

UNITED  
**ADVISOR**  
GROUP

**2024 UNITED ADVISOR GROUP FORUM**

**Clearwater Beach, FL  
January 17 - 19**

## Advisor Forum Agenda

### January 17, 2024

1:00 - 3:30	Check in	Hospitality Desk - 3rd Floor
3:30 - 4:00	Welcome, Update, Vision of RIA	Heron Room - 3 <sup>rd</sup> Floor
4:00 - 5:00	UAG Compliance update	Heron Room
5:00 - 6:00	On your own	
6:00 - 7:00	Reception - Meet the partners (guests welcome)	Heron Room
7:00	Dinner on your own or with sponsors	Optional for Sponsors

### January 18, 2024

8:00 - 9:00	+++ OPTIONAL+++ Early Bird - Best Practices (Client)	Heron Room
9:00 - 9:30	Working Breakfast - UAG Discussion & Best Practices	Heron Room
9:30 - 10:15	Practice Management - SEI	Heron Room
10:15 - 10:30	Break	
10:30 - 11:15	Quantum Overview	Heron Room
11:15 - 12:00	Equity Panel	Heron Room
12:00 - 12:45	Working Lunch - DPL	Heron Room
12:45 - 1:00	Wisdom Tree - Small Cap Opportunities	Heron Room
1:00 - 1:45	Aptus Presentation	Heron Room
1:45 - 2:00	Break	
2:00 - 3:00	Tom Haines - Capital Market Presentation	Heron Room
3:00 - 3:30	Photo Shoot - partners & advisors	Weather Dependent
3:30 - 4:30	Partners Meeting	Heron Room
3:30/4:30 - 7:00	On your Own	
7:00 - 10:00	United Advisor Group Dinner (guests welcome)	Marina Cantina

### January 19, 2024

8:00 - 9:00	+++ OPTIONAL +++ Early Bird - Best Practices (Operations)	Heron Room
9:00 - 9:45	Working Breakfast - Group Retirement Plan Presentation	Heron Room
9:45 - 10:00	Self Directed Brokerage Accounts - Absolute Capital	Heron Room
10:00 - 10:45	Fixed Income Panel	Heron Room
10:45 - 11:00	Closing Remarks	Heron Room

# 2024 UNITED ADVISOR GROUP FORUM

## Attendees



**Aaron Grahlman**  
Strategic Financial  
Springfield, MO



**Aaron Justice**  
Ascension Financial Partners  
Nashville, TN



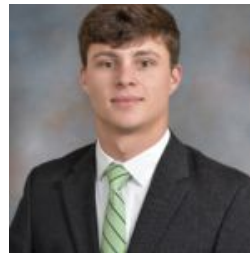
**Aaron Sloan**  
Strategic Financial  
Springfield, MO



**Brian Yeakley**  
Miami Valley Financial Partners  
Dayton, OH



**Chuck Fitzpartick**  
Benefit Financial  
Myrtle Beach, SC



**Cole McGuire**  
Miami Valley Financial Partners  
Dayton, OH



**Craig Wright**  
Strategic Financial  
Springfield, MO



**Drew Frevert**  
Ascension Financial Partners  
Nashville, TN



**Frank Salas**  
Legacy Wealth Management  
Barrigada, Guam



**Gary L Williams**  
Frontline Wealthcare  
Union, KY



**Greg Orcutt**  
Orcutt Financial  
Milford, OH



**Howard Rightsell**  
Rightsell & Company  
Bloomington, IN

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## Attendees



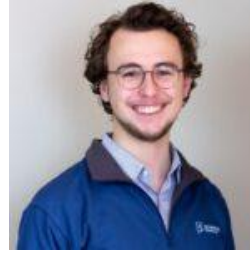
**Jeremy Ftacek**  
Ftacek Financial  
Nashville, TN



**Jesse Seidel**  
Vertical Wealth Planning  
Denver, CO



**Kevin Komar**  
ko-advisors  
Independence, OH



**Michael Deschenes**  
Strategic Financial  
Springfield, MO



**RJ Beucler**  
RJ Beucler Financial  
Liberty Township, OH



**Sheridan Murphy**  
Murphy Financial Group  
Cincinnati, OH



**Stacy Davis**  
Strategic Financial  
Springfield, MO



**Steven Loveless**  
IronSide Strategies  
Frankfort, IN



**Vic LeDoux**  
Ascension Financial Partners  
Nashville, TN



**Ray Gettins - Director**  
United Advisor Group  
Cincinnati, OH

# 2024 UNITED ADVISOR GROUP FORUM

## Keynote



Quantum provides financial advisory firms with a comprehensive approach to growing their business by combining client-centric insurance solutions with strategic marketing and operations support, helping advisors realize their vision and achieve their professional goals.

Partnering with Quantum gives you access to exclusive product designs, patented features and a broad range of industry-leading strategies from companies with household names, giving you, as an independent advisor, the tools you need to succeed.

The future of your company hinges on the ability to demonstrate and increase the value of what you have created. We examine every aspect of your business growth and marketing strategy to help ensure effectiveness and consistency of your unique message. This means that every plan we create is customized to your firm and your ideal client. We can also help you support your advisor network and increase your organic growth by attracting and retaining new clients or additional advisors for your team through our marketing and client prospecting. This integrated approach supports your continued growth in revenue without a requirement to add staff or additional vendor costs.



Andy Moore



Lita Patrick



AJ Wolfe

Andy Moore, CFP® is Quantum's Vice President of Advanced Planning and Portfolio Solutions. As a former advisor and portfolio manager for one of the nation's largest wirehouses, Andy understands what it is like to sit across from a client during good times, but more importantly, during bad times when markets are down. Andy is deeply knowledgeable about the financial markets and how advisors should be designing portfolios to lower risk and hedge against potential inflation and interest rate increases, as well as what he sees as the next potential "dual bear market". "As an advisor, if you've been enjoying the last 12+ years of bull markets, you need to be prepared—and prepare your clients—for what may be coming next," Andy says. "RIAs are increasingly using insurance as another asset class to better compete and protect client's assets. My team is able to help identify pain points in the portfolio and financial plan and provide possible solutions to explore before engaging clients. Please give us a call."

As VP of Marketing, Lita Patrick leads the creative marketing team, and she drives and manages the work we do to build our advisor partners' brands. She enjoys building long-lasting relationships with our advisors, explaining marketing strategies, and helping advisors grow their practices using the latest techniques and innovative best practices. Lita also manages the Quantum brand and messaging, and seeks to set new goals in achieving the highest level of excellence we can deliver.

AJ Wolfe has 14 years of experience in the financial services industry, most of it in the annuity sector. Born and raised in Iowa, both of his parents were successful entrepreneurs. AJ double-majored in marketing and entrepreneurial management at the University of Iowa before joining Transamerica in Denver where he spent five years, ultimately being promoted to senior internal wholesaler over one of the firm's top territories. He was recruited by Annexus as national sales director and spent four years there before making the transition to Quantum. AJ says, "I've watched through the years as Quantum has progressed on the national level. It's exciting to be here with the opportunity to provide advisors with a full arsenal of strategies, with multiple products from dozens of carriers."

# 2024 UNITED ADVISOR GROUP FORUM

## Presenter

### Aptus Capital Advisors

Aptus provides flat-fee financial services focused solely on what is best for you. We don't sell anything and we don't manage your investments. We have a great team of highly-qualified financial planners who all follow the same processes and philosophies. Our planners collaborate closely outside of meetings, so you benefit from the team's collective expertise and wisdom.



**David Wagner**



**James Yahoudy**

David Wagner is a member of the Aptus Investment Committee and is responsible for equity research, selection, the evaluation of macro-level trends, and advising about the current market environment. David is a CFA Charterholder and a member of the CFA Society of Cincinnati. He earned his BS in Accounting and BBA in Finance from the University of Kentucky. He also earned his MBA specializing in Finance from Xavier University in Cincinnati, OH.

James Yahoudy has worked as an advisor and worked closely with advisors since 2010. He has been affiliated with an independent broker dealer, RIA custodian, and now Aptus giving him a diverse look into the different advisor business models and channels. Since 2014 he has worked with RIAs in a variety of practice management areas, including growth initiatives, technology, and assisting breakaway brokers in the process of going independent. James is a CERTIFIED FINANCIAL PLANNER and graduated from the University of North Texas with a bachelor's degree in finance.

### Cohen & Steers

Dedicated to the pursuit of excellence in everything we do, Cohen & Steers is a leading global investment manager specializing in real assets and alternative income, focused on delivering attractive returns, income and Diversification. Our teams are relentless in their drive to provide superior investment solutions and passionate about constantly innovating to meet the needs of clients today and anticipate their challenges of tomorrow.



**Brian Carlisle**

Brian Carlisle, Senior Vice President, is a Wealth Management Consultant covering the Great Lakes region. He has 21 years of experience. Prior to joining the firm in 2022, Mr. Carlisle was an Advisor Consultant with Hartford Funds, covering mutual funds and multi-factor and active ETFs. Previously, he held sales roles at Guggenheim Investments and Van Kampen Investments. Mr. Carlisle has a BA from The College of Wooster and is based in Bexley Ohio.

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## Presenter

### DPL

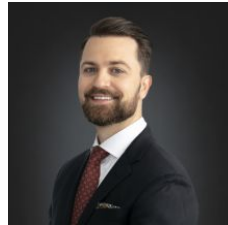
Driving change in the industry with Commission-Free products and education for fiduciary advisors. Whether you're breaking away or recruiting breakaways in transition, DPL's Breakaway Accelerator Program is a turnkey solution to proactively transition annuity assets to a fee-based advisory model.



John Watson brings 25+ years of industry experience and annuity wholesaling to DPL. The last 18 years, John has used a holistic approach to planning with managed assets, annuities, income and protection strategies at Fidelity Investments. He is passionate about better client outcomes and efficient solutions.

### GQG Partners

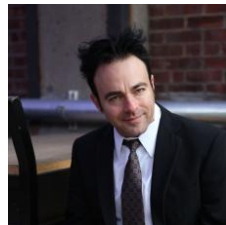
GQG is a boutique investment management firm that manages global and emerging market equity portfolios for institutions, advisors and individuals worldwide. With a focus on client alignment, adaptability, and diverse perspectives, we strive to stay attuned to our clients' needs and continuously seek out new insights to inform our decision-making.



Justin Beltran is Director of Business Development for GQG Partners. He is responsible for the firm's sales and distribution of products offered through financial intermediaries within the Mid-Atlantic United States. Mr. Beltran has over 10 years of industry experience, including positions at Raymond James Financial and Carillon Tower Advisors. Mr. Beltran received both his MA in Public Administration and BS in International Affairs & Economics from Florida State University.

### Ironclad Pension Management

Ironclad Pension Plans designs and administers defined benefit plans and is there to guide plan sponsors from the retirement plan inception until plan termination. Ironclad Pension Plans works in conjunction with DC Consultants/George Yamada.



Dan Shweiger is an Enrolled Actuary, member of the American Academy of Actuaries (AAA), and member of the American Society of Pension Professionals and Actuaries (ASPPA). He has been a retirement actuary since 2014, and has been administering defined benefit plans and cash balance plans for over 20 years. Under Ironclad Pension Plans, Dan has certified over 1,500 forms as an actuary, all of which have been accepted by the IRS, PBGC, and other governmental agencies.

# 2024 UNITED ADVISOR GROUP FORUM

## Presenter

### Jensen Investment Management

Jensen Investment Management is a high-conviction, active equity manager with an unwavering commitment to quality. The firm focuses on companies derived from a select universe of businesses that have produced a long-term record of persistently high returns on shareholder equity.



Richard Clark, Director - Business Development, joined Jensen Investment Management in 2001. Richard is responsible for sales and client service for adviser and intermediary channels. He began his career in the investment industry with Morgan Stanley and also worked with Merrill Lynch, spending three years as a financial adviser. Before entering the investment industry, Richard was a professional counselor. He was awarded the title of Youth Worker of the Year in the state of Texas for his work with at-risk teens. He earned a degree in rehabilitation studies with an emphasis in psychology from the University of North Texas and an MHA from the University of Mary Hardin-Baylor.

### SEI

We help financial advisors, and their clients achieve and sustain financial freedom together. We work with advisors to create a personalized and connected client experience. With capabilities across investment processing, operations, and asset management, we work with corporations, financial institutions and professionals, and ultra-high-net-worth families to solve problems, manage change, and help protect assets.



**Eric Dunn**



**Michael Harris**

Eric Dunn is a Business Development Director for the RIA Team and is responsible for business development with well-established Registered Investment Advisors across the southeastern region of the United States. Prior to his role on the RIA team, Eric served as a Business Development Consultant for SEI, assisting broker dealer affiliated advisors and RIAs throughout the southeastern territory with their investment, technology and custodial needs.

Michael J. Harris, J.D., CFP® is a Business Development Manager for the RIA Team and is responsible for relationship management, practice management and business planning with well-established Registered Investment Advisors across the eastern portion of the United States. Prior to his role on the RIA team, Michael served as a Business Development Manager for the Central Region of SEI, assisting broker dealer affiliated advisors and RIAs throughout Indiana, Kentucky, Michigan and Ohio with their investment, technology and custodial needs. Michael has been with SEI since 2013. Prior to joining SEI, Michael began his career as a financial advisor for AXA Advisors, LLC. Michael is a licensed attorney in the state of Pennsylvania.



# 2024 UNITED ADVISOR GROUP FORUM

## Presenter

### **Spectrum Employee Benefits**

Spectrum Employee, Inc. is a Breckenridge, MN based Third Party Administrator of employer sponsored retirement plans. Established in 2005, Spectrum now provides plan administrative and/or record-keeping solutions to over 1000 clients nationwide. These plans have approximately \$1 billion in plan assets and 30,000 participants.



Jennifer Pulver, managing partner with Spectrum Employee Benefits, Inc. With 25 years in the retirement industry, she strives for the continued growth of Spectrum. While overseeing all aspects of the company, she focuses on the relationships with advisors and their clients assisting with plan design and compliance.

### **T Rowe Price**

By remaining true to our guiding principles and strategic investing approach, we believe we can deliver the consistent, competitive performance you need to achieve your most important financial goals. Since 1937, strategic investing has guided how we uncover opportunities for our clients. See how our investment professionals go beyond the numbers and into the field to get the full story for your investments.



Jason Abosch, CPA, CFP® is a lead sales consultant at T Rowe Price. His strong communications skills, along with his deep financial experience, have helped him provide value to his clients as a Lead Sales Consultant in the U.S. Intermediaries—Integrated Sales Group at T. Rowe Price, where he covers the southwest region. Jason's mission is to help a diverse group of financial professionals elevate their businesses to higher levels. He is focused on helping financial professionals add value to their clients' investment strategies, as well as remain informed about trends in the financial marketplace.

# 2024 UNITED ADVISOR GROUP FORUM

## Presenter

### Wisdom Tree

WisdomTree Advisor Solutions has pioneered what we believe to be better investments and a better investor experience. Today we're applying that same pioneering spirit to solving advisor challenges— helping you to engage more effectively with clients and prospects, to enhance your team's performance and your leadership skills, to modernize your portfolios to meet the evolving needs of today's investors and retirees, and more.



In his role as a Director, Nick Battalini goal is to provide sensible solutions to wirehouse and independent advisors in the Midwest. Nick focuses on a long-term consultative approach to create lasting business partnerships. Here at WisdomTree, we do things differently, we reach beyond beta to find alpha. In addition, he consults on optimizing portfolio construction within your model(s), leveraging LinkedIn for your business, and collaborating on client meetings and events to bring our expertise straight to the prospective client(s). If you value a true customized business partnership over an uninspired pitch on the “fund of the month”, he would appreciate the opportunity to earn your trust.

Brian Manby, CFA joined WisdomTree in October 2018 as an Investment Strategy Analyst. He is responsible for assisting in the creation and analysis of WisdomTree's model portfolios, as well as helping support the firm's research efforts. Prior to joining WisdomTree, he worked for FactSet Research Systems, Inc. as a Senior Consultant, where he assisted clients in the creation, maintenance and support of FactSet products in the investment management workflow. Brian received a B.A. as a dual major in Economics and Political Science from the University of Connecticut in 2016. He is a holder of the Chartered Financial Analyst designation.

In his role, Jeff Weniger, CFA (Head of Equity Strategy) helps to formulate the firm's stock market outlook by assessing macro and fundamental trends. Prior to joining WisdomTree, he was Director, Senior Strategist at BMO, where he worked in the office of the CIO from 2006 to 2017. He served on the firm's Asset Allocation Committee and co-managed the firm's ETF model portfolios for both the U.S. and Canada. In 2013, at the age of 32, Jeff was chosen as the youngest member of BMO's Global Investment Forum, which collected the firm's top global strategists to formulate the firm's official long-term outlook for investment trends and markets. Jeff has a B.S. in Finance from the University of Florida and an MBA from Notre Dame. He has been a CFA charterholder and a member of the CFA Society of Chicago since 2006. He has appeared in various financial publications such as Barron's and the Wall Street Journal and makes regular appearances on Canada's Business News Network (BNN) and Wharton Business Radio.

# 2024 UNITED ADVISOR GROUP FORUM

## Networking

### Absolute Capital

Now in our third decade, Absolute Capital Management has been providing turnkey money management programs to our clients since 2002. During that time, we have seen markets and economies ebb and flow. These fluctuations brought investors both opportunities and challenges. Such conditions are precisely why we founded Absolute Capital — to navigate the dynamic and demanding investment landscape with strategies to help investors reach their unique goals. While many things have changed over time, one thing that remains the same is our commitment to provide you with actively managed strategies positioned for current market conditions.

With Absolute Capital's premiere Navigator Platform, advisors have access to over 1000 different model manager strategies in order to help their clients' manage their 401(k), 403(b), 457, IRA and non-qualified accounts while they are still working or into retirement. Strategies can be blended together to help achieve a client's specific risk/reward needs.



Alex Barned, National Sales Director, heads the national sales channel, external wholesaling efforts and oversees the internal sales desk. In his twenty years of financial services experience, Alex has held executive level roles with firms including UBS and Allianz with responsibility for marketing, sales processes and strategy. He is passionate about working with advisors and sharing his experience and insight to help grow their businesses. Alex holds a B.A. and M.A. from the George Washington University in Washington, DC. In his spare time, Alex enjoys open water swimming, golf and tennis.

### Midland National

Are you looking for a smart and secure way to safeguard your financial future? Constance, our Contingent Deferred Annuity (CDA) is designed with your long-term financial well-being in mind. Lifetime Guaranteed insurance rider on the brokerage account that you or a TAMP manages



Len Durso is a seasoned professional with over two decades of experience in the dynamic and ever-evolving field of financial services. With a career marked by resilience, strategic thinking, and a commitment to excellence, Len has established himself as a trusted expert in the industry. Over the years, Len has navigated the complexities of financial markets, honing his skills in risk management, investment analysis, and strategic planning. He has worked with renowned financial institutions, contributing his expertise in various roles, from Financial Advisor, National Sales Manager, and Regional Director. As a twenty-year veteran in financial services, Len continues to bring his wealth of experience, strategic acumen, and passion for the industry to every endeavor.

# 2024 UNITED ADVISOR GROUP FORUM

## Networking

### NexPoint

Founded in 2012 by James Dondero, NexPoint has been revolutionizing the alternative investment industry for over a decade. At its core, NexPoint utilizes innovation, expertise, alignment, and commitment to bring investment strategies to retail channels. NexPoint's competencies include real estate, capital markets, credit, and insurance and retirement solutions, among others. Our platform has reputable success in introducing cutting-edge alternative strategies — typically confined to institutional vehicles — to retail channels via independent broker-dealers and investment advisers.



Mark Pillor is a regional sales director for NexPoint's Virginia, West Virginia, and Ohio region. Before joining the firm in June 2021, he was senior vice president at Griffin Capital Securities. He has experience in public and private real estate, capital market, and debt market investment vehicles across an array of chassis and liquidity profiles and brings over a decade of experience wholesaling in the independent broker dealer, RIA, and wire house channels. Mark received a B.S. in Finance from Arizona State university; he holds FINRA Series 7, 63, life, and annuity licenses.

### Regan Capital

Regan Capital ("Regan") was founded in 2011 in Dallas, TX and specializes in residential mortgage-backed securities (RMBS). Senior portfolio managers have over 22 years' average experience investing in the asset class, and in 2020, identified an underrepresented opportunity for retail investors to participate in the advantageous characteristics that the RMBS asset class offers.



For more than 20 years, Patrick Maulden has consulted and trained some of the most successful financial professionals across the country in the application and implementation of various alternative investments, active management, factor-based solutions, and insurance related products for their clients. As a former financial advisor, he also brings a well-rounded perspective and understanding to his working relationships. Patrick resides, and works out of his home office in Columbus, Ohio. Prior to joining Regan Capital, Patrick was the managing partner of AdvisorMark Distribution and spent 5 years with Northern Trust/FlexShares as a Business Development Executive.