



The **W**ealth **M**anagement Technology & Operations Summit

Our 2007 Wealth Management Technology & Operations Summit Faculty:

Isabella Fonseca, **CELENT, LLC**
Jeff Strange, **CERULLI ASSOCIATES**
Matthew Bienfang, **THE TOWER GROUP**
Aaron Izenstark, **IRON FINANCIAL MANAGEMENT, INC.**
Brian Melter, **WELLS FARGO FUNDS DISTRIBUTOR, LLC**
Dan Skiles, **SCHWAB INSTITUTIONAL**
Alois Pirker, **AITE GROUP**
Tom Wirtshafter, **AMERICAN PORTFOLIOS HOLDING INC.**
Jim Starcev, **ETELLIGENT CONSULTING INC.**
Thomas J. Rozman, CFA, **Investigo Corporation**
Jamie Waller, **FAMILY WEALTH REPORT**
Larry Tabb, **TABB GROUP**
Mike Williams, **SCHWAB PERFORMANCETECHNOLOGIES**
Todd Simonds, **Bank of America**
Seth Johnson, **REDI2 TECHNOLOGIES**
Fran Skinner, **FOCUS CONSULTING GROUP**
Curtis L. Overway, **IXIS MANAGED PORTFOLIO ADVISORS**
Gavin Spitzner, **PRUDENTIAL INVESTMENTS**
Anand Ramtahal, **NYSE REGUALTION**
Stephen Boyle, **JP MORGAN**
John Wren, **LOCKWOOD PORTFOLIOS STRATEGIES GROUP**
John Barun, **CAPITAL MARKETS CONSULTING**
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Andrew Clipper, **CITIBANK, N. A.**
Todd Smurl, CFA, **SMARTLEAF**
Tyler Resh, **ECHELON PARTNERS**
Ron Surz, **PPCA**
Jason Scharfman, **MORGAN STANLEY - GRAYSTONE RESEARCH**
Bob Skea, **NORTHSTAR**
Steven C Semple, **JPMORGAN CHASE BANK**
Ted Hovivian, **BANK OF AMERICA**
Elizabeth Bloomer Nesvold, **CAMBRIDGE INTERNATIONAL PARTNERS**
Tony Greene, **RELIANCE TRUST COMPANY**
Mark Rogozinski, **HOMRICH & BERG, INC.**
Trent D. Witthoef, **PERSHING ADVISOR SOLUTIONS**
Penelope S. Tzougros, PhD, ChFC, CLU, **WEALTHY CHOICES (R) LLC, registered investment advisor**
Gregory Friedman, **FRIEDMAN ASSOCIATES**
Bruce A. Marcus, **DELOITTE**
Steven J. Thayer, M.B.A., J.D., **HANDLER, THAYER & DUGGAN, LLC**
Art Lutschaunig, **MORNINGSTAR INVESTMENT SERVICES, INC.**
Joseph Walker, **UNAPEN, Inc.**
Speaker TBD, CHECKFREE

November 15-16

The Paris Hotel, Las Vegas

Here's a Sneak Peek at What You Can Expect to Hear At This Unique Industry Event

- ◆ The state of the advisory services industry—and what it means to your business
- ◆ Leveraging people and infrastructure for profitability & success
- ◆ State-of-the-art collaborative technologies for the wealth management industry
- ◆ Outsourcing: How to differentiate among the pack
- ◆ Advisor roundtable: Hear decision-makers speak out about challenges & success stories
- ◆ Attribution analysis: How well are your managers really doing?
- ◆ Keys to advisor retention
- ◆ Best practices in account aggregation & data consolidation
- ◆ Performance reporting, billing, tax, & accounting—top performers reveal their secrets!
- ◆ Keys to running top-performing business teams
- ◆ Model portfolios: How have shifts in portfolio management affected the industry?
- ◆ Assessing the benefits & limitations of trade overlay management
- ◆ Key issues in compliance—what you need to know now
- ◆ Today's top industry technology trends—what's happening next?
- ◆ And much, much more!

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Dear Executive:

Are you maximizing your operational efficiencies for competitive advantage?

As the wealth management industry becomes more competitive, forward-thinking firms know that high returns are just a part of the picture---top-notch business processes are also crucial to winning and retaining clients.

Financial Research Associates' **Wealth Management Technology & Operations Summit**, slated for November 15-16 in Las Vegas, will show you exactly how to shape your firm into a prime-time competitor through best operational practices.

Summit Highlights:

- ◆ Effectively leveraging your organizational processes for profitability and success
- ◆ Trends in wealth management and their implications for your business
- ◆ A four-part discussion on holistic wealth management technology
- ◆ How do top-performing organizations operate? You'll hear all about it!
- ◆ Long term effects of Model Portfolios & Trade Overlay Management
- ◆ When and what to outsource
- ◆ The compliance issues that really count

This event will provide you with all the key information you'll need to prosper in the wealth management world this coming year. You won't find a more comprehensive event anywhere! Register now by calling 800-280-8440 or visiting our website: www.frallc.com.

Laura Garza

Laura Garza, *Senior Vice President*
Financial Research Associates, LLC

P.S. Also hear as Elizabeth Bloomer Nesvold, Managing Director, **Cambridge International Partners** & Tony Greene, Vice President, Family Office, **Reliance Trust Company** * Mark Rogozinski, COO, **Homrich & Berg, Inc.** walk attendees through a timely powerful discussion on "Leveraging People and Infrastructure for Profitability and Success"

A Special Thanks to Our 2007 Summit Advisory Board:



Alois Pirker
Senior Analyst
AITE GROUP



Isabella Fonseca
Senior Analyst
CELENT, LLC



Elizabeth Bloomer Nesvold
Managing Director
CAMBRIDGE INTERNATIONAL PARTNERS



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TradeFlow, CheckFree provides functionality that meets the evolving demands of the investment management industry. Today, CheckFree APL is the industry leading Unified Managed Account (UMA) platform, with more UMA accounts and assets under management than any other platform. With overlay technology, advanced trading and performance, CheckFree APL is enabling a growing number of firms to manage their Unified Managed Accounts. CheckFree's recent acquisition of Upstream Technologies, LLC exemplifies our continued commitment to providing a complete portfolio management solution. With Upstream, we are adding advanced decision support and trade order management tools to benefit our clients now – and in the future.

Silver: Redi2 Technologies is a leading provider of fee billing solutions to the global financial services industry, including institutional asset management, managed accounts, private wealth, mutual funds, custody and alternative investment firms as well as third party outsource providers. Founded in 2002, Redi2 offers flexible, feature-rich solutions that help firms streamline operations, improve cash flow, reduce costs, enhance client service and meet compliance obligations. Our open application programming interfaces (APIs) and support for industry-standard relational databases ease integration with third party solutions, including accounting, performance measurement and customer relationship management (CRM) systems. For more information please visit www.redi2.com

Fortigent, Outfitters to Enterprising Financial Advisors. Fortigent provides sophisticated wealth management solutions and consulting services to investment advisory firms and banks targeting high net worth clientele. We offer wealth management advisors a differentiated suite of tools and services to help them grow and position their businesses by combining institutional quality investment research and analytics with comprehensive, high-touch consulting services on business practice issues including sales and marketing, organizational operations, and business strategies.



To learn more about exhibit and sponsorship opportunities, please contact Kevin Weigel at 704-889-1296 or at kweigel@frallc.com

Important Information

To Register

Fax: 704-889-1292 Mail: Financial Research Associates
Call: 800-280-8440 18705 NE Cedar Drive
Online: www.frallc.com Battle Ground, WA 98604

Wealth Management Technology & Operations Summit

Venue Information:

Paris Hotel
3655 Las Vegas Boulevard South
Las Vegas, NV 89109
Phone for Reservations:
888.266.5687

Should you require overnight accommodations, please contact the hotel at least 30 days prior to the conference date. Advise them that you are attending the FRA "Wealth Management Technology & Operations Summit – code #SPFRA7 to receive the negotiated conference discount rate. Within 30 days of the conference, prevailing hotel rates may be quoted, as the conference rate is no longer guaranteed. Book early – the hotel will sell out!

Fees and Payments

\$1795

SEND A TEAM AT A DISCOUNT!

Please make checks payable to Financial Research Associates, and write code B485 on your check. You may also pay by Visa, MasterCard, Discover, or American Express. Purchase orders are also accepted. Payments must be received no later than November 8, 2007

Team Discounts:

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

In order to secure a group discount, all delegates must place their registrations at the same time. Group discounts cannot be issued retroactively. For more information, please call Kathie Eberhard at 704-889-1860 or email at keberhard@frallc.com.

Cancellations

If we receive your request to cancel 30 days or more prior to the conference start date, your registration fee will be refunded minus a \$175 administrative fee. Cancellations occurring between 29 days and the first day of the conference receive either a 1) \$200 refund, or 2) a credit voucher for the amount of the original registration fee, less a \$175 administrative fee. No refunds or credits will be granted for cancellations received after a conference begins or for no-shows. Credit vouchers are valid for 12 months from the date of issue and can be used by either the person named on the voucher or a colleague from the same company. **Please Note:** For reasons beyond our control it is occasionally necessary to alter the content and timing of the program or to substitute speakers. Thus, the speakers and agenda are subject to change without notice. In the event of a speaker cancellation, every effort to find a replacement speaker will be made.

Day One: Thursday, November 15, 2007

7:45

Registration and Continental Breakfast

8:20

Co-Chairs' Opening Remarks:

Joseph Walker, *Managing Director/CEO*
UNAPEN, INC.

Representative To Be Announced
CHECKFREE

8:30

The State of the Advisory Services Industry

- ◆ Market overview
- ◆ Wealth management components
- ◆ Growth trends in the managed accounts industry
- ◆ Drivers of advisor adoption
- ◆ Effects of implementing overlay and next-generation platforms
Outlook
- ◆ What is wealth management?
- ◆ Client segmentation
- ◆ Major trends
- ◆ The role of technology
- ◆ Looking forward
- ◆ The future of financial advice

Isabella Fonseca, *Senior Analyst*
CELENT, LLC

Jeff Strange, *Senior Analyst*
CERULLI ASSOCIATES

A Four Part Discussion on Holistic Wealth Management Technology

9:15

Part I: Collaborative Technologies for the Wealth Management Industry

This session will discuss the changing model of the Broker/Advisor and the role collaborative technologies will play in the enterprise. It will also examine technologists' role in supporting the client relationship and how we might learn from other industries which—rightly or wrongly—consumers will benchmark their FSIs against. Other topics include:

- ◆ Mobility
- ◆ CRM
- ◆ VoIP
- ◆ IM
- ◆ Rich Internet Content RIC

Matthew B. Bienfang, *Research Director, Brokerage & Wealth Management*
TOWERGROUP

Aaron Izenstark, *Co-Founder and Chief Investment Strategist*
IRON FINANCIAL MANAGEMENT, INC.

10:00

Part II: Industry Technology Trends

- ◆ Effectively dealing with co-mingled technology & continuity concerns: Interfacing between different disciplines
- ◆ What are the technology innovations in this industry?
- ◆ De-centralizing technologies
- ◆ Coping with different technology portals
- ◆ Data sharing considerations
- ◆ What is the proper protocol?
- ◆ Documentation sharing
- ◆ Web-based solutions
- ◆ Confidentiality issues
- ◆ Integration

Brian Melter, *Vice President, E-Business & Marketing Technology*
WELLS FARGO FUNDS DISTRIBUTOR, LLC

Dan Skiles, *Vice President, Technology*
SCHWAB INSTITUTIONAL

Alois Pirker, *Senior Analyst*
AITE GROUP

Representative To Be Announced
CHECKFREE

10:45

Morning Break

11:00

Part III: Best Practices in Account Aggregation & Data Consolidation

- ◆ What data should you consolidate?
- ◆ What level of data, position vs. transaction, should you consolidate?
- ◆ What do you do with the data once you have it?

Matthew B. Bienfang, *Research Director, Brokerage & Wealth Management*
TOWERGROUP

Tom Wirtshafter, *Director, Sales & Marketing, American Outsources*
AMERICAN PORTFOLIOS HOLDING INC.

Jim Starcev, *Co-Founder & Managing Principal*
ETELLIGENT CONSULTING INC.

Thomas J. Rozman, *CFA, President & CEO*
INVESTIGO CORPORATION

11:45

Part IV: Key Performance Reporting, Billing, Tax, & Accounting Considerations

- ◆ Consolidating information
- ◆ What is the right level of performance sharing?
- ◆ Giving clients everything they need in a consolidated fashion
- ◆ How to streamline your fee billing & revenue management processing.

Moderator:

Jamie Waller, *CEO*
FAMILY WEALTH REPORT

Panelists:

Larry Tabb, *Founder & CEO*
TABB GROUP

Mike Williams, *Sales Director*
SCHWAB PERFORMANCE TECHNOLOGIES

Todd Simonds, *Senior Vice President / Business Executive, Global Wealth & Investment Management Operations*
BANK OF AMERICA

Seth Johnson, *CEO & Founder*
REDI2 TECHNOLOGIES

12:30 Luncheon Speaker

Best Practices of Top-Performing Business Teams

The Key Behaviors of Top Performing Teams presentation highlights the key behaviors that can enable you and your team members to reach higher levels of effectiveness and success. This training is based on extensive research conducted by Focus Consulting Group which identifies the most common challenges experienced by business teams, and the most effective antidotes to those challenges.

Fran Skinner, *CFA, CPA, Principal*
FOCUS CONSULTING GROUP

To learn more about exhibit and sponsorship opportunities, please contact Kevin Weigel at 704-889-1296 or at kweigel@frallc.com

Track A

2:00

Model Portfolios: How Have Shifts in Portfolio Management Affected the Industry?

- ♦ What happened to the role of product management?
- ♦ Issues facing managers who provide model portfolios
- ♦ Manager participation rates in model based programs
- ♦ Accommodating non-model based strategies
- ♦ Striking the right balance between active overlay management and preserving the integrity of the underlying strategies
- ♦ What kinds of data are available to model providers
- ♦ Where does fiduciary responsibility exist

Curtis L. Overway, *President & Portfolio Manager*
IXIS MANAGED PORTFOLIO ADVISORS

Gavin Spitzner, *Senior Vice President, Business Development Managed Accounts Consulting Group*
PRUDENTIAL INVESTMENTS

Art Lutschaunig, *President and Chief Investment Officer*
MORNINGSTAR INVESTMENT SERVICES, INC.

2:45

Trade Overlay Management: Assessing the Benefits & Limitations of Overlay Management

- ♦ Types of overlay management
- ♦ Different approaches to trade implementation
- ♦ Tax management techniques in overlay management
- ♦ Rebalancing approaches

Moderator:

Jeff Strange, *Senior Analyst*
CERULLI ASSOCIATES

Panelists:

Curtis L. Overway, *President & Portfolio Manager*
IXIS MANAGED PORTFOLIO ADVISORS

Andrew Clipper, *Director, Asset Manager Solutions Securities and Fund Services*
CITIBANK, N. A.

Todd Smurl, CFA, *Director of Advisory Services*
SMARTLEAF

Representative To Be Announced
CHECKFREE

3:45

Afternoon Break

4:00

TAMPS: Myths & Realities*

- ♦ How TAMPs are the epitome of WM Tech & Ops
- ♦ How TAMPs have been the drivers of change for WM Tech & Ops
- ♦ What most TAMPs offer in the way of WM Tech & Ops
- ♦ How TAMPs balance building vs. renting Tech & Ops solutions
- ♦ Overview of the 40 TAMPs... "what you need to know"
- ♦ Where TAMPs are in the evolution of the WM movement
- ♦ Why TAMPs are an important part of the WM movement
- ♦ Top eight things advisors and product distributors need to know in working with TAMPs

Moderator:

Joseph Walker, *Managing Director/CEO*
UNAPEN, Inc.

*For more information about speaking opportunities please contact **Kevin Weigel** at 704-889-1296 or at kweigel@frallc.com

4:45

End of Day One

Track B

2:00

Outsourcing: How to Differentiate Among the Pack

- ♦ How do you decide if it makes sense to outsource?
- ♦ What different levels of outsourcing can I choose from?
- ♦ How do you assess a potential outsourcing partner?
- ♦ What are some of the trade-offs you need to make?
- ♦ What are some of the risks of outsourcing?
- ♦ What are the benefits I can realistically expect?
- ♦ What are some of the hidden costs and pitfalls?
- ♦ What are the costs if the outsourcing relationship does not work?

Moderator:

Anand Ramtahal, *Vice President*
NYSE REGULATION

Panelists:

Stephen Boyle, *Director of Relationship Management*
JP Morgan

John Wren, *National Product Manager*
LOCKWOOD PORTFOLIOS STRATEGIES GROUP

John Barun, *Chief Executive Officer*
CAPITAL MARKETS CONSULTING

Gary Carrai, *Senior Managing Director of Sales & Consulting*
FORTIGENT, LLC

2:45

Attribution Analysis: How Well Are Your Managers Really Doing?

- ♦ Analyzing the lack of standardized methodology
- ♦ What type of programs exist to help advisors measure their managers' performance?
- ♦ Understanding style effects
- ♦ How does the analysis work?
- ♦ Using accurate benchmarks
- ♦ What factors go into measuring attribution analysis?
- ♦ Understanding a manager's internal framework
- ♦ Operational benchmarking within a sector
- ♦ Multi-jurisdictional considerations
- ♦ Importance of on-going monitoring

Ron Surz, *President*
PPCA

Jason Scharfman, *Director*
MORGAN STANLEY - GRAYSTONE RESEARCH

3:45

Afternoon Break

4:00

Advisor Retention: How Do You Retain Your Advisors?

- ♦ Using technology to your advantage
- ♦ The challenges of preventing your advisors from going independent
- ♦ What are the advantages of the larger firms?
- ♦ Support networks, resources, & tools
- ♦ Business models

Bob Skea, *Chief Operating Officer*
NORTHSTAR

Additional speaker to be announced

4:45

End of Day One



Cocktail Reception
Immediately
Following

Day Two: Friday, November 16, 2007

8:30

Continental breakfast

8:45

Chairs' Recap of Day One:

9:00

Keynote Panel

The Most Powerful Trends in Wealth Management

- ♦ Why are these trends important?
- ♦ What are their implications for technology providers?
- ♦ How will they change the industry?
- ♦ Which sectors are best positioned and which ones will have to change the most?
- ♦ What do firms need to do to capitalize on these trends?

Tyler Resh, *Principal*
ECHELON PARTNERS

Steven C Semple, *Vice President / Director of Investment Products*
JPMORGAN CHASE BANK

Ted Hovivian, *Director - Product & Platform Development, Investment Products Group*
BANK OF AMERICA

10:00

Keynote Panel

Leveraging People and Infrastructure for Profitability and Success

In an industry that is plagued by overservice and thin margins, two critical variables seem to hold the keys to enhancing profitability—people and operational efficiency. This panel highlights the critical success factors that can assist business leaders in identifying and motivating the right employees and building out infrastructure to create leverage and connectivity to enhance client the client experience and ultimately profitability. Specifically, the panel will address:

People

- ♦ Hiring, compensating and retaining talent
- ♦ Leveraging staff through delegation and management
- ♦ Developing the next generation
- ♦ Hiring professional management
- ♦ Assessing whether you have the right people on the “bus” and are they in the right “seat”?

Infrastructure

- ♦ Technology solutions to increase efficiency and productivity
- ♦ Pull versus push – how to get your staff to embrace changes

Elizabeth Bloomer Nesvold, *Managing Director*
CAMBRIDGE INTERNATIONAL PARTNERS

Tony Greene, *Vice President, Family Office*
RELIANCE TRUST COMPANY

Mark Rogozinski, *COO*
HOMRICH & BERG, INC.

11:00

Morning Break

11:15 **Advisor Roundtable:**

Decision-Makers Speak-Out About Challenges & Success Stories Regarding to Technology, Operations, & Business Processes

- ♦ Process confusion
- ♦ Staying competitive
- ♦ Effectively reaching & retaining clients
- ♦ Performance reporting
- ♦ Technology uncertainty
- ♦ Options for outsourcing various aspects of the business

- ♦ Is open architecture the “in” game or just an element of the game?
- ♦ Product selection
- ♦ How to sell effectively
- ♦ Fine-tuning the marketing and sales aspects
- ♦ Working with clients on goals

Moderator:

Trent D. Witthoeft, *Vice President, Technology Strategy*
PERSHING ADVISOR SOLUTIONS

Panelists:

Gregory Friedman, *President*
FRIEDMAN ASSOCIATES

Penelope S. Tzougros, PhD, ChFC, CLU, *President*
WEALTHY CHOICES (R) LLC, REGISTERED INVESTMENT ADVISOR

Tom Wirtshafter *Director, Sales & Marketing, American Outsources*
AMERICAN PORTFOLIOS HOLDING INC.

12:15

Luncheon for All Attendees

1:30

Key Compliance Issues You Need to Know Now!

- ♦ Drivers for wealth management compliance
- ♦ Wealth management compliance
- ♦ Trade compliance
- ♦ Risk compliance
- ♦ Web-based offerings
- ♦ Public offerings

Bruce A. Marcus, *Afirm Director*
DELOITTE

Steven J. Thayer, M.B.A., J.D., *Managing Principal, Chairman, Commercial Practice Group*
HANDLER, THAYER & DUGGAN, LLC

Bob Skea, *Chief Operating Officer*
NORTHSTAR

2:45

Different Models for One-Stop Shopping: Looking at Fees Across Disciplines

How do the various partners get paid and share fees so the client only pays one entity a single fee?

Art Lutschaunig, *President and Chief Investment Officer*
MORNINGSTAR INVESTMENT SERVICES, INC.

3:30

End of Summit



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To register, call 800-280-8440 or visit our website: www.frallc.com

Wealth Management Technology & Operations Summit



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Financial Research Associates, LLC presents

W ealth M anagement Technology & Operations Summit

November 15-16

The Paris Hotel,
Las Vegas

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www.frallc.com or call 800-280-8440

