National LINC 2019

CE credits agenda

Looking for sessions this year that offer continuing education credits for both IMCA and CFP? We've got you covered with a variety of different sessions.

Wednesday, February 6

Veo One®: More features, integrations, analytics, and power

9:00AM–9:50AM
Chris Valleley, Director, Technology Solutions, TD Ameritrade Institutional
Michael Madrid, Product Manager, Technology Solutions, TD Ameritrade Institutional
1 IMCA CE Credit

A lot has happened in Veo One over the past year. New features. Added integrations. Powerful analytics. Veo One is continually evolving to keep pace with your ever-changing needs. And because all Veo functionality is now available in Veo One, there's no reason to wait any longer to make the switch. Join us to learn what's new with the platform and get ready to unify your technology with Veo One.

Morning workshop: Putting a price on your value

9:00 AM–12:00 PM
3 IMCA CE Credits

Do you have a pricing philosophy? If not—or if you think yours might need a refresh—this workshop is for you. We'll walk through the fundamentals of developing your pricing philosophy, the pros and cons of popular approaches, and how to craft a plan to introduce your new pricing strategy to clients and prospects.

Morning workshop: Get started with Veo One

9:00AM–12:00PM
Rey Pajarillo, Senior Product Manager, Technology Solutions, TD Ameritrade Institutional
Charles Fargo, Product Manager, Technology Solutions, TD Ameritrade Institutional
3 IMCA CE Credits

Get ready to get excited about Veo One. Streamlined, simplified, and integrated, it gives you the power to take care of client management needs from one unified view. Join us to learn how to set up your user preferences and vendor integrations and find out about new features like consolidated views, activity management, and more. Don't miss out!

Morning workshop: iRebal® on Veo: Go from newbie to user

9:00AM–12:00PM
Jessica DeMartino, Product Manager, iRebal, TD Ameritrade Institutional

Michael King, Senior Specialist, iRebal, TD Ameritrade Institutional
3 IMCA CE Credits

New to iRebal? Roll up your sleeves and get ready to learn how to take advantage of this powerful rebalancing technology. During this highly interactive session, you'll discover how you can help maximize your efficiency in portfolio monitoring, rebalancing, and model management. And if you don't already have access to iRebal, we'll get you set up to rebalance portfolios in your firm's iRebal environment in real-time.

Morning workshop: Trading in today's markets

9:00 AM–12:00 PM
3.5 CFP CE Credits
3 IMCA CE Credits

Let's take a deep dive into trading. See for yourself how thinkpipes® can help maximize your execution capabilities and efficiency. Trade equities and ETFs? Hear how the Institutional Block Desk can help you minimize market impact. And find out how the veterans on our institutional trade desks can give you access to a range of investment solutions to help differentiate your practice.

Morning workshop: 401(k) sales: How to close more in less time

9:00AM-12:00PM
David Greene, Managing Partner, Greene Consulting
Ross Greene, Founder & CEO, Greene Consulting
3 IMCA CE Credits

Maybe you've only sold a handful of 401(k) plans. Or maybe these plans are a core part of your business. Either way, having a clearly defined, intentional sales approach can help you increase your close rates while spending less time making a sale. Let's dive into the four stages of the sales process - prospecting, engagement, proposal, and presentation/closing - and define what's required to be successful in each.

Morning workshop: Got service requests? Get them completed faster

9:00 AM - 12:00 PM
Curtis Divona, Senior Manager Advisor Relations, TD Ameritrade Institutional
Brittney Partow, Manager Advisor Relations, TD Ameritrade Institutional
3 IMCA CE Credits

Join us for a fast-paced workshop to discover how to reduce your NIGO rate. You'll learn about time-saving tools such as same-day check scanning and deposits, online account opening, and client self-service tools. We'll also highlight the latest form changes. This is a hands-on session, so bring your laptops and prepare to get involved.

iRebal on Veo: Discover user-friendly, intelligent rebalancing

10:10AM–11:00AM
Justin Di Filippo, Director, Technology Solutions, TD Ameritrade Institutional
1 IMCA CE Credit

Smart rebalancing technology can help you potentially reduce the cumbersome manual rebalancing process from days (or even weeks) down to minutes. This live demonstration of the features and benefits of iRebal on Veo - the most widely adopted and highest-rated rebalancing platform* – encompasses everything from household rebalancing and cash management to model management and tax loss harvesting** any time of the year. Understand how iRebal and Model Market Center™ were designed to help you increase efficiency so you can spend less time with spreadsheets and more time serving your clients. All within a user-friendly platform.

* 2018 T3 / Advisor Perspectives / Inside Information Software Survey.
** iRebal offers a flexible tax harvesting feature that allows you to set various loss thresholds for taxable accounts, total loss targets for portfolios, and choose a replacement security for each harvested security. Once the thresholds have been set, iRebal identifies eligible losses in taxable accounts, and shows you the securities that fit the criteria that you have defined.

10 business building ideas for Emerging Advisors

10:10AM–11:00AM
Kate Healy, Managing Director, Generation Next, TD Ameritrade Institutional
Kelly Bradley, Financial Planning Assistant, Trinity-Wealth Management
Alan Moore, Co-Founder & CEO of XY Planning Network
Marjorie Wentz, Retirement Plan Advisor, Trinity-Wealth Management
1 IMCA CE credit

From working moms to young investors, not only is the investing landscape changing; so is the RIA space. As new advisors emerge, how can we think differently about how to support them and their clients? One idea: Pair up clients with associates in your firm with similar backgrounds. In this session, you'll get tips to strategically build your business and cultivate relationships that are mutually beneficial. #RIANextGen

Showcase session: The New Meaningful Measure: Proving the Value of Relationship

11:20PM–12:10PM
Ron Carson, CEO and Founder of Carson Group
1 CFP CE Credit; 1 IMCA CE Credit

Advisors have long held onto a simple metric for defining their worth in a client's eyes (rate of return, performance, asset growth, etc.). But, are your clients measuring you in more ways than one? They are today. In this keynote presentation, Ron Carson, CEO and founder of Carson Group, will expose the intangible value advisors provide to their clients and illustrate how advisors can bring this invisible value to the forefront of the client conversation. Demonstrating value beyond a doubt is the new standard, and with the advent of interactive technology, Carson will explain what the modern-day consumer expects, why it's changing investor behavior, and how this will influence the profession forever.

Showcase session: Trade war (what is it good for?) – Investing in China during the Trump era

12:30 PM–1:20 PM
Andy Rothman
1 CFP CE Credit
1 IMCA CE Credit

Despite worries of a trade war, China remains the world's best consumer story—and the largest contributor to global growth. Favorable long-term fundamentals, strong earnings growth, lower valuations and rising consumer wealth are creating new opportunities. So, it's time for investors to revise their risk perceptions about investing in China and reconsider why the world's second-largest economy is too big to ignore. Please join Matthews Asia Investment Strategist Andy Rothman, who will discuss: · Why investors should not let trade tensions scare them away from China · The health of domestic demand in China's economy · The emerging opportunity in China A-shares · Why an active approach is essential in having China represent a core part of a portfolio.

Better connect with your clients through our upgraded client portal

1:30 PM–2:20 PM
Rob Petek, Senior Product Manager, Technology Solutions, TD Ameritrade Institutional
1 IMCA CE Credit

We didn't just redesign AdvisorClient.com. We've rebuilt it from scratch! The new design is clean, focused, and user-friendly with a streamlined home page built around what clients have said is most important to them. Attend this session for a demonstration of the new platform and get a glimpse into what the future holds for AdvisorClient.com.

Afternoon workshop: Designing a competitive compensation plan

1:30 PM–4:30 PM
3 IMCA CE Credits

A solid compensation plan is key to recruiting and retaining top talent. So how can you create the right plans for your staff? We'll work together to create plans for a variety of roles, including lead advisors, junior advisors, and operations managers. You'll learn how to account for base salary, incentive compensation, equity and profit sharing, and rewards and recognition.

Afternoon workshop: Make Veo One work(flow) for you

1:30PM–4:30PM
Stephanie Macon, Technology Consultant, TD Ameritrade Institutional
Greg Jackson, Technology Consultant, TD Ameritrade Institutional
3 IMCA CE Credits

Discover the ins and outs of Veo One. We'll show you ideas on how to efficiently manage your workflows, including: opening accounts, submitting paperwork and monitoring its status, processing cash management requests, and reviewing analytics to help you keep your firm on track. You'll also find ideas on how to get the most out of the experience if you are considering leveraging third-party integrations with CRM, financial planning, and portfolio management applications. Finally, we'll discuss documenting processes for increased efficiency and help you define or refine your firm's unique workflows.

Afternoon workshop: So you want to be an owner?

1:30 PM–4:30 PM
3 IMCA CE Credits

Owning a firm allows for great freedom. But it also requires great responsibility. If you think ownership might be the right path for you, come join us for this half-day workshop designed with junior advisors in mind. We'll discuss: • The difference between a leader and a manager • How to come across with confidence when engaging with clients, prospects, and staff • What it takes to grow and lead a firm into the future

Afternoon workshop: Outsourcing your wealth management

1:30 PM–4:30 PM
Danielle Fava, Director, Innovation, TD Ameritrade Institutional
Michael Gallagher, Director, Institutional Trading & Block Desk, TD Ameritrade Institutional
Julia Penn, Managed Account Consultant, TD Ameritrade Institutional
3.5 CFP CE Credits
3 IMCA CE Credits

Stop trying to be all things to all people and start streamlining your investment management activities. How? Through outsourcing - one of the top trends in today's RIA world. Learn how you can make it happen at your firm. We'll also discuss products and services available through TD Ameritrade Institutional designed to enhance your investment processes.

Afternoon workshop: Strategies for enhancing your retirement plan service model

1:30PM–4:30PM
Pam O'Rourke, Senior Vice President and Managing Principal, Integrated Retirement
3.5 CFP CE Credits; 3 IMCA CE Credits

Let's take a close look at the increasingly important role that you as an Advisor can play in retirement plans. From choosing which services can bring the most value to plan sponsors and participants to helping plan sponsors understanding their fiduciary duties, you are uniquely equipped to provide the services and education plan sponsors need today. So how do you build your business model to meet these needs?

Afternoon workshop: iRebal 2.0

1:30PM–4:30PM
Travis Rothlisberger, iRebal Product Manager, TD Ameritrade Institutional
3 IMCA CE Credits

Already know the basics of iRebal? Become a power user. We'll walk you through advanced features like tax loss harvesting, cash management, model management, and model blending. You'll also walk away with the knowledge to help build disciplined and repeatable portfolio implementation workflows.

Panel discussion: Why Advisors use options (and how to explain them)

2:40 PM–3:30 PM
Jay Pestrichelli, Zega Financial, Co-Founder and Managing Director
Dan Powers, Vice President, Vector Wealth Management
Chris Recker, CIO, AZA Capital Management
1 CFP CE Credit
1 IMCA CE Credit

Thursday, February 7

Propel your business with the TD Ameritrade Retirement Plan

10:30AM–11:20AM
Frank Pitten, Sales Director, TD Ameritrade Institutional
Skip Schweiss, Managing Director, TD Ameritrade Institutional
1 IMCA CE Credit

Looking to activate or accelerate your focus on retirement plans? Join Skip Schweiss and Frank Pitten as they discuss the opportunities in the retirement plan space. You'll also learn how the TD Ameritrade Retirement Plan, the Playbook, and our sales and service teams can help you achieve success.

Veo One: More features, integrations, analytics, and power

10:30AM–11:20AM
Chris Valleley, Director, Technology Solutions, TD Ameritrade Institutional
Michael Madrid, Product Manager, Technology Solutions, TD Ameritrade Institutional
1 IMCA CE Credit

A lot has happened in Veo One over the past year. New features. Added integrations. Powerful analytics. Veo One is continually evolving to keep pace with your ever-changing needs. And because all Veo functionality is now available in Veo One, there's no reason to wait any longer to make the switch. Join us to learn what's new with the platform and get ready to unify your technology with Veo One.

The modern HSA experience

10:30AM–11:20AM
Shobin Uralil, Co-Founder/COO, Lively, Inc.
1 CFP CE Credit; 1 IMCA CE Credit

Health savings account (HSA) assets have grown 23% year-over-year. Which means there are now over 22 million accounts that encapsulate $45.2 billion in assets. Come discover how you can help your clients take advantage of HSAs to prepare for healthcare costs in retirement while saving money today. We will discuss how HSAs work, their benefits, who qualifies, and how HSA providers are innovating to create a more modern banking and investing experience.

Panel discussion: Trust and estate planning for holistic client relationship management

10:30 AM–11:20 AM
Moderator: Kurt Koehler, Estate Planning Attorney, National Advisors Trust Company
Pat Agnew, Estate Planning Attorney, Agnew Law Office
Ron Carson, Founder and CEO, Carson Wealth Management
Judith Lu, Advisor Miracle Mile Advisors
1 CFP CE Credit
1 IMCA CE Credit

Explore how trust and estate planning can be used for holistic relationship management with clients. In this session you will hear about the corporate trustee model, roles and responsibilities of the advisor, client and trustee as well as the onboarding and administration process for corporate and successor trustees.

Why is it still all about AUM?

10:30 AM–11:20 AM
1 IMCA CE Credit

Let's talk pricing. In this workshop, we'll closely examine the current state of pricing in the industry, the reasons why firms are reluctant to implement a pricing change, and the benefits your firm may experience if you choose to pursue a pricing change.

Industries of change: Trends & tech innovation

10:30AM–11:20AM
Dani Fava, Director, Institutional Product Development & Strategy, TD Ameritrade Institutional
1 CFP CE Credit; 1 IMCA CE Credit

We're witnessing significant change in almost every industry, from the medical field to pizza delivery. How will our behaviors change? How will our businesses change? Hear about some of the most explosive tech discoveries and trends budding in the world and how they might impact financial services - from our communications and advertising to the client experience and beyond.

Implementing disruption within core portfolios

10:30 AM–11:20 AM
1 CFP CE Credit
1 IMCA CE Credit

The current breathtaking pace of innovation—commonly referred to as the fourth industrial revolution—is giving rise to a new economy and making it clear that the future is now. In order to pursue the potential within this new economy, you may want to consider complementing an existing core allocation with more dynamic growth exposure, focusing on future disruption to potentially control both growth and sector drivers. Understanding the drivers of risk and return within a portfolio is important to staying grounded in your core, while still positioning for the new economy. This session will focus on the basics of portfolio construction while analyzing selected implementation considerations for adding disruption to the core. Session presented by State Street Global Legal.

Navigating global disruptive forces

10:30 AM–11:20 AM
Chris Dillon, Investment Specialist, Multi-Asset Division, T. Rowe Price
Matthew Ko, Investment Specialist, Multi-Asset Division, T. Rowe Price
Jason White, Investment Specialist, International Equity Division, T. Rowe Price
1 CFP CE Credit
1 IMCA CE Credit

Throughout 2018, the global economy saw the return of intermittent volatility, leaving investors to face shifting currents in disruptive innovation and the long and unwinding road of monetary policies. Navigating the investing landscape to discover new opportunities—while avoiding the pitfalls associated with rapidly moving markets—requires a strategic investing approach. This session will provide actionable insights on compelling opportunities in select countries, sectors, and companies to guide investment decisions.

How to construct an all-weather emerging markets portfolio

1:00 PM–1:50 PM
1 CFP CE Credit
1 IMCA CE Credit

Given the current market volatility, can investors access sustainable growth and equity returns in emerging markets? Potentially. Through a thoughtful combination of exposures, leading to an "all-weather" portfolio allocation within emerging markets. The key lies in offsetting the significant cyclical exposure within certain emerging economies with less volatile, fast-growing consumer exposure in Asia. Session sponsored by Matthews Asia

TD Ameritrade Retirement Plan onboarding: An advisor's journey

1:00PM–1:50PM
Jac M. Arbour, President, J.M. Arbour Wealth Management
Zachary Chavira, Institutional Services Relationship Manager, Donaldson Capital Management LLC
Moderator: Frank Pitten, Sales Director, TD Ameritrade Institutional
1 IMCA CE Credit

Ever wonder what the lifecycle of a retirement plan looks like? Get the inside scoop as Frank Pitten leads this in-depth conversation with Advisors on their process from start to finish. They'll cover everything from finding clients, buying criteria for plan sponsors, conducting meetings, and the implementation process.

iRebal user roundtables

1:00PM–1:50 PM
Jason Kurpjuweit, Senior Product Manager, iRebal, TD Ameritrade Institutional
Chris Stryker, Product Manager, iRebal, TD Ameritrade Institutional
1 IMCA CE Credit

Did you know that iRebal is the most widely adopted rebalancing platform and has the highest user rating in its category?* Learn why as this session kicks off with a panel of iRebal power users. Hear about their best practices and how they get the most out of this efficient system. Following the panel, our team of iRebal product experts will guide a highly interactive discussion on iRebal features and functionality, and will also address any questions you may have about the platform.

*2018 T3 / Advisor Perspectives / Inside Information Software Survey

Understanding how & why prospects choose Advisors – 2.0

1:00 PM–1:50 PM
Brad Shepard, Head of Advisor Innovation, WisdomTree
1 IMCA CE Credit

The financial advisory industry is going through rapid change. As a result, acquiring new customers and assets is more challenging than ever before. Building upon research involving thousands of investors, WisdomTree—through its Kredible offering—is decoding: - Which life events can trigger prospects to hire or change Advisors - How prospects discover their options - How prospects evaluate those options - Why they might select an Advisor for that critical first meeting Brad Shepard, Head of Advisor Innovation at WisdomTree and formerly the founder of Kredible, will challenge you to truly think differently about the customer acquisition process and provide tangible next steps to potentially enhance your practice. The presentation may be supplemented with the Kredible QuickCheck report, which can be used to provide a review of your online presence and offers suggestions designed to improve your personal brand. Speaker – Brad Shepard, Head of Advisor Innovation, WisdomTree Legal. Session sponsored by Wisdom Tree.

Improve your firm's marketing in the digital age

1:00PM–1:50PM
Michael Byrnes, President, Byrnes Consulting, LLC
1 IMCA CE Credit

Ever feel like you could be more successful when it comes to marketing, particularly when it comes online marketing? The new business landscape has changed, and digital marketing tactics are increasingly important for interacting with current clients and prospects. So come find out what works, and what doesn't. Join this session to get advanced online marketing strategies. The advice will go beyond the basics and provide recommendations that can become the foundation for pursuing your business goals online in 2019 and beyond.

Proven marketing strategies to grow your business

1:00PM–1:50PM
Allison Hillgren – Director of Marketing and Communications, Beacon Pointe Advisors
Edward Kummer – Chief Marketing Officer, United Capital
Karen Lee – Chief Marketing and Strategy Officer, Mercer Advisors
Jud Mackrill – Chief Marketing Officer, Carson Group
1 IMCA CE Credit

Trading: Competition, liquidity, and the challenges of success – A discussion with Larry Tabb

Larry Tabb, Founder and Research Chairman of TABB Group
1:00 PM–1:50 PM
1 CFP CE Credit
1 IMCA CE Credit

Join Trading Services as we sit down with Larry Tabb, Founder and Research Chairman of TABB Group, to discuss market structure and identify opportunities for value within the RIA trading process. We'll attempt to answer some of the most pressing questions surrounding trading as a fiduciary. (Are there benefits to routing directly to the market? When is a high-touch desk necessary? Could a solid trading process contribute Alpha?) Finally, we'll wrap up with Mr. Tabb offering us his outlook on the market structure and regulatory landscape for 2019.

ExO technology innovation Part 1

1:00 PM–1:50 PM
1 IMCA CE Credit

Anyone can be an innovator, you just have to understand how to unlock your potential. We'll show you how to leverage the Exo Sprint—a repeatable innovation process—to develop, evaluate, and potentially implement ideas to help your firm pursue success.

ExO technology innovation Part 2

2:05PM–2:55 PM
1 IMCA CE Credit

Anyone can be an innovator, you just have to understand how to unlock your potential. We'll show you how to leverage the Exo Sprint—a repeatable innovation process—to develop, evaluate, and potentially implement ideas to help your firm pursue success.

Are you wealthy in health? Takeaways from an Advisor wellness study

2:05PM–2:55 PM
David Partain, Chief Marketing Officer, FlexShares Exchange Traded Funds
Barnaby Riedel, Co-Founder & Chief Research Strategist, Riedel Strategy
1 IMCA CE Credit

Advisors are continually focused on adjusting client portfolios with the goal of maximizing returns while also managing risk. But is the same true for how they manage their own wellness? A 2017 survey by FlexShares revealed that Advisors are stressed—25% more so than the average American. In this session, FlexShares Chief Marketing Officer, David Partain, will discuss the origins of the survey and explain changes they've seen in Advisor wellness over the past year. He'll also share insights from the medical community on how to better understand the causes of stress and tools that may help alleviate bad stress. Speaker – David Partain, Chief Marketing Officer, FlexShares Exchange Traded Funds Legal. Session sponsored by Flexshares.

Build, buy, or follow: Scale your business with model portfolios

2:05PM–2:55 PM
1 IMCA CE Credit

Time is your most valuable resource. And yet, most Advisors spend 40% of their day building and administering client portfolios. That model may have worked ten years ago. But in order to differentiate and grow, it's important to evolve. Find out how deploying model portfolios can help you free up time to focus on growth. We'll share strategies for building portfolios with cutting-edge technology or utilizing tools from BlackRock and TD Ameritrade Institutional, Orion, and others to find pre-packaged models and build a better investing experience for your clients. Session sponsored by BlackRock.

How do you find talent that helps broaden your reach?

2:05PM–2:55 PM
Audra Bohannon, Senior Client Partner at Korn Ferry Hay Group
1 IMCA CE Credit

Audra Bohannon, a Senior Partner at Korn Ferry Hay Group, has delivered strategic leadership and business development solutions that propel people and organizations toward their goals. In this session, Audra will help you look to your business's future by addressing contemporary issues such as biases, cultivating conscious inclusion, and creating a workplace that supports diversity, all of which will allow you to be better prepared to build a forward-thinking and forward-looking organization. #RIANextGen Korn

Elevating your client experience

2:05PM–2:55PM
Greg Menefee, Director of Business Consulting, TD Ameritrade Institutional
1 IMCA CE Credit

In order to remain competitive, your firm needs to stand out. But how can you make that happen? The client experience is where you may have an opportunity to make a lasting impression—and potentially drive loyalty. Join us to examine the scope of the client experience and learn how to create a framework to help evaluate and elevate your own client experience.

Best practices for achieving success in the retirement plan business

2:05PM–2:55 PM
Moderator: John Newman, Managing Director, TD Ameritrade Institutional
J. Marcel Louimeus, Senior Retirement Plan Specialist, Majors & Mondragon
Harry Pearson, CEO, Certified Kingdom Advisor®
Brandon Roop, VP of Institutional Services & Sr. Portfolio Manager, Donaldson Capital Management LLC
1 IMCA CE Credit

If you're in the retirement plan business - or want to be - this is a don't-miss session. Listen to fellow Advisors discuss why they entered the retirement plan business and share their best practices. Walk away with actionable insights into retirement plans.

The next chapter – building on today's success

2:05PM–2:55 PM
Vanessa Oligino, Director – Business Performance Solutions, TD Ameritrade Institutional
1 IMCA CE Credit

We're certainly not going to try to predict the future. But it's safe to assume that our industry will continue to evolve quickly—fueled, in part, by real-time access to information, the application of artificial intelligence, and generational preferences of high net worth investors. This session will show you how to build on your current success by pursuing growth with intent. We'll also discuss how to advance your journey as a leader and introduce the tools you need to adapt to the future demands of financial advising.

Friday, February 8

Technology can help you transform your business: Now, how do you implement it? Part 1

9:50AM–10:40AM
1 IMCA CE Credit

This is a two-part session. Are you in the process of implementing a new technology or you are thinking about it? Join our technology consultants for a hands-on, interactive session designed to help you explore some of the best techniques for implementing technology, and the tools you need to create a roadmap that will actually work for your practice.

The fixed income conundrum: Solutions in a rising rate environment

9:50AM–10:40AM
Gennadiy Goldberg, Senior US Rates Strategist, Global Security, TD Securities USA LLC
1 CFP CE Credit
1 IMCA CE Credit

The Federal Reserve continues to methodically increase the Fed Funds rate and unwind its balance sheet, making the short end of the yield curve extremely attractive. And yet, there has been little to no meaningful increase in yields on the long end. Does the flattening yield curve cause the Fed to pause? In addition to monetary policy and the Central Banks, LIBOR—the world's most common reference interest rate—is being replaced after 2021. Come hear our take on where interest rates may be heading, whether a flattening yield curve is signaling an inversion, what the economic data tells investors, and what investors should know about SOFR and the transition away from LIBOR.

Panel discussion – Charitable giving: Strategies and resources

9:50AM–10:40AM
Moderator: Atul Sapkal, Senior Manager, High Net Worth & Retirement Plans, TD Ameritrade Institutional
Kate Healy, Managing Director, Generation Next, Advisor Management, TD Ameritrade Institutional
Sarah Lee Kjellberg, Director, Head of U.S. iShares Sustainable ETFs, Blackrock
James Miller, President, Woodward Advisors
1 CFP CE Credit
1 IMCA CE Credit

Many of today's clients want to know how they can maximize their charitable impact. Join us as we explore case studies that highlight ways you can deepen client relationships while helping them pursue their goals. We'll also discuss the industry's latest developments and outlook.

Retirement plan legislative & regulatory update

9:50AM–10:40AM
Thomas Clark, Partner, The Wagner Law Group
1 CFP CE Credit
1 IMCA CE Credit

Stay ahead of the legislative and regulatory curve. ERISA attorney Thomas Clark will provide insights on proposed and recently enacted legislation affecting retirement plans, including a push for updated multiple employer plans (or pooled employer plans). Hear about the latest developments in the DOL's efforts to change investment advice after the Conflict of Interest Rule was vacated by the 5th Circuit Court of Appeals and how that dovetails with the proposed Regulation Best Interest by the SEC. Find out how you and your plan sponsors can be better prepared in an ever-evolving environment.

How to build deeper relationships with your female clients

9:50AM–10:40AM
Kahne Krause, CFA, VP, Head of Advisor Communities, Dimensional Fund Advisors
1 CFP CE Credit
1 IMCA CE Credit

Looking for new and insightful ideas on ways to better engage with your female clients? In this session, we'll discuss research and key lessons learned about women's unique financial needs. Takeaways include better communications tools and possible blueprints for a women's initiative at your firm. Speaker – Kahne Krause, CFA, VP, Head of Advisor Communities, Dimensional Fund Advisors Session presented by Dimensional. Session sponsored by Dimensional Fund Advisors.

Advanced technology: What's next in fintech?

9:50AM–10:40AM
Justin Webster, Director of Advanced Technology, TD Ameritrade
Nathan Hogge, Experience Design Lead, TD Ameritrade
1 CFP CE Credit; 1 IMCA CE Credit

We all know technology advances at an exponential pace. Our team of Advanced Technology experts aims to help the RIA industry keep up with tech advances so your firm can prepare for the next generation of investors. Artificial Intelligence, robotics, AR, and VR are just a few the topics we'll touch on in this jam-packed session. Join us for a discussion on the not-so-distant future of fintech and how it may help your firm stay relevant in a rapidly expanding technological environment.

The fixed income conundrum: Solutions in a rising rate environment

9:50AM–10:40AM
Paul McGinn, Senior Vice President of Institutional Investments at First Trust Advisors L.P.
1 CFP CE Credit
1 IMCA CE Credit

Interest rates are on the move, increasing risk and volatility for fixed income investors. Join us as Paul McGinn, Senior Vice President of Institutional Investments at First Trust Advisors L.P., takes a broad look at the fixed income market and gives ideas for how to assess/reassess your investment options in this ever-changing environment. He'll also present the potential benefits of active management across various income strategies. Speaker – Paul McGinn, Senior Vice President of Institutional Investments at First Trust Advisors L.P. Session sponsored by First Trust Portfolios

Market compass: Understanding and investing in the market

9:50AM–10:40AM
1 CFP CE Credit
1 IMCA CE Credit

The current convergence of global economic risk factors is unique in recent history. The stagnant populations of some developed nations face ever-rising debt loads while global alliances shift. And the outlook for the U.S. economy varies widely. Against this backdrop, we’ll discuss a mix of strategies that we believe can potentially help investors manage volatility, generate income, and defend against downturns. Speaker – Kristina Hooper, Global Market Strategist, Invesco. Session sponsored by Invesco

Capitalizing on disruption

11:00AM–11:50AM
1 IMCA CE Credit

How has technology affected the intermediary market and how can your firm best take advantage of these changes? Join us as we share ideas on ways you can leverage technological advances to streamline your practice's operations, pivot your practice toward behavioral coaching, and be more proactive and responsive in building relationships with clients. Session presented by Vanguard. Session sponsored by Vanguard.

Technical analysis and volatility tools for strategy selection

11:00AM–11:50AM
Clint Cowles, Senior Strategist, Institutional Trading Education, TD Ameritrade Institutional
1 CFP CE Credit
1 IMCA CE Credit

If finding the right options strategy sometimes feels like reading a menu at a chain restaurant (three pages of chicken?), then this session is for you. We'll show you how to better understand fundamental characteristics of options strategies using technical analysis indicators and volatility studies to better serve your client's needs.

Options involve risks and are not suitable for all investors. Options trading privileges subject to TD Ameritrade review and approval. Before trading options, carefully read [Characteristics and Risks of Standardized Options](#).

The best tech decisions other advisors ever made

10:50AM–11:40AM
Craig Uhlenkott
1 CFP CE Credit; 1 IMCA CE Credit

Making decisions about which technology you use can be tough. Sometimes the choices we make are good enough to get the job done. And other times our choices allow for significant gains in efficiency and productivity. We've gathered three of your peers to discuss the best tech decisions they've ever made, what went into helping make those choices, and what benefits they've experienced since implementation.

Technology can help you transform your business: Now, how do you implement it? Part 2

10:50 AM - 11:40 AM
1 IMCA CE Credit

This is a two-part session. Are you in the process of implementing a new technology or you are thinking about it? Join our technology consultants for a hands-on, interactive session designed to help you explore some of the best techniques for implementing technology, and the tools you need to create a roadmap that will actually work for your practice.

Panel discussion: Using securities-backed loans to grow your practice

10:50 AM - 11:40 AM
Moderator: Jason Susdorf, Product Manager, Institutional Wealth Management, TD Ameritrade Institutional

Bryan Loew, Head of Wealth Lending Sales, TD Private Client Group, a business of TD Wealth
Jim Mirasola, Director of Alliances, TriState Capital Bank
Marc Rock, Managing Partner, Fountainhead Capital Management, LLC
1 IMCA CE Credit

Hear the latest industry trends centering on securities-backed lines of credit and explore how they can offer investors a unique way to generate liquidity without having to sell off investments. Our panel will discuss topics such as liquidity generation strategies, the risks involved, the regulatory landscape, best practices, and business development techniques for RIAs looking for new ways to grow their practices.

Panel Discussion: Uncovering the truth about cybersecurity

10:50 AM - 11:40 AM
Bryan Baas, Managing Director, TD Ameritrade Institutional
Brian Edelman, CEO, FCI
Joel Bruckenstein, CFP, Technology Tools for Today (T3)
1 CFP CE Credit
1 IMCA CE Credit

You and your colleagues are faced with cyber security risks every day. Are you making the right decisions? Or are you putting your firm at risk? Test your knowledge in this interactive session and gain insights into how you, and your office, can become more cyber-safe.

Behavioral Finance 101 - Ten ways to manage client expectations and behavior

10:50 AM - 11:40 AM
1 CFP CE Credit

1 IMCA CE Credit

Why do clients do what they do? They’re all different, and they all have different motivations. Between spending, investing, trading, financial planning, and portfolio management, understanding clients’ behaviors and what’s behind them can influence how you work with them, and ultimately help you manage expectations. In this session, you’ll learn how to put into practice some of the basic concepts of behavioral finance, understand different types of clients, and improve your working relationships. #RIANextGen

Showcase speaker: Pascal Finette, "Blockchain and cryptocurrencies – from hype to reality to disruption"

12:10 PM - 1:00 PM
1 CFP CE Credit
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Pascal Finette is the Co-Founder of Radical Ventures and Singularity University’s Chair for Entrepreneurship & Open Innovation. His work focuses on the intersection of technology, global impact, and culture; inspiring, educating and empowering entrepreneurs, corporate irritants and change makers to tackle the most intractable problems of our time. He has spent his career pushing the boundaries of technology and passionately believes it can profoundly impact the betterment of humankind. He got started on the net before there was a web browser, founded a series of technology startups, led eBay’s Platform Solutions Group in Europe, launched a consulting firm helping entrepreneurs with their strategy & operations, and invested into early-stage tech startups. Pascal led Mozilla's Open Innovation Lab, created Mozilla's accelerator program WebFWD, and headed up Mozilla's Office of the Chair. As Principal at Google.org, he invested into social impact organizations around the globe. Most recently he built Singularity University's startup programs including the SU Accelerator and Venture Fund. Pascal frequently speaks and writes about the magic and potential which happens at the intersection of technology, culture & global impact.

Showcase speaker: David Goggins, "What's holding you back?"

12:10 PM - 1:00 PM
David Goggins, Retired Navy Seal and Endurance Athlete
1 IMCA CE Credit

David Goggins is a retired Navy SEAL, endurance athlete and motivational speaker. In this session, David will be talking about ways to remove limitations from your mind and focus on the true reality of what you are facing, not the reality you have made up in your mind. Stop settling for 40% and start tapping into your true potential! David is one of the greatest endurance athletes in the world. David has completed multiple ultra-marathons, triathlons, and ultra-triathlons, setting new course records and regularly placing in the top five. David also set a Guinness World Record for the most number of pull-ups in a 24-hour period completing 4,030 in 17 hours. His achievements made him the subject of a lead feature in Runner's World, where he was named "Running Hero". Outside Magazine named him "The Fittest (Real) Man in America." The Navy SEALs tagged him as their poster boy and lead recruiter. In November, 2015, he was the subject of the New York Times Bestseller, LIVING WITH A SEAL.

TD Ameritrade Institutional