



## Chicago Members Meeting Agenda

**Location:**

Hard Rock Hotel Chicago  
230 North Michigan Avenue  
Chicago, IL 60601

**Meeting Hosts:**

Clare Retrum, AUG Secretary

**AUG Facilitators:**

Jennifer Litchfield, Executive Director  
(757) 373 - 2454

**4<sup>th</sup> FLOOR: ALEMBIC**

Thursday October 19, 2017

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<b>9:30 am – 10:00 am</b>	<b>Registration, Coffee &amp; Visit with Sponsors in <i>The Exchange</i></b>
<b>10:00 am – 10:15 am</b>	<b>Welcome &amp; Introductions – Alembic</b>
<b>10:15 am – 10:45 am</b>	<b>Best New Solutions - General Session in Alembic</b>
<b>10:45 am – 12:00 pm</b>	<b>Breakout Roundtable Session #1 – (Assigned Break-Outs Rooms)</b> Join your peers for valuable product specific discussions (product specific or general topics).
<b>12:00 pm – 1:00 pm</b>	<b>Lunch in Hammer - Sponsor Exhibit Viewing in <i>The Exchange</i></b>
<b>1:00 pm – 1:30 pm</b>	<b>Compliance – Sponsored by Compass Compliance</b> <b>General Session in Alembic</b> Recent SEC exams formats and how a firm’s preparation and testing may influence the format. 
<b>1:30 pm – 2:45 pm</b>	<b>Breakout Roundtable Session #2 – (Assigned Break-Outs Rooms)</b> Join your peers for valuable firm related specific discussions (Compliance, Firm Management, Outsourcing or Trading/Reporting).
<b>2:45 pm – 3:00 pm</b>	<b>Break in <i>The Exchange</i> with Sponsor Exhibitors</b>
<b>3:00 pm – 3:45 pm</b>	<b>Getting Into the Heads of Consumers to Grow Your Bottom Line in Alembic</b> Retention is a significant hurdle to overcome in wealth management because it is built on one-to-one relationships. When we pass on that wealth, keeping the client is getting harder. They have a host of online options to guide them, but technology is only a small part of the reason. How we communicate, what we stand for, and why it matters goes well beyond the mathematics of investing and speaks to the human behind the account. And it can make or break a company.
<b>3:45 pm – 4:00 pm</b>	<b>AUG Update and Meeting Wrap-Up – Alembic</b>
<b>4:00 pm – 6:00 pm</b>	<b>Networking Reception</b>

**2017 PREMIER SPONSORS**



# the exchange

\*\*\* Wireless Network: Hard Rock Hotel – PW: none needed \*\*\*

## GUEST SPEAKER

**Gavin Johnson**, Gavin is Chief Strategy Officer for Bradley & Montgomery, building on the perspective that creativity grounded in a cultural understanding of a business problem leads to greater relevance and deeper consumer connections for a brand. Gavin's unique perspective helps clients and creative teams to turn traditional ideas on their head and really think critically about what would impact the business. With over 19 years advertising, brand consulting, strategic planning, and consumer research experience, his expertise lies in uncovering insights for strategic cross-channel marketing that tap into the deepest needs, desires, and subconscious triggers of a client's audience. He has worked closely with clients and partner agencies, devising profitable and award-winning strategies for a broad range of clients including LPL Financial, Chase, Wells Fargo, Edward Jones, American Century, H&R Block, and Regions Bank to name a few.

