THE ROUNDTABLE SERIES
BEACON STRATEGIES, LLC

Investment Products, Retirement & Fiduciary Roundtable

SEPTEMBER 20-22, 2023 | DENVER, CO

Thank you for a terrific Roundtable!

TOP NINE TAKEAWAYS

1. **Direct Indexing:**
   may be the current hot theme of Investing conferences, its benefits may be more discrete and its usefulness may not be as universal as some industry observers say.

2. **Rep as Portfolio Manager:**
   the product that every home office loves to hate, continues to play a meaningful role in advisor's practices. This despite the efforts to transition advisors to model portfolios and other types of products.

3. **Investing in Retirement:**
   There remains significant uncertainty regarding the pathway forward for advisors to invest client's assets in retirement. Managing the various risks, including longevity, market, tax, Long Term Care, and other risks remains a conundrum for the industry

4. **Alternative Investments:**
   Demands seems to be driven by clients and advisors, however home offices continue to struggle to support the broad array of these types of investments. Specific challenges include due diligence oversight, operational support and reporting for these investments.

5. **Investment Expense Oversight:**
   Requires a fair amount of attention from the home office. This includes mutual fund share class, managed account expenses, overall wrap fees and other components of expenses borne by advisors and clients.

6. **Due Diligence:**
   Support continues to take up resources and time of the home office. Firms are coping by working to partner with third parties to provide supplemental due diligence on managed account products and, more specifically, Alternative investments.

7. **Managed Account Workflow:**
   Still seeks the Holy Grail of a unified workflow. Disparate workflows and manual interventions continue to zap productivity and elongate the investing process.

8. **Client Reporting:**
   Alternatives creates a challenge for broker/dealer home offices, who have responded by being very prescriptive as to the types of reports an advisor can share with the end client.

9. **Behavioral Changes:**
   Processes and technology can be enhanced and reworked however behavioral changes are required to maximize adoption of tools and expansion of investment services and enhanced communication with the end investor customer.

Gratitude to Our Partners

asset map

ENVESTNET

Fidelity INVESTMENTS

SS&C

Appreciation for Our Attendees

Joe Black
LION STREET FINANCIAL

Judson Forner
VALMARK FINANCIAL GROUP®

Kristin Bonno
LINCOLN INVESTMENT

JoAnne McKelvey
LINCOLN INVESTMENT

Oliver Gooden
CG Advisor Network

Kurosh Golchubian
NEWBRIDGE SECURITIES CORPORATION

Liz Legacy
CUSO FINANCIAL / SORRENTO PACIFIC Member FINRA/SIPC
Atria Companies

Steve Mills
PRIVATE CLIENT SERVICES.

Jason Nicastro
LPL Financial

Susie Peck
Allstate

Dean Rager
Geneos WEALTH MANAGEMENT, INC.

Ben Tiller
THE LEADERS GROUP

Appreciation for Our Attendees

Rich Whalen
Equity Services Incorporated

Zach Christopher
HIGHTOWER

Jason Inglis
SOWELL MANAGEMENT

Thank You to Our Partners

Eric Hewitt
SS&C

Brian Justice
SS&C

Matthew Tripp
ENVESTNET

Mike Ferraro
ENVESTNET

Mike Hemmert
asset+map

Chris Lebo
Fidelity INVESTMENTS

2023 Roundtable Schedule

SUMMARY

Our Roundtable Series is dedicated to enabling communication and idea sharing among wealth firm peer groups. These roundtables are invitation only events. Our approach, which relies on case studies, breakout sessions, community questions, and lots of open and honest attendee conversation on current topics, and is designed to be an interactive experience.

One past attendee told us that

> *Information provided was extremely helpful and offered perspectives that will help influence my strategic development and decision-making."*

MARKETING & RECRUITING - THE NEW AGE OF MARKETING

DATES: OCTOBER 11-13, 2023
LOCATION: ST. AUGUSTINE, FL
CASA MONICA RESORT & SPA

THE ROUNDTABLE

DATES: NOVEMBER 1-3, 2023
LOCATION: BERMUDA
THE HAMILTON PRINCESS & BEACH CLUB

2024 Roundtable Schedule

The Compliance Roundtable

Audience: Wealth Firm Compliance Professionals
Past Attendees: CCOs, Compliance Leaders
Date: February 21st -23rd, 2024
Location: San Diego, CA

The Operational Excellence Roundtable

Audience: Wealth Firm Operations Professionals
Past Attendees: COOs, Firm Operations Leaders
Date: March 20th – 22nd , 2024
Location: Austin, Texas

The Innovators

Audience: Wealth Firm Practice Management
& Advisor Technology Professionals
Past Attendees: COOs, CIOs, CTOs, Platform Owners
Date: April 17th – 19th, 2024
Location: Charlotte, NC

Investment Products, Platform, & Fiduciary

Audience: Wealth Firm Investment Management and Platform Professionals
Past Attendees: COOs, CIOs, CCOs, and Investment Leadership
Date: May 15th – 17th, 2024
Location: Charleston, SC

The Age of Marketing: Supporting Communications & Business Growth

Audience: Wealth Firm Marketing & Recruiting Professionals
Past Attendees: COOs, CMOs, and Marketing Leadership
Date: October 16th – 18th, 2024
Location: Mountain Brook, AL

The Roundtable

Audience: Wealth Firm C-Suite
Past Attendees: C-Suite, Presidents and Senior Positioned Leadership
Date: November 6th – 8th, 2024
Location: Santa Barbara, CA

The Roundtable for RIAs

Audience: RIA Wealth Firm C-Suite
Attendees: Owners and Leadership of RIAs
Date: December 4th – 6th, 2024
Location: Ft. Lauderdale, FL

NOTE: Dates and locations may change, so please check our website for more updates and information on upcoming Roundtable onsite events.

www.beaconstrategiesllc.com/beacon-roundtables

THE ROUNDTABLE SERIES

BEACON STRATEGIES, LLC

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