# FAMILYWEALTHREPORT

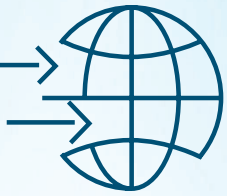
EXCLUSIVE INTELLIGENCE FOR THE FAMILY OFFICE COMMUNITY

# Summit 2014

March 13

NEW YORK SUMMIT GUIDE

# WE HELP FIRMS WITH GLOBAL DELIVERY EXCELLENCE



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*—Arnab Nath, Research Associate, ERA, Frost & Sullivan*[1]

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[1] 2011 Globalization Excellence Award in Financial Management Services, Frost & Sullivan.

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# WELCOME TO THE *FAMILY WEALTH REPORT* SUMMIT 2014

Dear *Family Wealth Report* Summit Attendee,

I would like to warmly welcome you to the first New York *Family Wealth Report* Summit, the culmination of months of discussions, planning and research. I hope that you enjoy today's programme of panel discussions and networking opportunities.

In our industry there is always a need for high-level debate amongst professionals and experts. With this in mind, the *Family Wealth Report* Summit provides a platform for wealth management practitioners and industry leaders to come together to discuss industry-critical developments.

This *Family Wealth Report* Summit offers delegates the chance to listen to industry heavyweights debating issues affecting the whole wealth management industry. We are very pleased to have 18 leading experts on panels including *the digital client experience*, *tech and ops*, and *key questions to be addressed for 2014 in family offices*, providing thought-provoking discussion and best practice insights.

I would like to thank all of you for attending, and especially our *Family Wealth Report* subscribers and those who have attended our previous events.

I would like thank our partners for all their support in this summit. These include our gold sponsors CapGemini and RBC Wealth Management and our silver sponsor Equipos.

We are also grateful to all our bronze sponsors Appway, Columbia Management and Portcullis Group.

I hope that you are able to benefit from today's summit, and we look forward to seeing you at the next *Family Wealth Report* Summit later this year.

Kind Regards

STEPHEN HARRIS
**CEO, ClearView Financial Director**

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## EVENT ORGANISED BY:


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***(part of ClearView Financial Media Ltd)***

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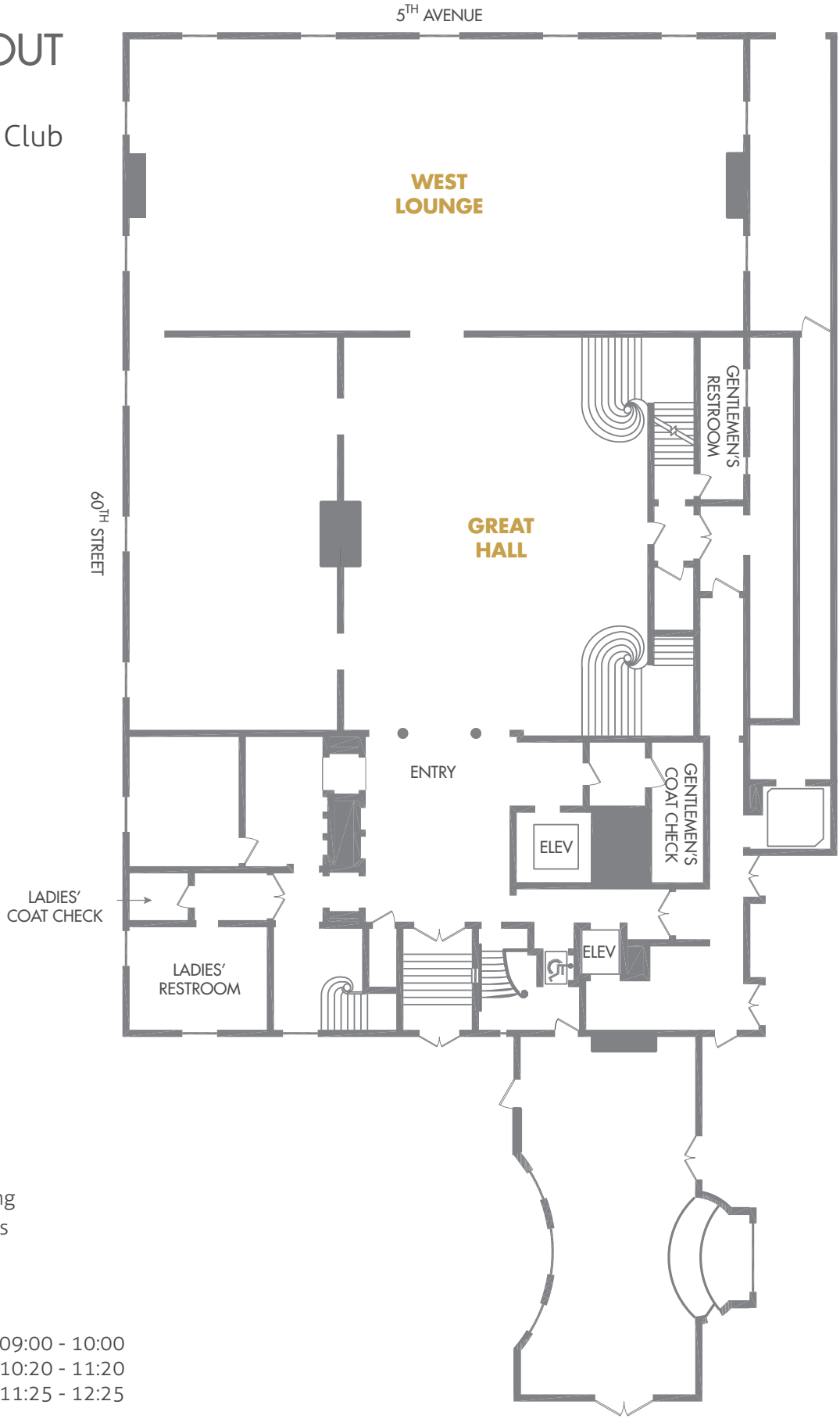
NEW YORK
# VENUE LAYOUT

The Metropolitan Club




**GREAT HALL**
Registration & networking
Breakfast & refreshments

**WEST LOUNGE**

| | |
|---|---|
| Session One | 09:00 - 10:00 |
| Session Two | 10:20 - 11:20 |
| Session Three | 11:25 - 12:25 |

# NEW YORK AGENDA

08:00 – 09:00 Registration and breakfast

09:00 – 10:00 **SESSION ONE** *The digital client experience*

- **JAMES EDSBERG** - Partner, Gulland Padfield
- **KATHY ENGLE** - Head, Thought Leadership, RBC Wealth Management
- **STACEY HAEFELE** - President & Chief Executive Officer, HNW
- **WILLIAM SULLIVAN** - Global Head, Capgemini Financial Services Global Business Unit
- **CATHERINE TILLOTSON** - Managing Partner, Scorpio Partnership
- STEPHEN HARRIS - CHAIR: Publisher, *Family Wealth Report*

10:00 – 10:20 Networking and refreshment break

10:20 – 11:20 **SESSION TWO** *Technology and operations Q&A*

- **GLENN BOLSTAD** - Vice President of Sales, North America, Appway
- **ROBERT J. FIORE** - CPA, President and Chief Executive Officer, Private Client Resources (PCR)
- **DAVID HOGGARD** - Vice-president, Sales, db corporate social platforms
- **SIMON TURNER** - Chief Technical Officer, Equipos
- **DAN WATT** - Head of Program & Project Management, RBC Wealth Management
- JON CARROLL - CHAIR: President and Chief Executive, Family Office Metrics

11:25 – 12:25 **SESSION THREE** *What keeps family offices awake at night? Key questions to be addressed in 2014 by senior family office executives*

- **DAVID CHONG** - Chairman, Portcullis Group
- **REBECCA MEYER** - Managing Director of Client Strategy, Pitcairn
- **CAROL PEPPER** - Chief Executive Officer, Pepper International
- **MICHAEL A WOOCHER** - Head of Client Development, GenSpring Family Offices
- **MICHAEL ZEUNER** - Managing Partner, WE Family Offices
- BRUCE WEATHERILL - CHAIR: Chairman, ClearView Financial Media

12:25 – 13:25 Networking

NEW YORK
# SPEAKERS

## SESSION ONE
*The digital client experience*

The panel will address issues relevant to social media and digital communications for clients, not from the technology perspective but from the business perspective. Topics will include:

- What are clients' needs
- How to meet and measure expectations
- How to enhance the client experience

### JAMES EDSBERG

PARTNER, GULLAND PADFIELD

James Edsberg is a partner at Gulland Padfield, the business consultancy that works with private banks and wealth managers to improve performance and profitability through greater client focus. He is the author of the Client Centric Index (www.clientcentricindex.com) and its associated transformation programs. The Client Centric Index is the world's first online free access diagnostic which enables management teams to assess and benchmark how client focused they are – and helps them take the first step towards transforming their business model to align their strategy, operations and culture better to their clients and markets.) In the past 12 years, James and his team have rolled out Client Centric strategy initiatives to four of the top 10 global banking groups, three of the top six global private banks, six of the top 10 global accounting firms, three of the top 10 global property consultancies, three of the top five global executive search consultants and 22 of the top 30 international, UK-headquartered law firms.

### KATHY ENGLE

HEAD, THOUGHT LEADERSHIP, RBC WEALTH MANAGEMENT

Kathy is head of thought leadership for RBC Wealth Management, responsible for driving RBC's global profile as a leading source of ideas, insight and analysis on key issues of interest for High Net Worth individuals and the global wealth management industry.

Kathy has 20 years of wealth management experience and 14 years with RBC. Prior to assuming her current mandate, Kathy held a variety of senior roles across wealth management in global strategy, private banking, asset management and marketing, as well as several years directly managing the wealth of high net worth individuals.

NEW YORK
# SPEAKERS

## SESSION ONE CONTINUED...

### STACEY HAEFELE

PRESIDENT & CHIEF EXECUTIVE OFFICER, HNW

Stacey is a strategic marketer with over 20 years of professional services experience. A leading expert and frequent industry commentator on high net worth consumers and the brands, advisors and institutions who seek to serve them, Stacey has appeared on CNBC, Fox News, The Closing Bell and has been widely quoted in publications including *The Wall Street Journal*, *The New York Times*, *AdAge*, *Financial Planning* and *Family Wealth Report*, to name a few.

As president and chief executive officer of HNW, Stacey is responsible for the firm's day-to-day operations, serves as an advisor to senior clients, and leads business development, investor relations and strategic communications. Prior to joining HNW in 2002, Stacey was vice president, director of digital strategy at Digitas.

### WILLIAM SULLIVAN

GLOBAL HEAD OF MARKET INTELLIGENCE, CAPGEMINI FINANCIAL SERVICES GLOBAL BUSINESS UNIT

Bill Sullivan has over 15 years of strategy and transformation consulting experience within the US, Europe, and Asia, including three years in Hyderabad, India. He is currently the global head of Capgemini's Financial Services Market Intelligence Group, which is responsible for developing Capgemini's Global Financial Services thought leadership, internal strategic analysis, and client market intelligence projects (including program management of the market leading World Wealth Reports and Asia-Pacific Wealth Reports since 2007).

Before running the Market Intelligence team, Bill oversaw the management of Capgemini's Global Wealth Management Center of Excellence. Previous positions include running Capgemini's Global Financial Services.

### CATHERINE TILLOTSON

MANAGING PARTNER, SCORPIO PARTNERSHIP

Catherine Tillotson oversees the research activities of Scorpio Partnership and the development of strategic recommendations for client projects. In addition, she leads both Scorpio Partnership's annual Global Private Banking KPI Benchmark and the Futurewealth project.

The Global Private Banking KPI Benchmark identifies and tracks the performance of 224 wealth management firms around the world that together manage an estimated 82 per cent of global managed wealth. Meanwhile, Futurewealth is the largest online survey of global wealth trends with end-HNW consumers.

NEW YORK
# SPEAKERS

## SESSION TWO
*Technology and operations Q&A*

The panel will be address topics around some of the biggest challenges wealth managers and family offices including perspectives from consultants, providers and end users on the following areas:
• Outsourcing and efficiency
• The revolution in digital channels
• Reporting and data accuracy – key elements of client experience
• Regulatory onslaught as a driver of change

### GLENN BOLSTAD

VICE PRESIDENT OF SALES, NORTH AMERICA, APPWAY

As vice president of sales for North America, Glenn Bolstad is responsible for formulating and executing Appway's expansion strategy in the region. Glenn has over 18 years of involvement in and with Wall Street. His past experiences include Wall Street territory manager for Mainline Information Systems, global account manager at Microsoft, and ESM at IBM. As the first Appway North America team member, Glenn has been the main driving source behind Appway's exponential growth in the region since 2011.

### JON CARROLL

PRESIDENT AND CHIEF EXECUTIVE, FAMILY OFFICE METRICS

Jon Carroll founded Family Office Metrics as president and chief executive officer in 2001 after seven years as COO in a family office. Family Office Metrics is a business consultancy providing strategic advice to family members, trustees, boards and management. The Family Office Metrics team has helped over 140 single-family, multi-family, private bank and institutional clients achieve their goals on family office start-up and closure, organizational and operational structure, enterprise cost efficiency and risk management, benchmarking and peer group analyses, best practices, market research, product development, sales training, outsourcing search, selection and implementation, applications systems implementation and integration and technology infrastructure.

### ROBERT J. FIORE

PRESIDENT AND CHIEF EXECUTIVE OFFICER, PRIVATE CLIENT RESOURCES (PCR)

Robert, who joined Private Client Resources as chief financial officer in 2005, and also held the title of chief operating officer, was appointed president and chief executive in 2011.Under Robert's leadership, assets on the firm's platform increased from $20 billion to over $90 billion. This is attributed to the progressive growth of its family offices and private banks and the successful expansion of PCR into the egistered nvestment dvisor market.  Prior to joining PCR, Robert was the chief financial operating officer Optima Group, a strategic marketing and management consulting firm serving Fortune 500 financial services firms.

NEW YORK
# SPEAKERS

## SESSION TWO CONTINUED...

### DAVID HOGGARD

VICE-PRESIDENT, SALES, DB CORPORATE SOCIAL PLATFORMS

David is VP of Sales at db corporate social platforms, a developer of proprietary social media platforms for wealth management firms. David has thirty years of experience in the IT and tech space, working with a diverse range of technology propositions across many vertical markets in the UK, Europe and US. He specialises in helping organisations apply new technologies to achieve business efficiencies and increase client engagement.

David is a passionate advocate for the strategic use of social media in wealth management – for prospecting for new business, maintaining relationships and the day-to-day servicing of clients.

### SIMON TURNER

CHIEF TECHNICAL OFFICER, EQUIPOS

Simon began his career as a developer in Australia, working on Unix-based accounting systems for a UK-based firm called Tetra Ltd. He is mainly focused on Microsoft technologies, in particular .Net and SharePoint. Before joining Equipos, Simon was director of consulting services for Hitachi Consulting, a global technology consulting firm. Prior to Hitachi, Simon worked for Wipro as senior practice manager for the Microsoft EMEA practice, and before that for a UK-based consulting firm Conchango, later to become EMC Consulting. Simon had a number of roles including chief technical officer and group development director for several small- and medium-sized UK-based software firms. Simon was a member of Microsoft Developer Advisor Council for the Office 14 development (Office/SharePoint 2010).

### DAN WATT

HEAD OF PROGRAM & PROJECT MANAGEMENT OFFICE, RBC WEALTH MANAGEMENT

Dan is head of Program and Project Management for RBC Wealth Management, responsible for delivering the business benefits related to the portfolio of projects across wealth management. Dan has 25 years of technology, project management and execution experience in financial services; 3 years with RBC. Past roles have included senior positions with a focus on leading large, complex and global initiatives frequently involving technology as an enabler.

Dan has an entrepreneurial approach to technology and what it can bring to business which stems from leading a software company prior to entering Financial Services.

NEW YORK
# SPEAKERS

## SESSION THREE
*What keeps family offices awake at night? Key questions to be addressed in 2014 by senior family office executives*

The panel comprised of family office executives and those working closely with them will address a range of issues including:

- Succession planning and wealth transfer
- Next generation and family dynamics
- Reporting and risk management
- Regulation and compliance
- Investment, trust and asset protection

### DAVID CHONG
CHAIRMAN, PORTCULLIS GROUP

David Chong is the founder and chairman of the Portcullis Group of companies. The Portcullis Group is an independent group of trust companies based in Asia, serving high net worth individuals, family offices, philanthropies, private banks, investment managers and advisers. David is qualified as a Barrister-at-Law, Lincoln's Inn; Advocate & Solicitor, Singapore; Malaysia and Brunei; Barrister & Solicitor, British Virgin Islands; Solicitor, NSW, Australia; Barrister & Solicitor, Australian Capital Territory and Victoria, Australia and Solicitor, Queensland, Australia.

David served as the founding president of Society of Trust & Estate Practitioners (STEP) Singapore Branch and was the founding president of the Singapore Fund Administrators Association (SFAA). He is the President of the Singapore Trustees Association (STA).

### REBECCA MEYER
MANAGING DIRECTOR OF CLIENT STRATEGY, PITCAIRN

Rebecca Meyer is managing director of client strategy at Pitcairn, where she manages the firm's planning team. As such, she is responsible for coordinating the development of comprehensive strategies designed to meet long-term goals for multi-generational families, and is accountable for developing client deliverables and customized client education initiatives. Rebecca was one of the lead designers of Pitcairn's open architecture investment process. She is also a member of Pitcairn's Investment Policy and Investment Strategy committees.

Prior to joining Pitcairn in 2006, Rebecca spent over 20 years as an investment professional. Most recently serving in a number of senior roles at SEI Investments, including working with ultra-high net worth clients and their advisors and heading up manager due diligence for SEI's fixed income multi-manager offerings.

NEW YORK
# SPEAKERS

## SESSION THREE CONTINUED...

### CAROL PEPPER

CHIEF EXECUTIVE OFFICER, PEPPER INTERNATIONAL

Carol Pepper is founder and chief executive of Pepper International LLC, an award-winning family office located in New York City. The firm acts as external chief investment officer for single-family offices and helps families set up offices around the world.

Carol is the co-author with Camilla Webster of *The Seven Pearls of Financial Wisdom: A Woman's Guide to Enjoying Wealth and Power*. Carol has over 25 years of experience in the wealth management industry, previously managing over $1 billion of private client assets at Rockefeller & Co.

### MICHAEL A WOOCHER

HEAD OF CLIENT DEVELOPMENT, GENSPRING FAMILY OFFICES

Michael Woocher is head of client development at GenSpring, a role that carries responsibility for firm-wide client development, sales, marketing and public relations activities. He is also a member of the executive committee. Before this, Michael was a member of the firm's senior leadership team from 2008 to 2011 when he served as president of the Atlanta-Buckhead family office. He later had responsibility for GenSpring's business development efforts throughout SunTrust Bank.

Michael held increasingly responsible roles within SunTrust Private Wealth Management, where he advised wealthy families on a wide range of investment and wealth planning issues from 1997-2007 before joining GenSpring. He returned to SunTrust Private Wealth Management as a managing director in 2011.

### MICHAEL ZEUNER

MANAGING PARTNER, WE FAMILY OFFICES

Having joined WE Family Offices as one of its three managing partners in 2013, Michael Zeuner oversees the firm's US business. A management consultant by training, Michael has considerable experience as a leader in the wealth management industry. This included a leadership position at GenSpring Family Offices, where he was a member of the firm's operating committee and senior executive partner responsible for the firm's local family offices across the US.

Before this, he was managing director and global head of wealth solutions at JP Morgan Private Bank, having been head of strategy and marketing worldwide at Chase Manhattan Private Bank prior to its merger with JP Morgan in 2002. Michael is also a board member and co-founder of the Institute for the Fiduciary Standard.

# NEW YORK SPONSORS

## GOLD SPONSORS

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**www.portcullis-trustnet.com**

NEW YORK
# SUPPORTING ORGANISATIONS

## FAMILYWEALTHREPORT
EXCLUSIVE INTELLIGENCE FOR THE FAMILY OFFICE COMMUNITY

***Family Wealth Report*** is the specialist daily online news and analysis source for the family office, private banking, and HNW wealth management community. Updated daily, ***Family Wealth Report*** provides need to know business intelligence in a convenient and easy-to-read format - straight to subscribers' inboxes every day. ***Family Wealth Report's*** subscribers, often time-poor senior executives, can rely on its comprehensive, in-depth, factual coverage, and unique insight delivered through regular exclusive features and interviews.

Published by ClearView Financial Media – independent publishing house based in London - *Family Wealth Report* is part of a wider offering serving the global wealth management community. This includes a portfolio of publications tracking the HNW wealth management markets in North America, EMEA, and APAC, as well as a schedule of thought leadership events held throughout the year in the world's major financial centers. ClearView Financial Media also regularly publishes cutting-edge market research and hosts an awards program globally, rewarding excellence in the industry.

**www.fwreport.com**

## WealthBriefing

***WealthBriefing*** is the premier news, features and information source for the global wealth management sector. This subscription-only service provides concise, up-to-the-minute information to leading wealth managers, private bankers, fund and asset managers, family office executives, stockbrokers and other professionals, including private client lawyers, along with high net worth individuals themselves. Whether at your desk or on the move, ***WealthBriefing*** subscribers receive daily news analysis to their inbox before 8.00 GMT every working day.

*Subscribers benefit from:*
- Access to ten years of archives so that you are prepared for any client meeting
- The latest news and industry intelligence to help keep your finger on the pulse
- Breaking news alerts so that you stay ahead of the competition
- The pertinent facts - our editorial board ensures that nothing is missed

***WealthBriefing*** is essential reading for all relationship managers and client-facing professionals in the wealth management sector. Middle- and back-office professionals will also find it useful as an information centre on companies and trends in the wealth management industry.

**www.wealthbriefing.com**

## Compliancematters

**Compliance Matters** is the key source of international news and analysis on the latest regulatory initiatives within the private banking and wealth management industry.

*Why read* ***Compliance Matters****?* Failure to understand and adhere to current financial regulation and laws carries severe penalties in the form of imprisonment and large-scale fines. Therefore, the gravity of non-compliance cannot be underestimated by compliance professionals and the C-level executives who hold ultimate responsibility. **Compliance Matters** provides readers with exclusive access to expert analysis and advice on how best to operate a business within the legal bounds. With breaking news and in-depth features explaining the complexities of regulation, this essential resource provides the reader with detailed copy available nowhere else.

**www.comp-matters.com**

# Do HNWIs Really Want Online Servicing?

**Relationship Managers** typically meet fewer than

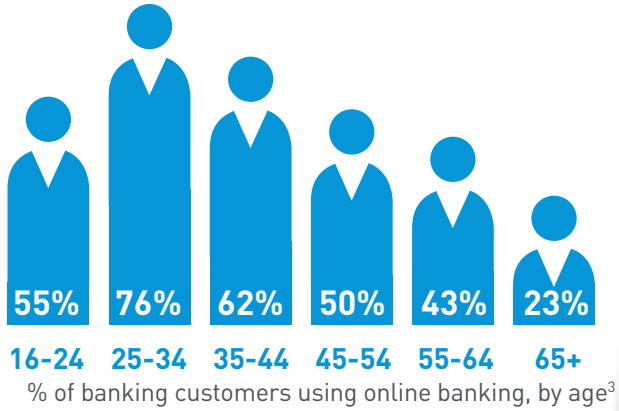
**1/3**

**of HNW clients** in person each month

**Online servicing keeps clients engaged and informed between meetings**

## Your current and future customers

are already accessing bank accounts via the Internet




% of banking customers using online banking, by age[3]

BY 2015

**90%**

of customers worldwide are likely to be using online banking[4]

**44.5%**

of HNWIs want

**24/7**

access to investment portfolios[6]

**Customers across all segments expect highly personalised, convenient and reliable service, along with 24/7 accessibility[5]**

Capgemini

Dynamic, interactive

**online portals**

increase client interaction and engagement by allowing the client easy, on-demand access to their reports and data[2]

CEB TowerGroup

**3.5**

HOURS PER WEEK

Are spent by HNWIs using secure web portals[1]

**70%**

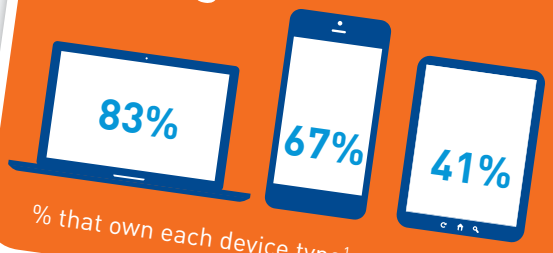
of the 2.4 billion global internet users are online daily[7]

Clients who use their wealth manager's website with the most frequency report the highest level of

**client loyalty**[2]

CEB TowerGroup

## HNWIs own multiple devices




% that own each device type[1]

Source: **1** Scorpio Partnership FutureWealth Report 2012-2013 **2** CEB TowerGroup, Wealth Management Client Reporting Technology Analysis, 2012 **3** Office for National Statistics, Opinions & Lifestyle Survey, 2013 **4** Forrester, Ten North American Retail Banking eBusiness And Channel Strategy Trends to Watch in 2012 **5** Capgemini, Trends in Retail Banking Channels: Meeting Changing Client Preferences, 2013 **6** Capgemini World Wealth Report, 2013 **7** www.internetworldstats.com, May 2013

**Contact us to learn more** 617-651-5531 www.equiposgroup.com

EQUIPOS

# EXCLUSIVE INTELLIGENCE FOR THE FAMILY OFFICE COMMUNITY

The North American wealth management market is one of the largest and most diverse in the world, and is markedly different from those in Europe and the Asia-Pacific region. Multi and single family offices in particular are a well-entrenched, integral part of the wealth management landscape.

*Family Wealth Report* provides "need to know" business intelligence in a convenient and easy-to-read format - straight to subscribers' inboxes every day. Nowhere else will you find such high quality, in-depth and often exclusive content all in one place. *Family Wealth Report* content comes from both our own dedicated editorial team as well as leading industry professionals, helping subscribers stay on top of all the important developments relating to wealth management, family offices, and the HNW/UHNW sectors in North America.

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