

<i>Time</i>	<i>Topic</i>	<i>Speaker(s)</i>	<i>Location</i>
7:30 – 8:30	Continental Breakfast		SITCC
8:30 – 9:00	Welcome	<i>Don Trone Rich Lynch Blaine Aikin</i>	Ballroom C SITCC
9:00 – 10:30	Moving to a Global Standard of Fiduciary Excellence	<i>Don Trone Ross Fowler Carlos Panskep</i>	Ballroom C SITCC
10:30 – 10:45	Break		SITCC
10:45 – 12:00	Legislative & Regulatory Hot Topics:		Ballroom C SITCC
	Where Are We Going? The Retirement Industry 5 to 10 Years From Now	<i>Fred Reish</i>	
	SEC and DOL Update	<i>Jane Katz Crist</i>	
12:00 – 1:30	Lunch		Westin
1:30 – 3:00 Break-Out Sessions (choose 1):	401(k) – Best Practices and How to Reach the Marketplace	<i>Mario Giganti Don Settina Sharon Pivirotto</i>	SITCC
	Sustainability Investing: Doing Well and Doing Good	<i>Alex Barkawi</i>	SITCC
	HNW - Best Practices and How to Reach the Marketplace	<i>Charles Lowenhaupt</i>	SITCC
3:00 – 3:15	Break		SITCC
3:15 – 4:45	The Wide (and often wild) World of Public Pension and Trust Programs	<i>Mary Kathryn - Campion Bryan Pedersen Ron Hagan Sr.</i>	Ballroom C SITCC
4:45 – 5:00	Closing remarks	<i>Don Trone Rich Lynch Blaine Aikin</i>	Ballroom C SITCC
5:30 – 7:30	Cocktail Reception		Westin – Club Golf Pavilion & Deck

<i>Time</i>	<i>Topic</i>	<i>Speaker(s)</i>	<i>Location</i>
7:30 – 8:30	Continental Breakfast		SITCC
8:30 – 8:45	Welcome Back	<i>Don Trone Rich Lynch Blaine Aikin</i>	Ballroom C SITCC
8:45 – 10:00	<i>Keynote Speaker</i> The Pending Intergenerational Transfer of Wealth – Risk or Opportunity?	<i>Gene Maloney</i>	Ballroom C SITCC
10:00 – 10:15	Break		SITCC
10:15 – 11:45	401(k) – Best Practices and How to Reach the Marketplace	<i>Mario Giganti Charles Epstein</i>	SITCC
Break-Out Sessions (choose 1):	Conducting Fiduciary Assessments: Business Opportunities and Legal Issues	<i>Ron Hagan Sr. Brian Hamburger</i>	SITCC
	RISK is More Than a Four Letter Word	<i>Susan Mangiero</i>	SITCC
	Lunch		Westin
1:00 – 2:00	Challenges of Underwriting Investment Fiduciaries	<i>Wendy Dowd</i>	Ballroom C SITCC
Break-Out Sessions (choose 1):	Verifying Portfolio Performance: The Transition to GIPS	<i>Wesley Western</i>	SITCC
	Fiduciary Authors Panel: How to Get Published in the Fiduciary Space	<i>Rocco DiBruno Steff Chalk Scott Simon Greg Kasten</i>	SITCC
	Foundations and Endowments – Best Practices and How to Reach the Marketplace	<i>Sandra Champion Woodrow Leake</i>	SITCC
3:30 – 4:00	Closing Remarks	<i>Don Trone Rich Lynch Blaine Aikin</i>	Ballroom C SITCC

Fiduciary Analytics Workshop

Andy Frommeyer and Dave Palascak will host a special workshop, focusing exclusively on the Web-based tools offered by Fiduciary Analytics. In this casual atmosphere, conference attendees will be able to watch demonstrations of the tools, including a tutorial of the redesigned Website and the new My Client Manager tool planned for release at the conference. Attendees will also be able to utilize a set of computers to experience the tools hands-on and ask questions as necessary. Demonstrations will coincide with the conference breakout sessions. However, at other times, the workshop will be open for attendees to walk in, talk with the Fiduciary Analytics team and utilize the lab throughout the conference.

8:00 – 12:30	Fiduciaries on the Fairways Golf Outing	Westin's Robert Cupp/Sam Snead Championship Golf Course. <i>(space is limited and prior commitment to fi360 required)</i>
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Moving toward a Global Standard of Fiduciary Excellence

Prudent Practices for a Global Community

One of the driving forces behind Fiduciary360's recent program enhancements is the application of our prudent practices to a global community. Fi360 founder and CEO Don Trone will talk about how we have melded regulatory minimums and industry best practices to form a standard against which the practices of fiduciaries around the globe can be evaluated. He will also speak on how the ISO 19011 auditing standards for quality management systems inspired our new process for the assessment of those practices. All of these changes are aimed at raising the level of performance and responsibility of fiduciaries everywhere. We will also hear from Ross Fowler and Carlos Panksep, representatives of our affiliates in New Zealand and Canada, respectively, explain how a Global Standard of Fiduciary Excellence is already being put into action.

Don Trone, AIFA®

Don Trone is the CEO of Fiduciary360, which coordinates the resources of the Foundation for Fiduciary Studies; the Center for Fiduciary Studies, which operates in association with the University of Pittsburgh's Katz Graduate School of Business; and, Fiduciary Analytics, which develops Web-based tools to support the decision making process of investment fiduciaries.

In 2005, Don was selected to the prestigious IA25, the listing of the twenty-five most influential people in the investment advisory industry. In 2004, The Center for Fiduciary Studies was selected to provide fiduciary training to the Directors of the Federal Retirement Thrift, the retirement plan for 3.2 million Federal employees, including members of Congress and the uniformed services. The Federal Retirement Thrift is the largest defined contribution plan in the world. In 2003, Don was appointed by the U.S. Secretary of Labor to represent the investment counseling industry on the ERISA Advisory Council.

Don is co-author of two industry bestsellers, Procedural Prudence and The Management of Investment Decisions (McGraw-Hill Publishing), and lead the development of the fiduciary handbook, Prudent Investment Practices.

Don graduated as president of his class from the United States Coast Guard Academy, and with honors from the US Naval Flight Training Program in Pensacola, Fl. He served on active duty for ten years as a long-range search and rescue helicopter pilot. He is the 1997 recipient of the U.S. Coast Guard Academy Alumni Medal of Achievement for his distinguished military and business career. Don received his Master's degree in Financial Services from the American College, and has completed post-graduate studies at Pittsburgh Theological Seminary and Trinity Episcopal Seminary.

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Ross Fowler, AIF[®]

Ross Fowler graduated from Auckland University having studied Urban Valuation. This was followed by completion of post graduate studies at Lincoln College in Rural Valuation and Farm Management.

Following graduation he spent several years in valuation practice, focusing on CBD, industrial and commercial property, before moving into property development and investment advisory work with corporate clients.

As a founding shareholder of Strategic Asset Management Limited, Ross has assisted professionals, trustee, and investment advisers to keep pace with new standards and gain access to advanced tools. He has also provided practical assistance, thus enabling them to discharge their responsibilities and bring genuine value to their clients and beneficiaries. He has a particular interest in developing educational programmes on these issues and is a regular presenter to professional firms and trustees.

In conjunction with the Center for Fiduciary Studies (Pittsburgh) he is now Managing Director of fi360 (Australasia) Limited, with responsibility for the practical implementation of services in New Zealand and Australia.

Carlos Panksep

Carlos Panksep is General Manager of the Centre for Fiduciary Excellence. He is from QMI, a division of the Canadian Standards Association, where he was responsible for Corporate Operations, including Registration, Certification, Continual Improvement, Information Technology and International Operations. Carlos brings to CEFEX the management skills required to run an independent third party registration program, similar in design to ISO9001. This includes the assurance of audit quality control, audit consistency, customer satisfaction monitoring and information transparency.

Carlos also has over 20 years of high tech management experience. He held senior product management, sales and marketing positions at Bell Canada, Canada's largest telecommunications company. He has also managed a very small high tech start-up during the dot-com boom.

Carlos has a Bachelor of Science in Engineering from the University of Waterloo in Ontario Canada. He is active in sports, music, and photography. He lives in Toronto, is married and has 2 young boys.

Legal and Regulatory Hot Topics

Where Are We Going? The Retirement Industry Five to Ten Years From Now

The prudent man rule requires that fiduciaries fulfill their responsibilities “under the circumstances then prevailing.” As a result, the focus and responsibilities change as the prevailing circumstances change. 401(k) plans have evolved from supplemental savings-and-investment plans to primary retirement plans. This program will discuss the changing roles of fiduciaries and advisors, and changing interpretations of the law in that environment.

Fred Reish

Fred Reish is an ERISA attorney whose practice focuses on fiduciary responsibility issues. He has written over 250 articles and four books about retirement plans. Fred writes a monthly column on 401(k) fiduciary issues for *Plan Sponsor* magazine. He is a Charter Fellow of the American College of Employee Benefits Counsel and has been awarded the IRS Commissioners Award, the IRS District Director’s Award, the ASPPA Edison Founder’s Award, and the Institutional Investor Lifetime Achievement Award for his contributions to the benefits community. Fred has also been recognized as “One of the Best Lawyers in America” and as a “Super Lawyer in Southern California.” Fred co-chaired the IRS Los Angeles Benefits Conference for over 10 years, served as a founding co-chair of the ASPPA 401(k) Summit, and serves on the Steering Committee for the DOL National Conference.

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Jane Crist will speak about recent SEC rules affecting investment advisers, the status of proposed changes to soft dollars, rebating 12b-1 fees to clients, investment adviser's use of third party ratings, highlights of current SEC examination request list, status of proposed anti-money laundering rules for investment advisers, and Department of Labor requirements for employers including investment advisers and pension consultants to complete Form LM-10.

Jane Katz Crist

EDUCATION: Loyola University School of Law, Los Angeles: J.D., Cum Laude, 1978
Class Rank: Top 10%
Dean's List Scholar: 1975-76, 1976-77, 1977-78

Harvard University: M.Ed., 1959.

Mount Holyoke College: B.A., Cum Laude, 1958.

LEGAL EXPERIENCE:

1985-present Private Practice of Law emphasizing securities matters.

Practice includes advice and preparation of necessary documents in connection with regulatory compliance for investment advisory firms, hedge funds, wrap fee programs, and representation before the Securities and Exchange Commission, Commodity Futures Trading Commission, National Association of Securities Dealers, Inc. and other self-regulatory agencies. Clients include primarily investment advisers, financial planners, financial advisers, pension consultants, hedge funds and brokerage firms.

1978-1985 Securities and Exchange Commission, Los Angeles Regional Office: Chief, Branch of Investment Company and Investment Adviser Examinations; and previously Chief, Branch of Enforcement and Staff Attorney, Division of Enforcement.

Responsible for program of inspection of investment companies and investment advisers located in Region and oral interpretations of Investment Company Act and Investment Advisers Act; previously responsible for investigation and administrative and civil litigation of several

complex cases involving S-18 and Regulation A filings, trust deeds, broker-dealers, periodic filings and limited partnership tax-sheltered offerings; experience in review of corporate filings; preparation of legal memoranda; negotiation of settlements.

Summer 1977 Balaban and Stern, Los Angeles, California: Law Clerk.

Summer 1976 National Health Law Program, Los Angeles, California: Law Clerk.

MEMBERSHIPS: State Bar of California; Los Angeles County Bar Association; American Bar Association, Business Law Section; Money Management Institute Legal & Regulatory Affairs Committee

AWARDS & CERTIFICATES: Securities and Exchange Commission: Two monetary awards for superior performance.

USC Law Center: California Institute for Trial Advocacy Skills, 1980.

OTHER: Published articles in Charles Schwab & Co. Institutional Compliance Newsletter, National Society of Compliance Professionals "Currents," and "The Journal of Performance Measurement."

Speeches before several National Regulatory Services conferences, Fiduciary Analytics Annual Meeting and regional investment adviser compliance groups

401(k) Best Practices and How to Serve the Marketplace Break-out Topic

Servicing Retirement Plans and It's Participants

Do you know how to identify shortfalls in a retirement plan? Knowing what is required by plan sponsors and how to identify shortfalls in a qualified plan allows professionals to service retirement plan clients better. Financial Service Standards LLC shows you a service process that provides professionals with the practical application tools necessary educate sponsors on what is required and document their compliance with with ERISA regulations as it relates to the six critical issues faced by plan sponsors. These issues include documenting goals and objectives, the investment policy statement, comparing plan features and expenses, creating a custom participant education program, educating the fiduciary, and implementing the fiduciary standards of care.

Mario C. Giganti, CPA, CFP[®], AIFA[®]

Mario Giganti is the Managing Director of Azsure Fiduciary Services, an independent investment fiduciary consulting and registered investment advisory firm in Ohio. He oversees the Investment Fiduciary Services performed by Azsure and serves as a Trustee/Fiduciary to certain multiple employer retirement plans throughout the country.

Prior to joining Azsure, Mario spent four years working with a Big Four accounting firm and four years at two major brokerage firms. During this time, he specialized in working with employee benefit plans in the administrative and investment services area. He also spent considerable time understanding and developing personal financial plans and investment programs for high net worth individuals as well as investment services for endowments and other non-profit organizations.

Mario graduated from Walsh University with a B.A. in Accounting. While at Walsh, he was recognized as an Academic and Athletic All-American in soccer.

Donald J. Settina, CFP[®], AIF[®], PPC[™]

Donald J. Settina is an industry veteran with more than twenty-five years of experience in the financial planning arena and retirement plan market. He is a founding partner of Financial Service Standards LLC, and is the Principle of a

top-producing financial planning practice in the South Hills of Pittsburgh. Don is author of *The 401(k) Service Solution Handbook for Plan Sponsors and Fiduciaries* and teaches *The 401(k) Service Training Program* at Robert Morris University in Pittsburgh.

Sharon A. Piviroto, PPC™

Sharon Piviroto, co-founder of Financial Service Standards LLC, brings more than ten years of financial industry experience to the table. Formerly licensed as a securities and insurance professional, she successfully ran an investment office for a national firm before starting her own company in 2002 and, more recently, teaming up with Don Settina to formalize and teach *The 401(k) Service Training Program* to industry service professionals.

Socially Responsible Investing Break-out Topic

Sustainability Investing: Doing Well and Doing Good

The session will address the rising interest among private and institutional investors in and the compatibility of sustainability-driven investments with fiduciary duty. Offerings in this growing market integrate long-term economic, environmental and social criteria into financial products. They account for issues such as corporate governance, climate change, water scarcity, labor practices, stakeholder relations, and the rising impact these aspects have on the long-term success of companies. The session will provide an overview on these developments in the US as well as overseas, address the inroads sustainability is making into mainstream investing, and offer insights into the Dow Jones Sustainability Indexes as a concrete example of a sustainability-driven financial product.

Alexander Barkawi

Alexander Barkawi is Managing Director of SAM Indexes GmbH which together with Dow Jones & Company and STOXX Limited publishes and markets the Dow Jones Sustainability Indexes. SAM Indexes is part of the SAM Group, an independent Switzerland-based and internationally active investment group with an exclusive focus on sustainability. Established in 1995, SAM was among the first companies to specialize in sustainability investments and to identify sustainability leaders worldwide.

Alexander studied economics at the University of St. Gallen, Switzerland, followed by a Ph.D. at the university's Institute of Sociology. He is a member of the advisory board of oikos, the international student organization for Sustainable Economics and Management, as well as the president of the oikos foundation.

High Net Worth Best Practices and How to Reach the Marketplace Break-out Topic

Complexities of Managing Wealth

Wealth management is one of the fastest growing segments of the financial services industry. What is wealth management? What are the challenges and opportunities for managing great wealth, for both clients and their advisors? This presentation will provide insight as to helping clients accomplish their goals.

Participants will be able to identify and understand the issues surrounding managing wealth versus managing a business, including effective fiduciary strategies for transferring wealth through generations. He will identify specific strategies for building teams of advisors to private wealth as well as setting objectives for families of wealth. Mr. Lowenhaupt will also explore the dilemma of “bundling” and the idea of “freedom from wealth,” both cutting-edge concepts for the effective long-term management of significant private wealth.

Charles A. Lowenhaupt

Chairman & Chief Executive Officer – Lowenhaupt Global Advisors, Lowenhaupt Wealth Management
Managing Partner – Lowenhaupt & Chasnoff

Charles Lowenhaupt is an attorney concentrating in wealth counseling and estate planning. He is Chairman & CEO of Lowenhaupt Global Advisors and Lowenhaupt & Chasnoff, LLC, the United States' first tax law firm, established by his grandfather in 1908 and the family office for select families of substantial wealth globally.

Charles served as a Founding Advisory Faculty member for the Institute for Private Investors and currently advises the Institute as an Emeritus Member and contributor to its programs. An active member of the American and Missouri Bar Associations, Charles served as Chairman of the Generation-Skipping Transfer Tax Subcommittee of the Estate and Gift Tax Committee of the American Bar Association Tax Section from 1995-2004. Among his many philanthropic activities, Charles is a director of the Foundation for Fiduciary Studies

(Pittsburgh), the Clements Library (Ann Arbor), and in St. Louis, Grand Center, the Barnes Jewish Hospital Foundation Board of Directors, and the St. Louis Art Museum. He is a former Commissioner of the St. Louis Zoo.

An extensive writer on matters relating to family wealth transmission and family philanthropy, Charles is a frequent contributor to *The Deal*, the financial news weekly. He also authored the chapter on “How to Build a Winning Team of Financial Advisors” for *Wealthy & Wise*, issued by Neuberger Berman and published by Wiley in 2003. In demand as a speaker on wealth management, Charles has spoken at the Fudan University Law Department in Shanghai (the transcript of which was published in the Fudan Journal of Contemporary Law Studies in 2000) the Beijing University Law School in Beijing, China, the Campden Asia Pacific Family Office Conference in Hong Kong, the Campden European Family Office Conference in London, the IIR Family Office Forum in Chicago, the Wealth & Giving Forum, the American Bar Association Tax Section, Estate and Gift Tax Committee, and Harvard University among many others.

Charles earned his B.A. (cum laude) from Harvard University and his J.D. (magna cum laude and Order of the Coif) from the University of Michigan. He is admitted to the New York Bar, the Missouri Bar, U.S. District Court, U.S. Tax Court, U.S. Court of Federal Claims, U.S. Court of Appeals (8th Circuit) and the U.S. Supreme Court.

The Wide (and often wild) World of Public Pension and Trust Programs

The Causes and Cures of the Ills of the Public Pension and Trust Program Industry

Recent challenges to the public pension and trust industry have placed new demands on those fiduciaries. This panel discussion with Wyoming State Legislator Bryan Pedersen, city pension system consultant Ron Hagan, and Texas pension program consultant Mary Kathryn Campion will focus on how they have overcome these obstacles with the implementation of prudent investment processes into their respective programs. Topics will include the importance of an IPS, modern portfolio theory, the impact of ERISA and MPERS in the public sector, and performance reporting standards; all with the goal of explaining the causes and cures of the ill of the public pension and trust program industry.

Mary Kathryn Campion, Ph.D., CFA, AIF[®]

Mary Kathryn Campion is President of Champion Capital Research, Inc. The firm is an independent research company incorporated to provide objective analyses, advice, and research to institutional clientele. As such, it services asset managers, insurance companies, pension funds, endowments and foundations.

Ms. Campion has over sixteen years of experience in the investment industry as a consultant, portfolio strategist and financial economist. She is widely considered an expert in creating asset allocation strategies that meet clients' cash flow and expected return demands. Her professional experience includes advising firms' investment committees regarding fund due diligence, asset allocation and strategies, including those designed to support insurance contracts, retirement and public and private pensions. Ms. Campion continues to manage a proprietary set of fund of fund models with specified risk and return characteristics as well as tactical emerging and global market strategies used by institutional clientele. Her firm develops forward-looking expectation analyses for estimating equity and fixed income expected returns and volatilities. Currently these estimates influence tactical and strategic asset allocation decisions made by Champion on behalf its institutional clientele.

Prior to founding Champion Capital Research, Dr. Campion held the position of Chief Investment Officer at U.S. Fiduciary and chaired the firm's Investment

Committee. Her responsibilities included the oversight of manager and fund due diligence, the design and implementation of strategic and tactical asset allocation strategies, the development of immunized fixed income portfolio strategies, and the overall performance of the firms' over one billion assets under management. Campion has authored years of economic reports and white papers. She is published in academic and professional journals including Bank Asset/Liability Management, The North America Journal of Economics and Finance and The World Economy: The America's. Additionally, she maintains an active professional speaking and academic lecture schedule. She is a Chartered Financial Analyst (CFA), an Accredited Investment Fiduciary (AIF®) and maintains Series 7 and 63 NASD security licenses. Mary Kathryn holds a B.A. from Rice University and an M.A. and Ph.D. in Economics from the University of Houston.

Ronald E. Hagan, AIFA®

Ron Hagan is the firm's President and Chief Executive Officer. He is also Chairman of Roland|Criss' Fiduciary Standards Committee.

He has a lengthy career in developing retirement plan fiduciary processes, selecting prudent experts, and monitoring their activities. Prior to joining the Roland|Criss team in 1986, Mr. Hagan was a Senior Vice President with the First National Bank of Commerce. During his tenure, he served as a fiduciary on its Asset Liability Management Committee.

Subsequently, he was a Principal with Booz, Allen & Hamilton in New York City and Chicago. While there, his duties included advising executives of Fortune 500 companies on fiduciary processes.

He is a frequent speaker at industry trade conferences and national webcasts. Mr. Hagan has published numerous articles on the subject of investment fiduciary standards of care. He is a co-developer of the Roland|Criss' FiduciaryPLUS™ program.

Mr. Hagan received his certification as Accredited Investment Fiduciary Auditor™ from the Center for Fiduciary Studies. This qualifies him to conduct and supervise independent fiduciary reviews for those persons concerned about their responsibilities for investing the assets of endowments and foundations, ERISA qualified plans, private family trusts, public employee retirement plans as well as high net worth individuals. He is an alumnus of Erie College with a degree in accounting. He is also a registered investment advisor.

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Bryan Pedersen, AIFA®

Bryan Pedersen began working for RBC Dain Rauscher in November 1998. He is a registered securities broker and is authorized to provide consulting services. Bryan is a member of the Institute for Certified Investment Management Consultants, a member of RBC Dain Rauscher's Senior Consulting Group, an Accredited Wealth Manager and an Accredited Investment Fiduciary Auditor. In 2004, Bryan was elected to the Wyoming House of Representatives. Bryan serves on the Revenue Committee, the Transportation, Military Affairs and Home Land Security Committee, as well as the Select Committee on Capital Financing and Investments. Bryan brought the UMPERS Act into Wyoming law, making Wyoming the first state to adopt this act. Bryan was instrumental in designing a unique 529 plan for Wyoming that is gaining in popularity nationwide. He has appeared on CNBC India and The O'Reilly Factor. Bryan lives in Cheyenne, Wyoming with his wife Sara and their son Brock.

Keynote Presentation

The Pending Intergenerational Transfer of Wealth Risk or Opportunity?

The intergenerational transfer of wealth from those who have created it to those who will consume it is underway. In the alternative, individuals on the front edge of the baby boom generation are fast approaching retirement. The prospect of a significant shift of wealth presents a great opportunity to financial service providers but also great risk.

The phenomenon described in the foregoing will be examined in the context of the standard of care money managers are held to, the changing nature of regulatory oversight and supervision, and the fluid nature of laws heretofore assumed to protect financial services companies from liability. Specific subjects addressed will be:

- Conflict of interest in a financial services transaction
- The importance of process in the area of money management
- SEC oversight of bank securities activities
- Litigation risk
- Personal experiences regarding litigation that involved Federated Investors

Eugene F. Maloney

Eugene Maloney is Executive Vice President of Federated Investors Management Company, Vice President and Corporate Counsel of Federated Investors, Inc., a member of the Executive Committee, and has been employed by the firm for thirty-four years.

Mr. Maloney is a Director of the Foundation for Fiduciary Studies and was appointed by the U.S. House of Representatives and Senate as a member of the Industry Sector Working Group on Financial Services. He is an instructor in trust and securities law at Boston University School of Law, has been a visiting instructor at the Federal Financial Institutions Examination Council and the American Bankers Association's National Graduate Trust School at Northwestern University, and participates in programs leading to the designation of Certified Trust and Financial Advisor. Mr. Maloney has also served as an expert witness in both judicial and legislative settings on matters relating to fiduciary compensation, will construction, and prudent investing.

Mr. Maloney has appeared as a speaker at American Bankers Association gatherings and is a frequent speaker at State Bankers Association meetings on the following subjects:

the Gramm-Leach-Bliley Act, the deregulation of the financial services industry, the Uniform Prudent Investor Act and the investment management process it contemplates, fiduciary compensation, revisions to Regulation Q, pension reform and asset allocation as a means of optimizing return and minimizing risk.

Mr. Maloney has authored and co-authored a number of articles appearing in various financial and legal publications regarding the investment responsibilities of corporate fiduciaries. He has also been the architect of various educational videos and memoranda having to do with the Uniform Prudent Investor Act, the implications for trust banks of functional regulation under the Gramm-Leach-Bliley Act, asset allocation in a trust context, the prudence of international investing, fiduciary compensation, and the propriety of a corporate fiduciary utilizing a mutual fund to which it provides discrete services.

Mr. Maloney received his B.A. from Holy Cross College in Worcester, Massachusetts, and his J.D. from Fordham Law School in New York City. He attended Wharton School of the University of Pennsylvania focusing on the financial management of commercial banks. He was an officer in the United States Army from 1969 to 1972 and served as an infantry officer for one year in the Republic of Vietnam.

401(k) Best Practices and How to Serve the Marketplace Break-out Topic

The 21st Century's Intelligent 401(k) Advisors

The 401k Coach Program assists financial practitioners in developing, nurturing and growing their retirement plan business. 401k Coach Program members are recognized as the 21st Century's Intelligent 401(k) Advisor. The Program is built around Charlie's accelerated success in the qualified plan industry in creating exceptional client relationships, strategic alliances and developing unique systems and processes for delivering a client-focused experience.

At the AIF Conference, Charlie will talk you through:

- The 401k Coach Retirement Plan Solution – a six-step process for selling and servicing 401(k) plans.
- A “blue ocean” strategy for making the competition irrelevant
- The 5 Levels of Client Creation – a repeatable system of success for generating a never-ending stream of qualified referrals from superior centers of influence.
- A total fulfillment, 3-dimensional, “Drip Marketing Campaign” with a 15-20% appointment setting success ratio. (You provide the company names – we do the rest. All for around \$50 per company.)

Mario C. Giganti, CPA, CFP[®], AIFA[®]

Mario Giganti is the Managing Director of Azsure Fiduciary Services, an independent investment fiduciary consulting and registered investment advisory firm in Ohio. He oversees the Investment Fiduciary Services performed by Azsure and serves as a Trustee/Fiduciary to certain multiple employer retirement plans throughout the country.

Prior to joining Azsure, Mario spent four years working with a Big Four accounting firm and four years at two major brokerage firms. During this time, he specialized in working with employee benefit plans in the administrative and investment services area. He also spent considerable time understanding and developing personal financial plans and investment programs for high net worth individuals as well as investment services for endowments and other non-profit organizations.

Mario graduated from Walsh University with a B.A. in Accounting. While at Walsh, he was recognized as an Academic and Athletic All-American in soccer.

Charles D. Epstein, CLU ChFC, AIF®

Charles D. Epstein has over twenty five years of experience in the financial services industry. He is a founding partner of Benefits Consulting Group, LLC (a top-producing regional TPA) and the principal of Epstein Financial Services. These companies specialize in retirement plan design and administration, executive compensation planning, retirement planning, fee for service financial planning and business and estate preservation programs.

Charlie is one of the founding Coaches of The 401k Coach® Program – a program that assists practitioners to focus on developing, nurturing and building a retirement plan business. The 401k Coach® Program is built around Charlie's success in the retirement plan industry both in creating exceptional client relationships, strategic alliances and developing unique systematized processes to deliver a unique experience. Since inception three and a half years ago, The 401k Coach® Program has experienced exponential growth and success.

He also created The Family CFO® Process and The Crystal Ball Experience® : Evolutionary systems that assist successful Family Business Owners, Professionals, and High Net Worth Individuals in defining, monitoring and achieving financial freedom with reduced financial anxiety. The Family CFO® Process enables Family Business Owners to create intelligent strategies for accumulating, preserving and transferring wealth from one generation to the next.

With a sincere commitment to the success of Family-Owned Businesses in New England, Charlie founded the UMASS Family Business Center in 1992, at The University of Massachusetts, Amherst. He has been the Advisory Board Chair of the Center since its inception.

As one of the first Certified Family Business Specialists in America – a certification achieved through the American College, Bryn Mawr, PA - Charlie is a recognized leader in the financial services industry, having achieved MDRT Top of the Table status, which is a career milestone reserved for the best of the best in the life insurance and financial services industries worldwide. Charlie regularly delivers motivational speeches to financial services organizations across the country. An entertaining speaker, Charlie has spoken on the main platform of MDRT's Top of the Table and Annual Meetings and the American Society of Pension Professionals and Actuaries (ASPPA) 401(k) Sales Summit. He is also consistently involved in delivering curriculum at Career Development Schools for 'new agent training'. Charlie's ideas and concepts can be heard on the "Focus on Life Insurance" (second edition) published by the Life and Health Insurance Foundation for Education; a frequently sought-after CD series by financial services agent trainers and sales managers. He was recently filmed as a nationally recognized financial specialist at the American College at the Life and Health

Insurance Foundation for Education's Small Business Symposium entitled "Protecting Your Business".

When not performing in professional theatres regionally, cycling through the Connecticut countryside, or assisting in community fundraisers, Charlie publishes articles on industry-related successful sales strategies. He has taken pen to paper for industry trade journals such as: Family Business Today, Newsweek, Niche Magazine and the Life & Health Insurance Foundation for Education.

Charlie is an ongoing contributor to community efforts and charitable organizations including Open Pantry, Habitat for Humanity and Springfield Day Nursery.

Conducting Fiduciary Assessments

Break-out Topic

Business Opportunities and Legal Issues

In today's litigious society, retirement plan sponsors, eleemosynary organizations, and other investment fiduciary entities are turning to independent and objective experts to help them assess their risks. Hear how to build and sustain a successful business in this expanding market. This session will reveal the drivers that lead to fiduciary assessment engagements, the practices that deliver value, and the tactics used to penetrate the major market segments. Legal considerations for those who provide fiduciary assessment services and best practices in responding to regulators will also be discussed. Return to your office armed with new insights regarding the opportunities and pitfalls of including fiduciary assessment services in your practice.

Ronald E. Hagan, AIFA®

Ron Hagan is the firm's President and Chief Executive Officer. He is also Chairman of Roland|Criss' Fiduciary Standards Committee.

He has a lengthy career in developing retirement plan fiduciary processes, selecting prudent experts, and monitoring their activities. Prior to joining the Roland|Criss team in 1986, Mr. Hagan was a Senior Vice President with the First National Bank of Commerce. During his tenure, he served as a fiduciary on its Asset Liability Management Committee.

Subsequently, he was a Principal with Booz, Allen & Hamilton in New York City and Chicago. While there, his duties included advising executives of Fortune 500 companies on fiduciary processes.

He is a frequent speaker at industry trade conferences and national webcasts. Mr. Hagan has published numerous articles on the subject of investment fiduciary standards of care. He is a co-developer of the Roland|Criss' FiduciaryPLUS™ program.

Mr. Hagan received his certification as Accredited Investment Fiduciary Auditor™ from the Center for Fiduciary Studies. This qualifies him to conduct and supervise independent fiduciary reviews for those persons concerned about their responsibilities for investing the assets of endowments and foundations, ERISA

qualified plans, private family trusts, public employee retirement plans as well as high net worth individuals. He is an alumnus of Erie College with a degree in accounting. He is also a registered investment advisor.

Brian Hamburger

Brian Hamburger is the Founder and Managing Director of MarketCounsel, a business, regulatory, and compliance consulting firm for entrepreneurial investment advisory firms nationwide. Brian is also the Managing Member of the Hamburger Law Firm, an affiliated boutique law firm providing the securities industry with unparalleled legal counsel. MarketCounsel and the Hamburger Law Firm are the result of an incessant entrepreneurial spirit and genuine desire to provide an unexpected level of value and service that Brian has nurtured since he was a child. Together, the consulting and law firms represent a robust combination of preeminent counsel and uncompromising service in the securities industry.

Previously, Mr. Hamburger was an attorney with the securities practice group of a large New Jersey law firm. While there, he practiced in the area of securities law, concentrating in investment adviser and broker-dealer registration and compliance matters as well as broker transition and practice management issues. Prior to that post, Brian served as a law clerk in the Enforcement Division of the U.S. Securities & Exchange Commission. He was also a judicial intern at the U.S. District Court for the Southern District of Florida and then, the State of Florida Third District Court of Appeal. Earlier, Brian was the Chief Compliance Officer of an SEC-registered investment adviser. Brian's involvement in the securities industry started when he was a teen. Since then, he has been involved in a myriad of areas within the industry, posting a rich diversity of experiences with investment adviser and financial planning firms.

Mr. Hamburger is admitted to the bars of New Jersey, New York, Pennsylvania, the District of Columbia, as well as the U.S. Supreme Court and the U.S. District Court for the District of New Jersey. He is a member of the American Bar Association (Business Law Section) and other bar associations; the Securities Industry Association, Compliance & Legal Division; National Society of Compliance Professionals; Financial Planning Association; and Society of Financial Service Professionals. Brian has been appointed to the American Bar Association's Committees on Federal Regulation of Securities; State Regulation of Securities; and Professional Conduct; and is a Platinum and Gold Key Member of the New York Chapter of the Investment Management Consultants Association and New Jersey Financial Planning Association, respectively. He has also heeded the call of the Certified Financial Planner Board of Standards to sit on various task forces.

Brian has been called on as a frequent lecturer to local and national groups in the securities, accounting, insurance and financial planning professions including training state examiners on the intricacies of Form ADV and client contracts. Mr. Hamburger proudly sits on several boards of directors and advisory boards. He maintains his NASD securities licenses (Series 7, 63 and 65), is a member of the NASD Dispute Resolution Board of Arbitrators and serves as an arbitrator for the New York Stock Exchange. His biography has been included in *Marquis Who's Who in the World*, *Marquis Who's Who in America*, *Marquis Who's Who in American Law*, *Strathmore's Who's Who Registry*, *International Who's Who of Professionals*, *Who's Who Among Students in American Universities & Colleges*, and *Who's Who Among American Law Students*.

A graduate of Quinnipiac College, Mr. Hamburger received his B.S. with the school's first dual major in Economics and Financial Management. He went on to earn his Juris Doctor from the University of Miami School of Law where he was the recipient of a Dean's Service Scholarship and the President's Pinnacle Award for his role as Editor-in-Chief of the *Res Ipsa Loquitur*, the Bi-Weekly Journal of the University of Miami School of Law. Brian was recently awarded the Certified Regulatory and Compliance Professional (CRCP) designation by the Wharton School and the NASD Institute after completing his residency at the Wharton School of the University of Pennsylvania.

Brian lives with his wife, Kari, and their children, Ella, Jacob, and Sidney in northern New Jersey.

RISK

Break-out Topic

RISK is More Than a Four Letter Word

Institutional investor clients such as pensions, endowments, and foundations have always had unique needs because of their size and breadth of asset mix. Regulations, accounting, and economic considerations are likewise important, especially now. Fiduciary accountability has taken on a new urgency as headlines about big losses motivate shareholders and taxpayers alike to demand reform. Integral to the process is the proper identification, measurement, and management of risk.

Join Dr. Susan M. Mangiero, CFA, FRM, AVA, for an update about investment performance pitfalls, sources of hidden risk, risk control gaps, and valuation challenges that directly impact the way institutions invest and what advisors can do to assist them.

Susan M. Mangiero, Ph.D., AVA, CFA, FRM, Managing Member and Founder, Pension Governance, LLC and BVA, LLC

Susan M. Mangiero, Ph.D. provides valuations, risk management consulting and litigation support to attorneys and/or their institutional investor clients. A Chartered Financial Analyst, Accredited Valuation Analyst and certified Financial Risk Manager, Dr. Mangiero has over twenty years of experience in valuation, financial and statistical modeling, risk management, global treasury and trading. She holds a Ph.D. in finance with a minor in math from the University of Connecticut, an MBA in finance from New York University, an MA in economics from George Washington University, a BA in economics from George Mason University and has done graduate computational finance work at Carnegie Mellon University. Susan served as the president of the Connecticut state chapter of the [National Association of Certified Valuation Analysts](#) in 2004 and 2005. She is the author of *Risk Management for Pensions, Endowments, and Foundations* (John Wiley & Sons, 2005), a guide for investment fiduciaries. Her many articles have appeared in *Investment Lawyer*, *Valuation Strategies*, *RISK Magazine*, *Financial Services Review*, *Family Foundation Advisor*, *Expert Evidence Report*, and *Bankers Magazine*. She has written chapters for the *Litigation Services Handbook: the Role of the Financial Expert*, *the Handbook of Interest Rate Risk Management* and *Cases in International Finance*.

Liabilities Associated with Being an Investment Fiduciary

Challenges of Underwriting Investment Fiduciaries

This session will provide an overview of an investment fiduciary's sources of liabilities, ways to mitigate these exposures, and the use of insurance to protect the firm and individuals against financial loss. Claim trends and factors driving litigation will be examined, along with a description of actual claim scenarios. It will conclude with a discussion of the applicability of various insurance products and key factors in selecting an insurance policy.

Wendy Dowd, CFA

Wendy Dowd is Vice President and worldwide underwriting manager for the asset management sector for Chubb Specialty Insurance. She is responsible for the profit and loss, strategy, product management, and underwriting authority of Chubb's professional liability insurance for mutual funds, investment advisers, hedge funds, private equity, and REITs. She has served in this role since 2002, and has spent almost fifteen years specializing in insurance for financial institutions in Chubb's Los Angeles and Bermuda offices, and currently in Chubb's New Jersey world headquarters. Wendy is a graduate of Pomona College and a Chartered Financial Analyst.

Global Investment Performance Standards

Break-out Topic

Verifying Portfolio Performance: The Transition to GIPS

While investment performance standards continue to change and investment vehicles become more complex, independent third-party performance verification can attest to the consistency, fair representation and full disclosure of investment product results. Verification generally improves a manager's marketability, improves firm policies and procedures and yields thorough and consistent investment performance return calculation, ensuring accurate composite construction. The CFA Institute's Global Investment Performance Standards (GIPS®) are ethical standards to guide investment managers in creating performance presentations that ensure fair representation and full disclosure. The CFA Institute has released the newest version of the GIPS Standards to create a single worldwide standard for measuring investment performance. This latest GIPS version took effect January 1, 2006.

Wesley E. Western, AIF®

Wesley Western is founder and principal of consulting firm Absolute Performance Verification Services LLC. The firm provides pre-verification consulting services, GIPS verification, consulting on GIPS applications, and investment performance examinations. Prior to starting his own firm, Wesley led the investment performance measurement group at Moss Adams LLP as senior manager and director of the Investment Performance Measurement Services Practice, specializing in AIMR-PPS/GIPS verification and investment performance return certification. Wesley has worked with and provided advice to firms throughout the country regarding the application and implementation of AIMR-PPS and GIPS standards.

Before joining Moss Adams, Wesley worked for Franklin Templeton Investments as senior performance analyst, managing the investment performance measurement and AIMR-PPS compliance process for Templeton's institutional portfolios. At Franklin Templeton, Wesley was responsible for selecting and overseeing the verification process by a third party. Before Wesley joined Franklin Templeton, he was a Financial Analyst at J.P. Morgan Chase.

Wesley earned his Bachelor of Science in Business Administration with an emphasis in finance and banking from the University of Missouri and his Master of Business Administration in finance from Nova Southeastern University.

Wesley is a member of the Seattle Society of Financial Analysts, the CFA Institute, and he is a volunteer with the Center for Fiduciary Studies. He has earned the AIF (Accredited Investment Fiduciary) designation.

Fiduciary Author's Panel: Break-out Topic

How to Get Published in the Fiduciary Space

Whether you have a desire to publish or not, this break-out session should benefit anyone interested in how to best position their services and communicate with the public. Panel participants (all AIF or AIFA designees) will share their experience of publishing in the fiduciary space and provide insights on: 1) who was their target audience, 2) roadblocks they encountered, 3) what most surprised them, 4) how their decision to publish benefited their clients, and 5) the relationship between publishing and marketing.

Steff Chalk, AIFA®

Steff C. Chalk is founder and president of CHALK 401(k) Advisory Board, Inc. Since 1995 CHALK 401(k) Advisory Board has served in a fiduciary capacity to over \$10 billion of retirement plan assets. The client list has included corporations, non-profits, and governmental units. The firm has conducted original research for the Chilean Pension System and has worked with the policy-makers of the Turkish Self-funded Retirement System. Mr. Chalk was a co-founder of FASTrak Coaching and Consulting and continues to provide performance improvement and efficiency training to financial service professionals and organizations. Mr. Chalk is a co-author of "*How To Build a Successful 401(k) and Retirement Plan Advisory Business.*"

Mr. Chalk holds the Accredited Investment Fiduciary Auditor™ designation from the University of Pittsburgh, Katz Graduate School of Business, Center for Fiduciary Studies, and degrees from The American Institute of Banking, The Kentucky School of Banking and The National Trust School. He has been an active member of State Banking Associations - serving in a variety of positions - including chair of the Trust and Investment sub-committees. He has also served on the Communications Committee for the 401(k) / Profit Sharing Council of America. He currently serves as adjunct faculty to the Finance Department at Northern Kentucky University where he was awarded a professional development stipend for the establishment of The 401(k) Advisory Index. Mr. Chalk has also served on the faculty of the Midwest Trust School, as founding faculty for the Economics/Finance Camp of Northern Kentucky University and has served on the Social Security Choice.org Advisory Board.

Mr. Chalk obtained his Masters and Bachelor of Business Administration Degrees from Central Michigan University. Mr. Chalk also obtained an Associate of Applied Science Degree from Northern Kentucky University.

Mr. Chalk has over 25 years experience in the financial industry and has also served as consultant to a global consultancy and Fortune 500 Companies. He has conducted domestic original research on a variety of Investment and 401(k) Plan related topics. He has authored several articles concerning Investment Management and Retirement Services and has been a speaker for State Public Employee Retirement Systems, Finance Officers Associations, Bar Associations, Human Resource Associations, the Securities Industry Association, Actuarial Associations and both national and regional 401(k) Symposiums.

Mr. Chalk has addressed business leaders and governmental and social policy makers in Africa, Asia and Europe and has appeared as a featured guest on business broadcasts and CNN.

Rocco DiBruno, AIFA®

Rocco DiBruno is the Director of the Retirement Group at Thornburg Investment Management, the investment advisor for Thornburg Mutual Funds. He is responsible for the firm's investment only corporate retirement plan business development and marketing of the company's value added services to service providers and financial advisors. Rocco has over 25 years experience working with financial advisors and plan sponsors in retirement plan sales, marketing, client services and product development.

Rocco received his Accredited Investment Fiduciary Auditor designation from the Center for Fiduciary Studies and is the author of [A Guide for Investment Committees of 401\(k\) Plans](#). He is a graduate of Temple University in Philadelphia, PA and is Series 7 and 63 licensed.

Greg Kasten, MD, MBA, CFP®, CPC, AIFA®

Dr. Gregory W. Kasten serves as Founder, President and CEO of Unified Trust Company, NA. Unified Trust Company, NA offers both wealth management and employee benefit fiduciary services. Total discretionary asset exceed \$1.1 billion, and fiduciary advised assets exceed \$1.6 billion.

Following graduation from Southern Illinois University School of Medicine in 1980, he completed an internal medicine internship and anesthesiology residency at the University of Kentucky Medical Center and is a board certified anesthesiologist. He received a master of business administration degree with an emphasis on finance and investment management from the University of Kentucky College of Business Graduate School. Dr. Kasten was awarded the Accredited Investment Fiduciary Auditor™ designation by the Center for Fiduciary Studies. The Denver College of Financial Planning awarded Dr. Kasten the Certified Financial Planner™ designation. The American Society of Pension Actuaries awarded him the Certified Pension Consultant designation.

Dr. Kasten has published more than sixty papers on financial planning and investment-related topics in various financial and business journals, wrote two editions of the book *Retirement Success*, and has developed the Unified Fiduciary Monitoring Index® as a method of measuring mutual fund and predictive performance factors when observed from a fiduciary standpoint. He has given dozens of lectures on fiduciary best practices to pension professionals and Federal banking regulators. In 2005 he co-authored the first place winning paper entitled: “Post Modern Portfolio Theory” and presented the paper at the Financial Planning Association national meeting. He has more than twenty-five years of investment experience and has been with the company since 1985.

Scott Simon, AIFA®

W. Scott Simon is a principal at Prudent Investor Advisors, LLC, a registered investment advisory firm. He has nearly 15 years of experience in the financial and investment fields. Mr. Simon is the author of two books, the most recent of which, [*The Prudent Investor Act: A Guide to Understanding*](#), has received testimonials from Vanguard founder John C. Bogle, Nobel Laureate Harry M. Markowitz, Restatement 3rd of Trusts Reporter Edward C. Halbach, Jr. and noted ERISA attorney Fred Reish.

Mr. Simon writes a monthly column for Morningstar on fiduciary investment issues called “Fiduciary Focus.” He also writes a column for the *Journal of Pension Benefits* on the same subject. He also serves as a consultant, expert witness and public speaker on the Uniform Prudent Investor Act and the Restatement 3rd of Trusts (Prudent Investor Rule).

Mr. Simon graduated from UCLA with honors in political science, earned his law degree and was then awarded a Rotary Foundation post-graduate law fellowship. He is a Certified Financial Planner®, an Accredited Investment Fiduciary Auditor™ and a member of the State Bar of California. Prior to entering the investment field, Mr. Simon practiced law for nearly a decade.

Foundations and Endowments: Best Practices and How to Serve the Marketplace Break-out Topic

Foundations and Endowments

The foundation and endowment market holds in excess of 3 trillion dollars (\$3,064,365,994,828, not including religious organizations, which is believed to be the largest non-profit segment) in financial assets. This sector has experienced tremendous growth over the past 15 years and will continue to expand. After Sarbanes-Oxley, Global Crossing, Enron, and the scandals facing the investment industry, the Senate Finance Committee is now examining many of the practices of the non-profit sector. This presentation will provide participants an opportunity to explore practical application and the best practice processes as they relate to the foundation fiduciary. The session will touch on the eight markets of philanthropy, the Prudent Management of Institutional Funds Act and effective approaches to penetrating this lucrative market segment.

Sandra Champion, AIFA®

Sandra J. Champion is the President of Champion Partners, Inc. Champion Partners is a nationally-recognized professional services firm that specializes in the advancement of philanthropy, and those involved in it, through education. Champion Partners provides strategic direction for foundations, endowments, and other eleemosynary organizations through a multi-faceted approach that communicates to a wide variety of people within the philanthropic community. Clients range from individual grant-makers and governing boards to advisors that regularly assist philanthropists in making decisions.

Ms. Champion has spent more than twenty years in the investment industry and is a nationally recognized expert in the area of foundations and endowments. She has been recognized as a leader in the Investment Management Consultant Association, the Association of Professional Investment Consultants, and the Institute for International Research. Ms. Champion is active on the newly formed board of the National Council for Financial Fiduciaries, which will provide definition, direction, and best practices for Fiduciary Advisors. She has been published in a variety of works over the past two decades and works regularly with the Center for Fiduciary Studies to promote best investment practices under

the Uniform Management of Institutional Funds Act and the Uniform Prudent Investors Act.

Ms. Champion regularly delivers presentations throughout the United States at a variety of both professional and private venues, although she has presented internationally as well.

Woodrow Leake, Ph.D., CAE

Woodrow Leake is a motivating leader. He combines entrepreneurship, “visionary pragmatism,” and consensus-building to achieve goals. He leads mission-driven organizations to new levels of excellence by identifying and growing new revenue streams, managing growth, developing new products and services, and empowering colleagues to improve productivity and professionalism. He grows success.

When Woodrow became CEO of an international society that had lost 28,000 members and 60% of its revenue in ten years, he turned the organization around. Moving decisively, he audited company resources & needs; reduced expenses; improved publications and programs; upgraded IT systems; and placed motivated staff in key roles. He re-energized volunteer leaders and introduced fiduciary policies needed to shepherd Society assets. He taught local chapters to improve recruitment and retention. He turned failing publications into profitable, award-winning products. He grew the annual conference 13% per year by adding a trade show and supporting volunteers in planning attractive programs. When Woodrow left, membership was up 8,500 (44%) and the Society was re-energized, growing, and vibrant.

At Philadelphia’s Franklin Institute Science Museum, Woodrow improved stewardship of the Collection, dating from the 18th century. He led the team that prepared for the final re-accreditation assessment by AAM. He raised visibility of the International Franklin Science Awards Program and strengthened its connection to the Nobel Prizes. He merged the Institute’s science journal (2nd oldest in the U.S.) editorial Board with the Awards selection process, improving both programs.

Woodrow applies his skills to achieve similar results in all he does. Whether serving as staff or volunteer, Woodrow interacts effectively with colleagues and patrons from executive suites to boiler rooms. He trusts and motivates staff, deals effectively with vendors, listens to and learns from constituents, and inspires confidence and respect from Boards, staff, and funding sources. He knows the opportunities and challenges confronting contemporary mission-driven organizations. He has thorough knowledge and deep experience in all phases of management—including fund-raising, legal requirements, asset

stewardship, membership, educational programs, publications, and building synergy and collegial relationships among diverse constituencies.

Dr. Leake earned his B.A. from Emory University and his Ph.D. from the University of Florida. He earned the Certified Association Executive (CAE) designation in 1994 and re-certification in 1999. He has been active in mission-driven organizations, including serving three terms as Board Chairman for the Center for Applications of Psychological Type—the MBTI® research, training, and certification organization. He authored successful proposals; led cross-cultural and international projects; and established and facilitated government-NGO-corporate alliances.

Fiduciary Analytics Workshops

Demonstrations, Questions & Answers, and New Offerings

Andy Frommeyer and Dave Palascak will host a special workshop, focusing exclusively on the Web-based tools offered by Fiduciary Analytics. In this casual atmosphere, conference attendees will be able to watch demonstrations of the tools, including a tutorial of the redesigned Website and the new My Client Manager tool planned for release at the conference. Attendees will also be able to utilize a set of computers to experience the tools hands-on and ask questions as necessary. Demonstrations will coincide with the conference breakout sessions. However, at other times, the workshop will be open for attendees to walk in, talk with the Fiduciary Analytics team and utilize the lab throughout the conference.

Andrew T. Frommeyer, AIF®

Andy Frommeyer is the Director of Product Development and Management with Fiduciary Analytics. He has been with Fiduciary360 since 2001. Prior to joining the companies, Andy worked as an actuarial assistant with a global consulting firm. Andy received a Bachelor of Science degree in Mathematics from Pennsylvania State University and has completed the MBA Essentials program at the Joseph M. Katz Graduate School of Business, Center for Executive Education at the University of Pittsburgh. In addition, he has earned the Accredited Investment Fiduciary™ designation and holds the NASD Series 65 license. Andy is a Level I candidate in the CFA (Chartered Financial Analyst) Program.

David E. Palascak, AIF®

Dave Palascak joined Fiduciary360 in June 2003. His duties span all three organizations, but his main focus lies with Fiduciary Analytics as the Product Manager. Dave graduated Magna Cum Laude from the University of Pittsburgh in 2003 with a B.S.B.A in Finance. Dave holds the Accredited Investment Fiduciary™ designation, the NASD Series 65 license and is a Level III candidate in the CFA (Chartered Financial Analyst) Program.