

# WEALTH ADVISOR FORUM

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CURRICULUM



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# SCHEDULE-AT-A-GLANCE

Sunday, October 20			Monday, October 21		
Time	Description	Room Assignment			
12:30–4:30 p.m.	Registration/Information Desk Open	Palomino North Foyer	2–3 p.m.	<b>Workshop #5: Assisting Clients through Opportunities with Charitable Organizations</b> <i>James B. Ebenhoch, Manning &amp; Napier</i>	Palomino Ballroom 4–7
2–4 p.m.	<b>Optional Pre-Conference Workshop: Strategies for Working with High-Net-Worth Clients</b> <i>Emily Tillman, Capital Group; Jeffrey Brooks, Capital Group</i> Sponsored by:  <b>CAPITAL GROUP</b>   <b>AMERICAN FUNDS</b>	Palomino Ballroom 1–3	3–3:15 p.m.	<b>Workshop #6: Attracting the C-Suite: Executive Compensation Strategies</b> , <i>John Nersesian, CIMA®, CPWA®, CIS, CFP®, PIMCO</i>	Palomino Ballroom 1–3
5–6 p.m.	<b>Women in Wealth Reception with Rosie Rios</b> Premier Reception Sponsor & Champagne Toast:  <b>BNY MELLON</b> INVESTMENT MANAGEMENT Reception Sponsors:  <b>CAMBRIDGE</b>  <b>Ameritrade</b> Institutional	Princess Pool Upper West Deck	3:15–4:15 p.m.	Break with Sponsors and Exhibitors, Sponsored by:  <b>Nationwide</b> is on your side	Palomino North Foyer
Monday, October 21			Tuesday, October 22		
7 a.m.–6:45 p.m.	Registration/Information Desk Open	Palomino North Foyer	7 a.m.–2:30 p.m.	Registration/Information Desk Open	Palomino North Foyer
7–8 a.m.	Breakfast with Sponsors and Exhibitors, Sponsored by:  <b>Ameritrade</b> Institutional	Palomino Plaza North	7–8 a.m.	Breakfast with Sponsors and Exhibitors, Sponsored by:  <b>BLACK CREEK GROUP</b>	Palomino Plaza North
8–9:15 a.m.	<b>General Session #1: Talk Triggers</b> , <i>Jay Baer, Author</i>	Palomino Ballroom 4–7	8–9:15 a.m.	<b>General Session #4: Key Issues for Investors as Washington Grapples with Slower Growth and Trade Wars</b> , <i>Gregory R. Valliere, Global Strategist</i>	Palomino Ballroom 4–7
9:15–9:45 a.m.	Break with Sponsors and Exhibitors, Sponsored by:  <b>Nationwide</b> is on your side	Palomino North Foyer	9:15–9:30 a.m.	Break with Sponsors and Exhibitors, Sponsored by:  <b>Nationwide</b> is on your side	Palomino North Foyer
9:45–10:45 a.m.	<b>General Session #2: A History of the Financial Crisis and Lessons Learned for the Future</b> , <i>Rosie Rios, Harvard University, 43rd Treasurer of the United States</i>	Palomino Ballroom 4–7	9:30–10:30 a.m.	<b>Workshop #9: How Longevity Is Reshaping Advice</b> , <i>Angie O'Leary, RBC Wealth Management</i>	Palomino Ballroom 1–3
10:45–11 a.m.	Break with Sponsors and Exhibitors, Sponsored by:  <b>Nationwide</b> is on your side	Palomino North Foyer	10:30–10:45 a.m.	Break with Sponsors and Exhibitors, Sponsored by:  <b>Nationwide</b> is on your side	Palomino North Foyer
11 a.m.–12 p.m.	<b>Workshop #1: Understanding Medicare Taxes</b> , <i>Michael Kitces, MSFS, MTAX, CFP®, CLU, CHFC, RHU, REBC, CASL, Pinnacle Advisory Group</i>	Palomino Ballroom 1–3	10:45–11:45 a.m.	<b>Workshop #10: Understanding Tax Advantage of Real Estate</b> , <i>Jill Mazer, JD, Black Creek Capital Markets, LLC</i>	Palomino Ballroom 4–7
	<b>Workshop #2: Ordinary and Capital Gains Tax Planning and Asset Protection</b> , <i>Bruce Givner, Esq. Givner &amp; Kaye</i>	Palomino Ballroom 4–7		Break with Sponsors and Exhibitors, Sponsored by:  <b>Nationwide</b> is on your side	Palomino North Foyer
12–12:45 p.m.	Lunch Sponsored by:  <b>SWAN</b> GLOBAL INVESTMENTS	Palomino Plaza North	11:45 a.m.–12:30 p.m.	Lunch	Palomino Plaza North
12:45–1:45 p.m.	<b>Workshop #3: Ask Me Anything</b> , <i>Michael Kitces, MSFS, MTAX, CFP®, CLU, CHFC, RHU, REBC, CASL, Pinnacle Advisory Group</i>	Palomino Ballroom 1–3	12:30–1:30 p.m.	<b>General Session #5: Behavioral Portfolio Construction</b> , <i>Kathleen Fitzgerald, University of Chicago</i>	Palomino Ballroom 4–7
	<b>Workshop #4: Your High-Net-Worth Client Strategy: It's What They Want, Not What You Know</b> , <i>John D. Anderson, Independent Advisor Solutions by SEI</i>	Palomino Ballroom 4–7	1:30–2:30 p.m.	<b>General Session #6: Hug Your Customers</b> , <i>Jack Mitchell, Mitchell Stores</i>	Palomino Ballroom 4–7

## SCHEDULE

### SUNDAY, OCTOBER 20

12:30–4:30 p.m.  
Palomino North Foyer

Registration/Information Desk Open

2–4 p.m.  
Palomino Ballroom 1–3  
*\*Additional fee applies*

Institute CE 2

CFP® CE 2

#### **\*Optional Pre-Conference Workshop: Strategies for Working with High-Net-Worth Clients**

*Emily Tillman, Capital Group; Jeffrey Brooks, Capital Group*

Sponsored by:



#### **Part 1: A Guide to International Investing**

Did you know that most years the top stocks come from outside the United States? This session discusses what has changed in international investing, why international equities belong in a well-diversified portfolio, and the different ways to include international exposure in your portfolios. Presented by Emily Tillman

#### **Part 2: Behind the Scenes: Supporting the Client and the Attorney Through the Estate Planning Process**

In estate planning, the attorney-client relationship doesn't always lend itself to a fulfilling process. As an advisor you can elevate the experience, while adding value for your client, by playing a range of supporting roles. Presented by Jeffrey Brooks

5–6 p.m.  
Princess Pool,  
Upper West Deck

### **WOMENinWEALTH**

#### **Women in Wealth Reception with Rosie Rios**

*Rosie Rios, 43rd Treasurer of the United States*

Join the 43rd Treasurer of the United States, Rosie Rios, for a champagne reception. Rios, whose signature is featured on the U.S. dollar bill, will be autographing a limited number of bills.

**Premier Sponsor & Champagne Toast:**



**Reception Sponsors:**




### MONDAY, OCTOBER 21

7 a.m.–6:45 p.m.  
Palomino North Foyer

Registration/Information Desk Open

7–8 a.m.  
Palomino Plaza North

Breakfast with Sponsors and Exhibitors, Sponsored by: 

8–9:15 a.m.  
Palomino Ballroom 4–7

Institute CE 1.5



#### **General Session #1: Talk Triggers**

*Jay Baer, Convince & Convert*

Turn your customers into volunteer marketers. Word of mouth is responsible for as much as 50 percent of purchases, yet almost nobody has an actual plan to generate it. This fast-paced, dynamic, modern presentation will explore a simple, yet critical choice: do you want to be the same, or do you want to be different? When you offer a differentiated, talkable customer experience, it compels conversation. And when customers talk, they recruit new customers ... for free.

9:15–9:45 a.m.  
Palomino North Foyer

Break with Sponsors and Exhibitors, Sponsored by: 

9:45–10:45 a.m.  
Palomino Ballroom 4–7

Institute CE 1




CFP® CE 1







#### **General Session #2: A History of the Financial Crisis and Lessons Learned for the Future**




*Rosie Rios, 43rd Treasurer of the United States*

With the advent of the 2008 financial crisis and the role that the federal government played to put the U.S. economy on the road to recovery, what did we learn from that process and how can we plan for continued stability? As one of the original members of the U.S. Department of the Treasury/Federal Reserve Transition Team and then Treasurer of the United States for the following seven years, Treasurer Rios provides her perspectives on lessons learned from her tenure during one of the most consequential times of our nation's economic history.

10:45–11 a.m. Palomino North Foyer	Break with Sponsors and Exhibitors, Sponsored by:  <b>Nationwide®</b> is on your side
11 a.m.–12 p.m. Palomino Ballroom 1–3  <b>Institute CE 1</b> <b>CFP® CE 1</b>	<b>Workshop #1: Understanding Medicare Taxes</b> <i>Michael Kitces, MSFS, MTAX, CFP®, CLU, CHFC, RHU, REBC, CASL, Pinnacle Advisory Group</i>  With the passage of new healthcare legislation in March 2010—now upheld by the U.S. Supreme Court—Congress has implemented a series of new Medicare taxes on both earned and unearned income, starting in 2013. This session will explore the technical rules that apply to both of the new taxes and examines the planning implications and potential techniques to manage or mitigate the impact of the tax now that it has taken effect.
11 a.m.–12 p.m. Palomino Ballroom 4–7  <b>Institute CE 1</b>	<b>Workshop #2: Ordinary Capital Gains Tax Planning and Asset Protection</b> <i>Bruce Givner, Esq., Givner &amp; Kaye</i>  Now is the time to plan for future capital gains and asset protection. When most advisors think of capital gains planning, they think in terms of either Section 1031 exchanges or charitable remainder trusts. We have a series of other techniques available to reduce, defer or eliminate the capital gains. Of course, the most effective of such techniques depends on (i) planning ahead and (ii) the nature of the asset being sold. The earlier the clients engage in planning, the more options are available. In fact, Section 453(e), the best type of capital gains planning, requires at least a two-year incubation period. Also, there are structures available to reduce a client's income tax and provide the client with protection against future creditors. In our workshop, we will be discussing structures to reduce, defer or eliminate capital gains, income tax planning for individuals and their "S" corporations; and creditor protection with the use of limited partnerships, LLCs, irrevocable children's trusts, and QPRTs.
12–12:45 p.m. Palomino Plaza North	Lunch, Sponsored by:  <b>SWAN</b> GLOBAL INVESTMENTS
12:45–1:45 p.m. Palomino Ballroom 1–3	<b>Workshop #3: Ask Me Anything</b> <i>Michael Kitces, MSFS, MTAX, CFP®, CLU, CHFC, RHU, REBC, CASL, Pinnacle Advisory Group</i>  Have you ever wanted to ask Michael Kitces something? Here is your chance, ask him anything!
12:45–1:45 p.m. Palomino Ballroom 4–7  <b>Institute CE 1</b> <b>CFP® CE 1</b>	<b>Workshop #4: Your High-Net-Worth Client Strategy: It's What They Want, Not What You Know</b> <i>John D. Anderson, Independent Advisor Solutions by SEI</i>  Did you know that 10 percent of high-net-worth (HNW) investors—even those who claim they're satisfied with their primary advisor—plan to switch some or all their business in the next 12 months? For HNW clients, it's not about what you know. It's about what they want, and whether they trust you to provide it. In this presentation you'll learn how to service HNW clients and gain techniques to help keep them. We'll discuss why HNW investors may leave—even when they're satisfied, what it means to truly understand their needs, how to earn your HNW clients' trust, and how to create a service model that focuses on making your client experience personal.
2–3 p.m. Palomino Ballroom 4–7  <b>Institute CE 1</b> <b>CFP® CE 1</b>	<b>Workshop #5: Assisting Clients Through Opportunities with Charitable Organizations</b> <i>James B. Ebenhoch, Manning &amp; Napier</i>  In this session, learn about the significant and attractive opportunities of working with nonprofits and the unique considerations from fiduciary and governance responsibilities, to investment policy statements and spending rules, to providing fundraising support. This session also will discuss specific client case studies from balancing spending needs, maintaining continuity and engagement, and creating a planned giving program. And finally, you'll learn to ask the right questions to help get your foot in the door and start working with nonprofit organizations.
2–3 p.m. Palomino Ballroom 1–3  <b>Institute CE 1</b>	<b>Workshop #6: Attracting the C-Suite: Executive Compensation Strategies</b> <i>John Nersesian, CIMA®, CPWA®, CIS, CFP®, PIMCO</i>  Senior executives often accumulate significant exposure to company shares through restricted stock grants, employee stock options, and other benefit programs. This discussion focuses on financial planning topics specific to corporate executives' concentrated stock positions, employee stock options, and net unrealized appreciation strategies.
3–3:15 p.m. Palomino North Foyer	Break with Sponsors and Exhibitors, Sponsored by:  <b>Nationwide®</b> is on your side

3:15–4:15 p.m. Palomino Ballroom 4–7 <div>Institute CE 1</div>	<b>Workshop #7: A Road Map for Fixed Income Investing in a Low Rate Environment</b> <i>Eddy Vataru, CFA®, Osterweis Capital Management</i> <p>Passively managed vehicles have grown exponentially over the past decade, buoyed by low fees, ease of use, and robust returns. But with yields at all-time lows, the risk of indexed strategies has increased steadily. If rates remain near current levels, then all is well. But if 2019's historic fixed income rally is a short-term phenomenon (e.g., a bubble), passive vehicles could struggle. In this presentation, Eddy Vataru, a portfolio manager experienced in passive, active, and absolute return strategies, will review each approach and evaluate them in the context of the current environment. Additionally, he will discuss the benefits and risks of both quantitative and fundamental investment disciplines. Finally, he will share his outlook for the investment-grade fixed income market.</p>
3:15–4:15 p.m. Palomino Ballroom 1–3 <div>Institute CE 1</div> <div>CFP® CE 1</div>	<b>Workshop #8: Private Equity: Why &amp; How</b> <i>Bob Rice, Tangent Capital Partners</i> <p>This session focuses on why private equity historically outperforms, detailing the benefits and trade-offs of several new product structures (including some that offer periodic liquidity) and demonstrating how various styles of private equity fit into traditional portfolios.</p>
4:30–5:30 p.m. Palomino Ballroom 4–7 <div>Institute CE 1</div> <div>CFP® CE 1</div> 	<b>General Session #3: Inspire Integrity: Chase an Authentic Life (Ethics)</b> <i>Corey Ciocchetti, JD, University of Denver</i> <p>This ethics session encourages audiences to chase the truly important things in life such as a solid character, strong personal relationships, and a sense of contentment. These “real rabbits” are compared to more fleeting worldly success such as excessive wealth, popularity, and prestige. Audience members leave with a better sense of what it takes to develop integrity, set priorities, gain a big-picture perspective, and chase an authentic life.</p>
5:30–6:45 p.m. Palomino North Foyer	Reception with Sponsors and Exhibitors
<b>TUESDAY, OCTOBER 22</b>	
7 a.m.–2:30 p.m. Palomino North Foyer	Registration/Information Desk Open
7–8 a.m. Palomino Plaza North	Breakfast with Sponsors and Exhibitors, Sponsored by:  <b>BLACK CREEK GROUP</b>
8–9:15 a.m. Palomino Ballroom 4–7 <div>Institute CE 1.5</div> <div>CFP® CE 1.5</div> 	<b>General Session #4: Key Issues for Investors as Washington Grapples with Slower Growth and Trade Wars</b> <i>Gregory R. Valliere, Global Strategist</i> <p>These key issues include why the Federal Reserve will stay dovish, why deficits explode, and whether anyone cares. Additionally, this session will explore President Donald Trump's Electoral College problem, whether Democrats will veer too far to the left, and finally, geopolitics, the great wild card for investors.</p>
9:15–9:30 a.m. Palomino North Foyer	Break with Sponsors and Exhibitors, Sponsored by:  <b>Nationwide®</b> is on your side
9:30–10:30 a.m. Palomino 1–3 <div>Institute CE 1</div> <div>CFP® CE 1</div>	<b>Workshop #9: How Longevity Is Reshaping Advice</b> <i>Angie O'Leary, RBC Wealth Management</i> <p>An unprecedented population of Americans are living well into their 80s and 90s, pioneering a new normal of active and independent living. Their inherent longevity and desire to remain active is fueling economic growth far longer than past generations. But is the wealth management industry ready to serve this transformative population of clients? This session will explore how the longevity generation, which holds a large and growing concentration of wealth, will necessitate change in the industry and how firms can respond. The session will touch on the platforms and skill sets firms and advisors need to best serve clients, how firms can best work with families to ensure the best care and quality of life for clients, and how the rising prevalence of dementia and cognitive decline factors into the work advisors do today and in the future.</p>
9:30–10:30 a.m. Palomino Ballroom 4–7 <div>Institute CE 1</div> <div>CFP® CE 1</div>	<b>Workshop #10: Understanding Tax Advantages of Real Estate</b> <i>Jill Mozer, JD, Black Creek Capital Markets, LLC</i> <p>A case study discussing how real property and business assets can be sold to maximize tax advantages. This session will provide an overview of opportunity zone funds and 1031 tax deferred real estate exchanges, compare and contrast the various benefits of each, and illustrate how both strategies can be implemented in various client scenarios.</p>



10:30–10:45 a.m. Palomino North Foyer	Break with Sponsors and Exhibitors, Sponsored by:  <b>Nationwide®</b> is on your side
10:45–11:45 a.m. Palomino Ballroom 1–3  <b>Institute CE 1</b> <b>CFP® CE 1</b>	<b>Workshop #11: Implementing Health Care into Wealth Care</b> <i>Carolyn McClanahan, MD, CFP®, Life Planning Partners</i>  Planning for health care costs is a significant unknown for financial planners and their clients. Organizations such as Fidelity and the Employee Benefit Research Institute offer averages; however, we know there is rarely the average person. This presentation will help advisors plan for this unknown by teaching you how to have discussions with clients about health issues that may impact planning, help you determine a client's health care mindset (which impacts how much they spend on health care), and show you how to incorporate a client's health status into insurance planning, income planning, and advance directive planning.
10:45–11:45 a.m. Palomino Ballroom 4–7  <b>Institute CE 1</b> <b>CFP® CE 1</b>	<b>Workshop #12: Income Growth Through a Liability-Driven Investor Approach</b> <i>Kaitlin Simpson, CFA®, Dimensional Fund Advisors</i>  Investors often save with the goal of meeting a future liability such as maintaining purchasing power in retirement or funding a major one-time expense, but what is the best approach to meet those goals? This presentation will focus on understanding the cost of future liabilities, and what affects that cost, in order to help investors reduce the uncertainty around meeting their savings goals.
11:45 a.m.–12:30 p.m. Palomino Plaza North	Lunch
12:30–1:30 p.m. Palomino Ballroom 4–7  <b>Institute CE 1</b> <b>CFP® CE 1</b> 	<b>General Session #5: Behavioral Portfolio Construction</b> <i>Kathleen Fitzgerald, University of Chicago</i>  Our clients and customers are changing. Baby boomers are redefining retirement, Gen Xers are stepping into their prime earning years, Millennials are buying homes, and Gen Z is controlling an increasing amount of money in the marketplace. It's time to challenge conventional thinking and explore new approaches to relationship building in the face of disruption and shifting demographics. Based on research, learn how to create more empathetic, personal, and customized experiences that exceed the expectations of clients today and tomorrow.
1:30–2:30 p.m. Palomino Ballroom 4–7  <b>Institute CE 1</b> 	<b>General Session #6: Hug Your Customers</b> <i>Jack Mitchell, Mitchell Stores</i>  Jack Mitchell, is a master of customer service and the Chairman of the Mitchells' Stores (Mitchells/Richards/Wilkes/Mario's), a three-generation family business, renowned for their personal service touches and strong relationships. The only way to stay in business is with customers, and Jack Mitchell knows how to attract them, and how to keep them. He has a deceptively simple but winning approach to customer service – relationships are at the heart of every transaction. In this session, Jack will reveal his secrets for developing long-lasting business relationships and customer loyalty.

# SAVE THE DATES

## 2020 INVESTMENT ADVISOR FORUM

Powered by CIMA® Curriculum

Dates: February 13–14, 2020

Location: New York Hilton Midtown, NYC

## 2020 WEALTH ADVISOR FORUM

Powered by CPWA® Curriculum

Dates: October 26–27, 2020

Location: Swissôtel, Chicago, IL

## ACE 2020, THE EXCEPTIONAL ADVISOR CONFERENCE

Dates: May 27–30, 2020

Location: Hynes Convention Center, Boston, MA

## 2020 RETIREMENT ADVISOR FORUM

Powered by RMA® Curriculum

Dates: December 7–8, 2020

Location: The Diplomat Beach Resort, Hollywood FL

## 2020 BEHAVIORAL ADVISOR FORUM

Dates: September 2020

Location: San Francisco, CA

[www.investmentsandwealth.org](http://www.investmentsandwealth.org)

# SPEAKER BIOGRAPHIES

## John D. Anderson

John Anderson is responsible for all programs focused on helping financial advisors grow their businesses, create efficiencies in their operations, and differentiate their practices for Independent Advisor Solutions by SEI. He is quoted frequently in publications such as *InvestmentNews*, *Financial Planning Magazine*, and *The Wall Street Journal* and is a frequent speaker at broker-dealer conferences, client seminars, and other industry forums. He is also the author of SEI's practice management blog, *Practically Speaking*.

## Jay Baer

Jay Baer teaches businesspeople how to turn their customers into more customers. A founder of five, multi-million-dollar companies, he delivers highly customized, engaging keynote presentations about word of mouth, marketing, customer experience, and customer service. His consulting firm Convince & Convert, provides strategic counsel to the world's most iconic brands such as Caterpillar, Oracle, 3M, Adidas, and the United Nations. The author of six best-selling books, he recently was inducted into the Professional Speaker Hall of Fame and the Word of Mouth Marketing Hall of Fame. He is also the host of the award-winning *Social Pros Podcast*.

## Jeffrey R. Brooks, JD

Jeffrey Brooks is a wealth strategist at Capital Group, home of American Funds. He has 22 years of industry experience and joined Capital Group in 2018. Previously, he worked in the role of senior wealth strategist at UBS Financial Services and in a similar role at Merrill Lynch/Bank of America. Before that, he practiced law exclusively in the areas of probate, trust and estate administration, and worked for a probate court. He earned a BA in journalism (broadcasts sequence) and a JD, both from the University of Missouri, Columbia.

## Corey Ciochetti, JD

Corey Ciochetti is an associate professor of business ethics and legal studies at the University of Denver Daniels College of Business. Previously, he clerked for the Honorable John Kane in U.S. District Court in Colorado and founded and ran a small business providing sports programs to cities and parks and recreation districts. Mr. Ciochetti received the Charles Hewitt Master Teacher Award from the Academy of Legal Studies in Business, the Outstanding Professor of the Year Award by the University of Denver Alumni Association, the Scholarship of Teaching Award by the Daniels College of Business, and the Scholarship of Discovery Award by the Daniels College of Business. In August 2010, Mr. Ciochetti won the Holmes-Cardozo Award for top conference paper and received the distinguished Junior Faculty Member award by the Academy of Legal Studies in Business. He earned a BA in economics, BSBA in finance, and MA in religious studies all from the University of Denver, and a JD from Duke University School of Law.

## James Ebenhoch

Jim Ebenhoch is an endowment and foundation consultant for Manning & Napier and has more than 20 years of fundraising and development experience in nonprofit administration and higher education. He has managed annual funds, major gifts, and planned giving fundraising programs within numerous capital campaigns. Previously, he had a long career in the endowment and foundation industry with institutions including Nazareth College, Rochester Institute of Technology, the University at Albany, and the Muscular Dystrophy Association.

## Kathleen Fitzgerald

Kathleen Fitzgerald is an adjunct associate professor of strategic management at the University of Chicago, where she currently teaches in the Booth School of Business. She is also director of academic support at the University of Chicago Booth School of Business in Chicago, London, and Hong Kong in which she prepares students of the Chicago Booth Executive MBA program for the rigors of Chicago's quantitative approach to finance, economics, statistics, and marketing. She has taught courses in investments, corporate finance, financial accounting, money and banking, international finance, and financial management. Her professional experience includes auditing and tax consulting at Ernst & Young, LLP and forensic accounting consulting at Chicago Partners. She earned a BA in economics and an MBA in accounting from the University of Massachusetts, Amherst and an MBA from the University of Chicago Booth School of Business.

## Bruce Givner, Esq.

Bruce Givner is president of Givner & Kaye in Los Angeles and has been practicing tax law for almost four decades. He has concentrated on income tax planning, estate tax planning, sophisticated retirement plans, asset protection planning, charitable planning, capital gain planning, and tax litigation. He also focused on representing high-net-worth and high-income families, as well as individuals and their closely held corporations. He earned a BA from the University of California, Los Angeles, JD from Columbia University School of Law, and LLM (Tax) from the New York University School of Law.

## Michael Kitces, MSFS, MTAX, CFP®, CLU, CHFC, RHU, REBC, CASL

Michael E. Kitces, is a partner and the director of research for Pinnacle Advisory Group, a private wealth management firm located in Columbia Maryland, that oversees approximately \$1.8 billion of client assets. In addition, he is a co-founder of the XY Planning Network, the former practitioner editor of the *Journal of Financial Planning*, publisher of the e-newsletter *The Kitces Report* and the popular financial planning industry blog *Nerd's Eye View* through his website [www.Kitces.com](http://www.Kitces.com).

## Carolyn McClanahan, MD, CFP®

Carolyn McClanahan, director of financial planning at Life Planning Partners, Inc., earned a BA from the Mississippi University for Women and an MD from the University of Mississippi. After residency in family medicine at the Medical College of Virginia, she entered private practice and emergency medicine practice in Richmond, Virginia. Dr. McClanahan is a member of National Association of Personal Financial Advisors (NAPFA), Financial Planning Association (FPA), and American Academy of Family Physicians. She also volunteers in the medical clinic of the I.M. Sulzbacher Center for the Homeless. She speaks nationally to financial planners and physicians on the interplay between health and financial issues. She has been quoted in numerous publications, including *The Wall Street Journal*, *Money Magazine*, *Kiplinger's*, and *Smart Money*, and has appeared on CNBC and NPR. In 2009 she was named a "Mover & Shaker" in the financial planning profession by *Financial Planning Magazine*.

## Jack Mitchell

Jack Mitchell is chairman of Mitchell Stores (Mitchells/Richards/Wilkes/Mario's), a three-generation family business that operates men's and women's specialty stores in Connecticut, New York, California, Washington, and Oregon that are nationally renowned for their personal service touches and strong relationships. Mr. Mitchell has been recognized as one of the top 10 retail visionaries of his time by *Women's Wear Daily*.

#### Jill Mozer, JD

Ms. Mozer joined Black Creek Group in 2004 and currently serves as managing director, national sales director for Black Creek Exchange, a unique solution for investors owning highly appreciated real estate that takes advantage of tax-deferral opportunities provided by Sections 1031 and 721 of the Internal Revenue Code. Previously, Ms. Mozer served as senior vice president, national accounts for Black Creek Capital Markets, LLC, the managing broker-dealer for all products distributed through broker-dealers. Before that, she worked for a national 1031 exchange-qualified intermediary as an attorney and regional manager. She earned a JD from the University of Denver and a BS in business from Arizona State University.

#### John Nersesian, CIMA®, CPWA®, CIS, CFP®

John Nersesian is head of advisor education for PIMCO, providing advanced wealth management and investment consulting education to financial professionals. Previously, he was managing director of wealth management services for Nuveen Investments from 2000 to 2018. Prior to this, he was a first vice president at Merrill Lynch Private Client Group, where he was also a leader of advanced training for financial consultants. Mr. Nersesian served as a board member of the Investments & Wealth Institute from 2006–2017, and as chairman for the 2014–2015 term. He is a faculty member for the Certified Private Wealth Advisor® (CPWA®) and Certified Investment Management Analyst® (CIMA®) education programs held at Yale University and The University of Chicago. He has 35 years of investment and financial services experience and earned a BS in business and economics from Lehigh University.

#### Angie O'Leary

Angie O'Leary is head of Wealth Planning at RBC Wealth Management-U.S. Ms. O'Leary is a 25-year veteran of the financial services industry, most recently serving as the head of investment solutions for U.S. Bank Wealth Management where she was responsible for investment product management, desktop tools and digital investment capabilities. She also oversaw the business line's mutual fund and insurance product distribution relationships. Prior to her career at U.S. Bank, Ms. O'Leary held leadership positions at UBS and Piper Jaffray. She has authored numerous white papers, published articles and is active in the media and press. Ms. O'Leary holds a bachelor's degree in business finance from San Jose State University and has completed coursework toward a master's in accounting from Santa Clara University.

#### Bob Rice

Bob Rice is the managing partner of Tangent Capital, a senior advisor to Macquarie Investment Management and Wilshire Associates, and a director of Nasdaq Private Markets and the Value Line Funds' investment manager. Previously, he was a trial lawyer at the U.S. Department of Justice; partner at Milbank, Tweed, and the chief executive officer of publicly traded Viewpoint Corporation. Mr. Rice is the author of the best-selling book *The Alternative Answer* and *Three Moves Ahead*, is on the editorial board of the *Investments & Wealth Monitor* and was a contributing editor at Bloomberg TV and Fox Business.

#### Rosie Rios

Rosie Rios is the chief executive officer of Red River Associates, a real estate consulting firm and is finalizing her term as a visiting scholar at the Radcliffe Institute for Advanced Study at Harvard University. She was the 43rd Treasurer of the United States and is known for leading the efforts to place a portrait of a woman on the front of U.S. currency for the first time in more than a century. Upon her resignation in 2016, she received the Hamilton Award, the highest honor bestowed in the U.S. Department of the Treasury. Ms. Rios was the longest serving Senate-confirmed Treasury official beginning with her time on the Treasury/Federal Reserve Transition Team in November 2008, at the height of the financial crisis.

#### Kaitlin Simpson, CFA®

Kaitlin Simpson is a researcher at Dimensional Fund Advisors, where she conducts research and analyses to evaluate and enhance the firm's investment strategies across equities, fixed income, and commodities. Previously, she worked as an analyst at NERA Economic Consulting, where she applied econometric and statistical models in order to perform analyses in connection with securities litigation. Ms. Simpson earned an MSc in financial economics from the University of Oxford and a BA in economics from Washington and Lee University.

#### Emily Tillman

Emily Tillman is an equity investment specialist at Capital Group. She has 15 years of industry experience and has been with Capital Group for six years. Earlier in her career at Capital, she was an equity investment product manager. Previously, Ms. Tillman worked as a manager of product and program marketing at Brandes Investment Partners. She earned a BA in sociology from the University of Chicago.

#### Gregory R. Valliere

Greg Valliere has followed Washington for investors for the past 40 years. He specializes in coverage of economic issues, taxes, the Federal Reserve, and politics. Mr. Valliere has held numerous positions, including director of research at the Charles Schwab Washington Research Group. He currently is chief U.S. policy strategist at AGF Investments, Canadian investment firm. Mr. Valliere is a frequent guest on CNN, Fox Business TV, Bloomberg radio and TV, and CBS Radio News. He is frequently quoted in *The Wall Street Journal*, *Barron's*, and the *Washington Post*. He is a graduate of George Washington University.

#### Eddy Vataru, CFA®

Eddy Vataru is the president and senior portfolio manager at Osterweis Capital Management. Previously, he worked in senior management positions at Incapture, LLC and Citadel, LLC. Before that he spent more than 11 years at BlackRock (formerly Barclays Global Investors), where his last position was managing director and head of U.S. rates and mortgages. While in this role, BGI worked with the U.S. Treasury to implement its Agency MBS Purchase Program, buying mortgages for the U.S. government from 2008–2009. Mr. Vataru earned a BS in chemistry and economics from the California Institute of Technology and an MBA from the Olin Business School at Washington University in St. Louis.

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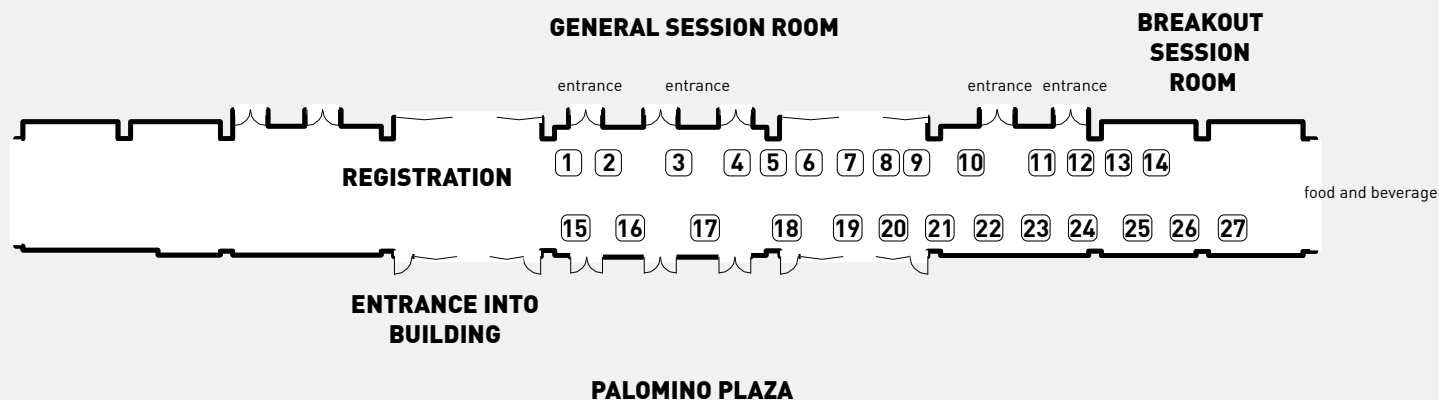
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Company	Type	Booth Number
Black Creek Group	Sponsor	17
BNY Mellon Investment Management	Bronze	20
Cambridge	Bronze	5
Capital Group, home of American Funds	Platinum	2
Charles Schwab Advisor Services	Bronze	18
Chicago Booth School of Business	Ed Partner	14
Covisum	Exhibitor	9
Dimensional Fund Advisors LP	Exhibitor	10
iCapital Network	Exhibitor	12
Matthews Asia	Bronze	7
Money Management Institute (MMI)	Exhibitor	26
Nationwide	Silver	16
Nuveen	Bronze	15
Osterweis Capital Management	Exhibitor	22

Company	Type	Booth Number
Pacific Funds	Exhibitor	11
PPC LOAN	Exhibitor	23
Raymond James Investment Advisor Division	Bronze	8
RBC Wealth Management	Exhibitor	21
Resource Royalty	Exhibitor	24
Select Sector SPDRs	Bronze	6
Swan Global Investments	Gold	3
TD Ameritrade Institutional	Platinum	no table
Tributary Capital Management	Exhibitor	25
Vanguard	Bronze	4
Wasatch Funds	Exhibitor	27
Wells Fargo Financial Network	Bronze	1
William Blair	Bronze	19
Yale School of Management	Ed Partner	13

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