



Client Servicing for Institutional Asset Managers and Mastering RFPs & Consultant Databases

Proven Strategies to Amplify the Client Experience and Attract New
Institutional Investors

October 17-18, 2013

The Princeton Club, New York, NY

Learn the “Secrets of Success” from plan sponsors, consultants, and industry leaders that will *energize* your client relationships and *super-charge* your RFP/consultant database responses. Ensure you’re in the know about what clients and consultants really want.

NEW THIS YEAR: This program is eligible for up to 13.5 CPE credits! You must attend both days for full credit (Client Servicing for Institutional Asset Managers ONLY=8 CPE credits; Mastering RFPs & Consultant Databases ONLY=5.5 CPE credits.)

Bronze Sponsor:



October 17, 2013

Client Servicing for Institutional Asset Managers

- Investor Roundtable: Best Practices in Client Servicing, from Our Side of the Fence
- Now, Let’s Hear from the Consultants – What Are OUR Client Servicing Dos and Don’ts?
- Together for the Long Term—Best Practices for Client Retention
- Client Servicing Challenges Specific to Managers with Alternative Assets
- Developing Global Relationships Using Effective Client Servicing
- No Holds Barred: An Interactive Discussion of the Complex Issues Client Servicing Professionals are Facing Today
- Strategies to Enhance Client-Review Materials and Organize Client Meeting Agendas

October 18, 2013

Mastering RFPs and Consultant Databases

- Creating High-Impact, High-Quality RFP and Due Diligence Responses
- Fine-Tuning Your RFP and Database Response Teams
- Experts Speak Out: They’re Getting These Questions, Hear Their Answers
- Seamlessly Managing Multiple Databases
- Compliance and Regulatory Updates for RFPs and Consultant Databases

Attend Day One, Day Two, or
maximize your competitive
edge and attend both days!



The Conference Organizer

Financial Research Associates provides the financial community with access to business information and networking opportunities. Offering highly targeted conferences, FRA is a preferred resource for executives and managers seeking cutting-edge information on the next wave of business opportunities. Please visit www.frallc.com for more information on upcoming events.

Is your firm doing what it takes to stand out from the competition and forge long-lasting client relationships?

Winning—and keeping—business in today's investment management world takes much more than just great investment performance. Crafting RFPs that outshine the rest, never missing a beat on consultant database entries and flawlessly providing top levels of client service: those also are mandatory skills for ongoing success. Our back-to-back **Client Servicing for Institutional Asset Managers** and **Mastering RFPs & Consultant Databases** conferences have the solutions you need to maximize your client servicing efforts and distinguish yourself as a client relationship innovator.

DAY ONE

Client Servicing for Institutional Asset Managers offers you timely answers to the concerns client servicing professionals are facing today. Learn effective strategies from investors, consultants, and industry leaders on topics that include:

- Best practices for client retention
- What investors look for in their managers
- Leading edge innovations in reporting and presentations
- How to seamlessly manage competing proposals and requests
- What red flags do plan sponsors say hurt you the most
- Ways to differentiate yourself in a competitive landscape

DAY TWO

Mastering RFPs & Consultant Databases will explore methods that achieve standout RFP responses and powerful consultant database entries that won't be ignored. Hear directly from industry leaders and consultants on key issues such as:

- How to manage data for multiple databases
- What to do before the RFP/DDQ is released
- What are the typical response development challenges and how can you avoid them?
- Ways advisory firms are coping with fewer resources and many clients
- To bid or not to bid—selecting the right RFP response

Don't miss this opportunity to engage with clients and industry leaders who are on the forefront of client servicing today. You'll leave with the tools you'll need to win—and keep—clients.

Register today! Call (800) 280-8440 or register online at www.frallc.com.

Sincerely,

Michele Chandler

Michele Chandler, *Conference Director*
FINANCIAL RESEARCH ASSOCIATES, LLC

P.S. Come equipped with plenty of business cards for abundant networking opportunities—and lots of questions for the special "No Holds Barred" Q & A sessions!

Sponsorship and Exhibit Opportunities

Enhance your marketing efforts through sponsoring a special event or exhibiting your product at this event. We can design custom sponsorship packages tailored to your marketing needs, such as a cocktail reception or a custom-designed networking event. To learn more about sponsorship opportunities, please contact Jennifer Clemence at 704-341-2438 or jclemence@frallc.com.

Who Should Attend?

Client Servicing for Institutional Asset Managers AND Mastering RFPs & Consultant Databases is designed for institutional asset management professionals with titles including:

- VP Institutional Client Service
- Director of Client Relations
- Director of Consultant Relations
- Relationship Manager
- Managing Director
- Marketing Director
- Communications Director
- Proposal Writer
- RFP Manager
- Sales Director
- Client Reporting
- Database Manager
- Head of Client Services

Top Reasons to Attend

- Hear directly from plan sponsors and consultants on what they expect from their managers
- Gain insight on how to assemble and manage your RFP and database response team
- Learn how to tell clients about bad news in ways that keep relationships smooth
- Examine trends that are increasingly impacting managers with alternative assets
- Find strategies to seamlessly support international sales teams
- Explore the real cost of transitions
- Elevate your understanding of outsourcing pros and cons
- Discuss regulatory considerations affecting your RFP and consultant database strategies
- Advance your understanding of how to manage competing requests and projects
- Expand your network of industry contacts!

Our Renowned Speaking Faculty

Will Buividas, **PHOENIX POLICE PENSION BOARD**
 Ron Gold, **GOLD CONSULTING, INC.**
 Alice Sparks, **FOUNDATION PARTNERS GROUP**
 Lt. Jim Maloney, **CHICAGO POLICE PENSION FUND**
 Ching Wah Chin, **STATE OF NEW YORK METROPOLITAN TRANSPORTATION AUTHORITY**
 David Eisenberg, **MERCER**
 Rachel S. L. Minard, **MINARD CAPITAL**
 Sheryl Mejia, **DECAGON ADVISORS LLC**
 Diana Merenda, **CLIENT LIFECYCLE SUPPORT, LLC**
 Alex Rabinovich, **HAVENS ADVISORS**
 Dianne Benner, **APPOMATTOX ADVISORY**
 Sari J. Mayer, **GLOBAL CREDIT ADVISORS, LLC**
 Adrienne Garofalo, **GAGNON SECURITIES**
 B.J. Lownie, **STRATEGIC PROPOSALS**
 Susan Benedetto, **INVESTMENT METRIX**
 Anne Farro, **ALLIANZ GLOBAL INVESTORS LLC**
 Maggie Chandler, **ACCESS STAFFING**
 Lisa Williams, **CREDIT SUISSE**
 Pam Erenberg, **CUTWATER ASSET MANAGEMENT**
 Daniel Viola, **SADIS & GOLDBERG LLP**
 Arthur Cooper, **COOPER FAMILY OFFICE**
 Ellen E. Jones, **TIAA-CREF**
 William O'Donnell, **NEPC**
 Kim Calhoun, **WESTWOOD HOLDINGS GROUP**
 Alex Saunders, **LAZARD CAPITAL MARKETS**
 Tom Jordan, **PUBLIC TRUST ADVISORS, LLC**
 Rick Gagnon, **COMPASS ITECH, LLC/PROFUSION**
 Walker Moody, **TUDOR, PICKERING, HOLT & CO.**
 William Dahab, **DAHAB ASSOCIATES**

To Register: Call 800-280-8440 or visit us at www.frallc.com

Client Servicing for Institutional Asset Managers

DAY ONE: Thursday, October 17, 2013

8:00 – 8:45 Exhibits Set-Up, Registration, & Continental Breakfast

8:45 - 9:00

Chair's Welcome

Ron Gold, *President*, **GOLD CONSULTING, INC.**

9:00 –10:00 **Investor Roundtable:**

Best Practices in Client Servicing, from Our Side of the Fence

- Ways to effectively explain your risk strategies and policies
- What investors look for in their managers
- Communications between investors and managers: Preferred mode of dialogue, and how often?
- How can managers maximize the productivity of client interactions?
- Avoiding TMI – What do investors expect to see included in reports? How much information about active management decisions do plan sponsors need?
- Got bad news? Here's what to tell clients when performance is poor
- Working with gatekeepers – who to contact first
- What do clients expect to see in a prepared book?

Moderator:

Arthur Cooper, *Chief Operating Officer*, **COOPER FAMILY OFFICE**

Panelists:

Alice Sparks, *Senior Accountant/Compliance*, **FOUNDATION PARTNERS GROUP**

Lt. Jim Maloney, *Trustee*, **CHICAGO POLICE PENSION FUND**

Will Buividas, *Trustee*, **PHOENIX POLICE PENSION BOARD**

Ching Wah Chin, *Associate Counsel*, **STATE OF NEW YORK METROPOLITAN TRANSPORTATION AUTHORITY**

10:00-11:00 **Now, Let's Hear from the Consultants**

What Are OUR Client Servicing Dos and Don'ts?

- Tell us what we really, *really* want – here's the information consultants need and effective ways you can provide it
- Strategies to differentiate yourself from other managers in this increasingly competitive landscape
- Approaches that build strong and effective consultant relationships
- Avoid at all costs – these are the red flags that plan sponsors say hurt you the most
- What are best practices in communicating information for consultant databases?

Moderator:

Rachel S. L. Minard, *Founder and CEO*, **MINARD CAPITAL**

Panelists:

David Eisenberg, *CFA, Principal, U.S. Segment Leader, Wealth Management*, **MERCER**

William O'Donnell, *Senior Consultant*, **NEPC**

William Dahab, *CFA, Research Analyst, Principal*, **DAHAB ASSOCIATES**

11:00 –11:15 *Morning Break*

11:15-12:15 **No Holds Barred:**

An Interactive Discussion of the Complex Issues Client Servicing Professionals are Facing Today

- New client onboarding – step-by-step strategies to make it work
 - What can small firms learn about the process from large ones?
- How to handle difficult questions from clients
- Managing competing requests and projects
- How can firms improve behind-the-scenes operations to best impact client servicing?

- Today's models for structuring your client servicing team: how they differ, which should you choose, and why?
- Balancing the need to keep clients happy with the mandates of your firm
- Having it all – ways to keep existing and new clients content
- Seamlessly supporting international sales teams
- Should you 'tier' your clients, and why?

Moderator:

Ron Gold, *President*, **GOLD CONSULTING INC.**

Speakers:

Sheryl Mejia, *CFA, CA, Partner*, **DECAGON ADVISORS LLC**

Kim Calhoun, *QFA, Vice President, Institutional Sales & Client Service*, **WESTWOOD HOLDINGS GROUP**

Diana Merenda, *Principal, Director Client Marketing Services*, **CLIENT LIFECYCLE SUPPORT LLC**

12:15-1:15 *Networking Luncheon*

1:15– 2:15

Client Servicing Challenges Specific to Managers with Alternative Assets

- What are the client's expectations in terms of communication?
- Solving communication issues specific to alternative investments
- Pinpoint ways to tackle the increasing role of transparency vs. keeping information proprietary
- Which tools and reporting methods are specific to alternative investments?
- Fine tuning frequency and format of communications
- Relevant materials and meetings—how much and how often?
- Negotiating fees: an expanding trend
- New techniques and approaches that inspire investor interest
- Incentivizing CIOs

Moderator:

Andrew Saunders, *CAIA, Vice President, Capital Introduction*, **LAZARD CAPITAL MARKETS**

Panelists:

Driane Benner, *Director of Institutional Marketing*, **APPOMATTOX ADVISORY**

Sari J. Mayer, *CAIA, Director of Marketing and Investor Relations*, **GLOBAL CREDIT ADVISERS, LLC**

Adrienne Garofalo, *Head of Business Development and Client Management*, **GAGNON SECURITIES**

2:15 – 3:15 **Together for the Long Term**

Best Practices for Client Retention

- Retaining clients in a volatile financial climate
- Strategic methods for measuring client satisfaction
- What's the real cost of transitions?
- Different clients, different needs: How to tailor your client servicing model to fit
- Ways to deliver prompt and accurate updates and communications
- Web, email or both? Determining preferable communications methods
- Knowing when conditions are perfect for product cross-sell

Moderator:

Sheryl Mejia, *CFA, CA, Partner*, **DECAGON ADVISORS**

Panelists:

Alice Sparks, *Senior Accountant/Compliance*, **FOUNDATION PARTNERS GROUP**

Lt. Jim Maloney, *Trustee*, **CHICAGO POLICE PENSION FUND**

Will Buividas, *Trustee*, **PHOENIX POLICE PENSION BOARD**

3:15- 3:30

Afternoon Break

3:30 – 4:20

Strategies to Enhance Client Review Materials and Organizing Client Meeting Agendas

- Raise the bar and re-imagine the architecture of effective client review books
- What are institutional clients seeking in your content? What are they looking for regarding flow?
- Suggestions for preparing effective client meeting agendas: process for creating; topics, flow, and time requirements

Ron Gold, *President*, **GOLD CONSULTING, INC.**

4:20 – 5:10

Developing Global Relationships Using Effective Client Servicing

- How your client's specialty and global location impacts their servicing needs
- Understanding the global institutional asset management industry and changing expectations
- Maintaining elite standards in a worldwide marketplace
- International regulations and procedures
- Planning ahead for the basics

Moderator:

Tom Jordan, *President*, **PUBLIC TRUST ADVISORS, LLC**

Panelists:

Alex Rabinovich, CFA, *Managing Director*, **HAVENS ADVISORS**

Maureen Kennedy Hays, *Director, Consultant Relations*, **AXA INVESTMENT MANAGERS**

Arthur Cooper, *Chief Operating Officer*, **COOPER FAMILY OFFICE**

Walker Moody, *Partner, Managing Director and Chief Operating Officer*, **TUDOR, PICKERING, HOLT & CO.**

DAY TWO: Friday, October 18, 2013 Mastering RFPs & Consultant Databases

8:00 - 8:45 *Continental Breakfast & Registration*

8:45 - 9:00

Chair's Recap of Day One

Ron Gold, *President*, **GOLD CONSULTING, INC.**

9:00 –10:00

Creating High-Impact, High-Quality RFP and Due Diligence Responses

- Pre-proposal planning: what to do before the RFP/DDQ is released
- To bid or not to bid? Qualifying and selecting opportunities
- How consultants really review and evaluate responses
- What resources are needed to develop a high-impact, high-quality response?
- Understanding the roles and responsibilities of those involved in response development
- 10 powerful tips for improving the impact of your response
- Standing out in the crowd while maintaining your brand: The latest innovations in packaging and presentation
- Typical response development challenges and how to avoid them

B.J. Lownie, PPF .APMP, *Principal, Managing Director*, **STRATEGIC PROPOSALS**

10:00-10:50

Seamlessly Managing Multiple Databases

- Different kinds of firms and how they manage their data
- Handling data capture on a global platform
- What are consultants looking for in these databases?

- Exactly what does consolidation in the database industry mean to you?
- What are the dozen top databases and why should you be there?
- No two databases are alike; ensuring unique answers for unique database questions
- Personalization: brand management and standing out in a crowded market
- Ways to enrich your results: Calculate assets, count employees and banish blanks
- Which segments of data management do the Goliaths handle well—and what can smaller firms learn from them?

Susan Benedetto, *Director*, **INVESTMENT METRICS**

Anne Farro, *Director*, **ALLIANZ GLOBAL INVESTORS LLC**

Rick Gagnon, *President*, **COMPASS ITECH, LLC/PROFUSION**

10:50-11:05

Morning Break

11:05- 12:05

Fine-Tuning Your RFP and Database Response Teams

- How are advisory firms dealing with fewer resources and many clients?
- Insourcing vs. outsourcing RFP and database entries: when does having an intermediary make sense?
- Balancing team output: Volume vs. success
- Ways to manage demands within different departments
- How can you bridge the gap between sales and RFP writers--database responders?
- Gathering data: Where does it all come from? Are there strategies to uncover key information that is not available via public sources or on databases? How will the data be used?
- Should you set up a cross-border proposal team?
- Better retention of RFP / database staff through training, motivation and burnout prevention
- Implications of growing demand for monthly rather than quarterly reporting

Moderator:

Maggie Chandler, *Director, Marketing Search Division*, **ACCESS STAFFING**

Panelists:

Lisa Williams, *Vice President, Distribution Marketing*, **CREDIT SUISSE**

Pam Erenberg, *RFP Team Manager*, **CUTWATER ASSET MANAGEMENT**

Ellen E. Jones, *Director, Acquisition Marketing*, **TIAA-CREF**

12:05 – 1:05

Networking Luncheon

[*Please submit Questions for the Experts at the registration desk]

1:05–2:00

Experts Speak Out:

They're Getting These Questions, Hear Their Answers*

- What are the differences in the way you use database information and a response to an RFP or due diligence request?
- Is it acceptable to request an extension for submitting RFP information?
 - Should I ever say that I'll supply certain information only if I advance to the next round?
- Which key elements do you look for in a response?
- What's a "scavenger hunt" proposal, and why you should avoid it at all costs?
- How can you convince your sales team that RFPs and due diligence questionnaires really matter?
- [*Please submit Questions for the Experts at the registration desk.]

Moderator:

Ron Gold, *President*, **GOLD CONSULTING, INC.**

Panelists:

Rachel S.L. Minard, *Founder and CEO*, **MINARD CAPITAL**

Diana Merenda, *Principal, Director Client Marketing Services*, **CLIENT LIFECYCLE SUPPORT LLC**

Sheryl Mejia, CFA, CA, *Partner*, **DECAGON ADVISORS**

William C. O'Donnell, *Senior Consultant*, **NEPC**

Mastering RFPs & Consultant Databases

2:00-2:50

Compliance and Regulatory Updates for RFPs and Consultant Databases

- Overview of SEC and DOL performance disclosure requirements
- Today's troubling equation: Smaller staffs + increased exposure = regulators waiting in the wings
- JOBS Act impact
- Keep it clean: avoiding errors and misinformation that can land you in hot water
- ADV vs. database data: Important changes and how clients are fact checking your data
- What are the latest pitch book standards?
- Information that belongs in your RFP—always
- Blueprint for conducting a thorough risk analysis
- Dodd-Frank: big changes firms may face
- Learn the latest in compliance and due diligence

Daniel G. Viola, *Partner*, **SADIS & GOLDBERG LLP**

2:50 *End of Summit*



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Sponsored learning activities are measured by program length, with one 50-minute period equal to one CPE credit. One-half CPE credit increments (equal to 25 minutes) are permitted after the first credit has been earned in a given learning activity. Please note that not all state boards adopted this rule. Some participants may not be able to use one-half credit increments. This course is offered as a group-live course and does not require prerequisites or advance preparation. It is an intermediate level course. The recommended CPE credit for this course is 13.5 credits: 10 credits for Finance, 2.5 credits for Regulatory Ethics and 1 credit for Administrative Practices. For more information regarding administrative policies such as complaint and refund, please contact our offices at 800-280-8440.

Financial Research Associates offers programs at an advanced level of continuing education. Although no prerequisite courses, experience, or advance preparation is required to participate in this program, working knowledge of Finance is required, as well as prior knowledge of the program topic.

Important Information

To Register:

Fax: 704-341-2640
Mail: Financial Research Associates
18705 NE Cedar Drive
Battle Ground, WA 98604
Phone: 800-280-8440
Online: www.frallc.com

Client Servicing for Institutional Asset Managers

October 17, 2013

Mastering RFPs & Consultant Databases

October 18, 2013

The Princeton Club

15 West 43rd Street, New York, NY 10036
(212) 596-1200

If you require overnight accommodation for this conference, please contact any of the following nearby hotels to check their best available corporate rate over this time frame, or consult your local travel agent. Please note that FRA has not negotiated rates with any of these hotels.

Area Hotels:

Mansfield Hotel – (212) 944-6050 Algonquin Hotel – (212) 840-6800
City Club Hotel – (212) 921-5500 Royalton Hotel – (212) 869-4400
Iroquois Hotel – (212) 840-3080 Sofitel Hotel – (212) 354-8844

Fees and Payments:

The fee for attendance at Client Servicing for Institutional Asset Managers AND Mastering RFPs & Consultant Databases:

\$1895 for both conferences: Client Servicing for Institutional Asset Managers AND Mastering RFPs & Consultant Databases
\$1095 for Client Servicing for Institutional Asset Managers only (October 17)
\$1095 for Mastering RFPs & Consultant Databases only (October 18)

Please make checks payable to Financial Research Associates, and write code B884 on your check. You may also pay by Visa, MasterCard, Discover, or American Express. Purchase orders are also accepted. Payments must be received no later than **October 10, 2013** (one week prior to conference).

Team Discounts:

- Three people will receive 10% off.
- Four people will receive 15% off.
- Five people or more will receive 20% off.

In order to secure a group discount, all delegates must place their registrations at the same time. Group discounts cannot be issued retroactively. **For more information, please call Whitney Betts at 704-341-2445 or wbetts@frallc.com.**

Cancellations:

If we receive your request to cancel 30 days or more prior to the conference start date, your registration fee will be refunded minus a \$250.00 administrative fee. Cancellations occurring between 29 days and the first day of the conference receive either a 1) \$200 refund; or 2) a credit voucher for the amount of the original registration fee, less a \$250.00 administrative fee. No refunds or credits will be granted for cancellations received after a conference begins or for no-shows. Credit vouchers are valid for 12 months from the date of issue and can be used by either the person named on the voucher or a colleague from the same company.

Please Note: For reasons beyond our control it is occasionally necessary to alter the content and timing of the program or to substitute speakers. Thus, the speakers and agenda are subject to change without notice. In the event of a speaker cancellation, every effort to find a replacement speaker will be made.

**Client Servicing for Institutional Asset Managers AND
Mastering RFPs & Consultant Databases**

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Online: www.frallc.com

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- Yes! Register me for the entire conference (October 17th and October 18th): \$1895
- Yes! Register me for Client Servicing for Institutional Asset Managers Only (October 17th): \$1095 (B884A)
- Yes! Register me for Mastering RFPs & Consultant Databases Only (October 18th): \$1095 (B884B)
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Hear Directly from
Plan Sponsors and
Consultants!

Client Servicing for Institutional Asset Managers and Mastering RFPs & Consultant Databases



**Proven Strategies to Amplify the Client Experience
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