



**PRACTICE MANAGEMENT  
INSIGHTS | MARCH 3-4, 2021**  
*Professionalizing Your Firm for the Future*

# AGENDA

[www.riapracticemanagementinsights.com](http://www.riapracticemanagementinsights.com)

## Wednesday March 3, 2021 - 11:00 AM - 3:00 PM

EASTERN TIME

**11:00 AM - 11:10 AM**

### WELCOME TO RIA PRACTICE MANAGEMENT INSIGHTS

**Matthew R. Crow, CFA, ASA, Mercer Capital**

**11:10 AM - 12:00 PM**

### Bagehot to Bitcoin

*Reflections on the Origins of Central Banking and Their Reverberations Today*

Jim Grant, noted editor of the landmark publication, *Grant's Interest Rate Observer*, will deliver the conference keynote on the current state of financial markets, asset valuation, coordinated zero interest rate policy, and the rise of cryptocurrencies, through his unique lens as both a master of capital markets and a historian of central banking. Grant is the biographer of Walter Bagehot, the nineteenth century English banker who helped shape the formation of the Bank of England through his own financial publication, *The Economist*. Bagehot's insightful ruminations on investor psychology, the moral hazard of socializing risk, and the role of money in society are as timely today as they were almost 200 years ago.

**Jim Grant, Grant's Interest Rate Observer**

**12:00 PM - 12:05 PM**

**BREAK**

**12:05 PM - 12:50 PM**

### ADVISOR RECRUITMENT AND ACQUISITIONS

*Crafting A World Class Value Proposition And Targeting Strategy*

In a hyper competitive market for advisor talent and acquisitions, RIAs eager to accelerate their growth, bolster their next generation teams, and gain scale are pitted against serial acquirers and sophisticated financiers. With nearly 3 out of 4 announced M&A deals won by repeat strategic acquirers, rollups, and financial sponsors, how can your RIA practice take a bite out of industry deal activity? This session will help you think through your advisor facing value proposition to create a cohesive and strategic message enabling you to stand out from a crowded field. And if getting "at bats" is a struggle, how might your practice begin to see more deal flow and recruit opportunities?

**Louis Diamond, Diamond Consulting**

**12:50 PM - 12:55 PM**

**BREAK**

**12:55 PM - 1:15 PM**

**Ask Us Anything:**

### COMPENSATION STRATEGIES

A compelling compensation strategy is key for RIAs looking to recruit and retain talent. Matt Crow and Taryn Burgess will curate a Q&A session dedicated to answering your questions surrounding compensation. Attendee participation is encouraged.

**Matthew R. Crow, CFA, ASA, Mercer Capital**

**Taryn E. Burgess, CFA, ABV, Mercer Capital**

**1:15 PM - 2:00 PM****LIVE RECORDING OF THE COO ROUNDTABLE  
PODCAST, Powered by PFI Advisors**

For the past two years, Matt Sonnen of PFI Advisors has been hosting a monthly podcast, The COO Roundtable. Through interviews with top operations leaders from around the country, the podcast highlights the incredibly important work COOs perform on a daily basis. For this session, we are excited to have Matt conduct a live interview with two operations professionals to discuss best practices and general business strategy for the RIA industry. With all the disruptions caused by COVID-19, operations professionals have more leverage with RIA owners than possibly any time in our industry's history. To learn more about The COO Roundtable, visit <https://pfiadvisors.com/coo-roundtable/>.

**Matt Sonnen**, PFI Advisors (Moderator)

**Kara Armstrong**, CapSouth Wealth Management

**Nick Maggiulli**, Ritholtz Wealth Management

**2:00 PM - 2:05 PM****BREAK****2:05 PM - 2:50 PM****TECH STACK:  
The Importance of Your Entire Tech Ecosystem**

Kristen presents a master class in evaluating your firm's entire technology ecosystem. From the 4 must-have tech tools, to common workflows that are key to efficient growth, Kristen shares best practices necessary to keep up with the ever-changing tech landscape. Through this interactive session, Kristen will bring valuable insights regarding tech optimization and how to build accountability *through* technology.

**Kristen Schmidt**, RIA Oasis

**2:50 PM - 3:00 PM****DAY ONE CLOSING REMARKS**

**Zachary W. Milam**, CFA, Mercer Capital

**Thursday March 4, 2021 - 11:00 AM - 3:00 PM**

EASTERN TIME

**11:00 AM - 11:10 AM****DAY TWO OPENING**

**Taryn E. Burgess**, CFA, ABV, Mercer Capital

**11:10 AM - 11:55 AM****CREATING A COLLABORATIVE FIRM CULTURAL PANEL**

How do you create a collaborative work environment in an industry that grew out of the BD model, where each advisor was for himself? Matt Crow, President of Mercer Capital, moderates a discussion on firm culture with diverse industry leaders. We welcome: Sonya Mughal, Chief Operating Officer and Chief Risk Officer of Bailard, a \$3.4 billion RIA with approximately 70 employees and a very unique view on compensation transparency; Colin Sharp, Director of Operations at Riverbridge, a \$5.4 billion RIA with approximately 40 employees, who were proponents of the work-from-anywhere movement, prior to COVID-19; and movement, prior to COVID-19 and Terry Igo, CEO of the SanCap Group, a \$2.3 billion wealth manager that has continually expanded its geographic footprint while maintaining its client-centric approach and unique firm culture.

**Matthew R. Crow**, CFA, ASA, Mercer Capital (Moderator)

**Terry Igo**, SanCap Group

**Sonya Mughal**, Bailard

**Colin Sharp**, Riverbridge



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11:55 AM - 12:00 PM

BREAK

12:00 PM - 12:45 PM

## A “NEW SKOOL” MARKETING MINDSET TO DRIVE BUSINESS GROWTH

Every action you take in a business has to have a commercial consequence. In 2021 we must recognize the role of marketing in delivering commercial outcomes. This session will demonstrate how the New Skool mindset of leading with authenticity, targeting your focus, and clearly defining your success metrics will lead to business growth.

**Megan Carpenter**, *FiComm Partners, LLC*

12:45 PM - 12:50 PM

BREAK

12:50 PM - 1:10 PM

## Ask Us Anything: SUCCESSFUL SUCCESSION PLANNING

Around 60% of RIAs are still led by their founders, and only about a quarter of them have non-founding shareholders. Yet when RIA principals were asked to rank their firm's top priorities, developing a succession plan was ranked last. Brooks Hamner and Zach Milam lead a Q&A session covering your questions related to creating sustainable succession plans. Attendee participation is encouraged.

**Brooks K. Hamner, CFA**, ASA, Mercer Capital

**Zachary W. Milam, CFA**, Mercer Capital

1:10 PM - 1:55 PM

## DELIVERING INDESTRUCTIBLE VALUE THAT GOES BEYOND PRODUCTS AND PLANNING

Products and planning are commodities. Technology is table stakes. The indestructible value is the alchemy that occurs when the advisor and client collaborate by putting the client's life at the center of the conversation, not their money. This requires enhancing the advisor's EQ, redesigning the client journey map, and optimizing life returns, not just portfolio returns.

**Steve Sanduski, CFP®**, *Steve Sanduski Advisor Network (Moderator)*

**Julie Littlechild**, *Absolute Engagement*

**Seth Streeter, MS, CFP®, CDFATM**, *Mission Wealth Management, LLC*

1:55 PM - 2:00 PM

BREAK

2:00 PM - 2:50 PM

## STATE OF THE INDUSTRY Closing Keynote

Few could have predicted it last March, but 2020 was a strong year for many RIAs in the wealth management industry. The industry rose to the challenge of a global pandemic by guiding countless families through extraordinary financial uncertainty — thereby serving its mission when clients needed it most. As we transition into a new chapter in the pandemic era, this session will level-set the state of the industry and will provide some perspective about how you can drive growth in 2021 and beyond.

**Peter Nesvold, CFA**, Silver Lane Advisors

2:50 PM - 3:00 PM

## CONFERENCE CLOSING REMARKS

**Matthew R. Crow, CFA, ASA**, Mercer Capital