RETAIL DISTRIBUTION & DEFINED CONTRIBUTION:

Leading Retirement Income Innovation and Change

SPRING CONFERENCE • MARCH 19–20, 2012 • CHICAGO

RETIREMENT INCOME riia INDUSTRY ASSOCIATION

Agenda

PRE-CONFERENCE MEETINGS

7:30 AM – 8:00 AM **Registration and Light Breakfast:** Working Groups

8:00 AM – 12:00 PM **Working Groups Meetings**
DTCC Data Advisory Board
SPIA Advisory Board
Healthcare Working Group
Contributing Group — Women's Retirement Income Readiness

9:30 AM – 10:00 PM **Registration:** RMA Certificate-Holders and Candidates for Continuing Education

10:00 AM – 12:00 PM **RMA Continuing Education**

MONDAY, MARCH 19: 12:00 NOON – 7:30 PM

12:00 PM – 1:00 PM **Conference Registration, Networking and Light Lunch**

1:00 PM – 1:15 PM **Welcome** François Gadenne, *Chairman of the Board and Executive Director, RIIA* and Peng Chen, *President, Global Investment Management, Morningstar, Inc.*

TRUST

Chair: Christine Benz, *Director of Personal Finance, Morningstar*

1:15 PM – 2:00 PM **Building Retirement Trust and Confidence and Winning New Business in Times of Continuous Crises**
MODERATOR: Bob Seawright, *CIO, Madison Avenue Securities*
Craig Adamson, President, *Adamson Financial Planning*
Dana Anspach, Principal, *Sensible Money, LLC*
Fabrice Morin, *Associate Principal, McKinsey and Company*
Mike Scarborough, CEO, *Scarborough Capital Management, Inc.*

2:00 PM – 2:45 PM **Believable Retirement Income: Building Trust through Simple, Transparent, and Actionable Planning**
Sherrie Grabot, *CEO, GuidedChoice*

2:45 PM – 3:15 PM **NETWORKING BREAK**

3:15 PM – 4:00 PM **The Regulatory Framework for Building Trust and Confidence**
MODERATOR: Al Turco, *New England Managing Partner, McElroy, Deutsch, Mulvaney & Carpenter, LLP*
Joan Boros, *Of Counsel, Jorden Burt LLP*
Marla Kreindler, *Partner, Morgan Lewis*
Duncan Williams, *Graduate Instructor, Texas Tech University*

4:00 PM – 4:30 PM **Building Trust with Investment and Annuity Customers**
SPIA Working Group and Market Insight Advisory Board
MODERATOR: Anand Rao, *Partner, PwC*
Gary Baker, *President, U.S. Division, Cannex Financial Exchanges Ltd*
Larry Cohen, *VP, Director, Consumer Financial Decisions, Strategic Business Insights*

4:30 PM – 5:15 PM ***Perspectives Keynote*—Whistleblowing on Bernie Madoff's Ponzi Scheme to the SEC: The Inside Story of Bringing Down Madoff's Operation and Implications of Social Media on Trust in the Industry**
Frank Casey, *Partner, SkyView Investment Advisors, LLC*
Introduction by François Gadenne

5:15 PM – 5:45 PM **The RIIA Awards**
Practitioner Thought Leadership Award
Presented by: Bruce Wolfe, *Managing Director, Allianz Global Investors*
Fall Conference Media Awards line-up and new Market Insight Award

5:45 PM – 7:30 PM **Cocktails and Appetizers**

TUESDAY, MARCH 20: 7:00 AM – 5:30 PM

7:00 AM – 8:00 AM	**Light Breakfast**

DEMOGRAPHICS

Chair: Greg Cherry, *Senior Analyst, Aite Group*

8:00 AM – 8:45 AM	**Next Generation Retirement Solutions** David Deming, *CEO, Dimensional Retirement*
8:45 AM – 9:45 AM	**The View Across the Associations: Latest DC and Retail Trends and Research** **MODERATOR:** Elvin Turner, *Director, Turner Consulting, LLC* Keith Kelly, *VP and COO, Financial Services Institute, Inc. (FSI)* James McNeil, *Executive Director, Bank Insurance & Securities Association (BISA)* Lew Minsky, *Executive Director, Defined Contribution Institutional Investment Assocation (DCIIA)* Kim O'Brien, *President & CEO, National Association for Fixed Annuities (NAFA)*
9:45 AM – 10:15 AM	**NETWORKING BREAK**
10:15 AM – 10:45 AM	**The Market, The Economy and the Demographic Challenges Ahead** Doug Short, *VP, Advisor Perspectives*
10:45 AM – 11:45 AM	**A New Focus: An Integrated Household Retirement Solution Across Channels and Business Silos** **MODERATOR:** Don McNees, *Principal, Deloitte Consulting, LLP* William Cass, *Senior Wealth Management Marketing Manager, Putnam Investments* Sally Geaney, *Managing Director, Wells Fargo Advisors* Sri Reddy, *SVP, Institutional Income, Prudential Retirement* Ian Sheridan, *Division Vice President, DST Insurance Solutions*
11:45 AM – 12:45 PM	**Luncheon and Networking**
12:45 PM – 1:30 PM	***Perspectives Keynote*—Wealth Is Power: Consequences and Implications for Retirees** Tim Garrett, *Associate Professor of Atmospheric Sciences, University of Utah* Introduction by Doug Short, *VP, Advisor Perspectives*

INNOVATION

Chair: Ruth Ann Murray, *Director, Center for Professional Education, Boston University*

1:30 PM – 2:15 PM	**Retiree Readiness—Separating Fact from Fiction** Paul Horrocks, *VP, New York Life Insurance Company*
2:15 PM – 2:45 PM	**NETWORKING BREAK**
2:45 PM – 3:30 PM	**Leveraging Data to Drive Strategic Innovation: New Findings About Key Distribution Channels** **MODERATOR:** Joy Masterson Weir, *Partner, Sagence Group* Andrew Blumberg, *Advisor, Depositary Trust & Clearing Corporation (DTCC)* Larry Cohen, *VP, Director, Consumer Financial Decisions, Strategic Business Insights* Dennis Gallant, *President, Gallant Consulting*
3:30 PM – 4:00 PM	**Retirement Income: From Academic Theory Into the Hands of Individuals** James Nichols, *Sr. Managing Director, Advice and Planning Services, TIAA-CREF* James Smith, *Vice President, Client Solutions, Morningstar Investment Management*
4:00 PM – 5:00 PM	**Winning Channel and Customer Value Propositions that Bring the Health Care and Financial Industries Together** **MODERATOR:** Will Prest, *Director of Membership Services, RIIA* Chris Campbell, *VP, Bankers Life and Casualty Company* Larry Cohen, *VP, Director, Consumer Financial Decisions, Strategic Business Insights* Suzanna deBaca, *VP Wealth Strategies, Ameriprise Financial* Dan McGrath, *VP, Health Wealth Connection, HVS Financial* Andre Prawoto, *VP, Corporate Products and Strategy, American Century Investments*
5:00 PM – 5:30 PM	**Conference Closing Remarks** — François Gadenne