



3PM

THIRD PARTY MARKETERS ASSOCIATION

2016 Annual Conference Outsourced Marketing & Sales 2.0

New York, NY
October 19-20, 2016



PARK LANE HOTEL
NEW YORK

Location:

Park Lane Hotel on Central Park
36 Central Park South
New York, NY 10019
866-831-7211

Agenda

As of October 10, 2016 – subject to change

The annual conference is designed to meet the needs of outsourced sales and marketing professionals and money managers alike. At 3PM, we acknowledge the massive amount of change that is occurring in our industry each day. The 2016 Annual Conference for 3PM embraces that change in "Outsourced Marketing and Sales 2.0" with a focus on trends, regulatory education, and strategies for accelerated and sustainable growth. The conference serves as a casual and intimate environment perfect for networking and knowledge building. Combining structured thought-provoking panels and free-flowing networking sessions, attendees can expect to discuss various marketing, sales, regulatory and investment trends that present challenges and opportunities for our industry in the year ahead.

Wednesday, October 19, 2016

Pre-Conference Track for Money Managers Only

9:00 am – 11:00 am Preconference Manager Workshop Series

Sponsored by: Northern Lights Distributors and Financial Investment News



9:00 am – 10:00 am

BUILD IT!

What product structure and marketing game plan is right for you? Uncover your competitive edge and understand the market landscape in product development with the help of Gemini Fund Services in this interactive one-hour panel.

Panelists: Eddie Lund – SVP, Business Development, Gemini Fund Services, Stacy Louizos – Partner, Drinker, Biddle and Joe Anthony – President, Gregory FCA

Moderator: Sandra Powers – ARK Global

10:00 am – 11:00 am

SELL IT!

Are you positioned for growth? Understand the driving dynamics of distribution and review the best practices for efficient growth in this action packed workshop geared toward managers and presented by Northern Lights Distributors. Walk away with a blue print for your firm's success.

Panelists: Alma Piscitello, Senior Vice President and Head of Strategic Relationships – Northern Lights Distributors - A Gemini Company and Matt McCue, Founder and Editor - Financial Investment News

Moderator: Richard Klitzberg – Klitzberg Associates

Day 1 Conference Begins (For 3PMs, Managers, and Intermediaries)

11:00 am – 11:15 am

Welcome and Opening Remarks

Stacy Havener – 3PM President

11:15 am - 12:15 pm

Keynote Address: Outsourced Marketing and Sales 2.0.

The market has certainly been dynamic in many ways. Join us for our keynote address called 'Outsourced Marketing and Sales 2.0' as we look to define the future for outsourced marketing and sales professionals. What will work in 2017? What does the market expect from marketers and sales professionals? How can we be most helpful to our prospects and clients? Join the conversation.

Speaker: Kevin Quirk – Principal, Casey Quirk by Deloitte

12:15 pm – 1:30 pm Networking Lunch

1:30 pm - 2:30 pm Investor Trends

Listen to industry experts talk about areas of focus and investor trends across traditional long only, alternative and emerging manager market segments.

Panelists: Mihir Meswani – Director of HF Advisory at Deutsche Asset and Wealth Management, Sara Minard – Professor at Northeastern University, Lance Schiff -US Head of Thematic Advisory Multi-Asset & Fixed Income Solutions, and Robert Teeter – Managing Director at Silvercrest Asset Management

Moderator: Greg Shulas - Director of Business Development at FundFire

2:30 pm - 3:30 pm Considerations when using technology for Sales and Marketing

This panel will focus on two main areas – Cybersecurity and Social Media. Cybersecurity has been a driving force in regulatory oversight and an industry priority given the significant increase in cyber threats affecting firms of every size. It impacts everything we do from sending emails to compiling important client information. Social Media, alternatively has been tested by the regulators and there is already a playbook for what you can and can't do. So why are so few people in the financial services arena using Social Media? Hear from industry experts regarding ways to protect your firm, your data, your clients and your business all while using technology to enhance your sales and marketing efforts.

Panelists: Michael McLaughlin – Partner, Naissance Partners, Tim Villano -Chief Information Officer, Artemis Global Security

Moderator: Donna DiMaria – Tessera Capital Partners, LLC

3:30 pm – 4:00 pm Break with Exhibitors

4:00 pm – 5:00 pm 2016 State of the Markets & 2017 Trends

Curious where the markets are now and what trends will lead the way in 2017? Join us for a lively review of 2016 as we fully engage Q4 and a discussion of 2017 trends to watch to ensure you are effectively prioritizing your business as we move ahead.



Speaker: Leopold Peavy – Head of Investor Products, Preqin

5:00 pm **Closing Remarks**

Stacy Havener – 3PM President

6:30 pm – 9:30 pm **Networking Cocktail Reception and Dinner**

Le Colonial
149 East 57th Street
New York, NY 10022
212-752-0808



Le Colonial is a truly delightful culinary experience. Like stepping into French Colonial Southeast Asia, the décor, is elegant, but lively for enjoying appetizers and cocktails. Le Colonial serves an authentic Vietnamese menu with an emphasis on fresh seafood, meats, and vegetables.

Sponsored by: Seismic



Sales shouldn't have to waste time searching for the right content. With Seismic, content finds your sales reps and personalizes itself. From automated pitch decks to self-populating contracts, Seismic has tools for every type of business.

Thursday, October 20, 2016
Day 2 – For 3PMs, Managers, and Intermediaries

8:00 am – 8:45 am **Continental Breakfast**

Sponsored by: Compass Securities

Compass Securities Corporation, headquartered in Braintree, Massachusetts, is an institutionally focused introducing broker/dealer currently registered in 45 States (Member FINRA and SIPC). Compass has helped to raise over \$15 billion for asset managers and loan syndicators. We work with a variety of third-party marketers and private placement agents in a number of real estate tax credit funds, alternative investment products and 40-act mutual funds.



As an independent broker/dealer, Compass strives to maintain high standards of commercial and ethical conduct and just and equitable principles in its business dealings. Compass is dedicated to serving the best interests of its clients while complying with regulator

8:45 am — 9:00 am **Opening Remarks**

Stacy Havener – 3PM President

9:00 am – 10:00 am **Using Technology for More Efficient Marketing**

Technology is a driving force in today's marketing and sales efforts. Industry experts share with different technologies that help to make the marketing process more efficient. Explore these new products that will keep you at the forefront of technology and will impress and prospect you encounter. The session will discuss a variety of topics including:

- CRMs
- Video Marketing
- White Boarding
- Email Marketing
- E-Books and White Papers

Panelists: Erol Dusi - President, Imagineer, Steve Day -Owner / Creative Director, ideaMachine and Frank Serebrin – President, Serebrin Partners

Moderator: Stacy Havener – Havener Capital Partners

10:00 am — 10:30 am **Morning Break with Exhibitors**

10:30 am – 11:30 am **Regulatory Round-Up**

The Regulatory environment continues to provide new challenges to investment management marketing and sales efforts. Come here from industry experts who know the outsourced marketing space and can provide invaluable insight into the regulatory expectations and requirements of compliant firms. Whether you are registered as a BD, an RIA, or affiliated with the same, the market intelligence provided will be critical to remaining on the front line of regulatory expectations as we move into 2017.

Panelists: Susan Bryant – Verrill Dana LLP and Rick Morris - Herrick, Feinstein LLP



Moderator: Kara Bingham – Associate Editor, The Hedge Fund Law Report

11:30 am – 12:00 pm 3PM Value Proposition

Whether you are a member of 3PM or are considering joining, learn more about the benefits the Association offers. Members of the Board of Directors will be on hand to discuss just some of the benefits 3PM provides to its member. Utilizing any of these perks will help members save money and run their businesses more effectively. Topics will include an overview of:

- 3PM Committees and their work
- Deliverables (Annual Conference, 3PM @ 3PM Webinars, Regulatory Round-Up)
- Manager Exchange
- Member Benefit Providers

Speakers: Donna DiMaria – Tessera Capital Partners, LLC, Stacy Havener – Havener Capital Partners, Frank Minard – XT Capital, and Sandra Powers – Ark Global

12:00 pm – 12:45 pm Networking Lunch

Sponsored by: AXIO Group, LLC

AXIO deploys a proprietary digital marketing and voice technology-driven sales process to reach thousands of advisors daily, and achieves much higher workflow output than internal wholesaling operations.



AXIO's segmented sales teams are devoted to each client and communicate "on behalf of" the client as a variable cost extension of their own sales forces. AXIO's teams never pitch more than one product when on a call to an Advisor. We guarantee a dedicated team committed to increased volume for each client.

12:45 pm – 1:00 pm Closing Remarks for Money Managers and Intermediaries

Stacy Havener – 3PM President

General Session Ends

Post-Conference - 3PM Sales and Marketing Members Only Sessions

1:00 pm – 1:45 pm **Speed Dialog – A Networking Session**

Due to the success of this session at past events, Speed Dialog is back by popular demand. During this session, attendees will be presented with a series of scenarios and/or issues that each 3PM is likely to encounter throughout their tenure in this business. Attendees will be given a limited amount of time to discuss each topic with a small group of their peers and hear differing opinions on how to handle these real life situations. To keep things interesting each group will be shifted around after each issue is presented and discussed. The goal of this session is to give attendees an opportunity to meet as many 3PMs as possible and hopefully come away with some new contacts. Because of the limited time allotted to each discussion group, there will be no time for introductions. As such, each attendee should come with a stack of business cards to give to the other 3PMs they meet.

Moderators: [Brian Fitzgibbons – Fitzgibbons Toigo](#) and [Ken Rogers – Arrow Partners](#)

1:45 pm — 2:30 pm **The State of the 3PM industry**

With the assistance of 3PM, FUSE Research put together the first ever Survey regarding the Third Party Marketing Arena. The survey which will be sent to both members of 3PM as well as marketers who are not yet members, asks questions which reflects the current trends in our industry. During the panel, Neil Bathon from FUSE Research will share the results of the survey and discuss what they mean for our industry.

Presented by: [Neil Bathon - FUSE Research](#)



2:30 pm – 3:00 pm **Afternoon Break with Exhibitors**

3:00 pm – 4:00 pm **Due Diligence: What 3PMs need to know**

As the regulatory climate continues to shift, and marketers and sales agents invest more and more time in supporting contracted managers, due diligence has never been more important. Are you doing all that is required to thoroughly screen potential managers? Learn from industry experts what components of due diligence are necessary and where you can be exposed. Walk away with a better blue print for thorough due diligence.

*Panelists: Lauri Martin Haas, PRISM LLC and Ken Springer, Corporate Resolutions
Moderator: Mark Sullivan – Managing Director and Partner - Stonehaven*

4:00 pm – 4:15 pm **Conference Wrap-Up**

4: 30 pm – 6:30 pm **Networking Cocktails**

Sponsored by: Seismic



Location:

TwoE Bar & Lounge
at The Pierre, A Taj Hotel
2 East 61st Street
New York, NY 10065
<http://twoeny.com/>
4:30pm - 6:30pm

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