int'l Ballroom*

***How Not To Get Sued & Avoid Being Reported On The Schedule C***

-David Witz, Managing Director, FRA/PlanTools

-Larry H. Goldbrum, General Counsel & EVP, The SPARK Institute, Inc.

**Wednesday, October 6, 2010**

10:30 – 11:30 am

*Gold*

***Too Good To Be True: Provide Participant Level Services & Cross-Sell Without Prohibited Transaction Risk***

- David Snyder, CEO, Perspective Partners
- Bruce Ashton, Partner, Reish & Reicher
- Charles Epstein, Founder, The 401kCoach Program

*Crystal*

***Developing Your Own Lists***

- Gregg Fischer (Moderator), National Marketing/Project Manager, Gallagher Retirement Services
- Mike Swallow, Sr. VP, CBIZ Financial Solutions, Inc.
- Michael Morris, Director Inst'l Consulting, Ross, Sinclair & Associates, LLC
- Matt Gulseth, Partner, Channel Financial

*Regent*

***Credentials II: Which Ones & Why***

- Chuck Williams (**Moderator**), Managing Director, Sheridan Road Financial (*CRPS*)
- Ken Ulrich, Sr. VP, Complete Pension Services (*PRP*)
- Rick Unser, Retirement Services, Lockton Financial (*QPFC*)

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11:30 – 11:45 am

*Imperial Ballroom*

**Networking Break**

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11:45 am – 12:45 pm

*Int'l Ballroom*

***Stable Value: The Calm After The Storm***

- Steven F. Dorval, Managing Director, Head of DC Investments  
New York Life Investments

*Gold*

***Going Beyond Markowitz Mean-Variance***

- Thomas Idzorek, CIO, Director of Research & Product Development,  
Ibbotson Associates –A Morningstar Company
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**Wednesday, October 6, 2010**

11:45 am – 12:45 pm

*Crystal*

***Informational Marketing***

- Gregg Fischer (Moderator), National Marketing/Project Manager,  
Gallagher Retirement Services
- Brian J. Hanna, Sr. Relationship Manager, Everhart Financial Group, Inc.
- Steve Wylam, Partner, Capital Analysts of the Midwest, Inc
- Michael Morris, Director Inst'l Consulting, Ross, Sinclair & Associates, LLC

*Regent*

***Credentials III: Which Ones & Why***

- Nick Ignatowski (**Moderator**), Managing Member,  
The Planners Group, LLC (*CFS*)
- Steve Glasgow, Sr. VP, Avondale Partners, LLC (*CFA*)
- Stace Hilbrant, Managing Director, 401kAdvisors, LLC  
(*Certified Fiduciary Advisor*)
- Daniel Piazza, Founder & Partner, WealthPlanners, LLC (*CEBS*)

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12:45 – 1:45 pm

*Imperial Ballroom*

**Lunch**

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1:45 – 2:45 pm

*Int'l Ballroom*

***The Intersection Of Inbound Marketing, New Media, Sales & Compliance***

- Sheri Fitts, Director of Communications, Large Plan Sales, The Standard
- Jennifer Sussman, Director-Online Marketing & Experience, American Century  
Investments
- R. Dean Piccirillo, Principal/Senior Financial Advisor, HBK Sorce  
Financial LLC
- Chad Bockius, CEO, Socialware

*Gold*

***Decoding Target Date Fund Design***

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

Crystal

***B-D Supervision Of Independent RIA Activities***

- Randy Long, Managing Principal, SageView Advisory Group
- Geoffrey F. Ward, National Director of the MetLife Pension Resource Center, MetLife Broker-Dealer Group
- Jason Roberts, Partner & Co-Chair Financial Services Group, Reish & Reicher

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***Credentials IV: Which Ones & Why***

- Paula Hogan (**Moderator**), Founder, Hogan Financial Management, LLC (*CFP*)
- Susan M. Stiles, Founder & CEO, Stiles Financial Services (*ChFC*)
- William Heestand (*CLU*), Principal, The Heestand Company

2:45 – 3:00 pm

Imperial Ballroom

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**Networking Break**

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3:00 – 4:00 pm

Int'l Ballroom

***What Type Of ERISA Fiduciary Are You & Why It Matters:***

***Limited Scope 3(21), 3(38) Investment Manager, Full Scope 3(21), 3(16) Plan Administrator, Blah, Blah, Blah***

- David Witz (Moderator), Managing Director, FRA/PlanTools
- Jeff Gratton, Corporate Retirement Plan Consultant, SageView Advisory Group
- Robbie Cannon, President & CEO, Horizon Investments, LLC
- Jason Roberts, Partner & Co-Chair Financial Services Group, Reish & Reicher

Gold

***Identifying Problem Managers Before They Blow Up***

- Jeff Schwartz, Managing Director, Markov Processes Int'l (MPI)

Crystal

***Aggressive Approaches To Marketing Your Business***

- Sharon Pivrotto, COO, Financial Service Standards
- Don Settina, CEO, Financial Service Standards
- Dave Kulchar, EVP, Director of Retirement Plan Services
- James Holland, Partner, Millennium Investment & Retirement Advisors LLC



**Thursday, October 7, 2010**

5:30 – 6:30 pm

*Imperial Ballroom*

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**Cocktail Party**

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**Thursday, October 7, 2010**

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6:30 – 7:30 am

*Imperial Ballroom*

**Registration & Breakfast**

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7:30 – 7:45 am

*Int'l Ballroom*

***Introduction, Day Two Highlights & Defining Advisor Expertise***

-David Witz, Managing Director, FRA/PlanTools

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7:45 – 8:45 am

*Int'l Ballroom*

**KEYNOTE:**

***The March Towards Socialism:***

***Impact On Advisors & The Retirement Industry***

-Marcia S. Wagner, Managing Director, The Wagner Law Group

-Jerry Bramlett, President & CEO, NextStep Defined Contribution, Inc

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8:45 – 9:15 am

*Imperial Ballroom*

**Networking Break**

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**Thursday, October 7, 2010**

9:15 – 10:15 am

*Int'l Ballroom*

***Retirement Income: Needs, Wants & Solutions***

- Patrick Rieck (Moderator) , Divisional Retirement Manager,  
Morgan Stanley Smith Barney
- Joe Masterson, Sr. VP, Chief Sales & Marketing Officer, Diversified Investment  
Advisors
- Thomas Bruns, Divisional VP, John Hancock Retirement Plan Services
- James Lyday, Sr. VP, Secure Retirement Solutions, Prudential Financial

*Gold*

***Pre-Designed DC Plan Investment Reporting & Analytics I: A Side-by-Side  
Comparison of Fi360, Advisor Workstation & FiRM***

- Steve Cronin (Moderator), VP, National Sales Director, Ascensus
- Sue Rose (*Fi360*), Managing Director-Investments, Oppenheimer & Co., Inc.
- Chad Gutner (*FiRM*), Retirement Sales Consultant, Commonwealth  
Financial Network
- Rita Fiumara (*Advisor Workstation*), 1<sup>st</sup> VP, Investments, UBS Financial  
Services, Inc.

*Crystal*

***Multiple-Employer Plans: A Cost Effective Small Plan Solution***

- Terrance P. Power (Moderator), President, American Pension Services, LLC
- Jim Kais, VP, Special Markets, Transamerica Retirement Services
- Tony Michael, President, FutureBenefits of America
- W. Michael Montgomery, Managing Principal, Montgomery Retirement  
Plan Advisors, Inc

*Regent*

***Good Intentions – Unintended Consequences***

- Tom Warren, Sr. VP, American Funds Distributors

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10:15 – 10:30 am

*Imperial Ballroom*

**Networking Break**

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**Thursday, October 7, 2010**

10:30 – 11:30 am

- Int'l Ballroom*      ***Retirement Income Smackdown Case Study: Three Advisors Using Different Approaches Duke It Out Over The Best Solution For “One” Client\****  
-Garth Bernard, CEO, Sharper Financial Group  
-Curtis V. Cloke, CEO & Founder, Thrive Income Distribution System ®  
-William Heestand, Principal, The Heestand Company  
-John Mulligan, President & Founder, Mulligan Capital Management, Inc
- Gold*      ***Pre-Designed DC Plan Investment Reporting & Analytics II: A Side-by-Side Comparison of PlanTools, Newkirk, Lipper & Matrix***  
-Gene Huxhold (Moderator), Sr. Managing Director, John Hancock Mutual Funds, DCIO  
-Kent Fitzpatrick (*PlanTools*), Asset Strategy Consultants-Boston  
-Lawrence Solomon (*Newkirk*), President & CEO, Alliance Benefit Group Consultants  
-Brett Howell (*Lipper*), Wealth Management Advisor, The Howell & Sharp Group At Merrill Lynch  
-Peter Recchia (*Matrix*) President, Recchia Pension Advisory
- Crystal*      ***Best Practices In 403(b) Plan Design: Carpe Diem***  
-Brodie Wood, VP, NFP National Practice Leader, Diversified Investment Advisors  
-Bradford P. Campbell, Of Counsel, Schiff Hardin LLP  
-Kevin Mahoney, VP, The Mahoney Group At Merrill Lynch
- Regent*      ***Growth, Service & Quality Requires Infrastructure***  
-Brea Dantin (Moderator), Sr. Client Service Manager, Stifel Nicolaus  
-J. Michelle Sybesma, Development Specialist, Professional Skills Consulting, Inc  
-Randy Long, Managing Principal, SageView Advisory Group  
-Jamie Worrell, President, GPS Investment Advisors
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**Thursday, October 7, 2010**

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11:30 – 11:45 am

*Imperial Ballroom*

**Networking Break**

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11:45 am – 12:45 pm

*Int'l Ballroom*

***Investment Reporting III: A Side-by-Side Comparison Of “Insourced” Custom Solutions From MPI, Zephyr, & Morningstar Direct***

- Angelo Auriemma (Moderator), Director of Investment Advisory Services, Plan Sponsor Advisors
- Walt Melcher (*Morningstar Direct*), Managing Principal, ClearPath Retirement Partners
- Jeff Church (*MPI*), Executive Director, Retirement Services Department, Oppenheimer & Co Inc.
- James Kitchens (*Zephyr*), CIO, National Retirement Partners

*Gold*

***How To Service Small Plans Effectively & Profitably***

- Eric Henon (Moderator), President, EACH Enterprise, LLC
- Vince Morris, VP of Retirement Services, Bukaty Companies
- Dave Kulchar, EVP, Director of Retirement Plan Services
- Tom Herbruck, Partner, Herbruck Alder & Co

*Crystal*

***You Can Lead Them To Water, But You Can't Make Them Drink***

- Vince Rainforth, VP Tax Exempt Market, Principal Financial Group
- Sean Lyons, Sr. Consultant, Cornerstone Inst'l Investors, Inc
- Robert Lavenberg, Partner, BDO Seidman, LLP
- David Levine, Principal, Groom Law Group

*Regent*

***Retirement Readiness: THE Industry Question***

- Tom Kmak, CEO, Fiduciary Benchmarks, Inc.
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**Thursday, October 7, 2010**

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12:45 pm – 1:45 pm

*Imperial Ballroom*

**Lunch**

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1:45 – 2:45 pm

*Int'l Ballroom*

***Advisor Customized “Outsourced” Reporting Solutions***

- Adam Sokolic (Moderator), Sr. VP, National Retirement Partners
- Dorann Cafaro (*FinaConnect*) General Partner, Cafaro Greenleaf
- Robert A. Goldstein (*FinaConnect*), Principal, StoneStreet Equity, LLC
- Kenneth Robertson, Principal, 401(k) Investment Policy Services
- Lucas M. Barton, VP, Lockton Investment Advisors, LLC

*Gold*

***Economics & Service Dynamics Of Small Firm Mergers***

- Donald Stone, Co-Founder & President, Plan Sponsor Advisors
- Brian Hubbell, Principal, Hubbell Consulting, LLC

*Crystal*

***Beyond 401(k):***

***How Advisors Can Grow Their Business Using Cash Balance Plans***

- Steve Sansone, Principal, Kravitz Investment Services, Inc.
- Carlos Tariche, Regional Sales Director, Kravitz Investment Services, Inc.

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***Leveraging New Media Marketing To Create “Demand For Your Brand”***

- Jim Langenwalter, Managing Director, Strategy Expeditors

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2:45 – 3:00 pm

*Imperial Ballroom*

**Networking Break**

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**Thursday, October 7, 2010**

3:00 – 4:00 pm

*Int'l Ballroom*

***BOR Consolidation: How Providers Can Accommodate The Consolidation Of Retirement Plan Advisory Services***

- Eric Henon (Moderator), President, EACH Enterprise, LLC
- Brian Tavano, VP of Retirement Plans, RBC
- E. Erik Gauger, Regional Director, The MHK Group
- Tommy Thomasson, President & CEO, DailyAccess Corporation

*Gold*

***What Worries Advisors Today***

- Neil Anderson (Moderator), Reporter, The 401k & MF Wire
- Stace Hilbrant, Managing Director, 401kAdvisors LLC
- Joseph McLaughlin, VP, Corporate Client Group Director, Sr. Institutional Consultant, The Kelliher Group at Morgan Stanley Smith Barney
- Jim O'Shaughnessy, Principal, Sheridan Road Financial
- Scott Everhart, President, Everhart Financial Group, Inc.

*Crystal*

***Why Now Is An Excellent Time To Market NQDC Plans***

- Peter J Sullivan, JD, (Moderator) Regional Director, Executive Benefit Sales/COLI, The Guardian
- Bob Nienaber, Regional Director, Executive Benefit Sales, The Guardian
- Jim Magner, Business Resource Consultant, Advanced Markets, The Guardian
- Jeff McCarthy, EVP, American Financial Systems, Inc

*Regent*

***Non-Investment Reporting & Benchmarking: Where Advisors Can Add Value***

- Doug Prince (Moderator), Managing Director, Stifel Nicolaus
- Sue Rose, Managing Director-Investments, Oppenheimer & Co., Inc
- Paul D'Aiutolo, VP, Institutional Consultant, UBS Institutional Consulting.

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4:00 – 4:30 pm

*Imperial Ballroom*

**Networking Break/Light Snack**

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**Thursday, October 7, 2010**

4:30 – 5:30 pm

*Int'l Ballroom*

***Participant Advice Solutions: What's Working, What's Coming & How Will It Be Delivered?***

- Edward Lynch (Moderator), Managing Director, Dietz & Lynch Capital
- Jeff Gratton, Corporate Retirement Plan Consultant, SageView Advisory Group
- Scott Revare, CEO, Smart401k
- Chad Griffeth, Co-Founder, BeManaged
- Sheri Fitts, Director of Communications, Large Plan Sales, The Standard

*Gold*

***What Does It Take To Play In The Large Plan Market & Why Would You Want To***

- Donald Stone, Co-Founder & President, Plan Sponsor Advisors
- Daniel J. Esch, Managing Director, Defined Contribution Advisors, Inc.

*Crystal*

***Harnessing Internet Broadcasting To Grow Your Business: What Is It, How Is It Different, Why You Should Care & How To Use It***

- Tony DeMaio, Chairman & CEO, BigMediaUSA.com

*Regent*

***Advisor Opportunities & Solutions In The DB Market***

- Henry E. Tebben, National Director of DB Business Development, Principal Financial Group
- Mike Dulaney, Regional Consulting Actuary, Principal Financial Group

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5:30 – 6:30 pm

*Imperial Ballroom*

**Cocktail Party**

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**Friday, October 8, 2010**

6:30 – 7:30 a.m.

*Imperial Ballroom*

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**Breakfast**

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7:30 – 8:30 am

*Int'l Ballroom*

**KEYNOTE:**

***The Future Of National Retirement Policy***

- Pete Swisher, Sr. Institutional Consultant, Unified Trust Company, NA
  - Fred Reish, Managing Director, Reish & Reicher
  - Robert Gordon Chambers, Partner, McGuireWoods, LLP & Past Chairman of the American Benefits Council
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8:30 – 8:45 am

**Networking Break**

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8:45 – 9:45 am

*Int'l Ballroom*

***Advisor Background Checks & Full Transparency***

- Scott C. Campbell, Director of Marketing & Consumer Affairs, AdvisorCheck, Inc

*Regent*

***The Future Of Lead Generation:***

***How To Use Internet Broadcasting To Generate Qualified Local Leads***

- Tony DeMaio, Chairman & CEO, BigMediaUSA.com
  - Mike Kane, President & Founder, Michael M. Kane & Associates
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**Friday, October 8, 2010**

9:45 – 10:00 am

*Imperial Ballroom*

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**Networking Break**

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10:00 – 11:00 am

*Int'l Ballroom*

***Adapt Or Lose Market Share: The Evolving BD Retirement Plans Model***

-Phillip G. Chiricotti, President, Center for Due Diligence

-Fred Reish, Managing Director, Reish & Reicher

-Pete Swisher, Sr. Institutional Consultant, Unified Trust Company, NA

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**Friday, October 8, 2010**

11:00 am

*Int'l Ballroom*

**Grand Prize Trip To Graceland For Two Drawing**

Sponsored By:

**The Guardian Life Insurance Company of America**

*The CFDD's 2010 Advisor Conference Grand Prize Trip To Graceland For Two includes five nights at the luxurious Peabody Memphis Hotel, a private tour of Graceland and packaged sightseeing, including the Sun Studio, where Elvis first recorded. 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 Friday, 10/8/10. For more information on the Peabody Memphis Hotel, please visit:*

<http://www.peabodymemphis.com>.

**Photo-Ops**

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