



2019 National Conference Agenda

Wednesday, October 2nd

7:00am-3:00pm	Conference Registration Desk Open	Caribbean Registration Desk
7:00am-8:00am	Continental Breakfast	Grand Salons E-K
7:00am-12:00pm	Exhibits Open	Grand Salons E-K
8:00am-12:00pm	Optional Technology Training	Grand Salons C-D
8:00am-8:35am	Kovack Technology & Website Overview --Keith Hlasny, <i>Director of Vendor Technology Solutions</i>	
8:40am-9:15am	Using eSign in Docupace --Mollie Stowe, <i>Docupace Support Specialist</i>	
9:20am-9:55am	What's New with RiskPro®?!--Jeff Olsen, President, RiskPro	
10:00am-10:35am	Netx360 Features --Marc Galgano, <i>V.P. Global Client Relationships, Pershing Ronald Perez, Product Consultant, Albridge Solutions</i>	
10:40am-11:15am	Fidelity Investments --Dustin Linsley, <i>Solutions Consultant, Fidelity Investments</i>	
11:20am-11:55am	Envestnet --Ashley Glover, <i>Field Training Specialist, Envestnet</i>	
12:00pm-12:45pm	Lunch Buffet	Grand Salons E-K
1:00pm-1:30pm	"Chairman and President's Welcome" <i>By Dr. Ronald Kovack, Chairman & Brian Kovack, President</i>	Caribbean Ballroom
1:30pm-2:00pm	"Kovack Financial Home Office Update" <i>By Chris Mills, Executive Vice President</i>	Caribbean Ballroom
2:10pm-3:10pm	"Finding Your Competitive Edge" <i>By Graham Cox, Director of Learning & Development, Boundaries Edge, Ltd. Sponsored by Hines Securities</i>	Caribbean Ballroom

In a competitive market, particularly where it is difficult for prospective clients to differentiate between services offered by various financial firms, being successful is about building powerful relationships that deliver tangible results. With the opportunities going to the person that is liked and trusted the most, there is a clear competitive edge to being the best at building high performance, client-focused relationships.

This interactive talk looks at why we like a brand/person, ways to build trust and the art and science of persuasion. It draws on the experience of Boundaries Edge, a company with staff from backgrounds in the British Intelligence Services, HM Diplomatic Service, business psychology/neurology and Fortune 500 companies. As they will explain, the ability to form powerful and influential relationships within special operations is fundamentally the same as operating within the corporate world.

3:15pm-4:15pm	<i>“Priceless: The Language of Value”</i> <i>By Brett Van Bortel, Director of Consulting Services, Invesco</i>	Caribbean Ballroom
	<ul style="list-style-type: none"> • A research study was conducted to help advisors better articulate and demonstrate that they are “worth it” in their clients’ minds • 79% of clients are “unsatisfied” with their advisor review meetings • We found three main takeaways for why these high net worth clients are so unfulfilled and discuss actionable ideas to make review meetings more productive 	
6:00pm-7:00pm	Cocktail Reception*	Ocean View Terrace (outside)
7:00pm	Dine-Arounds hosted by various sponsors	(By Invitation Only)

**Please note that the reception is outdoors. Attire is resort casual, no suits or ties needed.*

Thursday, October 3rd

7:00am-3:00pm	Conference Registration Desk Open	Caribbean Registration Desk
7:00am-8:00am	Hot Breakfast Buffet	Grand Salons E-K
8:00am-8:15am	Welcome	Caribbean Ballroom
8:15am-9:15am	<i>“The R.O.L. Revolution”</i> <i>By Mitch Anthony, Advisor Insights Inc., Sponsored by The Pinnacle Group</i>	Caribbean Ballroom
	<p>THE ROL REVOLUTION--DELIVERING VALUE THAT WILL NEVER BE UNDERVALUED. If you don’t want to be compared to others, start delivering incomparable value.</p> <p>The existing value propositions of providing financial planning and asset management are all undergoing rapid commoditization. It is becoming increasingly difficult for advisors to distinguish themselves in a crowded marketplace. The one value proposition that transcends becoming a commodity is the one that enables advisors to sell their wisdom, experience, and insights. The hallmark of this new way of thinking is the unique manner in which success is measured—Return on Life™.</p>	
9:20am-10:20am	<i>“Managing Investor Behavior”</i> <i>By Eben Burr, Managing Director, Toews</i>	Caribbean Ballroom
	<p>There is an ever-increasing amount of information available about behavioral finance and abundant evidence of the average investor’s poor ability to navigate markets. Yet, the advisory community has produced limited guidance for advisors who wish to curb biases and improve investor decision making.</p> <p>This distills a wealth of information about investor behavior into practical tools and processes. The intended outcome is to train advisors to consider behavioral outcomes when building portfolios, create greater client understanding, deepen client relationships, and improve competitive differentiation.</p>	

10:30am-11:30am **Technology Vendor Presentations** **Caribbean Ballroom**
 10:30am-11:00am ***“Reshaping the Advisor-Client Experience”***
By Nick Scalzo, CEO, RiskPro

This is your opportunity to hear first-hand, how challenges faced by one successful, seasoned advisor in this business led to the development of a revolutionary technology that is literally changing the way advisors win new business and strengthen existing client relationships.

Nick Scalzo (now CEO) knew it wasn’t just a communication problem that *he* was having with clients, but it was a systemic issue throughout the financial industry that needed a solution. As RiskPro® was being developed, the need became even clearer as advisors using the tool were actually reshaping existing relationships into stronger ones while forming new relationships built on well-defined expectations set by RiskPro®.

Here is your chance to have Nick actually take you through *his* process with RiskPro® for a smarter way to have “sustainable suitability” in your existing book and win new business with an advisor-client experience that never leaves anyone guessing.

11:00am-11:30am ***“Docupace Technologies Update”***
By Joel Friedman, Executive Vice President-Delivery and Customer Care, Docupace

An overview of who Docupace is and what they’ve been doing. Information about new updates/changes and how they affect Kovack will be discussed.

11:45am-12:30pm **Lunch Buffet-with Sponsor Roundtables** **Grand Salons E-K**

*Bluerock Capital Markets
 Dunham & Assoc.
 Evolv / Gladstone Land
 First Trust Portfolios, LP
 FS Investments
 FTJ FundChoice*

*Howard Capital Management
 Moody National Companies
 Preferred Apartment Communities
 Procaccianti/S2K
 SmartStop Asset Management
 Wealthvest/Delaware Life*

12:45pm-4:15pm **Breakout Sessions**

	Salons A&B	Salons C&D	Caribbean Ballroom
	Sponsor Breakouts	Sponsor Breakouts	Advisory Breakouts

12:45pm-4:15pm Sponsor Breakout Sessions Salons A&B

12:45-1:45pm ***“Ask Your Compliance Officer”***
By Kovack Compliance Department

This informal discussion allows you the opportunity to ask the Kovack Compliance Department Staff questions pertaining to maintaining a compliant practice. In addition, Compliance hot topics will be addressed.

1:45-2:15pm

“2019 Fixed Income: Products, Services & Market”

By Michelle Rogers, Director of Fixed Income Trading, Kovack Securities, Inc.

This presentation will provide a recap from the past year; including product updates and the shift in the yield curve. It will also provide a snapshot on the current Fixed Income market environment with focus on ideas for finding value.

2:15-2:45pm

“Next Gen Income Solutions: Income and Growth with Daily Transparency, Price Stability and Enhanced Liquidity in a Public Wrapper”

By Tim McCabe, Senior Vice President, Bluerock Capital Markets

The entire investing world is starving for stable high-income solutions, especially those with tax efficiency and insulated from market volatility. Join Bluerock’s professionals for an information-packed deep dive describing two institutional real estate solutions addressing these critical Advisor and Investor concerns.

2:45-3:15pm

“Preparing for the Bear”

By Eugene Choi, Regional Director, Dunham & Associates

In our experience, financial advisors grow their practice during bear markets, not bull ones. This informative session will provide you with the necessary tools to help potentially grow your AUM and help prepare your clients for the next bear market.

3:15-3:45pm

“Gladstone Land Series B 6% Preferred”

By J.T. Carey, Regional Director, Evolv Capital / Gladstone Land

Gladstone Farms is a publicly traded REIT on the Nasdaq (LAND) that focuses on acquiring farmland that grows berries, nuts and produce through a sale-lease back structure to create durable income for investors. Gladstone Land was created by David Gladstone in the 90s and has nearly 100 farms in the portfolio today with a value of almost 700mm.

3:45-4:15pm

“Breaking Tradition: Finding Returns Outside of Core Fixed Income”

By Jeff Stirling, Sr. National Sales, Internal Advisory Consultant, FS Investments

In today’s low yield environment, investors must look beyond traditional fixed income investments in order to access the returns they need. There is a \$6.5 trillion market opportunity that exists outside the scope of traditional fixed income that carries the potential to generate a return premium and help manage interest rate risk and portfolio volatility. Join us to learn how a broad, multi-sector approach beyond core fixed income investments may help generate an attractive level of income and diversity a traditional fixed income portfolio.

SESSIONS DO NOT START IN THIS ROOM UNTIL 1:45PM

1:45-2:15pm

“The Golden Hour”*By Caroline Carley, VP Senior Advisor Consultant, Invesco*

Defensive Business Growth - Invesco Consulting did a study with 405 advisors who had lost a key client in the last 36 months and 180 high net worth clients that had left their financial advisor in the last twelve months – we found a trend in who was leaving, where they were going and ultimately how to stop it.

2:15-2:45pm

“Recession Resistant Real Estate – In Good and Bad Times”*By Tim Cronic, FVP, Southeast Markets, SmartStop Asset Management*

Self storage is a bigger industry than you might think. In the United States, the self-storage industry generated more than \$24 billion in annual U.S. revenues (2014) and has been the fastest growing segment of the commercial real estate industry over the last 40 years. The retirement of the “baby boomer” generation and a fragmented market are just a few of the factors that will provide further economic growth in this industry. We believe that SST4 can provide stability, diversification, potential growth and income over the long term.

2:45-3:15pm

“Griffin Institutional Access® Real Estate Fund: Invest Like an Institution – Your Public and Private Real Estate Investment Solution”*By Kyle Wasserman, Associate Vice President, Griffin Capital Securities*

Retail investors can now reap the benefits of private real estate investments, previously restricted to professional investors and the ultra-wealthy. This presentation introduces the Griffin Institutional Access Real Estate Fund, including its objectives, investment strategies and features. It also looks at how private real estate has historically outperformed stocks and bonds and examines an optimal allocation of public and private real estate to achieve superior results.

3:15-3:45pm

“Pre-Rollover Solution – Discover the Two Best Kept Secrets”*By Steve Allbritton, Regional Vice President, Howard Capital*

Are you looking for a way to grow your business? Join us as we share two strategies that will help you do just that. The 401(k) Optimizer® provides automated marketing and customized branding, helping you build a pipeline of new prospects. With those new clients, create a fee-based business utilizing the self-directed brokerage account (SDBA) window with Howard Capital Management (HCM). Your clients will receive active money management and downside protection while you get compensated on the account.

3:45-4:15pm

“Commercial Real Estate Investment Opportunities”*By Dave Bulger, Senior Vice President, Cantor Fitzgerald*

An update and overview of Cantor Fitzgerald’s Rodin Global Property Trust.

12:45pm-4:15pm

Advisory Breakout Sessions

Caribbean Ballroom

12:45-1:15pm

“Leveraging Envestnet’s Technology and Resources to Accelerate and Scale Your Advisory Practice”

By Ryan Darr, VP, Regional Director, Envestnet

We will discuss how Kovack Advisors can manager their advisory practice more effectively and efficiently through utilization of Envestnet’s Capabilities, specifically diving into; Research, Proposal Generation and Current Asset Analysis, Portfolio Modeling, Client On-Demand Reporting and Practice Tools.

1:15-1:45pm

“Small Cap Investing Late in the Economic Cycle”

By Mark Van Kouteren, SVP, Client Advisor to RIAs, Trust & Family Offices, Neuberger Berman

Applying tactical tilts to portfolio allocation can help capture more of the return during the late cycle of an economic expansion. The tail wind created by the Fed’s most recent move has a more dramatic effect on smaller, growth-oriented companies. But keep in mind that quality of the firm’s balance sheet should always weigh in the decision as that will also help control downside participation as the cycle ends. Active management is best utilized in an area like small caps where security selection can make a dramatic difference.

1:45-2:15pm

“Munis for the Long Run”

By Michael D. McNiven, Senior Vice President – Regional Director of Investments, Cumberland Advisors

Many investors have heard the investment story that stocks are the best bet for investing over time. But, many investors have not heard the investment story for why a high-quality total return or income-oriented municipal bond portfolio is the wealth preservation instrument of choice for those with a capital preservation mindset. We will explore the rationale for municipal bonds in separately managed accounts as the foundation of good wealth preservation and allocation.

2:15-2:45pm

“Get Paid for Giving Your Clients the Help & Advice They Need on Their 401k Workplace Retirement Account”

By Sylvain Templeman, National Sales Manager, The Pacific Financial Group

Restore confidence and improve investor outcomes for your clients that participate in 401(k), 403(b)s and 457 accounts without be the rep of record on the plan. TPFPG created the industry’s first participant-level solution that gives advisors the ability to help plan participants with their largest financial asset in planning for retirement years before the rollover. Help clients save more, behave better and achieve goals with TPFPG’s Pre-Retirement Solutions Program.

2:45-3:15pm

“Preparing Clients for the Next Crisis: From Nail Polish to Put Options to Comfort Zones”

By Ronald E. Madey, Chief Investment Officer, Wealthcare Capital Management

We will review more than a half dozen strategies offered to advisors and their clients as a way to "crisis proof" their portfolios. What works? What doesn't? What solutions can you bring to your clients with confidence?

3:15-3:45pm

“How to Attract and Serve High-Net-Worth Investors”

By Patrick Ferrer, SE Regional Vice President, FTJ FundChoice

The benefit of attracting and serving high-net-worth (HNW) investors is clear. More available assets translate into higher revenue potential for your firm. What isn't clear is how can you attract and serve HNW investors more easily? Join us as we discuss practical insights – backed by data – to help advisors align their practices to better resonate with HNW clients.

3:45-4:15pm

“A Tactical Fixed Income Strategy for Recession or Recovery - Are You Prepared?”

By Isaac Braley, President, BTS Asset Management

Predicting which way markets and interest rates will go is a difficult task. So is estimating when the next correction will occur. Utilizing a time-tested risk management strategy that seeks to take the guess work out of the equation, we believe is a better solution. Learn how to potentially enhance your fixed income portfolio by removing the negative cycle of market emotions. Explore how different sectors of the bond space have reacted in the past during various market cycles and how BTS seeks to Find Opportunity regardless of the direction of interest rates.

6:00pm-7:00pm

Cocktail Reception*

Ocean View Terrace (outside)

7:00pm-10:00pm

Buffet Dinner

Ocean Ballroom

**Please note that the reception is outdoors. Attire is resort casual, no suits or ties needed.*

Friday, October 4th

7:00am-12:00pm	Conference Registration Desk Open	Caribbean Registration Desk
7:00am-8:00am	Hot Breakfast Buffet	Grand Salons E-K
8:00am-8:15am	Welcome	Caribbean Ballroom
8:15am-9:15am	<i>“Underserved, High Value Markets: Women and Next Gen”</i> <i>By Jackie Wilke, VP Advisory Practices Consultant, First Trust Portfolios, LP</i>	Caribbean Ballroom
	<p>The growing influence of female and next generation investors continues to disrupt the financial services industry in the form of asset attrition risk. Future-focused advisors and teams are building practices aimed at acquiring new clients within these segments, while solidifying multi-generational relationships with their current clients’ spouses and families. This presentation gives you their processes and strategies to solidify your value and build your client base for generations to come.</p>	
9:30am-10:55am	<i>Sponsor Sessions</i>	Caribbean Ballroom
9:30-9:55am	<i>“Full Service Rates, Select Service Margins”</i> <i>By Geoff Brown, Regional Vice President, Moody National Companies</i>	
	<p>Come learn about Moody National REIT II, Inc. as it seeks to expand its \$540M portfolio by continuing to deploy capital into Marriott, Hilton and Hyatt Select-Service Hotels in major metropolitan markets. Furthermore, in response to current market conditions and to further enhance the offering, Moody National REIT II recently announced a significant change to its fee structure. Going forward the Moody Advisor (not the REIT) will pay all selling commissions, dealer manager fees, and stockholder servicing fees.</p>	
10:00-10:25am	<i>“Dare to Compare”</i> <i>By Amy Kelly, COO, Sales, S2K Financial</i>	
	<p>Aligning the interests of you, your clients, and your sponsors is a critical task that is becoming increasingly vital in today’s market. This engaging session will outline some simple questions that can serve as a tool when evaluating the interests, incentives, and transparency of any sponsor.</p>	
10:30-10:55am	<i>“Preferred By Contract, Unique By Design”</i> <i>By Rand Pointer, Regional Vice President, Preferred Apartment Communities</i>	
	<p>Come learn about a new product structure/investment option that may offer portfolio stability to your clients through a contract-based dividend income stream, derived from a transparent public company capital structure, with simple trading and transaction methodology.</p>	
11:00am-11:30am	Break (Hotel Check-out)	
11:30am-12:45pm	Annual Compliance Meeting-MANDATORY <i>By Melinda Wolfe, Chief Compliance Officer</i>	Caribbean Ballroom
12:45pm	Closing Remarks <i>By Brian Kovack, President</i>	Caribbean Ballroom