



# PRIVATE WEALTH US FORUM

MAY 10, 2017

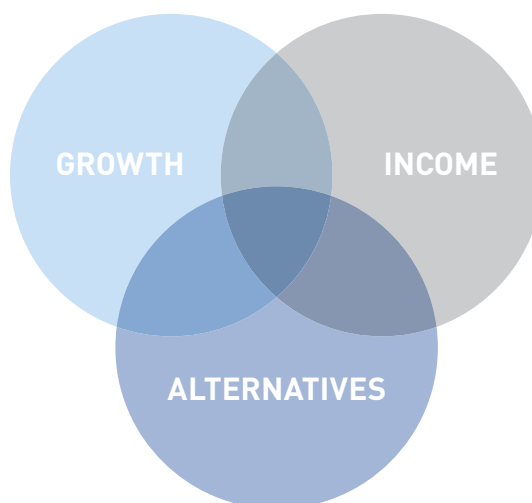
THE HARMONIE CLUB | NEW YORK

 MARKETS GROUP

# Searching for income?

The current low-yield environment coupled with heightened equity market volatility presents income-seeking investors with unprecedented challenges.

The AGFiQ quantitative investment management team has designed a strategy that lies at the intersection of **Growth**, **Income** and **Alternatives**, designed to generate high current yield and capital appreciation with a risk profile similar to that of a corporate bond index.



#### Contact us:

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#### Experience matters

250	21	12	6	13
Years of experience	Investment professionals	Masters	Ph.D.s	CFA Charterholders

To learn more about AGFiQ's quantitative investment platform, please visit [AGFiQ.com](http://AGFiQ.com)

To learn more about AGF, please visit: [AGF.com/institutional](http://AGF.com/institutional)

AGFiQ Asset Management (AGFiQ) is a collaboration of investment professionals from Highstreet Asset Management Inc. (HSAM), a Canadian registered portfolio manager, and of FFCM, LLC (FFCM), a U.S. SEC registered adviser. This collaboration makes-up the quantitative investment team.  
Publication date: April 27, 2017

# PRIVATE WEALTH US FORUM

Dear Guest:

On behalf of Markets Group, let me extend a warm welcome to our 2017 Private Wealth US Forum.

Throughout the course of the day, our lineup of expert speakers from the largest family offices, registered investment advisors, private banks and wealth management firms will delve into the issues and strategies surrounding asset allocation and asset protection specific to the high-net-worth community.

To make our Private Wealth US Forum possible, we have established solid relationships with a number of leading names from the investment management industry. We are grateful to **AGF Investments, Allianz Global Investors, Angelo Gordon, Bluerock Capital Partners, Citibank, Curacao International Financial Center, First Trust Portfolios, FS Investments, Geneva Global, ImpactAssets, Miller/Howard Investments, Nuveen, Pzena Investment Management, Shearman & Sterling, Tradeweb Direct, Van Eck and Voya**. The cooperation, insights and contributions provided by each partner are truly vital.

Markets Group launched in 2009, inspired by a unifying vision and dedicated to a singular mission: Create and foster a venue for sustained dialogue among the top allocators and managers of investment capital in order to support the growth of regional markets everywhere. As program manager of the US Private Wealth team, I can state with certainty that we will remain committed to delivering our unique brand of market intelligence to the owners and investors of high-net-worth assets across the nation. To keep up to date on our Private Wealth Forum series, please visit [www.marketsgroup.org/private-wealth](http://www.marketsgroup.org/private-wealth) or contact a member of my team.

Lastly, we thank you for engaging with Markets Group and actively participating in the Private Wealth Ohio Forum. You can count on us to supply access to our expanding databank of market knowledge and network of industry peers.

Sincerely,



Paul Hamann

*Markets Group is an executive forum organizer with a track record of 300+ conferences in over 20 countries. Founded in 2009 in New York, Markets Group has grown into one of the largest and most successful conference organizers in the financial services sector, with over 75 professionals operating out of the US and Europe. We have successfully executed events in North America, South America, Europe, the Middle East and Asia. Additionally, Markets Group was recently named one of America's 500 fastest-growing private companies by Inc. Magazine and distinguished us as the #1 conference organizer and #1 financial services firm based in NYC.*



INVESTMENTS<sup>SM</sup>

# KNOW YOUR ALTERNATIVES

[fsinvestments.com](http://fsinvestments.com)

## SPONSORS



AGF Management Limited is a leading independent global asset management firm dedicated to providing diverse investment solutions to clients. Founded in 1957 and managing USD\$ 28 billion in assets under management (as of June 30, 2015), AGF offers a comprehensive investment platform of actively managed equity and fixed income offerings. Our client base includes pension plans, corporate plans, endowments and foundations, sovereign wealth funds and sub-advisory relationships. As a global asset manager with offices in Toronto, Boston, Dublin, London, Singapore and Beijing, we provide an unwavering commitment to service combined with the highest standards of trust and quality. Institutional clients benefit from the depth and breadth of an experienced team of multi-disciplined investment managers. Four principles anchor our firm's approach to investing: shared intelligence, disciplined processes, innovative thinking and a people-first culture. To learn more about AGF, visit [www.agf.com/institutional](http://www.agf.com/institutional)



Allianz Global Investors is a diversified active investment manager with a strong parent company and a culture of risk management. With 25 offices worldwide, we provide global investment and research capabilities with consultative local delivery. We have more than \$506 billion in AUM for individuals, families and institutions worldwide and employ over 600 investment professionals. At Allianz Global Investors, we follow a two-word philosophy: Understand. Act. It describes how we look at the world and how we behave. We aim to stand out as the investment partner our clients trust by listening closely to understand their challenges, then acting decisively to provide them with solutions that meet their needs. Data as of December 31, 2016; investment professionals as of September 30, 2016



ANGELO, GORDON & CO. is a privately-held registered investment advisor dedicated to alternative investing. The firm was founded in 1988 and currently manages approximately \$26 billion. We seek to generate absolute returns with low volatility by exploiting inefficiencies in selected markets and capitalizing on situations that are not in the mainstream of investment opportunities. We creatively seek out new opportunities that allow us to remain a leader in alternative investments. We have expertise in a broad range of absolute return strategies for both institutional and high net worth investors. Our dedicated team of employees seeks to deliver consistent, positive returns in all market environments. We have built our name on our breadth of talent, intensive research and risk-averse approach to investing. Our long-term experience gives us the insight and patience to turn our vision into profitable, stable businesses.



Bluerock Capital Markets, LLC serves as the managing broker dealer for Bluerock Real Estate, LLC and is a member of FINRA/SIPC. Formed in 2010, BRCM seeks to provide educational information related to real estate investment opportunities for financial advisors and their clients. BRCM distributes a broad range of real estate and real estate-related investment products exclusively through broker dealers and investment professionals.



Citi, the leading global bank, has approximately 200 million customer accounts and does business in more than 160 countries and jurisdictions. Citi provides consumers, corporations, governments and institutions with a broad range of financial products and services, including consumer banking and credit, corporate and investment banking, securities brokerage, transaction services and wealth management.



Curaçao International Financial Center (CIFC) is a public-private-partnership between industry participants, government and regulatory delegates, with the common goal to promote the international financial services sector of Curaçao. As a reputable financial services center CIFC invites all enterprises with international operations to learn about the end-to-end financial solutions that Curaçao has to offer. Curaçao is the most sophisticated jurisdiction in the Caribbean, offering over 70 years of relevant knowledge and experience in the International Financial Services area and specifically in all types of investment funds and structures. Furthermore, Curaçao is a solid jurisdiction, part of the Dutch Kingdom, where important factors like effective management and substance, transparency, compliance and safety have always been key. This all combined with our innovative capacity and a history of excellence in providing financial services, while staying focused on an always changing market environment and global regulations, make Curaçao an ideal jurisdiction from where to operate and base your business successfully. We welcome you to learn more about Curaçao. Please visit our website: [www.cifc-curaçao.com](http://www.cifc-curaçao.com) or send us an email: [info@cifc-curaçao.com](mailto:info@cifc-curaçao.com).



First Trust Portfolios L.P. and its affiliate First Trust Advisors L.P. (collectively "First Trust") were established in 1991 with a mission to offer investors a better way to invest. At First Trust, we are single-minded about providing trusted investment products and advisory services. We're inspired every day by how financial advisors and their customers use our products and services to define goals, solve problems and develop long-term strategies.



Geneva Global is a philanthropic consulting company that fuses art and science to deliver performance philanthropy for its clients. The company provides a full range of advice and services to help individuals, foundations, corporations and nonprofits in their international development and social change initiatives. On behalf of its clients, Geneva Global's work has directly benefited more than 95 million people through 1,800 projects in over 100 countries and influenced over \$1 billion in giving.



FS Investment Corporation (NYSE: FSIC) is a publicly traded business development company (BDC) focused on providing customized credit solutions to private middle market US companies. We seek to invest primarily in the senior secured debt and, to a lesser extent, the subordinated debt of private middle market US companies to achieve the best risk-adjusted returns for our investors. In connection with our debt investments, we may receive equity interests such as warrants or options.



# Delivering Alternative Strategies to Investors Around the World

## What Differentiates Nuveen?

### **INVESTMENT EXPERTISE FROM LEADING ASSET MANAGERS**

Our multi-boutique model builds on more than a century of industry leadership.

### **ALIGNMENT WITH CLIENT NEEDS AND GOALS**

Our capabilities are designed to address a clients specific and personalized financial goals.

### **COMMITMENT TO ADVISORS AND INVESTORS**

We align outstanding people and relevant services with each client relationship.

# NUVEEN

## SPONSORS



ImpactAssets is a nonprofit financial services firm that aims to increase the flow of capital to investments that seek social, environmental and impact return. ImpactAssets offers The Giving Fund, a donor advised fund, thematic Impact Investment Notes and educational resources to investors, philanthropists and wealth advisors.



Miller/Howard Investments Inc. is an independent, SEC registered investment firm with over two decades' experience managing equity portfolios for institutions and individuals in disciplined, dividend-focused investment strategies. We invest in companies across the broad market that our investment team identifies as financially strong with the ability to pay and consistently raise dividends. Our portfolio strategies include: income equity broad market stocks, master limited partnerships (MLPs), utilities, infrastructure and "Drill Bit to Burner Tip" strategy with components across the entire North American energy value chain.



Nuveen delivers investment excellence through our affiliated asset managers. With \$882 billion in AUM across all asset managers as of December 31, 2016, our team provides a range of investment strategies including: traditional equities and fixed income as well as alternative strategies that include real estate, real assets and private capital market strategies.



Pzena Investment Management, LLC, a New York-based investment firm, began managing assets in 1996. Pzena employs a classic value investment approach that is built on a foundation of intensive fundamental research and a disciplined, repeatable investment process. We manage US, non-US and global equity portfolios with a goal of long-term alpha generation. Our clients include leading pensions, endowments, foundations and high net worth individuals. Our team comprises 100 employees with offices in Manhattan, Melbourne and London. Pzena's entire investment team is based in NYC. As of January 31, 2017 Pzena manages \$30 billion in assets.



Tradeweb Direct is the retail fixed income division of Tradeweb Markets, a premier source for the fixed income security needs for the buy-side, broker-dealers, financial advisors, traders and middle market investors. Tradeweb Direct delivers access to real-time inventory, competitive pricing, leading operational infrastructure and streamlined post-trade processing. Comprehensive integration with internal and third-party systems provides clients with seamless front-to-back connectivity, order validation and post-trade execution. Paired with enhanced portfolio management solutions for in-depth analysis and customized reporting, the Tradeweb Direct offering helps the retail trading community maximize efficiency, achieve best execution and improve the overall performance of their trading operations.



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VanEck's mission is to offer investors intelligently designed investment strategies that take advantage of targeted market opportunities. Founded in 1955, we were a pioneer in global investing with a history of placing clients' interests first in all market environments. Today, the firm continues this tradition by offering innovative active and passive investment portfolios in hard assets, emerging markets, precious metals, fixed income and other alternative asset classes. VanEck Vectors exchange-traded products are one of the largest ETP families in the world, managing more than 70 funds that span a range of sectors, asset classes and geographies.



Voya Investment Management (Voya IM) is a leading active asset management firm. As of December 31, 2016, Voya IM manages approximately \$217 billion\* for affiliated and external institutions as well as individual investors. Drawing on over 40 years of experience and an ongoing commitment to reliable investing, Voya IM has the resources and expertise to help long-term investors achieve strong investment results. \*Voya IM assets of \$217 billion include proprietary insurance general account assets of \$89 billion calculated on a market value basis. Voya IM assets, as reported in Voya Financial, Inc. SEC filings, include general account assets valued on a statutory book value basis and total approximately \$211 billion.

## MEDIA &amp; INSTITUTIONAL PARTNERS



The logo consists of a solid blue square. To its right, the word "PZENA" is written in a bold, white, sans-serif font, and "INVESTMENT MANAGEMENT" is written in a smaller, black, sans-serif font.

**PZENA** INVESTMENT MANAGEMENT

*Unwavering  
Commitment to  
Value Investing*

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# 2017 EVENTS CALENDAR

## PRIVATE WEALTH

Feb 27	Private Wealth <b>Texas</b> Forum	Dallas	Jun 20	Private Wealth <b>Canada</b> Forum	Vancouver
Mar 6	Private Wealth <b>Southern California</b> Forum	Los Angeles	Jul 17	Private Wealth <b>Pacific Northwest</b> Forum	Seattle
Mar 15	Private Wealth <b>Switzerland</b> Forum	Geneva	Jul 25	Private Wealth <b>Central States</b> Forum	Nashville
Mar 21	Private Wealth <b>UK Spring</b> Forum	London	Aug 15	Private Wealth <b>Midwest</b> Forum	Chicago
Mar 27	Private Wealth <b>Brazil</b> Forum	São Paulo	Sept 13	Private Wealth <b>Germany</b> Forum	Munich
Apr 5	Private Wealth <b>Middle East</b> Forum	Dubai	Sept 26	Private Wealth <b>Florida</b> Forum	Palm Beach
Apr 5	Private Wealth <b>New England</b> Forum	Boston	Sept 27	Private Wealth <b>Canada</b> Forum	Toronto
Apr 27	Private Wealth <b>Northern California</b> Forum	San Francisco	Oct 12	Private Wealth <b>Mid-Atlantic</b> Forum	Philadelphia
May 8	Private Wealth <b>Ohio</b> Forum	Columbus	Oct 17-18	Private Wealth <b>Latin America &amp; the Caribbean</b> Forum	Miami
May 10	Private Wealth <b>US</b> Forum	New York	Oct 24	Private Wealth <b>France</b> Forum	Paris
May 16	Private Wealth <b>Netherlands</b> Forum	Amsterdam	Oct 25	Private Wealth <b>Texas</b> Forum	Houston
Jun 7	Private Wealth <b>Spain</b> Forum	Madrid	Oct 31	Private Wealth <b>UK</b> Forum	London
Jun 8	Private Wealth <b>Great Plains</b> Forum	Minneapolis	Nov 7	Private Wealth <b>New York</b> Forum	New York
Jun 14	Private Wealth <b>Mountain States</b> Forum	Denver	Dec 6	Private Wealth <b>Switzerland</b> Forum	Zürich
Jun 20	Private Wealth <b>Northern Euro</b> Forum	Stockholm	Dec 12	Private Wealth <b>Southeast</b> Forum	Charlotte

## INSTITUTIONAL INVESTORS

Feb 2	<b>Ohio</b> Institutional Investor Forum	Columbus	Sept 6	<b>Northern Europe</b> Institutional Investor Forum	Copenhagen
Feb 22	<b>Tri-State</b> Institutional Investor Forum	New York	Sept 14	<b>Pacific Northwest</b> Institutional Investor Forum	Portland
Mar 7	<b>Switzerland</b> Institutional Investor Forum	Zürich	Sept 27	<b>Southwest</b> Institutional Investor Forum	Scottsdale
Mar 22-23	<b>Mountain States</b> Institutional Investor Forum	Denver	Oct 12	<b>New England</b> Institutional Investor Forum	Boston
Apr 26	<b>Central States</b> Institutional Investor Forum	St. Louis	Oct 25	<b>Southeast</b> Institutional Investor Forum	Atlanta
May 17	<b>Canada</b> Institutional Investor Forum	Toronto	Nov 1	<b>Netherlands</b> Institutional Investor Forum	Amsterdam
May 17	<b>France</b> Institutional Investor Forum	Paris	Nov 2	<b>Pennsylvania</b> Institutional Investor Forum	Philadelphia
May 23	<b>Mid-Atlantic</b> Institutional Investor Forum	DC	Nov 9	<b>Germany</b> Institutional Investor Forum	Frankfurt
Jun 7	<b>UK</b> Institutional Investor Forum	London	Nov 16	<b>Texas</b> Institutional Investor Forum	Austin
Jun 8	<b>Latin America &amp; the Caribbean</b> Institutional Investor Forum	Panama City	Nov 21	<b>Middle East</b> Institutional Investor Forum	Abu Dhabi
Jun 14	<b>Midwest</b> Institutional Investor Forum	Chicago	Dec 7	<b>California</b> Institutional Investor Forum	Napa
Jun 27	<b>Great Plains</b> Institutional Investor Forum	Minneapolis			

## INSTITUTIONAL REAL ESTATE

Feb 16	<b>Texas</b> Institutional Investor Real Estate Forum	Austin	Sept 19	<b>North Pacific</b> Institutional Investor Real Estate Forum	San Francisco
Mar 16	<b>Midwest</b> Institutional Investor Real Estate Forum	Chicago	Sept 27	<b>Middle East</b> Institutional Investor Real Estate Forum	Abu Dhabi
Apr 4-5	<b>Global</b> Institutional Real Estate Investor Forum	New York	Oct 16	<b>Switzerland</b> Institutional Investor Real Estate Forum	Zürich
Apr 5	<b>Canada East</b> Institutional Investor Real Estate Forum	Toronto	Oct 20	<b>UK</b> Institutional Investor Real Estate Forum	London
Apr 27	<b>Germany</b> Institutional Investor Real Estate Forum	Munich	Oct 26	<b>Tri-State</b> Institutional Investor Real Estate Forum	New York
Jun 22	<b>New England</b> Institutional Investor Real Estate Forum	Boston	Dec 6	<b>Southeast</b> Institutional Investor Real Estate Forum	Atlanta
Jul 18	<b>South Pacific</b> Institutional Investor Real Estate Forum	Los Angeles			

## PRIVATE EQUITY

Mar 16-17	Private Equity <b>US</b> Forum	New York City
Jun 20-21	Private Equity <b>Europe</b> Forum	London
Oct 19	Private Equity <b>Pacific</b> Forum	Los Angeles
Dec 4-5	Private Equity <b>Brazil &amp; Latin America</b> Forum	São Paulo

## ALTERNATIVES

Apr 4	Alts Investor Forum <b>South</b>	Dallas
Jun 13	Alts Investor Forum <b>West</b>	San Francisco
Sept 12	Alts Investor Forum <b>East</b>	New York
Nov 14	Alts Investor Forum <b>Midwest</b>	Chicago

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*Matching Money with Opportunity™*

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## AGENDA

**7:30 AM | Registration and Coffee****8:00 AM | Host's Welcome****Paul Hamann, Head Private Wealth, Markets Group****Edward Prindiville, Program Manager, Markets Group****8:05 AM | Chairman's Opening Remarks****Chris Adey, Co-Head of Global Institutional Sales, AGF Investments**

Chris Adey is Co-Head of Global Institutional Sales. Based in Boston, Chris oversees institutional business development and client service initiatives. He is also responsible for building and managing AGF's investment consultant relationships in the United States, Canada, Europe and Asia. With over 20 years of industry experience, Chris was most recently Global Consultant Relations Leader at GE Asset Management, where he managed relationships with top-tier global consulting firms and oversaw consultant relations activities in the United States, Europe and Asia. Chris holds a B.A. in English from the University of Massachusetts, Dartmouth.

**8:10 AM | Morning Presentation: Discover How to Manage Fixed Income Portfolios Each Morning and Still Have Time For Coffee!**

*Gain a competitive edge by seamlessly connecting your fixed income portfolio analytics to deep liquidity. Through interactive demonstration, you will learn how to add value and efficiency into your daily routine giving you more time to focus on what matters—developing business, increasing assets and providing best-in-class client service.*

**Presenter:****Martin Dickinson, Director, Tradeweb Direct**

Martin Dickinson is a Director at Tradeweb Direct, responsible for Portfolio Solutions, a dynamic fixed income portfolio management tool. Previously he founded Interactive Portfolio Solutions, formerly MuniWorks and served as President overseeing all business activities. Earlier Dickinson held various senior-level roles at Paine Webber, most recently serving as Senior Vice President managing the Southeast Bond Department, where he focused on all trading, underwriting, marketing and sales activity for high net worth clients. Before that, he worked in trading and marketing of municipal products at Smith Barney. He holds a B.S. in finance from the University of Florida.

**8:30 AM | Keynote Panel: Advanced Asset Allocation**

*Optimism is the prevailing mood on Wall Street following the election of Donald Trump as US president. But while higher growth is possible, lingering doubt about the logic of protectionism—not to mention the Trump administration itself—is helping to build a case for non-correlation, such as alternative risk premia. Our Advanced Asset Allocation panel will assess overall risk and rebalance equity, fixed income and alternative asset exposure.*

**Moderator:****Paul Dunn, Senior Managing Director, Bluerock Capital Markets**

Paul Dunn is Executive Vice President of Bluerock Capital Markets, LLC, the broker/dealer affiliate of Bluerock Real Estate. Bluerock is a 14-year old company that with over \$2.8 billion of assets under management in the real estate sector, including a New York Stock Exchange listed company, a very successful real estate mutual fund, private real estate offerings and 1031 exchange programs. Before joining Bluerock, he was President and Chief Investment Officer of Greenbook Investment Management where he developed investment strategies to accommodate the unique income patterns of physicians and dentists. At Greenbook, Paul was directly responsible for approximately 3,000 doctor accounts representing over \$950 million.

**Panelists:****Jack Ablin, Chief Investment Officer, BMO Private Bank**

As Head of Macro Strategy, Mr. Ablin chairs the Asset Allocation, Mutual Fund Re-Optimization and Harriscreen Stock Selection Committees and is responsible for establishing investment policy and strategy within BMO Private Bank throughout the US. He joined the organization in 2001 and has three decades of experience in money management. Jack earned an A.B. degree from Vassar College in New York, where he graduated with honors in Mathematics and Computer Science. A member of the Beta Gamma Sigma International Honor Society, Jack received an M.B.A. with honors and graduated cum laude from Boston University in Massachusetts.

**Steven Wieting, Global Chief Investment Strategist, Citi Private Bank**

Steven heads our global strategy team, formulating our macro investment views across asset classes. He also chairs our Global Investment Committee, which sets our tactical asset allocation positioning. Before joining the Private Bank, Steven was Citi Research's lead economist for its US institutional equities business. He previously worked for Dow Jones and the US Department of Commerce. He was awarded an MS in Quantitative Economics at Baruch College and has also acquired credits towards a PhD in Economics at the City University Graduate Center. Citi Private Bank's investment strategy team is made up of local strategists based in Asia, Europe and the Americas.

**Tony Roth, Chief Investment Officer, Wilmington Trust**

Anthony "Tony" Roth is Chief Investment Officer for Wilmington Trust, the wealth and investment advisory arm of M&T Bank. Tony plays a key role in developing and delivering investment services for our wealth, institutional and brokerage clients. He provides strategic direction for the firm's asset management investment activities including asset allocation, manager research and portfolio construction. Tony leads the firm's Investment Strategy Team. Tony joined Wilmington Trust in 2014 with extensive experience in wealth management and investment advisory. Prior to joining Wilmington Trust, Tony was Chief Investment Officer (CIO) for Aquitaine Management in New York. Before that, he worked for UBS Wealth Management Americas as CIO, where he founded the Ultra High-Net-Worth Chief Investment Office.

**Michael Rothstein, Vice President, Senior Product Specialist, US Multi Asset, Allianz Global Investors**

Mr. Rothstein is a senior product specialist and a vice president with Allianz Global Investors, which he joined in 2007. He is a member of the Multi Asset US portfolio management team, and has product-specialist responsibilities for multi-asset offerings in the United States. Previously with the firm, Mr. Rothstein was an investment analyst in the product development and monitoring group; before that, he was an investment specialist. Mr. Rothstein has 10 years of investment-industry experience. Mr. Rothstein has a B.S. in finance and business administration from Ramapo College of New Jersey, and an M.B.A. in statistics from Baruch College.

**9:00 AM | Private Wealth Keynote Morning Review: Designing and Implementing Income Products Using Quantitative Strategies**

*This segment will cover design options for developing income producing products using quantitative methods including the use of risk management techniques. Also discussed will be the considerations for implementing in different product structures and vehicles, including ETF's, factor investing and '40 Act funds.*

**Presenter:****Chuck Martin, Portfolio Manager, AGF Investments**

Prior to founding QuantShares, Chuck was a Vice President at State Street Global Advisors and a Senior Portfolio Manager in the firm's Global Enhanced Equities group. He provided research and portfolio management for multiple investment strategies including large and small cap long only and 130/30 funds. During Chuck's time at SSgA, the Global Enhanced Equities team grew from \$3 billion in assets to over \$100 billion. Prior to joining SSgA in 2001, Chuck was an equity analyst at SunTrust Equitable Securities where he covered technology companies. Chuck earned his Bachelor of Arts degree in Economics from Colby College and his Master of Business Administration degree in Finance from Georgetown University.

**9:30 AM | Global Equity: Appointing a Stock Fund Cabinet**

*Despite a post-election blue-chip rally, the smart money is on tried-and-true value investing. But could immigration reform counterbalance Silicon Valley and unnerve the Nasdaq Composite Index? Would dismantling the Affordable Care Act power a health care stock surge? Our Global Equity panel will predict fund and sector performance amid coming monetary policy and regulatory change.*

**Moderator:****Sandip Bhagat, Chief Investment Officer, Whittier Trust Company**

Mr. Bhagat is in charge of policy, strategy and research for both alternative and traditional investment management for Whittier Trust. From 2009 to 2014, he headed global equity for Vanguard Group, overseeing active and passive equity. Prior to Vanguard, he worked as Managing Director for Morgan Stanley Investment Management. Mr. Bhagat began his 25-year career in financial services in 1987 with Travelers Investment Management, eventually becoming CIO then Managing Director of Citigroup Asset Management. He received a BS in Chemical Engineering from the University of Bombay and MS in Chemical Engineering and his MBA from the University of Connecticut. He is a CFA charter-holder.

**Panelists:****Jeffrey Korzenik, Chief Investment Strategist, Senior Vice President, Fifth Third Bank**

Jeff Korzenik is Chief Investment Strategist for Fifth Third Bank, where he is responsible for the Bank's overall client investment strategy. A 30-year industry veteran, Jeff is a frequent guest on CNBC and Bloomberg television. He has been quoted in major industry publications including Barron's, The Wall Street Journal and BusinessWeek. Jeff was invited to testify on Capitol Hill as an expert witness on the use of commodity indexes by pensions and other institutional investors. Jeff earned both a Bachelor of Arts degree in Economics and a Certificate of Proficiency in Near Eastern Studies from Princeton University.

**Mark Luschini, Chief Investment Strategist, Janney Montgomery Scott**

As the Chief Investment Strategist for Janney, Mr. Luschini serves as the Firm's investment expert and spokesperson, offering national market commentary and developing asset allocation models and investment strategies. He is also responsible for directing Janney Capital Management's investment management services. He Chairs the Investment Committee and actively interfaces with both current and prospective clients. Mr. Luschini joined Janney as part of the Parker Hunter merger in 2005 and has spent more than 20 years in the investment industry. Mr. Luschini holds his B.A. and M.B.A. from Gannon University.

**David Jallits, Chief Investment Officer, Signature Family Wealth Advisors**

As Chief Investment Officer of Signature Family Wealth Advisors, a \$3.5 billion multi-family office based in Norfolk, VA, Mr. Jallits is responsible for leading portfolio management and research. Prior to joining Signature in September 2015, he worked for Cambridge Associates, holding the title of Head of Advisory Services before being named Head of Global Investment Research. In addition to being featured as a special guest commentator in The New York Times and on CNN, Institutional Investor named him 2014 Hedge Fund Consultant of the Year. He has a BS from the University of Illinois at Urbana-Champaign in Finance with a concentration in Economics.

**Ram Lee, Partner, Seven Bridges Advisors**

Ram is one of two Partners who oversee Seven Bridges Advisors, an outsourced CIO firm with over \$4 billion in assets. Previously, he served as Managing Director at the Howard Hughes Medical Institute endowment. In his role at HHMI, Ram invested its \$17 billion endowment across all asset classes, as well as served as the macro strategist for the Investment Committee. Ram moved to HHMI with the CIO of the UPenn endowment, where he held the position of Director of Investments. He received a B.A. from the Honors Program at Swarthmore and an M.B.A. from Yale. Ram serves on an Investment Committee for the NFL Players Association.

**Richard Pzena, Founder, Co-Chief Investment Officer, Pzena Investment Management**

Richard S. Pzena, Founder, Managing Principal, Co-Chief Investment Officer, Portfolio Manager, Managing Principal and member of the firm's Executive Committee. Mr. Pzena is the architect of the firm's investment strategy and conceived and developed our proprietary screening model. He serves as co-portfolio manager for the US large cap and mid cap strategies, Focused Value and US Best Ideas. Prior to forming Pzena Investment Management, Mr. Pzena was the director of US Equity Investments and chief research officer for Sanford C. Bernstein & Company. He earned a B.S. summa cum laude and an M.B.A. from the Wharton School of the University of Pennsylvania.



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*Investors should consider the investment objectives, risks, charges and expenses of the fund carefully before investing. This and other information is contained in the fund's prospectus and summary prospectus, which may be obtained by contacting your financial advisor and should be read carefully before investing.*

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## AGENDA

## 10:00 AM | Morning Break and Networking Session

## 10:30 AM | Active vs. Passive: Finding a Healthy Balance

Depending on an investor's objectives, both active and passive funds have a role to play in a portfolio. An age old debate that often leads to the choosing of one side or the other, this panel will instead explore the best practices to successfully combine investment strategies.

Moderator:

**Michael Blank**, Managing Director, Andbank Wealth Management

Mr. Blank is the Managing Director of Andbank, Miami. Andbank is the largest family owned private bank in Andorra. He was previously the founder of Swiss Asset Advisors, a multi family office located in Zug and Miami. He has been an International private banker for the past 23 years, during which time he established Bank Julius Baer in Palm Beach and Credit Suisse Private Advisors in Miami, Florida. Michael remains active in advising private clients, corporations and institutions with wealth preservation planning. He is a member of the Florida Bar, Society of Trust and Estate Professionals (STEP) and Florida International Bankers Association (FIBA).

Panelists:

**Bob Klosterman**, Chief Investment Officer, White Oaks Wealth Advisors

Mr. Klosterman is Chief Executive Officer, Chief Investment Officer and Founder of White Oaks Advisors, a fee-based registered investment advisor located in Minneapolis, MN, with \$450 million under management. He began his career as a financial advisor in 1975 and has been listed as a Top 250 Wealth Advisor by Worth magazine as well as a Top 150 Financial Advisor by Bloomberg Wealth Manager. Mr. Klosterman is a widely quoted expert on private wealth, appearing in Barron's, Fortune and The Wall Street Journal. He also recently authored his first book, The Four Horsemen of the Investor Apocalypse.

**Steven Wagner**, Co-Founder, Chief Executive Officer, Omnia Family Wealth

Steven is Co-Founder and Chief Executive Officer of Omnia Family Wealth. With more than 35 years of experience and investment insight, Steven guides individuals, families and private foundations through the strategic process of identifying their goals, investment profile and ultimate wealth management plan. He draws on deep analytical acumen and a nuanced grasp of the markets to support the firm's investment strategies. Before co-founding Omnia, Steven was a Managing Director at Merrill Lynch's Private Banking and Investment Group. Prior to Merrill Lynch, he was a Managing Director at UBS Private Wealth Management. In recognition of his accomplishments, Steven was honored as one of Barron's prestigious "Top 1,200 Financial Advisors" in 2014 and 2015.

**Josh Baumgarten**, Deputy Chief Investment Officer, Angelo Gordon

Josh Baumgarten is a co-portfolio manager for AG Super Fund and multi-strategy portfolios. He is a member of the four-person Management Committee which is responsible for the management of Angelo, Gordon and is the firm's Deputy Chief Investment Officer. Prior to joining Angelo, Gordon in 2016, Josh was a Senior Managing Director at Blackstone and focused on Blackstone Alternative Asset Management, the firm's hedge fund solutions business. Josh is a member of the Children's Board at Columbia (Columbia University Medical Center). He received a B.S. degree in Economics with concentrations in Finance and Accounting from The Wharton School at the University of Pennsylvania.

**Carol Pepper**, Chief Executive Officer & Founder, Pepper International

Carol Pepper is Founder and Chief Executive Officer of Pepper International LLC, an award winning family office located in New York City. In 2016 and 2015, Carol was named one of the 50 Most Influential Women in Private Wealth by Private Asset Management. In 2016, Carol was named a Citywealth Leader in the UK. Carol has over 25 years of experience in the wealth management industry. Prior to forming Pepper International in 2001, she managed over \$1 billion of private client assets as a Senior Relationship Manager and Portfolio Manager at Rockefeller & Co. Carol graduated cum laude from Bryn Mawr College and received an MBA from Columbia University.

**Douglas Getty**, Regional Chief Investment Officer, Abbot Downing

Mr. Getty is a Regional Chief Investment Officer of Abbot Downing, the ultra-high-net-worth arm of Wells Fargo & Company launched in 2012. A 20-year veteran of managing and investing private wealth, he previously served as Managing Director of Investments for Wells Fargo Family Wealth, joining in 2008 after a four-year stint as Investment Manager with Calibre, the multi-family office of Wachovia Securities. He is a graduate of Delaware University. Mr. Getty earned a BA degree in Finance from the University of Delaware and is a CFA charter-holder as well as a ChFC, CLU and CFP.

## 11:00 AM | Keynote Presentation: Margin for Uncleared Swaps

The boom in direct investing by family offices is nowhere more evident than in the real estate sector as the world's wealthiest investors bet on strong property demand in some of the top real estate markets around the world. Is this an opportunity not to be missed? What considerations might form one's views on this? What are the relative risks and merits of direct investing in real estate? How will the new administration re-define the direct investing landscape? Join our real estate expert in an engaging discussion on key considerations for family offices investing in real estate and whether this is an opportunity for you and your business.

Presenter:

**Chris Smith**, Partner, Shearman & Sterling LLP

## 11:20 AM | Roundtable Session 1

Organized in the spirit of small group learning and informal conversation, each roundtable is hosted by a private wealth expert assigned to initiate a lively exchange about a topic or trend:



#### ROUNDTABLE 1: PREFERRED SECURITIES AS PART OF A BROADER FIXED INCOME ALLOCATION

Hosted by:

**John Paulsen**, Head of Research, Stonebridge Advisors



#### ROUNDTABLE 2: OPPORTUNITIES WITHIN ESG INVESTING

Hosted by:

**Ron Cordes**, Co-Founder, ImpactAssets & Cordes Foundation



#### ROUNDTABLE 3: FACTOR INVESTING AND FACTOR PURITY

Hosted by:

**Chuck Martin**, Portfolio Manager, AGF Investments



#### ROUNDTABLE 4: WHY PRIVATE CREDIT TODAY?

Hosted by:

**Ken Kencel**, Chief Executive Officer, Churchill Asset Management



#### ROUNDTABLE 5: HOW TO INVEST IN PRIVATE CREDIT, THE MANAGER AND THE STRUCTURE MATTER

Hosted by:

**Michael Zinkand**, Senior Vice President, FS Investments



#### ROUNDTABLE 6: REMOVING OBSTACLES FOR YOUR PHILANTHROPIC CLIENTS

Hosted by:

**Karen Robinson**, Chief Operating Officer, Geneva Global



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#### ROUNDTABLE 7: THE ADVANTAGES OF A MULTI-STRATEGY APPROACH TO INVESTING IN CREDIT

Hosted by:

**Josh Baumgarten**, Deputy Chief Investment Officer, Angelo Gordon



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FINANCIAL  
CENTER

#### ROUNDTABLE 8: STRUCTURED SOLUTIONS WITH IMPACT-NEW AND INNOVATIVE STRUCTURES OFFERED BY SOME CARIBBEAN JURISDICTIONS

Hosted by:

**TBA**, Official Title, CIBC

### 12:05 PM | Private Wealth Interview: Benefiting from Opportunities in US Middle Market Senior Lending

In the aftermath of Wall Street reform, the middle market has suffered from a dearth of senior loan capital historically afforded to the large, more liquid space. In response, a new crop of non-traditional investment talent is filling the senior loan vacuum for the middle market—and private wealth is taking note. Our Private Wealth Fireside Chat will outline the return potential of middle market debt.

Interviewee:

**Shai Vichness**, Managing Director, TIAA

Shai Vichness is a managing director and head of senior leveraged lending for TIAA Global Asset Management's private markets team. Mr. Vichness also serves as the portfolio manager for middle market loans for TIAA and is a member of Churchill Asset Management's investment committee. He was previously a member of the distressed investments team, responsible for workouts and direct distressed investments, as well as secondary fixed income and equity trading. Mr. Vichness joined the organization in 2005 and has 12 years of investment experience across multiple asset classes. Mr. Vichness holds a BBA from Baruch College, CUNY.

Interviewer:

**John Hauck**, Managing Partner, RIA and Family Office, Nuveen

John is a Managing Director and Advisor Consultant for Nuveen, covering registered investment advisors and family offices in New Jersey, New York and New England. John has over 20 years of experience and joined Nuveen in 2014, having previously served in similar marketing roles at Munder Capital Management, RS Investments and MFS Investment Management.

### 12:25 PM | Luncheon Keynote: Investing in the New Normal

In today's market environment of low growth, low income, increased volatility and rising asset correlations, returns from traditional asset classes have been lower than what investors have realized historically. This "new normal" is prompting individuals to rethink traditional concepts about asset allocation and portfolio diversification. Alternative investments have emerged to help investors meet their financial goals. In this session, we will discuss the impact that recent macro-economic events have had on our current platform and how our alternative strategies and structures are well positioned to help differentiate a client's portfolio despite market challenges.

Presenter:

**Tucker Twitmyer**, Senior Vice President, FS Investments

Mr. Twitmyer is the Senior Vice President and Head of Private Equities, responsible for the management and expansion of the asset class at FS Investments. Before joining FS Investments, Mr. Twitmyer was a Managing Director at EnerTech Capital Partners, an alternative investment firm focused on the energy and power sectors, where he managed a direct investment portfolio and institutional sponsor relations. Prior to EnerTech, he was a co-founder and Managing Director of Katalyst, LLC, an operations consulting firm serving private equity, venture capital and family offices.

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## AGENDA

## 1:35 PM | Economic Analysis and Market Outlook: Trump-anomics 101

*Can he make the financial system great again? Despite inheriting a bull market and respectable economic growth (3.2 percent in the third quarter), President Donald Trump is implanting his own fiscal vision. Will less regulation, a tax cut and infrastructure build spur growth and job creation, or accelerate budget deficit and fuel inflation? Broadly speaking, is the election of the controversial, publicity-seeking businessman as the 45th president of the US a populist indictment of the free market and globalization?*

Moderator:

**Kathy Lintz**, Managing Member, **Matter Family Office**

Ms. Lintz founded Matter Family Office in 1990. Her vision to launch a family oriented financial services provider took shape early in her career in New York with Chase Manhattan Bank, having helped to develop and deliver its pioneering investor education and financial planning center. As Managing Member, Ms. Lintz has integrated investment management, financial education, charitable giving and estate planning to distinguish Matter as leading multifamily office recognized by CNN, Bloomberg and Forbes magazine. She received a BA in History from Duke University and is a maiden recipient of the CFP designation

Panelists:

**Gregory Curtis**, Chairman, **Greycourt & Company**

Mr. Curtis is founder of Greycourt & Company, a Pittsburgh, PA-based open architecture wealth advisory serving the high-net-worth market. Prior to establishing Greycourt in 1988, he headed a family office for a branch of the historic and influential Mellon family and had also held the title of President of the Laurel Foundation. A prolific writer on private wealth, Mr. Curtis authored Creative Capital, published in 2004 and The Stewardship of Wealth, released in 2012. His most recent work, Family Capital, is now available on Amazon. He earned his BA from Dartmouth College, a JD degree from Harvard Law School and is a graduate of The Endowment Institute at Harvard Business School.

**John Elmes**, Executive Managing Director, **Pathstone Federal Street**

As Executive Managing Director, John Elmes leads Pathstone's growth initiatives heading up marketing/business development and is a member of Pathstone's Executive Committee. Prior to Pathstone, John served as President of Convergent Wealth Advisors, where he managed the firm through multiple strategic challenges including methodically orchestrating a combination with Pathstone Federal Street, designed to advance clients, talent and the organization into becoming one of the industry's top independent family offices. Additionally, John was a Managing Director/Market Manager at JP Morgan's Private Bank and a Partner at Arthur Andersen. John graduated summa cum laude from George Mason University School of Business with a Bachelor of Science degree in Finance and Investments.

**Matt Topley**, Chief Investment Officer, **Fortis Wealth**

Mr. Topley is the Chief Investment Officer of Fortis Partners, a 100-year-old independently-owned multi-family office with \$200 million under management and located in King of Prussia, PA. As CIO, he is responsible for overseeing client investment advice. A 20-year financial trader, Mr. Topley joined Fortis Partners in 2015 from registered investment adviser Turner Investment Partners, where he headed trading for a \$1 billion long-short equity strategy as well as Turner Midcap Growth Fund, its \$3 billion flagship. He earned his MBA in Finance from LaSalle University and his undergraduate degree from Holy Family University.

**Robert Davis**, Partner, Chief Investment Officer, **Round Table Wealth Management**

Robert Davis, a Partner and the Chief Investment Officer of Round Table Wealth Management, has been with the firm since 2006. Bob is the chairman of the firm's Investment Committee and his responsibilities include the development, review and analysis of investment strategies, portfolio and risk management, asset allocation, manager selection and due diligence and product review. Bob has both a B.A. and M.B.A. from Southern Methodist University and has over 20 years of experience in the financial industry. Prior to joining Round Table, Bob served as vice president of a single family office with over \$1 billion in assets, where he was responsible for investments in both traditional and alternative asset classes.

**Michael Roomberg**, Portfolio Manager, **Miller/Howard Investments**

Michael Roomberg, CFA, Portfolio Manager and Research Analyst, earned his BA in International Relations, Economics and Finance from University of Wisconsin-Madison and his MBA from Georgetown University's McDonough School of Business, with Honors. Michael began his career as a research associate in 2008, at Boenning & Scattergood, a financial services firm in greater Philadelphia. There he specialized in Energy Exploration & Production (E&P) and Water Utilities & Industrials. He later joined Jefferies' Industrials equity research team and prior to Miller/Howard, served as Head of Water/Infrastructure Equity Research at Ladenburg Thalmann & Co. in New York City.

## 2:05 PM | Afternoon Keynote: Achieving International Asset Diversification

*The CIFC will discuss the importance of Governments role in today's highly regulated environment. Furthermore exploring what makes a jurisdiction successful.*

Presenter:

**Oliver Wriedt**, Co-Chief Executive Officer, **Curacao International Financial Center**

## 2:25 PM | Roundtable Session 2



## ROUNDTABLE 9: HOW TO INVEST IN THE NORTH AMERICAN ENERGY RENAISSANCE

Hosted by:

**Michael Roomberg**, Portfolio Manager, **Miller/Howard Investments**

## ROUNDTABLE 10: WHAT'S IN A LOAN YIELD? RISKS AND OPPORTUNITIES IN TODAY'S SENIOR BANK LOAN MARKET

Hosted by:

**Charles LeMieux**, Senior Vice President, Portfolio Manager, **Voya Investment Management**



## ROUNDTABLE 11: THE QUESTION ON EVERYONE'S MIND... IS IT TOO LATE FOR VALUE? OUR VIEW, SIMPLY PUT, IS A RESOUNDING "NO."

Hosted by:

**Benjamin Silver**, Principal and Portfolio Manager, **Pzena Investment Management**



## ROUNDTABLE 12: INTEREST RATE STRATEGIES: MEETING THE CHALLENGES OF THE CURRENT MARKET ENVIRONMENT

Hosted by:

**Host**, Official Title, **Citibank**



## ROUNDTABLE 13: HOW INSTITUTIONAL REAL ESTATE IMPACTS PORTFOLIO PERFORMANCE

Hosted by:

**Paul Dunn**, Senior Managing Director, **Bluerock Capital Markets**



## ROUNDTABLE 14: A NON-DIRECTIONAL APPROACH TO SUCCESS IN LIQUID ALTERNATIVES

Hosted by:

**Michael Rothstein**, Vice President, Senior Product Specialist, US Multi Asset, **Allianz Global Investors**



## ROUNDTABLE 15: DYNAMIC RISK IN VOLATILE MARKETS

Hosted by:

**David Schassler**, Portfolio Manager, Managed Allocation Strategy, **Van Eck**



## ROUNDTABLE 16: FAMILY OFFICES AREN'T REGULATED, OR ARE THEY?

Hosted by:

**Nathan Greene**, Partner in Investment Advisory Group, **Shearman & Sterling LLP** and **C. Jones Perry**, Partner in Private Client Group, **Shearman & Sterling LLP**

## 3:10 PM | Fixed Income: Redefining Yield in the Post-Bond Bull Market

*The 35-year bull market is finally over, but fixed income is still a relevant part of the private wealth portfolio. In the wake of a spasmodic bond selloff, our Fixed Income session will help fine-tune the process of fund and manager selection with the double-barreled prospect of less corporate issuance and more US Treasury debt looming.*

Moderator:

**Brian Musielak**, Senior Vice President, Director of Tax Exempt Fixed Strategies, **Commerce Family Office**

Brian is responsible for the day-to-day management of the Commerce Funds (3) tax-exempt bond mutual funds. In addition, he manages the tax-exempt portfolios for several large institutional and personal trust accounts as well as a portion of Commerce Bank's investment portfolio. Total direct tax-exempt assets under management just under \$7 billion.

Panelists:

**John Paulsen**, Head of Research, **Stonebridge Advisors**

John Paulsen joined Stonebridge Advisors in April 2015 as Head of Research and is a senior member of Stonebridge Advisors' Investment Committee. Mr. Paulsen brings substantial direct experience and knowledge of the global banking and insurance sectors and manages a team of analysts. For over 20 years, Mr. Paulsen was a senior financial sector analyst with various securities firms such as Sterne Agee, Gleacher & Co, CRT Capital, Royal Bank of Scotland and JP Morgan. Mr. Paulsen graduated from Boston University in 1982 with a B.S. in International Relations and Finance, earned his MBA in Finance from the New York University Stern School of Business in 1990 and is a CFA Charterholder.

**Erich Hickey**, Vice President, Chief Investment Strategist, **Drexel Morgan Capital**

Erich Hickey designs and directs asset management strategies and manages client portfolios and relationships. He serves on the firm's Investment Committee. Prior to joining Drexel Morgan Capital Advisers, Erich spent fifteen years in the investment management industry, working primarily with wealthy families and family offices. Most recently, Erich was President and Co-Founder of Spouting Rock Wealth Advisors, a Philadelphia based consulting firm serving single family offices. Prior to Spouting Rock, Erich was the Director of Investments at a single family office. Erich earned his Bachelor of Science degree in Biology from Davidson College. He holds the Chartered Financial Analyst® professional designation.

**David Carter**, President & Chief Investment Officer, **Lenox Wealth Advisors**

As President and CIO, David sets the investment philosophy and process for Lenox Wealth Advisors. As the leader of the Investment Committee, he and the team work together overseeing the strategic and tactical asset allocation decisions. David's investment experience spans 20 years and he has successfully managed client portfolios through numerous market cycles. Prior to joining Lenox Wealth Advisors, he was the CIO of Spinnaker Trust and before that, an analyst at JP Morgan. David is frequently quoted on market conditions by the Wall Street Journal and other Dow Jones Publications. He is a Chartered Financial Analyst (CFA) and holds an M.B.A. from the University of Chicago.

**Charles LeMieux**, Senior Vice President, Portfolio Manager, **Voya Investment Management**

Chuck LeMieux is a senior vice president, portfolio manager of the Voya Investment Management senior loan group. Chuck serves as a member of the senior loan group's investment committee. Chuck also serves as the portfolio manager for US mutual funds. Prior to joining the firm, Chuck was an assistant treasurer for a major Arizona power and water utility and also worked in a variety of business and investment positions in the chemicals and global mining industries. Chuck received his MBA from the University of Arizona and holds the Chartered Financial Analyst®.



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## AGENDA

**3:40 PM | Afternoon Break and Networking Session****3:55 PM | Cutting Edge Alternative Strategies: Robo-Advisory, ESG Investing and the Search for Growth**

*The private wealth space is embracing "new-age" strategies like never before. A new generation of ultra-HNWIs is looking at the space with an ever-growing desire to chase returns and make a difference to the world around them. In addition, the emergence of robo-advisory is growing at a rapid pace and shows no signs of slowing down. But how do you access these opportunities and how do industry leaders see this moving forward?*

**Moderator:****Ira Perlmutter, Founder and Head of Family Office, T5 Equity Partners**

Ira founded T5 Equity Partners, LLC as the direct, private equity investing affiliate of a family office. He has completed nine acquisitions including several manufacturing companies, military parts businesses, oil and gas companies and a bank. Ira serves as Chairman of five of the companies and as Chairman of the Credit and Compliance Committees of the bank. He focuses on oversight of company operations, new business development, acquisitions and joint ventures with other family offices and companies. Ira is also a Founder of the Cleantech Family Office Syndicate and has developed a program with the US Department of Commerce, Minority Business Development Agency.

**Panelists:****David Citron, Chief Investment Officer, WMS Partners**

As Chief Investment Officer of WMS Partners, David Citron is in charge of investment allocation and manager selection. Prior to joining WMS Partners, Mr. Citron served as Managing Director of Carret Asset Management, joining in 2000 and establishing its value investing program. He also served as Vice President and Portfolio Manager for Wagner Citron Management Corporation. Mr. Citron began working in financial services as a Wall Street trader for both Salomon Brothers and Drexel Burnham Lambert Trading Corporation. A CFA charter-holder, he is a graduate of the University of Maryland with a BS degree in Finance.

**Seth Masters, Chief Investment Officer, Bernstein**

Seth Masters is Chief Investment Officer of Bernstein. He heads the team that provides customized wealth-planning advice and manages the firm's private client portfolios. Masters was previously CIO for Asset Allocation, overseeing the firm's Dynamic Asset Allocation, Target Date, Target Risk and Indexed services. In June 2008, he was appointed head of AllianceBernstein's newly formed Defined Contribution business unit, which has since become an industry leader in custom target-date and lifetime income portfolios. Masters became CIO of Blend Strategies in 2002 and launched a range of style-blended services. He holds an AB from Princeton University and an MPhil in economics from Oxford University.

**Ron Cordes, Co-Founder, ImpactAssets & Cordes Foundation**

Ron D. Cordes has enjoyed a 30+ year career in the investment industry. He was a co-founder and CEO of AssetMark, a leading US managed account platform with \$30+ billion of AUM, co-authored "The Art of Investing" published by McGraw Hill and was an Ernst & Young Entrepreneur of the Year. Since launching the Cordes Foundation in 2006, Ron has focused on impact investing and social entrepreneurship. In 2011 he co-founded ImpactAssets, where he Chairs the Executive Committee and he also serves on the Boards of MicroVest, Fair Trade USA and the Center for Social Impact Learning at the Middlebury Institute.

**Edward Lopez, Head of ETF Product Management and Marketing, Van Eck**

Head of ETF Product Management and Marketing for VanEck Vectors ETFs. Responsibilities include product development, market research, competitive analysis, advertising, public relations and sales support. Joined VanEck in 2009. Experience includes over 20 years of marketing and product management within the financial services industry. Prior to joining VanEck, worked with Rydex Investments in several positions, most recently Director of ETF Strategies and Product Intelligence; several years with Ibbotson Associates. ETF industry expert, spokesperson and frequent panelist at industry conferences. BA, Economics, University of Texas at Austin.

**4:25 PM | Family Governance & Dynamics**

*A discussion on developing and implementing a family governance structure and best practices for involving the rising generation. How are advisors and family offices ensuring that wealth remains protected as the generations shift? Panelists will discuss the use of shared values to create a family mission statement, exploring the need to create family policies and preparing the next generation through education to be family leaders and wealth creators.*

**Moderator:****Wendy Craft, Chief Operating Officer, Favara**

Wendy currently holds the position of Chief Operating Office of Favara, LLC, a family office focused on real estate but allocating to other sectors which include pharmaceuticals, venture and certain areas of the tech industry. Previously, she held the position of executive vice president and general counsel for Fulcrum Equities, a single family office that invests in real estate and operating companies. Having received her BA from Kalamazoo College, MI, she continued her education at Thomas Cooley Law School with a concentration in international law. She also received the American Jurisprudence Prize Award in Conflicts of Laws. She then attended Georgetown University Law School and attained her LL.M. in taxation.

**Panelists:****Howard Cooper, Chief Executive Officer, Cooper Family Office**

Howard Cooper began his career trading public equities for his own account, becoming a full-time trader in the 1980s. In 2006 Mr. Cooper established a single-family office to manage his family assets, which were derived from his stock trading. His SFO has since then transitioned to global investing, primarily in alternative investments, including hedge and private equity funds as well as direct investments in operating companies. Mr. Cooper is an honors graduate of Princeton University and has guest lectured at Princeton, Yale and Brown Universities.

**Dan Farrell, Chairman & Chief Executive Officer, Privos Capital**

Mr. Farrell is the Chairman & CEO of Privos Capital, a global multi-family office LP (MFO) with offices in the US, Europe, Asia and the Middle East. Privos partners with single family offices, multi-family offices, Arab merchant families and royal family offices, their funds, foundations, asset management firms and portfolio companies, in all leading international financial centers, as well as in the BRICS, N-II and the Frontier Countries of the Emerging Markets. Privos also has deep experience working, allocating and investing in Latin America. Mr. Farrell has been featured and quoted extensively in Bloomberg.com and the financial press. Prior to joining Privos, Mr. Farrell was a partner at an international law firm.

**Lorraine George-Harik, Co-Founder, Partner, HPM Partners**

Lorraine is a Partner in our New York office, a Senior Client Advisor and the leader of our Wealth Management business. Prior to co-founding the firm, Lorraine spent twelve years in private wealth management as a Managing Director at Citi Private Bank in New York and a member of the Chairman's Council for Global Wealth Management. She also served as a Managing Director at UBS Private Wealth Management in the US. Lorraine earned her B.A. with Distinction from the College of Wooster and completed Executive Management Programs at Harvard Business School and the London School of Economics.

**Karen Robinson, Chief Financial Officer & Chief Operating Officer,****Geneva Global**

Lorraine started with Geneva Global in 2008 and has been instrumental in the organization's growth and development. Her current role includes leading the accounting, finance, IT, risk management, operations, legal and HR activities for both profit and non-profit organizations. Under Karen's financial leadership Geneva Global has made the INC 5000 list of fastest growing privately held companies for the past 2 years. She holds a Bachelor's degree in Accounting from the University of Richmond and an MBA from Villanova University.

**4:55 PM | Cocktail Reception****5:35 PM | Close of Conference**

# 2017 PRIVATE WEALTH EVENTS

**FEB 27**  
Private Wealth **Texas** Forum  
*Dallas*

**MAR 21**  
Private Wealth **UK Spring** Forum  
*London*

**APR 5**  
Private Wealth **New England** Forum  
*Boston*

**MAY 10**  
Private Wealth **US** Forum  
*New York*

**JUN 8**  
Private Wealth **Great Plains** Forum  
*Minneapolis*

**JUN 20**  
Private Wealth **Canada** Forum  
*Vancouver*

**AUG 15**  
Private Wealth **Midwest** Forum  
*Chicago*

**SEPT 27**  
Private Wealth **Canada** Forum  
*Toronto*

**OCT 24**  
Private Wealth **France** Forum  
*Paris*

**NOV 7**  
Private Wealth **New York** Forum  
*New York*

**MAR 6**  
Private Wealth **Southern California** Forum  
*Los Angeles*

**MAR 27**  
Private Wealth **Brazil** Forum  
*São Paulo*

**APR 27**  
Private Wealth **Northern California** Forum  
*San Francisco*

**MAY 16**  
Private Wealth **Netherlands** Forum  
*Amsterdam*

**JUN 14**  
Private Wealth **Mountain States** Forum  
*Denver*

**JUL 17**  
Private Wealth **Pacific Northwest** Forum  
*Seattle*

**SEPT 13**  
Private Wealth **Germany** Forum  
*Munich*

**OCT 12**  
Private Wealth **Mid-Atlantic** Forum  
*Philadelphia*

**OCT 25**  
Private Wealth **Texas** Forum  
*Houston*

**DEC 6**  
Private Wealth **Switzerland** Forum  
*Zürich*

**MAR 15**  
Private Wealth **Switzerland** Forum  
*Geneva*

**APR 5**  
Private Wealth **Middle East** Forum  
*Dubai*

**MAY 8**  
Private Wealth **Ohio** Forum  
*Columbus*

**JUN 7**  
Private Wealth **Spain** Forum  
*Madrid*

**JUN 20**  
Private Wealth **Northern Euro** Forum  
*Stockholm*

**JUL 25**  
Private Wealth **Central States** Forum  
*Nashville*

**SEPT 26**  
Private Wealth **Florida** Forum  
*Palm Beach*

**OCT 17-18**  
Private Wealth **Latin America & the Caribbean** Forum  
*Miami*

**OCT 31**  
Private Wealth **UK** Forum  
*London*

**DEC 12**  
Private Wealth **Southeast** Forum  
*Charlotte*



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