



PERSHING ADVISOR SOLUTIONS

PRACTICE MANAGEMENT FORUM

A Bold New Way of Looking at Operational Efficiency

Tuesday, May 11, 2010

Chicago, Illinois

AGENDA

8:30 a.m.

Registration Opens

8:30 a.m. – 9:00 a.m.

Breakfast

Introduction: Donald Gentile, Vice President, Putnam Investments

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INVESTMENTS

9:00 a.m. – 9:15 a.m.

Opening Remarks

Thomas Valverde, Director, Pershing Advisor Solutions

9:15 a.m. – 10:15 a.m.

Mission Possible: The Link Between Operational Efficiency and Increased Profitability

Introduction: Gregory Zipoli, Principal, State Street Global Advisors

Mark Tibergien, Chief Executive Officer, Pershing Advisor Solutions

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In this current economic climate, advisors need to take significant measures to protect profits while simultaneously developing their processes around operations. This in-depth analysis of the operational risks facing the advisory industry and the critical role human capital plays in helping to manage these risks will highlight the recommendations detailed in Mission Possible II, outlining a wide range of operational risks confronting advisory firms today which, if ignored, will create a slow erosion of operational efficiency that will adversely impact profitability and ultimately the quality of client service.

10:15 a.m. – 10:30 a.m.

Break

10:30 a.m. – 11:15 a.m.

Getting the Most From Your Investment in Performance Reporting and Modeling Tools


Moderator: Trent Witthoef, Director, Pershing Advisor Solutions

Brian Justice, Director of Sales, Advent Software, Inc.

Tracy Thompson, SVP of Strategic Sales, Black Diamond Performance Reporting

Performance reporting and trading/modeling tools can be important components in supporting practice efficiency but only if managed properly. Join this discussion to learn how to optimize these practice components from our panel of experts, who will provide their unique perspectives on “pain points,” best practices, pitfalls, the benefits of in-house support vs. outsourcing options and more.

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- 11:15 a.m. – 11:45 a.m. **Creating a Paperless Office: Beyond the Green Initiative**
Michelle Gutierrez, Director, iNautix (USA)
- The regulatory requirements now being imposed on registered investment advisors have led to a steep increase in client documentation, leaving firms to manage volumes of paper and pay a high price for document storage. The paperless office solution enables you to address a broad range of pain points that threaten to hamper efficiency, growth and client satisfaction.
- 11:45 a.m. – 1:45 p.m. **Working Lunch**
Opening Remarks
Michael Reynolds, RIA Regional Vice President, Pioneer Investments
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Investments®
- LEVERAGE: A New Window in Sustainable Change**
Hyrum Smith, Co-Founder and Chairman of the Board of FranklinCovey and Founder of The Galileo Initiative
- Real sustainable change is highly sought after by any professional frustrated with dealing with the same issues many times over. International keynote speaker, Hyrum Smith will provide compelling insights and powerful tools to help identify core beliefs and how they can affect results. Learn how to align perceptions and leverage your training efforts into positive transformations that stick, and find a satisfactory way to respond when asked the question, “Why isn’t there a better way?”
- 1:45 p.m. – 2:00 p.m. **Break**
- 2:00 p.m. – 2:45 p.m. **Essential Alignment: Reengineering Firm Success**
Tracy Beckes, Founder, Tracy Beckes and Associates, Inc.
- Every advisory business, regardless of size, faces challenges with respect to efficiency. After coaching advisors for 17 years, Tracy Beckes has developed the Essential Formula, a comprehensive model that defies industry-wide beliefs about productivity and profitability. From client selection to streamlining process, learn how to uncover practice inefficiencies and how minor corrections will align you to reengineer your practice for success.
- 2:45 p.m. – 3:30 p.m. **Client Relationship Management Tools (CRM): The Good, the Bad and the Underutilized**
Joseph Williams, Regional Vice President, Salesforce.com
- Despite the growth of the CRM industry, many deployed systems still suffer from underutilization. In fact, some industry experts estimate that more than half the CRM systems implemented today are at some level of abandonment or suffer from underutilization, primarily due to poor end user adoption. But in reality a business development person who uses CRM can manage at least ten times the number of relationships when compared to a non-CRM user. Discover other valuable uses such as marketing, workflow management and tracking your own firm’s key performance indicators.
- 3:30 p.m. **Closing Remarks**
Thomas Valverde, Director, Pershing Advisor Solutions