Conference Agenda – Investment Advisor Summit, December 2-3, 2008

Tuesday, December 2, 2008

7:30 - 8:15 AM Registration and Breakfast in Exhibit Hall with Sponsors

8:15 – 8:30 AM Welcome Address
Jamie Green, Editorial Director, Investment Advisor

8:30-9:30 AM KEYNOTE
Which Crisis to Solve?
With his unparalleled command of the industry, the CEO of Pershing Advisor Solutions explores how the Wall Street crisis recasts the business challenges for advisors, describes the scope of the main impediment to firms' future profitability—finding good people—and suggests how advisors should best react to both crises.

Mark Tibergien, CEO, Pershing Advisor Solutions, Columnist, Investment Advisor

9:30-10:30 AM KEYNOTE
The Challenges of Growth—Findings of the 2008 Study
The 2008 Financial Performance Study of Advisory Firms revealed rapid growth among the 743 surveyed firms last year in terms of clients and AUM, but plans for continued growth hinge on finding new talent and forming realistic succession plans. Speaking now as head of Moss Adams's own wealth management firm, Rebecca relates how market-dominating firms got that way, and suggests how you can emulate those firms.

Rebecca Pomering, CEO, Moss Adams Wealth Advisors LLC

10:30-11:00 AM Coffee Break in Exhibit Hall with Sponsors

11:00 AM -12:00 PM Value and Performance
What are the keys to improving financial performance? The 2008 Moss Adams's Study found that better performing firms tend to price their services higher, but advisors should remember that building value in a practice doesn't necessarily correlate with providing higher current income to the owner.

Dan Inveen, Senior Research Manager, Moss Adams LLP

12:00-12:30 PM Luncheon in Exhibit Hall with Sponsors

12:30-1:30 PM LUNCHEON ADDRESS
Regulation After the Crisis—and Under the New Administration
A former SEC Commissioner explores how regulation of the industry in general and advisors in particular may change following the financial crisis and the election of a new President.

Roel Campos, partner at the Washington law firm of Cooley Godward Kronish, former Commissioner, U.S. Securities and Exchange Commission

1:30-2:30 PM Laws of Attraction
Using his knowledge of Moss Adams's data, and his first-hand experience at Fusion Advisor Network, Philip lays out the process of how to find the best partners and how to structure firm partnerships to meet all parties' needs and expectations.

Philip Palaveev, President, Fusion Advisor Network

2:30-4:00 PM Now and Then: How to Get Compliant Now and in the Post-Crisis New World Order
The veteran chief counsel of the SEC's Office of Compliance Inspections and Examinations relates what the OCIE is looking for now in its inspections of RIAs, while the leading securities attorney for RIAs and B/Ds suggests how to read between the SEC's lines to stay compliant in the future.

John Walsh, Chief Counsel, Office of Compliance Inspections and Examinations, U.S. Securities and Exchange Commission

Thomas D. Giachetti, Chair of the Securities Practice, Stark & Stark

4:00-4:30 PM Networking Break in Exhibit Hall with Sponsors

4:30-5:30 PM Growing Your Practice During Tough Times
Historically, unstable markets like the current one offer unprecedented growth opportunities for independent advisory firms. Angie will discuss how to position your firm to grow in down markets, and the pitfalls to avoid.

Angela Herbers, President, Financial Advisor Resource, Inc., Columnist and Blogger, Investment Advisor

5:30-7:00 PM Cocktail Reception in Exhibit Hall with Sponsors

Wednesday, December 3, 2008

8:00-8:30 AM Registration and Breakfast in Exhibit Hall with Sponsors

8:30-9:30 AM BREAKFAST ADDRESS
Building for Profitability Now, and Value Later

The leader of one of the most aggressive and successful acquirers of RIA firms uses his extensive experience performing due diligence on potential acquisitions to show you how to structure your practice to achieve success now and increase the value of your firm at transition time.

Joe Duran, CEO, United Capital Financial Partners

9:30-10:30 AM KEYNOTE
Who Will Survive?
A group of distinguished panelists from the RIA and broker/dealer world led by Pershing Advisor Solutions' CEO Mark Tibergien discuss which model—independent RIA, independent broker/dealer, or hybrid—will survive and thrive as the Wall Street crisis plays out.

Mark Tibergien, CEO, Pershing Advisor Solutions, Columnist, Investment Advisor

John Simmers, Chairman and CEO, ING Advisors Network

Greg Sullivan, Managing Director and President, Harris SBSB

10:30-11:00 AM Coffee Break in Exhibit Hall with Sponsors

11:00-11:50 AM ADVISOR ROUNDTABLE II
Getting Over It
A panel of successful advisors offer informed advice for their peers on how to invest for clients and how to communicate with clients during stressful times like these.

Bob Clark, Columnist, Blogger, and Editor-at-Large, Investment Advisor

Kate McBride, Editor-in-Chief, Wealth Manager

Tom Sowanick, Chief Investment Officer, Clearbrook Financial

11:50 AM-12:30 PM Town Hall Meeting

This is your chance to present unaddressed issues on closing the talent gap, finding and compensating the best employees, and architecting your blueprints for optimal growth. Ask the Moss Adams consultants and IA experts and get the answers you need now.

Moderator:
Jamie Green, Editorial Director, Investment Advisor

Panelists:
Bob Clark, Columnist, Blogger, and Editor-at-Large, Investment Advisor

Angela Herbers, President, Financial Advisor Resource Inc., Columnist and Blogger, Investment Advisor

Philip Palaveev, President, Fusion Advisor Network

Rebecca Pomering, CEO, Moss Adams Wealth Advisors LLC

12:30 PM SUMMIT ADJOURNS