

YEAR ONE

SUNDAY, MARCH 4, 2018

12:00 p.m. – 5:00 p.m. (6:00 pm at the Marriott)

REGISTRATION FOR ALL PARTICIPANTS

5:00 p.m. – 5:30 p.m.

YEAR ONE ORIENTATION

*Advance sign up required.

Please join the Securities Industry Institute® Board of Trustees and all Year One participants for an orientation to kick off Institute Week.

5:30 p.m. – 6:15 p.m.

WELCOME RECEPTION

*Advance sign up required.

NETWORKING RECEPTION OPEN TO ALL PARTICIPANTS

6:15 p.m. – 8:00 p.m.

OPENING NIGHT DINNER

*Advance sign up required.

YEAR UP

Gerald Chertavian

CEO

Year Up

In the future, every young adult will be able to reach their potential. Year Up's mission is to close the Opportunity Divide by providing urban young adults with the skills, experience, and support that will empower them to reach their potential through professional careers and higher education. Year Up achieves this mission through a high support, high expectation model that combines marketable job skills, stipends, internships and college credits. Their holistic approach focuses on students' professional and personal development to place these young adults on a viable path to economic self-sufficiency.

MONDAY, MARCH 5, 2018

7:15 a.m. – 8:15 a.m.

BREAKFAST

8:45 a.m. – 10:15 a.m.

WELCOMING REMARKS

Vinny Ferrari

Chair

Securities Industry Institute® Board of Trustees

THE HOPE CIRCUIT

Martin Seligman, Ph.D.

Zellerbach Family Professor of Psychology

Founding Director, Positive Psychology Center

University of Pennsylvania

When Martin E. P. Seligman first encountered psychology in the 1960s, the field was devoted to eliminating misery: it was the science of how past trauma creates present symptoms. Today, thanks in large part to Seligman's Positive Psychology movement, it is ever more focused not on what cripples life, but on what makes life worth living—with profound consequences for our mental health.

In this session Dr. Seligman will discuss learned helplessness, positive psychology, and prospection in the light of building hope.

10:35 a.m. – 12:05 p.m.

ETHICS – WHAT DOES IT MEAN TO BE ETHICAL?

Peter Conti-Brown, Ph.D.

Assistant Professor, Department of Legal Studies and

Business Ethics

The Wharton School

Everyone agrees that people, firms, and the financial industry in general needs good ethics. But this only prompts the question. What does it mean to be ethical? In this session, Professor Peter Conti-Brown takes participants on a tour of different ways to think about ethical behavior and why the financial industry, in perception or in fact, can come up short despite the best intentions. Using examples from the financial and other industries, including those cases dominating the headlines, Conti-Brown challenges participants to think hard about the ongoing challenge not only to identify unethical behavior but the more difficult task of building ethical individuals, teams, and firms.

12:15 p.m. – 1:15 p.m.

GENERAL LUNCH

12:30 p.m. – 1:15 p.m.

LUNCH LECTURE

*Advance sign-up required.

THE MOST IMPORTANT THING

Andy Bernstein

President & CEO
Resilience Academy

What is the most important thing for living a happier life?
What about for building a higher-performing team?
Drawing on fascinating studies from Harvard and Google, this highly-popular lunch session appeals even to skeptics because it answers these questions using real data. Attendees will learn:

- What the key differentiator is between those who live happy lives and those who don't
- What the highest-performing teams in sports and business do very differently that sets them apart
- The real nature of stress, and the key to turning friction in your life into greater "flow"
- What wealth management clients and prospects today really want and a new way to deliver this at scale at your firm

Attendees will receive a free copy of Andrew Bernstein's book, *The Myth of Stress*, and a trial pass to his special training site to help you live a happier life when you return home.

IMAGES OF LEADERSHIP

Anne Greenhalgh, Ph.D.

Deputy Director
Anne & John McNulty Leadership Program
Adjunct Professor of Management
The Wharton School

Based on an innovative research study on individuals' metaphors for leadership, this lunch lecture will cover such topics as: Are leaders born or made? Do leadership traits matter? What is the impact of various leadership styles on organizational climate and performance? Do males and females see leadership in different ways? The lecture will report on the results of the instructors' exploratory study of thousands of student-generated images and essays.

1:30 p.m. – 2:30 p.m.

INVESTING LIKE NEVER BEFORE: WITH GREAT OPPORTUNITY COMES GREAT RESPONSIBILITY

Lisa Kidd Hunt

Executive Vice President of Business Initiatives
Charles Schwab

With access to the markets at an all-time high, and the cost of investing at an all-time low, it's a great time to be an investor. But with two sides to technology to navigate, our responsibility in service to investors has never been greater.

2:50 p.m. – 4:20 p.m.

CRITICAL THINKING

Roch Parayre, Ph.D.

Partner, Leadership Consulting
Heidrick & Struggles
Teaching Fellow
The Wharton School

The critical thinking sessions are engaging and interactive, focusing on common systematic biases that afflict even the best decision makers. A variety of decision-making biases will be illustrated in the context of day-to-day judgments that we make in both our professional and personal lives. Through a series of examples and case studies specific decision failures are identified and analyzed. The implications of these decision traps are examined, and recommendations on how to improve our decision skills are offered.

LEARNING OBJECTIVES:

- To illustrate and then examine subtle barriers to good decisions that trip up even the best decision makers.
- To learn how to recognize these traps and counter them to ensure good results when managing decisions on the job.
- To describe the limits and pitfalls of intuition.

TUESDAY, MARCH 6, 20187:15 a.m. – 8:15 a.m.**BREAKFAST**8:45 a.m. – 11:45 a.m.**HISTORY OF BUSINESS**

CFP ELIGIBLE / CIMA ELIGIBLE

Paul Tiffany, Ph.D.*Senior Lecturer, Haas School of Business
University of California, Berkeley*

Professor Tiffany reviews the historical evolution of the American economy, with an initial emphasis on the growth of the large firm at the end of the 19th century. That event shaped the American political economy over the next century as the “Schumpeterian” scenario of entrepreneurs and new technologies profoundly transformed America and laid the groundwork for global economic dominance. Professor Tiffany will then bring the discussion up to the present time, by first explicating how a second “Schumpeterian era of creative destruction” created the “new economy” of technology-dominated business in the latter decades of the 20th Century, and then how the opening of globalization has threatened that dominance. We will conclude by drawing comparisons and contrasts between the two periods, and from that consider such issues as “making America great again” in the profoundly changed 21st Century global economy.

LEARNING OBJECTIVES:

- To inform participants of the broader economic trends of the past and how these trends can affect the direction of the American economy in the 21st Century.
- To provide participants with an appreciation of how business development and economic progress in America are closely related to the broader political, social, and legal trends that have evolved in this nation over its historical evolution.
- To stimulate participant thinking about how the changing global political-economic environment will affect economic progress in the United States in the coming decades.

12:15 p.m. – 1:15 p.m.**GENERAL LUNCH**12:30 p.m. – 1:15 p.m.**LUNCH LECTURES**

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FINDING OUR VISION**Jim Austin***President*

JH Austin Associates, Inc.

What makes a great vision? This brief discussion will outline the inspirational and practical components that should be in a strong, compelling vision.

DIGITAL TRANSFORMATION FOR FINANCIAL SERVICES IN THE AGE OF CLOUD**Rob Krugman***Chief Digital Officer*

Broadridge Financial Solutions, Inc.

Digital transformation and cloud are words we hear every day, but what does it really mean to transform businesses for the digital age? In this session Rob will discuss and provide examples on how organizations are leveraging the cloud and digital capabilities to transform what they do and how they do it.

1:30 p.m. – 3:00 p.m.**FLEX CORE – INVESTOR ISSUES (CHOOSE ONE)****HEALTHCARE SPENDING**

CFP ELIGIBLE / CIMA ELIGIBLE

Lawton R. Burns, Ph.D.*Chair, Health Care Management Department**James Joo-Jin Kim Professor of Health Care Management**Professor of Management*

The Wharton School

This session will investigate why healthcare spending always goes up, what are the drivers, and what can be done about it.

LEARNING OBJECTIVES:

- Distinguish the supply and demand side drivers of healthcare spending
- Distinguish the price and volume drivers of healthcare spending
- Investigate whether US healthcare costs rise faster than the rest of the world

RETIREMENT CHALLENGES

CFP ELIGIBLE / CIMA ELIGIBLE

Olivia Mitchell, Ph.D.

International Foundation of Employee Benefit Plans Professor
Professor of Business Economics and Public Policy
Professor of Insurance and Risk Management
Executive Director, Pension Research Council
 The Wharton School

Ideal for: General audience, especially sales and sales managers with clients entering retirement.

Social Security and Defined Benefit plans, both of which traditionally replaced a large share of pre-retirement income for life, are in trouble. As a result, more responsibility has been shifting to individual Americans to save, plan, and invest for their own retirements. Unfortunately, just as the people who control a major amount of America's wealth are aging and their financial needs are changing, many find themselves ill-prepared to manage their money for lifetime income. Professor Mitchell will discuss these Retirement Challenges in the context of the new global demographic and innovations in capital markets.

LEARNING OBJECTIVES:

- Understand the dimensions of retirement risk management;
- Explain why corporate and public retirement systems have underperformed;
- Evaluate media reports regarding retirement system challenges;
- Discuss options.

WHEALTHCARE - WHY THE FINANCIAL SERVICES INDUSTRY IS ON THE FRONT LINES OF THE NATION'S BATTLE AGAINST ALZHEIMER'S DISEASE AND WHAT THEY NEED TO DO ABOUT IT.

Jason Karlawish, MD

Professor of Medicine, Medical Ethics & Health Policy, and Neurology
 Perelman School of Medicine

With aging, at least two events commonly occur. We're more likely to experience cognitive impairments and we accumulate more and more wealth. In time, we retire and so we need that wealth for our well-being, pleasure, and legacy. Together, these facts can distill a powerful brew of challenges for older adults, their families, medicine and the banking and financial services industries. This course will overview the common causes of cognitive complaints and cognitive impairment and the latest

initiative to improve the diagnosis and care of these disorders. Particular attention will be paid to issues at the intersections of cognitive health and wealth. These include understanding what are the causes of cognitive problems, and how they impact of financial capacity. A smart firm will strive to practice "whealthcare" (learn more at www.whealthcare.org). The lecturer will examine how a firm might achieve this through staff training, effective communication with clients and their families (especially in light of FINRA rule 4512), and deploying novel technologies to monitor and detect changes in financial capacity (as well as fraud). Attendees will leave inspired to make changes in the ways they conduct business so that they can better serve the health and wealth of the older clients and their families.

3:20 p.m. – 4:50 p.m.

CYBER SECURITY

Tom Patterson

Chief Trust Officer
 Unisys

In this lecture, noted security expert Tom Patterson leverages his decades fighting cyber criminals and foreign spies to take us on an insider's tour through today's cyber threats against the financial industry, giving a face to our enemies, and laying bare their sources and methods. In this highly interactive session, Tom tells inside stories of current real world attacks you've read about, dispels myth's and misperceptions, and encourages active discussions on how, why and what's happening, and who is really behind it all. Armed with this information, Tom then illuminates both mistakes and successes or your financial peers, and highlights the three specific keys to defense in this time of highly disruptive cyber attacks that we work in.

LEARNING OBJECTIVES:

- Understand how today's threats require new thinking to defend.
- Learn from other's mistakes, and avoid their own.
- Become security evangelists armed with persuasive stories for their own financial organizations

WEDNESDAY, MARCH 7, 20187:15 a.m. – 8:15 a.m.**BREAKFAST**8:45 a.m. – 10:15 a.m.**CONTAGIOUS****Jonah Berger***Associate Professor of Marketing*
The Wharton School

Why do certain products and ideas catch on, and how can we use these insights to make our own organizations more successful? This session will reveal the secret science behind word-of-mouth and social transmission. Discover how six simple principles drive all sorts of things to become popular. If you've ever wondered why certain stories get shared, brands get more word of mouth, or videos go viral, this session explains why, and shows how to leverage these ideas to craft contagious content.

LEARNING OBJECTIVES:

- Learn how to leverage presented concepts to generate more word of mouth and referrals.
- Learn actionable techniques for helping information spread—for designing messages, advertisements, and information that people will share.

10:35 a.m. – 12:05 p.m.**INDUSTRY ELECTIVES**12:15 p.m. – 1:15 p.m.**GENERAL LUNCH**12:30 p.m. – 1:15 p.m.**LUNCH LECTURES**

*Advance sign-up required.

ECOSYSTEM – DRIVEN INNOVATION**Martin Ihrig, Ph.D.***President*
I-Space Institute
Adjunct Professor of Management
The Wharton School

In many industries today, organizations operate

in ecosystems made up of powerful and highly interconnected stakeholders. Companies that figure out how to manage this complexity will enjoy a powerful competitive advantage in finding and selecting innovations. Participants will be introduced to a tool-based ideation process that helps them think through ways of innovating their companies' product or service offerings. The methodology allows managers to identify innovation growth opportunities and select insightfully among them, thus ensuring that the company is responsive not only to the pressing needs of the direct customers, but also to the needs and concerns of the other stakeholders in its ecosystem.

THE PERCEPTIVE LEADER**Kathy Pearson, Ph.D.***Adjust Senior Fellow, Leonard Davis Institute of Health Economics*
The Wharton School

The PERCEPTIVE Leader, which covers leaders who exhibit a keen sense of perception, insight, understanding, or intuition. Given the time allotted, she will speak from a high level about purpose, experiential frames, range of alternatives, contrary views, productive paranoia, trust, vigilance and experimentation.

THE NEW NORMAL IS NOT NEW**John Spence***Managing Partner*
John Spence, LLC

In this lunch lecture, John Spence will cover the following:

- How to be an evolutionary leader in times of great change
- Demystify Boomers, Millennials and Gen... What motivates today's workforces?
- Creating high-performance and results-driven teams

1:30 p.m. – 3:00 p.m.**WEDNESDAY ELECTIVES**3:20 p.m. – 4:50 p.m.**WEDNESDAY ELECTIVES**

THURSDAY, MARCH 8, 2018

7:15 a.m. – 8:15 a.m.

BREAKFAST

8:45 a.m. – 10:15 a.m.

FUNDAMENTALS OF MARKET RETURNS

CFP ELIGIBLE / CIMA ELIGIBLE

Jeremy J. Siegel, Ph.D.

Russell E. Palmer Professor of Finance
The Wharton School

This session will explain the long-term risks and returns of the bond and stock markets, market valuations, risk return tradeoffs, and interest rates.

LEARNING OBJECTIVES:

- Know the long term historical returns and risks on assets classes.
- Understand the determinants of interest rates
- Determine Valuations and P-E ratios.

10:35 a.m. – 12:05 p.m.

FIRM CULTURE

John Spence

Managing Partner
John Spence, LLC

This session focuses on what it takes to build and sustain an organizational culture that creates highly satisfied, engaged, and loyal employees who possess an “ownership mentality.” The goal of this program is for attendees to understand the importance of creating and supporting a culture that embraces change, fosters accountability, has a strong sense of urgency, and maintains disciplined execution that delivers the required business results.

Some of the key elements of this workshop include:

- The key factors that make up a “great place to work”
- An understanding of what creates engagement, enthusiasm, and loyalty in employees
- An understanding of what the leaders of the organization look for in an outstanding culture
- An explanation of why creating a strong, positive organizational culture should be a key strategy
- A look at how to initiate and sustain culture change

- How to help people in the organization deal with change
- How to greatly increase the level of accountability across the organization

A major focus of this workshop is helping people clearly understand what it takes to build a winning culture and giving them the tools, ideas, and takeaways that will allow them to go back and immediately begin to move the culture of their firm in a more positive direction.

12:15 p.m. – 1:15 p.m.

GENERAL LUNCH

12:30 p.m. – 1:15 p.m.

LUNCH LECTURES

*Advance sign-up required.

UNDERSTANDING THE NEXT GENERATION: INSIGHTS INTO MILLENNIALS AND GEN Z

Keith Niedermeier, Ph.D.

Director of the Undergraduate Marketing Program
Adjunct Assistant Professor of Marketing
The Wharton School

At 92 million strong, Millennials are the largest generation and the future of business, both as consumers and as the heart of the new workforce. However, they have sharply different attitudes and expectations than previous generations. Millennials have grown up as digital natives in a rapidly changing world that endured a generation-defining recession. This lunch lecture will explore Millennials as consumers, investors, and employees. Discussion will center on Millennials’ attitudes, psychology, and decision-making. We will also explore various segmentations and differences among Millennials, as well as contrasting them to the up-and-coming Generation Z.

THE WISDOM OF THE ANNOYANCE

Anthony Palombit, Ph.D.

Executive Coach and Consultant
Herrmann International and Genos Americas

Every executive gets annoyed. Dr. Palombit will cover how to take that annoyance and possibly turn it into wisdom. When an executive gets irritated or frustrated with a situation or person, there is not only an opportunity to make the business improve, there is also an opportunity for the development of the executive.

1:30 p.m. – 4:00 p.m.

LEADERSHIP & DIVERSITY: MICROINEQUITIES – THE POWER OF SMALL

Stephen Young

Founder and Senior Partner
Insight Education Systems

MicroInequities: The Power of Small™ program focuses on managing Unconscious Bias. It moves the needle from the conceptual to the truly actionable. The only way unconscious bias is manifested is through our micro-messages. These unconscious slights, MicroInequities, are the active and tangible manifestations of unconscious bias. This session will focus on the effects of micro-messages in the workplace. Typically, we send between 2,000 and 4,000 positive and negative micro-messages each day. These have a powerful influence on driving the behavior of all those with whom we interact. This session will instruct participants how to drive rapid behavior change, incorporate this skill into the realm of routine management, and measurably raise business diversity performance.

LEARNING OBJECTIVES:

- Establish the definitive link between diversity and leadership effectiveness.
- Uncover the ways micromessages impair or enhance workplace performance.
- Create a team culture that recognizes how differences lead to discovery.
- Develop skills that change the ways we send messages in order to motivate and inspire performance.
- Achieve a level of acceptance by senior leaders to embrace the concepts and act as change agents by modeling the prescribed behaviors.
- Forge systemic acceptance and behavior change that drive diversity and inclusion at all levels.

7:00 p.m. – 9:00 p.m.

THURSDAY NIGHT DINNER & RECEPTION

*Advance sign-up required.

BUSES WILL DEPART HOTELS AT 6:30 P.M.

DINNER AND DRINKS WILL BE SERVED. BUSINESS CASUAL ATTIRE IS ACCEPTABLE FOR THIS EVENT.

The Story of We the People, the National Constitution Center's main exhibit, guides visitors through milestones in America's history and reveals how the U.S. Constitution is as important today as it was in 1787. Located in the Richard and Helen DeVos Exhibition Hall, the exhibition feature three concentric rings of interactive exhibits. The circular shape of the exhibition was chosen, in part, to reflect the enduring presence and influence of the U.S. Constitution.

EXHIBIT HIGHLIGHTS:

- View fascinating artifacts, including a rare copy of the Emancipation Proclamation.
- Engage with interactive touch screens at the American National Tree exhibit to learn about 100 citizens who have shaped America's constitutional history.
- Watch yourself on the big screen as you recite the Presidential Oath of Office.
- Check out Justice Sandra Day O'Connor's actual Supreme Court robe and weigh in on famous cases.
- Experience the Living News theater performance, which brings today's headlines from the page to the stage and encourages audience dialogue.

SIGNERS' HALL

Walk alongside 42 LIFE-SIZE, bronze statues of the Founding Fathers and relive the moment that launched a government ruled by "We the People."

One of the museum's most popular and iconic attractions, Signers' Hall invites you to walk among the Founding Fathers who added their name to the Constitution—as well as those who dissented—on September 17, 1787.

Signers' Hall brings to life the final day of the Constitutional Convention in the Assembly Room of the Pennsylvania State House, now known as Independence Hall. There are numerous famous faces in the room, including George Washington, Benjamin Franklin, James Madison, and Alexander Hamilton. Pose beside your favorite Founding Father for a great photo op!

FRIDAY, MARCH 9, 2018

7:15 a.m. – 8:15 a.m.

BREAKFAST

8:45 a.m. – 10:00 a.m.

THE WASHINGTON UPDATE: AN OVERVIEW OF THE POLITICAL ENVIRONMENT, PROSPECTIVE LEGISLATION, AND STRATEGIES FOR INVESTMENT AND RETIREMENT PLANNING

Andrew Friedman

Principal

The Washington Update

As 2018 begins, investors and businesses are digesting the consequences and nuances of the sweeping Tax Cuts and Jobs Act, passed by Congress at the end of 2017. At the same time, the Trump administration and Republican leadership are readying a number of new initiatives, including instituting a national infrastructure repair program, reducing the scope of the Affordable Care Act, enhancing immigration restrictions, re-prioritizing federal spending, reforming welfare, entitlements, and social “safety net” programs, and continuing the rollback of industry-specific regulations.

Hanging over these efforts are the 2018 midterm elections and the expected release of the Mueller report on possible malfeasance by the Trump campaign, both of which have the potential to alter the administration’s ability to implement its programs.

Andy Friedman, an expert in political and legislative affairs, will address all of these matters in his 2018 presentations. He will focus on the portions of the Tax Cuts and Jobs Act of particular importance to business owners, investors, and financial advisors, pointing out which individual situations and economic sectors are likely to fare well, or poorly, under the legislation. He will consider the extent to which Congress will adopt the President’s legislative initiatives, and how those initiatives are likely to affect the economy, the markets, industry sectors, and investments. And he will consider how the outcomes of the Mueller investigation and the 2018 elections may alter the administration’s ability to implement its far-reaching policies.

Andy also will discuss the extent to which the administration is likely to overturn or soften regulatory initiatives, including the controversial Department of Labor regulation imposing new fiduciary obligations on financial advisors.

Along the way, Andy will provide strategies that investors and financial advisors can consider to take advantage of (or protect against) market volatility arising as these initiatives progress, as well as specific strategies for investment, wealth transfer, and retirement planning.

10:00 a.m. – 11:00 a.m.

DISRUPTIVE LEADERSHIP: THRIVING IN AN ERA OF CONSTANT CHANGE

Luke Williams

International Best-Selling Author

Professor of Innovation and Executive Director of

the W.R. Berkely Innovation Labs

NYU’s Stern School of Business

What does it take to be a disruptive leader? Do you need to be a brilliant agitator like Steve Jobs? A driven workaholic like Tesla’s Elon Musk? Sure, CEOs like that get a lot of press, but there’s more to success than being loud and charismatic. Truly disruptive leaders are like Master Chefs on a cooking show, always looking for ways to take existing ingredients and combine them in unique ways.

Those new recipes are a type of investment capital: the more you have, the better. Of course, not all will succeed. But disruptive thinking and leadership is less about the success of any one idea and more about putting your business in a position where you have more new ideas to spend than your competition does. Most importantly, being a disruptive leader is about creating a culture where everyone values new recipes. Because if you want to build a disruptive organization, you first have to build more disruptive leaders.

YEAR TWO

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- What wealth management clients and prospects today really want and a new way to deliver this at scale at your firm

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Deputy Director
 Anne and John McNulty Leadership Program
Adjunct Professor of Management
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INVESTING LIKE NEVER BEFORE: WITH GREAT OPPORTUNITY COMES GREAT RESPONSIBILITY

Lisa Kidd Hunt

Executive Vice President of Business Initiatives
 Charles Schwab

With access to the markets at an all-time high, and the cost of investing at an all-time low, it's a great time to be an investor. But with two sides to technology to navigate, our responsibility in service to investors has never been greater.

2:50 p.m. – 4:20 p.m.

MONDAY ELECTIVES

4:30 p.m. – 6:00 p.m.

COCKTAILS WITH THE FACULTY

*Advance sign up required.

Wharton faculty and SII industry speakers will join SII participants for cocktails. A great opportunity to network with fellow participants, SII speakers and SII trustees.

TUESDAY, MARCH 6, 20187:15 a.m. – 8:15 a.m.**BREAKFAST**8:45 a.m. – 12:05 p.m.**SCENARIO PLANNING****Roch Parayre, Ph.D.**

Partner, Leadership Consulting
 Heidrick & Struggles
Teaching Fellow
 The Wharton School

This session will introduce a scenario-based methodology for strategic planning under conditions of high uncertainty. Topics covered will include how firms respond to change and why great companies fail; capturing strategic uncertainty through scenarios; performing strategic segmentation to choose the right battles; and developing a strategic vision from robust, flexible capabilities. The link will also be made to more traditional planning and budgeting processes.

LEARNING OBJECTIVES:

- To recognize the pitfalls associated with planning for a single future.
- To learn a systematic process that enables the construction of scenarios about the future.
- To learn how to use scenarios in developing strategic competencies and options.

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FINDING YOUR VISION**Jim Austin**

President
 JH Austin Associates, Inc.

What makes a great vision? This brief discussion will outline the inspirational and practical components that should be in a strong, compelling vision.

DIGITAL TRANSFORMATION FOR FINANCIAL SERVICES IN THE AGE OF CLOUD**Rob Krugman**

Chief Digital Officer
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Digital transformation and cloud are words we here every day, but what does it really mean to transform businesses for the digital age? In this session Rob will discuss and provide examples on how organizations are leveraging the cloud and digital capabilities to transform what they do and how they do it.

CYBER SECURITY – ISSUES AND ANSWERS**Tom Patterson**

Chief Trust Officer
 Unisys

In this lunch lecture, noted security expert Tom Patterson leverages his decades fighting cyber criminals and foreign spies and takes the discussion beyond the headlines and focuses what's working in countering today's cyber threats against the financial industry. Practical, actionable, battle tested recommendations that should be the new baseline for defense. Long gone are the days of 'being compliant' and 'allocating budget' as a defense, Tom's discussion will focus on three keys to success--one at the board level, one at the technology level, and one at the business level. Armed with this new thinking, there is a path toward resilience for every component of the financial sector.

1:30 p.m. – 3:00 p.m.

ETHICS – THE ROLE OF CULTURE

Peter Conti-Brown, Ph.D.

Assistant Professor, Department of Legal Studies and Business Ethics
The Wharton School

A key component of building individuals, teams, and firms that behave ethically is the sometimes elusive concept of culture. Conti-Brown introduces the idea of “cultural engineering,” or the practice of individuals and small groups exerting influence on the way that complex information is understood within larger organizations. Using examples from the financial industry of culture that supports ethical decision-making and of culture that does not, Conti-Brown also encourages participants to get personal: culture is about what individuals bring to the table, and cannot be about platitudes and vision statements.

3:20 p.m. – 4:50 p.m.

FLEX CORE – FINANCE (CHOOSE ONE)

ACCOUNTING FOR THE NON-FINANCIAL EXECUTIVE

CFP ELIGIBLE / CIMA ELIGIBLE

Mary Kay Scucci, Ph.D., CPA

Adjunct Professor
Columbia University, School of International and Public Affairs
Managing Director
SIFMA

By emphasizing the importance of financial data on the decision-making process, “Accounting for the Non-Financial Executive” allows non-financial business executives to become better users of financial information so they can be more strategic contributors to their organization. As a leader in your organization, having an understanding of financial principles is crucial to achieving strategic growth. This seminar will increase your ability to interpret financial statements, better communicate with financial officers in your organization and make sound financial decisions.

LEARNING OBJECTIVES:

- Participants will learn to read and understand financial statements by using strategic ratio analysis and be able to use this information to identify the strategic decisions being made by an organization. The financial statement analysis will focus on ratios for operating efficiency, asset use and the equity multiplier (i.e. leverage).
- Participants will understand the purposes of managerial accounting and KPI’s by evaluating industry examples which identify, measure, analyze, interpret and communicate information in pursuit of an organization’s goals.

RETURN OF STOCKS AND BONDS

CFP ELIGIBLE / CIMA ELIGIBLE

Jeremy J. Siegel, Ph.D.

Russell E. Palmer Professor of Finance
The Wharton School

What next for the capital markets? By using long-term historical data from his bestselling book, *Stocks for the Long Run*, Professor Siegel will describe the long term risks and returns of major asset classes, how their correlations change over time, how to determine the right valuation of the market, and the CAPE ratio methodology. Professor Siegel will also hazard a projection for equity and bond returns over the next several years.

LEARNING OBJECTIVES:

- Understand historical risks, returns and correlations between Asset Classes.
- Use various Price-Earning methodologies to determine the valuation of the market.
- Analyze the Shiller CAPE Ratio

WEDNESDAY, MARCH 7, 20187:15 a.m. – 8:15 a.m.**BREAKFAST**8:45 a.m. – 10:15 a.m.**ENTERPRISE MINDSET****Kathy Pearson, Ph.D.***President and Founder*

Enterprise Learning Solutions

Adjust Senior Fellow, Leonard Davis Institute of Health Economics

The Wharton School

As organizations become more complex and global, many senior leaders struggle to “think globally but act locally”. At the heart of this challenge is the need to understand the enterprise system, and cascade that understanding throughout the organization. This session explores the barriers to “enterprise thinking” and breaking down organizational silos. The participants are then given various concepts and tools to promote a stronger enterprise mindset, including those that address clarity, alignment, culture and accountability.

LEARNING OBJECTIVES:

- Identify elements that contribute to the “silo” mentality.
- Utilize tools to promote clarity and accountability.
- Understand behaviors that lead to a learning culture.

10:35 a.m. – 12:05 p.m.**INDUSTRY ELECTIVES**12:15 p.m. – 1:15 p.m.**GENERAL LUNCH**12:30 p.m. – 1:15 p.m.**LUNCH LECTURES**

*Advance sign up required.

ECOSYSTEM – DRIVEN INNOVATION**Martin Ihrig, Ph.D.***President*

I-Space Institute

Adjunct Professor of Management

The Wharton School

In many industries today, organizations operate in ecosystems made up of powerful and highly interconnected stakeholders. Companies that figure out how to manage this complexity will enjoy a powerful competitive advantage in finding and selecting innovations. Participants will be introduced to a tool-based ideation process that helps them think through ways of innovating their companies’ product or service offerings. The methodology allows managers to identify innovation growth opportunities and select insightfully among them, thus ensuring that the company is responsive not only to the pressing needs of the direct customers, but also to the needs and concerns of the other stakeholders in its ecosystem.

THE PERCEPTIVE LEADER**Kathy Pearson, Ph.D.***Adjust Senior Fellow, Leonard Davis Institute of Health Economics*

The Wharton School

The PERCEPTIVE Leader, which covers leaders who exhibit a keen sense of perception, insight, understanding, or intuition. Given the time allotted, she will speak from a high level about purpose, experiential frames, range of alternatives, contrary views, productive paranoia, trust, vigilance and experimentation.

THE NEW NORMAL IS NOT NEW**John Spence**

Managing Partner
John Spence, LLC

In this lunch lecture, John Spence will cover the following:

- How to be an evolutionary leader in times of great change
- Demystify Boomers, Millennials and Gen... What motivates today's workforces?
- Creating high-performance and results-driven teams

1:30 p.m. – 3:00 p.m.

WEDNESDAY ELECTIVES

3:20 p.m. – 4:50 p.m.

WEDNESDAY ELECTIVES**THURSDAY, MARCH 8, 2018**

7:15 a.m. – 8:15 a.m.

BREAKFAST

8:45 a.m. – 10:15 a.m.

FLEX CORE – TECHNOLOGY (CHOOSE ONE)**AMAZON: CREATIVITY, TRANSFORMATIONAL, MARKET DOMINANCE****Mark Relph**

Head of Global Business Development
Amazon Web Service

Transformative inventions, empowering others to unleash their creativity, creating real value for it's customers – these are ways Amazon succeeds. This session will focus on critical elements to success in today's competitive marketplace.

LEARNING OBJECTIVES:

- Learn how industries have been up-ended by changing expectations of customers and employees – and understand how Amazon has not only thrived in this world, but helped to create it.
- Understand critical elements of success that have helped firms dominate their market segments.

ARTIFICIAL INTELLIGENCE – NOW IN PRIME-TIME

Rob Stanich

Offering Manager, Banking and Financial Markets
Watson Financial Services

Over 90% of the world's data has been produced in the last 2 years. How the financial services industry understands and digests information must radically change to remain competitive – and Artificial Intelligence is on the leading edge of helping to manage the challenge – and Brian has been at the forefront helping to pave the way and lead this change. The Financial Times has said: “Technology is a tsunami and will radically change the face of Financial Services.”

In this session we will delve into the implications of the Artificial Intelligence revolution on financial services – from providing predictive client insight to, providing advisors scale and engagement tools for multigenerational clients, to addressing the \$257 billion burden of financial regulations to picking the perfect team, Rob will provide both a high-level view and actionable ideas to use AI within your firm.

BLOCK CHAIN TECHNOLOGY – FROM THE HYPE TO PRODUCTION READY

Emmanuel Aidoo

Head of Distributed Ledger and Blockchain Strategy
Credit Suisse

2017 brought a lot of interest, reporting and investment in blockchain (also known as Distributed Ledger Technology), the underlying technology that originally empowered cryptocurrencies such as Bitcoin and Ethereum. Blockchain technology has the potential to radically reshape securities industry processes and markets – but what is this technology all about, what state of readiness is it in and how should firms apply this new technology? In this Flex-Core class, we will explore those areas plus look at what firms are doing to move from investigation to actually implementing blockchain projects, including discussing the operations, compliance and regulatory issues that need to be addressed and how distributed ledgers can integrate with existing processes and technology.

LEARNING OBJECTIVES:

- Learn the key features of blockchain technology that differentiate it from legacy technologies.
- Understand the key elements of the technology's value proposition and how the industry might deploy it to maximum value.
- Survey the various prototypes/proofs of concept and the ones that are moving first to production, both in the U.S. and around the world.
- Understand how to approach experimenting with the technology.
- Gain an understanding of the current challenges.

FUTURE OF BUSINESS

John Spence

Managing Partner
John Spence, LLC

This program addresses the major innovations that will impact not just the business world but the entire world in the next decade. These are not “what if” ideas, but trends, user technologies and innovations that exist today that will grow exponentially over the next decade, fundamentally changing the face of business and the human race. John learned this information from an advanced seminar he attended with more than a dozen of the world's top thought leaders who are driving this change. Some of the topics include:

- Computer deep learning
- Artificial intelligence
- The Internet of things
- Robotics
- Virtual reality
- Augmented reality
- Genetic decoding and recoding
- Synthetic medicine

The information delivered will greatly challenge the audience to examine their businesses today on how they will have to be positioned in the coming years. If the group is small enough John can assign a workshop where they discuss these major innovations and how they will impact their business. John can also add information on the future of leadership, the future of strategy or how to effectively manage Millennials and Gen Z employees.

INFORMATION SECURITY – AN ANALYSIS OF LEGAL OBLIGATIONS, LEGAL CONSEQUENCES AND BEST PRACTICES

Matthew H. Meade

Shareholder

Buchanan Ingersoll & Rooney

It seems that almost every day we hear reports of another data breach impacting a financial company, hospital, government agency or educational institution. Data breaches are often the result of an escalating series of non-technical failures which include lack of preparation, lack of adequate employee training designed to increase awareness of risky behavior and incomplete or non-existent evaluations and protections involving vendors and other third parties who receive valuable data from the organization. Through this practical and interactive session participants will learn about the following: (1) the importance of a proactive approach to cyber security; (2) state and federal law issues associated with responding and reacting to a security incident; and (3) litigation and regulatory investigations arising from data breaches. We will conclude with hypothetical incidents where the participants will be able to apply what they learn.

LEARNING OBJECTIVES:

- Developing an understanding of how to work collaboratively with counsel to assess legal risk and respond to a security incident
- Learn to approach cyber as an enterprise wide imperative by ensuring that employees understand the implications of lax cyber security.
- Assess the legal consequences of cyber security failures.
- Building a team that can prepare a comprehensive, thorough and efficient response to a cyber incident.

10:35 a.m. – 12:05p.m.

FLEX CORE – REGULATORY (CHOOSE ONE)

EMERGING REGULATORY ISSUES

CFP ELIGIBLE / CIMA ELIGIBLE

Jesse Hill

Director of Regulatory Relations

Edward Jones

Joan Schwartz

Chief Legal Officer

Pershing, a BNY Mellon Company

This year promises to bring many new emerging regulatory issues to financial services firms. A proactive approach to compliance in identifying and implementing sound business practices, policies and procedures to promote a good working relationship with industry regulators will be even more important in 2018. This course will focus on pending and current rulemaking that will impact the financial services industry, examination priorities for 2018 and best practices for interacting with many types of regulators).

LEARNING OBJECTIVES:

- Share important information on Best Interest Standards and liquidity requirements
- Understand current regulatory examination priorities from the SEC, FINRA and NASAA
- Build awareness of emerging regulatory rulemaking and initiatives
- Understand best practices for developing strong working relationships with industry regulators
- Review the FINRA 360 initiative and initial Report on FINRA Examination Findings

MOCK SECURITIES ARBITRATION

CLE ELIGIBLE

MODERATOR:**Anne Cooney***Managing Director and General Counsel*
Morgan Stanley Wealth Management**PRESENTERS:****Tracy Gerber***Shareholder*
Greenberg Traurig, LLP**Michael Ungar***Partner*
Ulmer and Berne, LLP

This session will simulate a real securities arbitration. Participants will watch a condensed proceeding based on common investor disputes, with experienced trial attorneys playing the roles of Claimant's and Respondents' counsel. A discussion of case, and of best practices to prevent litigation and client disputes, will follow. Participants will receive a one page background fact document prior to attending this session.

LEARNING OBJECTIVES:

- Evaluate the pros and cons of this method of dispute resolution, and understand how arbitration differs from court litigation.
- See, up close and personal, the arbitration process from opening statements to conclusion.
- Learn what issues create problems for investors, financial firms, investment professionals and supervisory/compliance/risk and support personnel.
- Learn how to avoid problems that lead to arbitration and keep records to assist in defending claim.

REGULATORY ALPHABET SOUP

CFP ELIGIBLE / CIMA ELIGIBLE

Ben Indek*Partner*
Morgan Lewis**Ariel Gursky***Associate*
Morgan Lewis

Ideal for: Financial services professionals who do not interact with regulators on a day to day basis, including individuals in human resources, marketing, strategy, finance, and technology.

This interactive discussion will help you make sense of the hodgepodge of regulators (SEC, FINRA, Fed,

OCC, NASAA, CFTC, etc.), including each regulator's jurisdiction, authority, and approach. The session will also describe the current regulatory environment and offer suggestions for best practices for dealing with regulators when the need arises.

LEARNING OBJECTIVES:

- Understand the U.S. regulatory framework
- Learn the mandate and mission of each regulator
- Gain insight into regulators' enforcement processes and philosophy
- Increase awareness of regulatory priorities

REGULATORY JEOPARDY

CFP ELIGIBLE / CIMA ELIGIBLE

Kurt Wachholz*Executive Consultant*
NRS

Ideal for: Customer-facing industry professionals or any participants interested in understanding regulatory controls designed to protect investors.

Whether you are a financial advisor or an individual investor, it is important to understand the how regulations protect investors and contribute to the trust in and stability of our markets. This session provides a broad foundation of regulations that address current investor protection issues. It will be presented as an interactive jeopardy game, exploring five key categories:

- Client disputes – identifying, responding to, reporting and resolving complaints
- Fraud – electronic, Ponzi, identity theft, social media, wire and mail fraud, fraud victims
- Sr. Issues – mental capacity of client and advisor, mandatory reporting
- Regulation of trading markets
- Customer Documentation - what needs to be on the account statements, how often should they be sent, do you need to disclose commission structure, what is needed if a client trades on margin, suitability

LEARNING OBJECTIVES:

- Identify key regulatory areas that impact financial services.
- Understand the importance and intent of these regulations.
- Gain an awareness of basic regulatory requirements in each of these areas.

WHAT IS THE FIDUCIARY STANDARD OF CARE?

CFP ELIGIBLE / CIMA ELIGIBLE

Skip Schweiss

*President of TD Ameritrade Trust Company
Managing Director, TD Ameritrade*

This session will give you a baseline explanation of what is called the “Fiduciary Standard of Care”, the history and evolution, what it means, how it compares to the broker/dealer standards of care, and the effect on our industry. Although interaction and questions are encouraged the presentation is not designed to debate the DOL rule, the SEC role, nor SIFMA’s position.

LEARNING OBJECTIVES:

- Establish a basic understanding of the “Fiduciary Standard of Care” for those who are not exposed to this standard on a routine basis and a baseline for those who are.
- Given such a sweeping change in the industry discuss the risks and benefits of the DOL rule with our clients
- Open discussion of the potential effects of the industry and potential business model changes

12:15 p.m. – 1:15 p.m.

GENERAL LUNCH

12:30 p.m. – 1:15 p.m.

LUNCH LECTURES

*Advance sign-up required.

UNDERSTANDING THE NEXT GENERATION: INSIGHTS INTO MILLENNIALS AND GEN Z

Keith Niedermeier, Ph.D.

*Director of the Undergraduate Marketing Program
Adjunct Assistant Professor of Marketing
The Wharton School*

At 92 million strong, Millennials are the largest generation and the future of business, both as consumers and as the heart of the new workforce. However, they have sharply different attitudes and expectations than previous generations. Millennials have grown up as digital natives in a rapidly changing world that endured a generation-defining recession. This lunch lecture will explore Millennials as consumers, investors, and

employees. Discussion will center on Millennials’ attitudes, psychology, and decision-making. We will also explore various segmentations and differences among Millennials, as well as contrasting them to the up-and-coming Generation Z.

THE WISDOM OF THE ANNOYANCE

Anthony Palombit, Ph.D.

*Executive Coach and Consultant
Herrmann International and Genos Americas*

Every executive gets annoyed. Dr. Palombit will cover how to take that annoyance and possibly turn it into wisdom. When an executive gets irritated or frustrated with a situation or person, there is not only an opportunity to make the business improve, there is also an opportunity for the development of the executive.

1:30 p.m. – 3:00 p.m.

LINKING FINANCE & STRATEGY

Joseph Perfetti

*Partner
Percipient Partners LLC.*

The key to a company’s financial success is strategy execution. Companies that have success in long term value creation have a passion for execution. This session will use financial tools to analyze the differences between value creating and value destroying companies and show that the pattern is the same in every industry and in every part of the world. At the strategy formulation stage, it is important to select a strategy that the company has the capabilities to execute more effectively than completion. It is important to realize that profitability is wonderful but it is very fragile and it can disappear rapidly. It is important to be vigilant about the changes taking place in your industry.

LEARNING OBJECTIVES:

- Learn the financial tools that are useful in identifying value creating companies and the metrics used by investors
- Learn about companies that have tied operating metrics to financial performance to drive growth, innovation and value creation
- Learn how you can impact these key value drivers to create value for your enterprise

3:20 p.m. – 4:50 p.m.

COURAGEOUS LEADERSHIP

Dafna Eylon, Ph.D.

President

Eylon Associates

Courage is a powerful key leadership characteristic, irrespective of one's formal role. It requires engagement and acting in support of purpose, while in the face of concern, worry or fear. In organizations we want to be courageous, to do what we believe is right and have positive impact, while still acting in pursuit of achieving the organization's vision. Courage means navigating without a pre-existing roadmap and is an ability that can be learned. Knowing why and when courageous actions are important promotes being proactive.

In this session, initial steps are formulated to help create a clearer sense of personal priorities regarding where and how one would like to take courageous organizational action(s). Through organizational examples and short exercises, participants identify where they would like to act more courageously and how to do so including questioning the status quo, taking risks, supporting others, stepping into the unknown, and managing uncertainty,

LEARNING OBJECTIVES:

- Identifying courage in an organizational context.
- Translating the concept of courage to organizational action
- Recognizing multiple ways one can be courageous in organizational settings

7:00 p.m. – 9:00 p.m.

THURSDAY NIGHT DINNER & RECEPTION

*Advance sign-up required.

BUSES WILL DEPART HOTELS AT 6:30 P.M.

DINNER AND DRINKS WILL BE SERVED. BUSINESS CASUAL ATTIRE IS ACCEPTABLE FOR THIS EVENT.

The Story of We the People, the National Constitution Center's main exhibit, guides visitors through milestones in America's history and reveals how the U.S. Constitution is as important today as it was in 1787. Located in the Richard and Helen DeVos Exhibition Hall, the exhibition feature three concentric rings of interactive exhibits. The circular shape of the exhibition was chosen, in part, to reflect the enduring presence and influence of the U.S. Constitution.

EXHIBIT HIGHLIGHTS:

- View fascinating artifacts, including a rare copy of the Emancipation Proclamation.
- Engage with interactive touch screens at the American National Tree exhibit to learn about 100 citizens who have shaped America's constitutional history.
- Watch yourself on the big screen as you recite the Presidential Oath of Office.
- Check out Justice Sandra Day O'Connor's actual Supreme Court robe and weigh in on famous cases.
- Experience the Living News theater performance, which brings today's headlines from the page to the stage and encourages audience dialogue.

SIGNERS' HALL

Walk alongside 42 LIFE-SIZE, bronze statues of the Founding Fathers and relive the moment that launched a government ruled by "We the People."

One of the museum's most popular and iconic attractions, Signers' Hall invites you to walk among the Founding Fathers who added their name to the Constitution—as well as those who dissented—on September 17, 1787.

Signers' Hall brings to life the final day of the Constitutional Convention in the Assembly Room of the Pennsylvania State House, now known as Independence Hall. There are numerous famous faces in the room, including George Washington, Benjamin Franklin, James Madison, and Alexander Hamilton. Pose beside your favorite Founding Father for a great photo op!

FRIDAY, MARCH 9, 2018

7:15 a.m. – 8:15 a.m.

BREAKFAST

8:45 a.m. – 10:00 a.m.

THE WASHINGTON UPDATE: AN OVERVIEW OF THE POLITICAL ENVIRONMENT, PROSPECTIVE LEGISLATION, AND STRATEGIES FOR INVESTMENT AND RETIREMENT PLANNING

Andrew Friedman

Principal

The Washington Update

As 2018 begins, investors and businesses are digesting the consequences and nuances of the sweeping Tax Cuts and Jobs Act, passed by Congress at the end of 2017. At the same time, the Trump administration and Republican leadership are readying a number of new initiatives, including instituting a national infrastructure repair program, reducing the scope of the Affordable Care Act, enhancing immigration restrictions, re-prioritizing federal spending, reforming welfare, entitlements, and social “safety net” programs, and continuing the rollback of industry-specific regulations.

Hanging over these efforts are the 2018 midterm elections and the expected release of the Mueller report on possible malfeasance by the Trump campaign, both of which have the potential to alter the administration’s ability to implement its programs.

Andy Friedman, an expert in political and legislative affairs, will address all of these matters in his 2018 presentations. He will focus on the portions of the Tax Cuts and Jobs Act of particular importance to business owners, investors, and financial advisors, pointing out which individual situations and economic sectors are likely to fare well, or poorly, under the legislation. He will consider the extent to which Congress will adopt the President’s legislative initiatives, and how those initiatives are likely to affect the economy, the markets, industry sectors, and investments. And he will consider how the outcomes of the Mueller investigation and the 2018 elections may alter the administration’s ability to implement its far-reaching policies.

Andy also will discuss the extent to which the administration is likely to overturn or soften regulatory initiatives, including the controversial Department of Labor regulation imposing new fiduciary obligations on financial advisors.

Along the way, Andy will provide strategies that investors and financial advisors can consider to take advantage of (or protect against) market volatility arising as these initiatives progress, as well as specific strategies for investment, wealth transfer, and retirement planning.

10:00 a.m. – 11:00 a.m.

DISRUPTIVE LEADERSHIP: THRIVING IN AN ERA OF CONSTANT CHANGE

Luke Williams

International Best-Selling Author

Professor of Innovation and Executive Director of the W.R.

Berkley Innovation Labs

NYU’s Stern School of Business

What does it take to be a disruptive leader? Do you need to be a brilliant agitator like Steve Jobs? A driven workaholic like Tesla’s Elon Musk? Sure, CEOs like that get a lot of press, but there’s more to success than being loud and charismatic. Truly disruptive leaders are like Master Chefs on a cooking show, always looking for ways to take existing ingredients and combine them in unique ways.

Those new recipes are a type of investment capital: the more you have, the better. Of course, not all will succeed. But disruptive thinking and leadership is less about the success of any one idea and more about putting your business in a position where you have more new ideas to spend than your competition does. Most importantly, being a disruptive leader is about creating a culture where everyone values new recipes. Because if you want to build a disruptive organization, you first have to build more disruptive leaders.

YEAR THREE

SUNDAY, MARCH 4, 2018

12:00 p.m. – 5:00 p.m. (6:00p.m. at Marriott)

REGISTRATION FOR ALL PARTICIPANTS

5:30 p.m. – 6:15 p.m.

WELCOME RECEPTION

*Advance sign up required

NETWORKING RECEPTION OPEN TO ALL PARTICIPANTS.

6:15 p.m. – 8:00 p.m.

OPENING NIGHT DINNER

*Advance sign up required

YEAR UP

Gerald Chertavian

CEO

Year Up

In the future, every young adult will be able to reach their potential. Year Up's mission is to close the Opportunity Divide by providing urban young adults with the skills, experience, and support that will empower them to reach their potential through professional careers and higher education. Year Up achieves this mission through a high support, high expectation model that combines marketable job skills, stipends, internships and college credits. Their holistic approach focuses on students' professional and personal development to place these young adults on a viable path to economic self-sufficiency.

MONDAY, MARCH 5, 2018

7:15 a.m. – 8:15 a.m.

BREAKFAST

8:45 a.m. – 10:15 a.m.

WELCOMING REMARKS

Vinny Ferrari

Chair

Securities Industry Institute® Board of Trustees

THE HOPE CIRCUIT

Martin Seligman, Ph.D.

Zellerbach Family Professor of Psychology

Founding Director, Positive Psychology Center

University of Pennsylvania

When Martin E. P. Seligman first encountered psychology in the 1960s, the field was devoted to eliminating misery: it was the science of how past trauma creates present symptoms. Today, thanks in large part to Seligman's Positive Psychology movement, it is ever more focused not on what cripples life, but on what makes life worth living—with profound consequences for our mental health.

In this session Dr. Seligman will discuss learned helplessness, positive psychology, and prospection in the light of building hope.

10:35 a.m. – 12:05 p.m.

MONDAY ELECTIVES

12:15 p.m. – 1:15 p.m.

GENERAL LUNCH

12:30 p.m. – 1:15 p.m.

LUNCH WITH THE FACULTY

*Advance sign up required

Bobbi Block

Instructor

The Wharton School

Kaihan Krippendorff, Ph.D.

Founder

Outthinker LLC

Roch Parayre, Ph.D.

Partner, Leadership Consulting

Heidrick & Struggles

Teaching Fellow

The Wharton School

Paul Tiffany, Ph.D.

Senior Lecturer, Haas School of Business

University of California, Berkeley

1:30 p.m. – 2:30 p.m.

INVESTING LIKE NEVER BEFORE: WITH GREAT OPPORTUNITY COMES GREAT RESPONSIBILITY

Lisa Kidd Hunt

Executive Vice President of Business Initiatives

Charles Schwab

With access to the markets at an all-time high, and the cost of investing at an all-time low, it's a great time to be an investor. But with two sides to technology to navigate, our responsibility in service to investors has never been greater.

2:50 p.m. – 4:20 p.m.

MONDAY ELECTIVES

4:30 p.m. – 6:00 p.m.

COCKTAILS WITH THE FACULTY

*Advance sign up required

Wharton faculty and SII industry speakers will join SII participants for cocktails. A great opportunity to network with fellow participants, SII speakers and SII trustees.

TUESDAY, MARCH 6, 2018

7:15 a.m. – 8:15 a.m.

BREAKFAST

8:45 a.m. – 10:15 a.m.

ETHICS AND DECISION MAKING: THE PROBLEM OF HARD QUESTIONS

Peter Conti-Brown, Ph.D.

Assistant Professor, Department of Legal Studies and

Business Ethics

The Wharton School

In the final required ethics session, Professor Conti-Brown builds on previous discussions of ethics and culture to discuss how to operationalize these principles. Conti-Brown introduces the concept of easy, medium, and hard questions. Easy ethical questions are those that essentially belong to the criminal law. Nearly everyone agrees on right and wrong on these questions and while the financial industry has had more than its share of individuals and firms getting these questions wrong, these are not worth our main attention. Medium questions are those where most people agree on the same ends, but disagree on the appropriate means. And hard questions are those where people in good faith disagree on what constitutes ethical behavior. After developing this framework, Conti-Brown guides participants through its application to several examples in several aspects of the financial services industry.

10:35 a.m. – 12:05 p.m.

ECONOMIC, FINANCIAL, AND DEMOGRAPHIC TRENDS IMPACTING GLOBAL INVESTING

Jeff Rosensweig, Ph.D.

Director, John Robson Program for Business,

Public Policy, and Government

Goizueta Business School at Emory University

In 2018, finance professionals face a time of uncertainty on both financial and geopolitical fronts. This uncertainty follows on the past two decades of nearly unprecedented volatility in both economies and asset markets worldwide. We witnessed the hype of the dot.com bubble and its subsequent bursting, leading to a global recession. The global economy and asset markets then boomed along with the debt-fueled global real estate bubble. The bursting of that speculative bubble caused both a worldwide stock market crash and “Great Recession.” Investors who did not panic have gained from a strong recovery in global asset markets starting in March 2009. Many real and financial assets both in the US

and abroad have reached record-high prices. The rise of cryptocurrencies adds to the risks generated by the increased prices for stocks, bonds, real estate, and some commodities. What scenarios could now occur, and how can investors deal with the current high level of uncertainty and perhaps volatility?

This session will separate fact from fiction while analyzing the implications of global linkages for investors. The uncertainty regarding the U.S. and global economies, commodity prices, interest rates, exchange rates, job markets, monetary policy, and the sustainability of government debt levels all point toward the need for a truly global diversification strategy. This session will feature a strategic look at the economic, financial, and demographic trends that are likely to endure in the crucial nations of the future.

LEARNING OBJECTIVES:

- Help financial professionals analyze the US and global economic outlook and longer-term economic trends in this time of uncertainty.
- Increase participants' understanding of global and US financial trends and their linkages to the volatile economic and policy environment we now face.
- Portray and contrast global and U.S. demographic trends and their investment implications

The ultimate objective of this core session is to help participants form global investing strategies based on the three preceding objectives.

12:15 p.m. – 1:15 p.m.

GENERAL LUNCH

12:30 p.m. – 1:15 p.m.

LUNCH LECTURE

*Advance sign up required

DIGITAL TRANSFORMATION FOR FINANCIAL SERVICES IN THE AGE OF CLOUD

Rob Krugman

Chief Digital Officer

Broadridge Financial Solutions, Inc.

Digital transformation and cloud are words we hear every day, but what does it really mean to transform businesses for the digital age? In this session Rob will discuss and provide examples on how organizations are leveraging the cloud and digital capabilities to transform what they do and how they do it.

1:30 p.m. – 4:50 p.m.

STRATEGIC LEADERSHIP

Roch Parayre, Ph.D.

Partner, Leadership Consulting

Heidrick & Struggles

Teaching Fellow

The Wharton School

In an era of unprecedented uncertainty, the ability to think strategically has emerged as a critical skill in helping leaders and organizations navigate change and sustain growth. The Strategic Leadership session develops capability in each of the Six Elements of Strategic Thinking, reinforced by compelling exercises and examples.

LEARNING OBJECTIVES:

- A clear understanding of the six elements that make up strategic thinking and leadership
- An awareness of their individual strategic strengths and weaknesses
- Better decision making, better strategies and plans, and ability to navigate uncertainty

5:00 p.m. – 7:30 p.m.

YEAR THREE RECEPTION & DEAR WORLD ACTIVITY

*Advance sign up required

Robert Fogarty

Founder and CEO

Dear World

The Dear World collection includes portraits of over 40,000 individuals and their work has been published in over 30 countries. Dear World uses a portion of its revenues to underwrite and produce field projects around the world, which document people with incredible stories to share. Their most recent field project was a partnership with Nobel Peace Prize-winner, Kailash Satyarthi, in New Delhi, India.

Dear World's award winning keynote address and portrait shoot explores the subtle and powerful connections that colleagues, clients and staff in business and in life at annual corporate events around the country and the world. Evans photographs over one or a series of days and he also gives an emotionally stimulating address where he shares portraits and stories behind them that will make you smile, cry, and laugh out loud.

WEDNESDAY, MARCH 7, 2018

7:15 a.m. – 8:15 a.m.

BREAKFAST

8:45 a.m. – 10:15 a.m.

GENERATIONAL INTELLIGENCE FOR LEADERS

Yael C. Sivi

Managing Partner

Collaborative Coaching, LLC

Many organizations function in the same way they have for decades, expecting that the next generation of workers and clients will simply accept long-standing corporate values and norms. While it may be tempting to think “this is just the way we do things around here”, such a mindset lacks the imagination needed to create an organizational culture where the youngest generation of workers will wish to contribute their best—and where clients across generations will be engaged. In this presentation, we will discuss the elements of a collaborative environment that engages staff across generations, and we will explore how you, as leaders, can help co-create an organization, and a team culture, that will more effectively engage contributors, leaders, as well as clients.

LEARNING OBJECTIVES:

- Become aware of their own generational values that inform how they see the world and what they expect from organizations and leaders.
- Learn about what informs other generations’ values and behaviors—ideally with less negative judgment.
- Identify ways to be more flexible in their approach toward leadership, and building teams so as to engage and retain the next generation of employees.

10:35 a.m. – 12:05 p.m.

INDUSTRY ELECTIVES

12:15 p.m. – 1:15 p.m.

GENERAL LUNCH

12:30 p.m. – 1:15 p.m.

LUNCH WITH THE FACULTY

*Advance sign up required

Roch Parayre, Ph.D.

Partner, Leadership Consulting

Heidrick & Struggles

Teaching Fellow

The Wharton School

Yael C. Sivi

Managing Partner

Collaborative Coaching, LLC

1:30 p.m. – 3:00 p.m.

WEDNESDAY ELECTIVES

3:20 p.m. – 4:50 p.m.

WEDNESDAY ELECTIVES

THURSDAY, MARCH 8, 2018

7:15 a.m. – 8:15 a.m.

BREAKFAST

8:45 a.m. – 10:15 a.m.

FLEX CORE – TECHNOLOGY (CHOOSE ONE)**AMAZON: CREATIVITY, TRANSFORMATIONAL, MARKET DOMINANCE****Mark Relph***Head of Global Business Development*
Amazon Web Service

Transformative inventions, empowering others to unleash their creativity, creating real value for it's customers – these are ways Amazon succeeds. This session will focus on critical elements to success in today's competitive marketplace.

LEARNING OBJECTIVES:

- Learn how industries have been up-ended by changing expectations of customers and employees – and understand how Amazon has not only thrived in this world, but helped to create it.
- Understand critical elements of success that have helped firms dominate their market segments.

ARTIFICIAL INTELLIGENCE – NOW IN PRIME-TIME**Rob Stanich***Offering Manager, Banking and Financial Markets*
Watson Financial Services

Over 90% of the worlds data has been produced in the last 2 years. How the financial services industry understands and digests information must radically change to remain competitive – and Artificial Intelligence is on the leading edge of helping to manage the challenge – and Brian has been at the forefront helping to pave the way and lead this change. The Financial Times has said: “Technology is a tsunami and will radically change the face of Financial Services.”

In this session we will delve into the implications of the Artificial Intelligence revolution on financial services – from providing predictive client insight to, providing advisors scale and engagement tools for multigenerational clients, to addressing the \$257billion burden of financial regulations to picking the perfect team, Rob will provide both a high-level view and actionable ideas to use AI within your firm.

BLOCK CHAIN TECHNOLOGY – FROM THE HYPE TO PRODUCTION READY**Emmanuel Aidoo***Head of Distributed Ledger and Blockchain Strategy*
Credit Suisse

2017 brought a lot of interest, reporting and investment in blockchain (also known as Distributed Ledger Technology), the underlying technology that originally empowered cryptocurrencies such as Bitcoin and Ethereum. Blockchain technology has the potential to radically reshape securities industry processes and markets – but what is this technology all about, what state of readiness is it in and how should firms apply this new technology? In this Flex-Core class, we will explore those areas plus look at what firms are doing to move from investigation to actually implementing blockchain projects, including discussing the operations, compliance and regulatory issues that need to be addressed and how distributed ledgers can integrate with existing processes and technology.

LEARNING OBJECTIVES:

- Learn the key features of blockchain technology that differentiate it from legacy technologies.
- Understand the key elements of the technology's value proposition and how the industry might deploy it to maximum value.
- Survey the various prototypes/proofs of concept and the ones that are moving first to production. both in the U.S. and around the world.
- Understand how to approach experimenting with the technology.
- Gain an understanding of the current challenges.

FUTURE OF BUSINESS

John Spence

Managing Partner
John Spence, LLC

This program addresses the major innovations that will impact not just the business world but the entire world in the next decade. These are not “what if” ideas, but trends, user technologies and innovations that exist today that will grow exponentially over the next decade, fundamentally changing the face of business and the human race. John learned this information from an advanced seminar he attended with more than a dozen of the world’s top thought leaders who are driving this change. Some of the topics include:

- Computer deep learning
- Artificial intelligence
- The Internet of things
- Robotics
- Virtual reality
- Augmented reality
- Genetic decoding and recoding
- Synthetic medicine

The information delivered will greatly challenge the audience to examine their businesses today on how they will have to be positioned in the coming years. If the group is small enough John can assign a workshop where they discuss these major innovations and how they will impact their business. John can also add information on the future of leadership, the future of strategy or how to effectively manage Millennials and Gen Z employees.

INFORMATION SECURITY – AN ANALYSIS OF LEGAL OBLIGATIONS, LEGAL CONSEQUENCES AND BEST PRACTICES

Matthew H. Meade

Shareholder
Buchanan Ingersoll & Rooney

It seems that almost every day we hear reports of another data breach impacting a financial company, hospital, government agency or educational institution. Data breaches are often the result of an escalating series of non-technical failures which include lack of preparation, lack of adequate employee training designed to increase awareness of risky behavior and incomplete or non-existent evaluations and protections involving vendors and other third parties who receive valuable data from the organization. Through this practical and interactive session participants will learn about the following: (1) the importance of a proactive approach to cyber security;

(2) state and federal law issues associated with responding and reacting to a security incident; and (3) litigation and regulatory investigations arising from data breaches. We will conclude with hypothetical incidents where the participants will be able to apply what they learn.

LEARNING OBJECTIVES:

- Developing an understanding of how to work collaboratively with counsel to assess legal risk and respond to a security incident
- Learn to approach cyber as an enterprise wide imperative by ensuring that employees understand the implications of lax cyber security.
- Assess the legal consequences of cyber security failures.
- Building a team that can prepare a comprehensive, thorough and efficient response to a cyber incident.

10:35 a.m. – 12:05p.m.

FLEX CORE – REGULATORY (CHOOSE ONE)

EMERGING REGULATORY ISSUES

CFP ELIGIBLE / CIMA ELIGIBLE

Jesse Hill

Director of Regulatory Relations
Edward Jones

Joan Schwartz

Chief Legal Officer
Pershing, a BNY Mellon Company

This year promises to bring many new emerging regulatory issues to financial services firms. A proactive approach to compliance in identifying and implementing sound business practices, policies and procedures to promote a good working relationship with industry regulators will be even more important in 2018. This course will focus on pending and current rulemaking that will impact the financial services industry, examination priorities for 2018 and best practices for interacting with many types of regulators).

LEARNING OBJECTIVES:

- Share important information on Best Interest Standards and liquidity requirements
- Understand current regulatory examination priorities from the SEC, FINRA and NASAA
- Build awareness of emerging regulatory rulemaking and initiatives
- Understand best practices for developing strong working relationships with industry regulators
- Review the FINRA 360 initiative and initial Report on FINRA Examination Findings

MOCK SECURITIES ARBITRATION**CLE ELIGIBLE****MODERATOR:****Anne Cooney**

Managing Director and General Counsel
Morgan Stanley Wealth Management

PRESENTERS:**Tracy Gerber**

Shareholder
Greenberg Traurig, LLP

Michael Ungar

Partner
Ulmer and Berne, LLP

This session will simulate a real securities arbitration. Participants will watch a condensed proceeding based on common investor disputes, with experienced trial attorneys playing the roles of Claimant's and Respondents' counsel. A discussion of case, and of best practices to prevent litigation and client disputes, will follow. Participants will receive a one page background fact document prior to attending this session.

LEARNING OBJECTIVES:

- Evaluate the pros and cons of this method of dispute resolution, and understand how arbitration differs from court litigation.
- See, up close and personal, the arbitration process from opening statements to conclusion.
- Learn what issues create problems for investors, financial firms, investment professionals and supervisory/compliance/risk and support personnel.
- Learn how to avoid problems that lead to arbitration and keep records to assist in defending claim

REGULATORY ALPHABET SOUP**CFP ELIGIBLE / CIMA ELIGIBLE****Ben Indek**

Partner
Morgan Lewis

Ariel Gursky

Associate
Morgan Lewis

Ideal for: Financial services professionals who do not interact with regulators on a day to day basis, including individuals in human resources, marketing, strategy, finance, and technology.

This interactive discussion will help you make sense of the hodgepodge of regulators (SEC, FINRA, Fed, OCC, NASAA, CFTC, etc.), including each regulator's

jurisdiction, authority, and approach. The session will also describe the current regulatory environment and offer suggestions for best practices for dealing with regulators when the need arises.

LEARNING OBJECTIVES:

- Understand the U.S. regulatory framework
- Learn the mandate and mission of each regulator
- Gain insight into regulators' enforcement processes and philosophy
- Increase awareness of regulatory priorities

REGULATORY JEOPARDY**CFP ELIGIBLE / CIMA ELIGIBLE****Kurt Wachholz**

Executive Consultant
NRS

Ideal for: Customer-facing industry professionals or any participants interested in understanding regulatory controls designed to protect investors.

Whether you are a financial advisor or an individual investor, it is important to understand the how regulations protect investors and contribute to the trust in and stability of our markets. This session provides a broad foundation of regulations that address current investor protection issues. It will be presented as an interactive jeopardy game, exploring five key categories:

- Client disputes – identifying, responding to, reporting and resolving complaints
- Fraud – electronic, Ponzi, identity theft, social media, wire and mail fraud, fraud victims
- Sr. Issues – mental capacity of client and advisor, mandatory reporting
- Regulation of trading markets
- Customer Documentation - what needs to be on the account statements, how often should they be sent, do you need to disclose commission structure, what is needed if a client trades on margin, suitability

LEARNING OBJECTIVES:

- Identify key regulatory areas that impact financial services.
- Understand the importance and intent of these regulations.
- Gain an awareness of basic regulatory requirements in each of these areas.

WHAT IS THE FIDUCIARY STANDARD OF CARE?

CFP ELIGIBLE / CIMA ELIGIBLE

Skip Schweiss

*President of TD Ameritrade Trust Company
Managing Director, TD Ameritrade*

This session will give you a baseline explanation of what is called the “Fiduciary Standard of Care”, the history and evolution, what it means, how it compares to the broker/dealer standards of care, and the effect on our industry. Although interaction and questions are encouraged the presentation is not designed to debate the DOL rule, the SEC role, nor SIFMA’s position.

LEARNING OBJECTIVES:

- Establish a basic understanding of the “Fiduciary Standard of Care” for those who are not exposed to this standard on a routine basis and a baseline for those who are.
- Given such a sweeping change in the industry discuss the risks and benefits of the DOL rule with our clients
- Open discussion of the potential effects of the industry and potential business model changes

12:15 p.m. – 1:15 p.m.

GENERAL LUNCH

12:30 p.m. – 1:15 p.m.

LUNCH WITH THE FACULTY

*Advance sign-up required.

Jeremy J. Siegel, Ph.D.

*Russell E. Palmer Professor of Finance
The Wharton School*

John Spence

*Managing Partner
John Spence, LLC*

1:30 p.m. – 3:00 p.m.

LEADING CHANGE

Dafna Eylon, Ph.D.

*President
Eylon Associates*

In today’s VUCA world change is a constant. Therefore, leaders need to lead change and not just manager a change process. In this session we investigate when change is necessary and how to lead it effectively. Participants identify key leadership roles and opportunities during the process of change as well as obstacles they may encounter and how to overcome them. Using examples, discussion and video clips we also explore how employees experience change, and how leaders can guide them through the change process while providing growth opportunities.

LEARNING OBJECTIVES:

- Identify key leadership roles you can expect to take on for creating effective change.
- Introduce and use a framework to help guide you through the process of organizational change
- Have an effective plan to overcome the challenges of changing people’s behaviors.

3:20 p.m. – 4:50 p.m.

BUILDING TEAMS

John Spence

*Managing Partner
John Spence, LLC*

Working effectively in teams is essential to the success of every firm. Unfortunately, many people don’t really understand what is necessary to build a cohesive team that has strong collaboration, deals with constructive conflict well, and delivers the results the team was tasked to achieve.

Some of the key elements of this workshop include:

- Why teams are so critical to the success of an organization
- The major barriers to building a team
- The key attributes of an “ideal team member”
- How great teams are built, run, and sustained
- Key measurements for team effectiveness

Attendees will leave this session with a greater understanding of how to build and sustain high-performance teams within their organization.

7:00 p.m. – 9:00 p.m.

THURSDAY NIGHT DINNER & RECEPTION

The Story of We the People, the National Constitution Center's main exhibit, guides visitors through milestones in America's history and reveals how the U.S. Constitution is as important today as it was in 1787. Located in the Richard and Helen DeVos Exhibition Hall, the exhibition features three concentric rings of interactive exhibits. The circular shape of the exhibition was chosen, in part, to reflect the enduring presence and influence of the U.S. Constitution.

EXHIBIT HIGHLIGHTS:

- View fascinating artifacts, including a rare copy of the Emancipation Proclamation.
- Engage with interactive touch screens at the American National Tree exhibit to learn about 100 citizens who have shaped America's constitutional history.
- Watch yourself on the big screen as you recite the Presidential Oath of Office.
- Check out Justice Sandra Day O'Connor's actual Supreme Court robe and weigh in on famous cases.
- Experience the Living News theater performance, which brings today's headlines from the page to the stage and encourages audience dialogue.

SIGNERS' HALL

Walk alongside 42 LIFE-SIZE, bronze statues of the Founding Fathers and relive the moment that launched a government ruled by "We the People."

One of the museum's most popular and iconic attractions, Signers' Hall invites you to walk among the Founding Fathers who added their name to the Constitution—as well as those who dissented—on September 17, 1787.

Signers' Hall brings to life the final day of the Constitutional Convention in the Assembly Room of the Pennsylvania State House, now known as Independence Hall. There are numerous famous faces in the room, including George Washington, Benjamin Franklin, James Madison, and Alexander Hamilton. Pose beside your favorite Founding Father for a great photo op!

FRIDAY, MARCH 9, 2018

7:45 a.m. – 8:30 a.m.

GRADUATION BREAKFAST

8:45 a.m. – 10:00 a.m.

THE WASHINGTON UPDATE: AN OVERVIEW OF THE POLITICAL ENVIRONMENT, PROSPECTIVE LEGISLATION, AND STRATEGIES FOR INVESTMENT AND RETIREMENT PLANNING

Andrew Friedman

Principal

The Washington Update

As 2018 begins, investors and businesses are digesting the consequences and nuances of the sweeping Tax Cuts and Jobs Act, passed by Congress at the end of 2017. At the same time, the Trump administration and Republican leadership are readying a number of new initiatives, including instituting a national infrastructure repair program, reducing the scope of the Affordable Care Act, enhancing immigration restrictions, re-prioritizing federal spending, reforming welfare, entitlements, and social “safety net” programs, and continuing the rollback of industry-specific regulations.

Hanging over these efforts are the 2018 midterm elections and the expected release of the Mueller report on possible malfeasance by the Trump campaign, both of which have the potential to alter the administration’s ability to implement its programs.

Andy Friedman, an expert in political and legislative affairs, will address all of these matters in his 2018 presentations. He will focus on the portions of the Tax Cuts and Jobs Act of particular importance to business owners, investors, and financial advisors, pointing out which individual situations and economic sectors are likely to fare well, or poorly, under the legislation. He will consider the extent to which Congress will adopt the President’s legislative initiatives, and how those initiatives are likely to affect the economy, the markets, industry sectors, and investments. And he will consider how the outcomes of the Mueller investigation and the 2018 elections may alter the administration’s ability to implement its far-reaching policies.

Andy also will discuss the extent to which the administration is likely to overturn or soften regulatory initiatives, including the controversial Department of Labor regulation imposing new fiduciary obligations on financial advisors.

Along the way, Andy will provide strategies that investors and financial advisors can consider to take advantage of (or protect against) market volatility arising as these initiatives progress, as well as specific strategies for investment, wealth transfer, and retirement planning.

10:00 a.m. – 11:00 a.m.

DISRUPTIVE LEADERSHIP: THRIVING IN AN ERA OF CONSTANT CHANGE

Luke Williams

International Best-Selling Author

Professor of Innovation and Executive Director of the W.R.

Berkley Innovation Labs

NYU’s Stern School of Business

What does it take to be a disruptive leader? Do you need to be a brilliant agitator like Steve Jobs? A driven workaholic like Tesla’s Elon Musk? Sure, CEOs like that get a lot of press, but there’s more to success than being loud and charismatic. Truly disruptive leaders are like Master Chefs on a cooking show, always looking for ways to take existing ingredients and combine them in unique ways.

Those new recipes are a type of investment capital: the more you have, the better. Of course, not all will succeed. But disruptive thinking and leadership is less about the success of any one idea and more about putting your business in a position where you have more new ideas to spend than your competition does. Most importantly, being a disruptive leader is about creating a culture where everyone values new recipes. Because if you want to build a disruptive organization, you first have to build more disruptive leaders.

MONDAY ELECTIVES

*Advance sign-up required

MONDAY, MARCH 5, 2018

10:35 a.m. – 12:05 p.m.

BLUE OCEAN STRATEGY WORKSHOP

(Also offered Wednesday at 1:30pm and 3:20pm)

*Year 3 Students Only

Roch Parayre, Ph.D.

Partner, Leadership Consulting
Heidrick & Struggles
Teaching Fellow
The Wharton School

Ideal for: Decision makers or others who develop or implement strategic decisions.

In today's economic climate, most organizations compete in red oceans, stained by the blood of competition. We fight for market share, try to maintain prices, and execute more efficiently than others. Blue Ocean Strategy suggests an alternative. It urges us to explore how we can make our value offering so distinctive that we find the blue waters of new, uncontested market space... and make the competition irrelevant. It offers a systematic approach to creating that new market space. In this workshop, we will introduce the Blue Ocean methodology, and teams will work to map a creative, visual exploration of new market opportunities against current industry realities. Tools covered will include the Pioneer-Migrator-Settler Map, The Strategy Canvas, The Buyer Experience Cycle, and The Six Paths for Exploring new market space.

LEARNING OBJECTIVES:

- Understand the Blue Ocean Strategy framework, and the core tools associated with it.
- Develop a deeper customer-centric view of the industry and its offerings.
- Identify obstacles to strategic innovation.

BUILDING EFFECTIVE NETWORKS

Jeff Klein

Executive Director
Anne and John McNulty Leadership Program
Lecturer
The Wharton School
School of Social Policy and Practices, UPenn

Building effective networks provides participants an opportunity to understand their networks through the lens of strong, weak, and dormant ties, and to think about effective strategies to build and sustain a powerful network.

COLLABORATION SKILLS DEVELOPMENT

(Also offered Monday at 2:50pm)

*PLEASE BE ADVISED THAT THIS IS SESSION IS HIGHLY INTERACTIVE AND PARTICIPANTS WILL BE ON THEIR FEET FOR A LARGE PORTION OF THE SESSION

Bobbi Block

Instructor

The Wharton School

Ideal for: General Audience

In this experiential session, participants will discover techniques to improve their collaborative relationships. The session explores practical, applicable skills for increasing the ability to effectively communicate with others — to hear and be heard. The atmosphere of the session is lighthearted and fun, utilizing activities developed from traditional and non-traditional training methodology, including exercises based in improvisational theater training. No one is singled out — all exercises are performed in large or small groups. The facilitator creates a comfortable atmosphere in which all participants are supported and encouraged. Every exercise has a specific objective and will be debriefed to maximize its application to the participants' business-place needs.

LEARNING OBJECTIVES:

- Increase effectiveness in workplace collaboration by recognizing one's strengths and challenges.
- Recognize and capitalize on a group's similarities and differences.
- Increase awareness of one's ability to be "present," focused and energized while working with others.
- Explore listening skills.
- Practice letting go of one's agenda and building upon others' ideas.
- Explore the concept of 'true collaboration' in equal partnership toward reaching a goal.
- Explore the concepts of 'Perception trumps Intention' and 'Emotional Congruency builds Trust'.
- Explore the benefits of risk-taking and recovery from mistakes.
- Collaboratively innovate.
- Increase confidence in spontaneous behavior.

COMMUNICATION STYLE

(Also offered Wednesday at 3:20pm)

Anne Greenhalgh, Ph.D.

Deputy Director

Anne and John McNulty Leadership Program

Adjunct Professor of Management

The Wharton School

Do you prefer to communicate directly, emphasize facts over feelings? Are you more animated in your delivery? Do you take your listener's feelings into account? Do you like to think first and then speak? Whatever your preference, what impact does your communication style have on others in the workplace whether one-on-one or in group meetings? How can you make the most of assets and downplay the liabilities of your communication style? Complete the HRDQ What's My Communication Style questionnaire as pre-work, and this session will help you identify your dominant communication style and give you the opportunity to see your style in action so that you can make the most of assets and downplay liabilities. By the end of the session, you will have a greater appreciation of the impact of communication style on interpersonal relationships and results.

LEARNING OBJECTIVES:

- Understand key dimensions of communication style.
- Identify individual preferences.
- Practice making the most of assets and downplaying liabilities.

CONNECTED STRATEGIES*(Also offered Monday at 2:50pm)***Nicolaj Siggelkow, Ph.D.***David M. Knott Professor of Management
The Wharton School*

We are observing a current trend that has the potential to fundamentally transform a range of industries. Rather than having episodic interactions with customers, firms connect to customers in a continuous way, providing services and products as the needs of customers arise. Consider a few examples: Healthcare providers are moving from having only interactions when an urgent need arises to a “connected healthcare” model with continuous monitoring of patients. Software is increasingly moving from being installed on computers to software-as-a-service, and even the educational system is questioning whether spending multiple years on-campus can be replaced by providing students the required knowledge when needed, e.g., through on-line learning modules. At the same time, many firms are changing how suppliers are connected to customers. Firms such as Kickstarter, Venmo, Uber, and Airbnb, create connections, and thereby markets, where none had existed before. Most of these innovations are “business model” innovations that rely on recent technological advances. We identify how these new business models create value and categorize them into different models. We discuss the implications for both new entrants and existing firms in these industries.

LEARNING OBJECTIVES:

- Understand how firms are creating deep, connected relationships with customers
- Understand a range of business models that arise from new connections between customers and suppliers
- Use the tools to create a connected strategy for your own organization

DESIGN THINKING**Sarah Rottenberg***Adjunct Assistant Professor of Design
University of Pennsylvania*

Design Thinking describes a set of processes and techniques that designers use to solve complex problems and invent new products, services, businesses or systems. The session will introduce the basic elements of design thinking, including empathy, ideation, and iteration and provide examples of how to use those techniques to develop new products and identify new business opportunities. Participants will learn a human-centered approach for generating and evaluating new ideas and will identify opportunities to apply that process in their daily work.

LEARNING OBJECTIVES:

- Attendees will be familiar with design thinking and learn how and when to apply the process
- Learn how to develop empathy with end users and translate needs into innovative ideas
- Practice ideation and rapid prototyping techniques for generating better ideas faster

ESG AND IMPACT INVESTING IN TODAY'S MARKETS

CFP ELIGIBLE / CIMA ELIGIBLE

Christopher Geczy, Ph.D.*Adjunct Professor of Finance
Academic Director, The Wharton Wealth Initiative
Academic Director, Jacobs Levy Equity Management
Center for Quantitative Financial Research
The Wharton School*

Impact and ESG investing has skyrocketed in popularity with investors worldwide. But many people don't realize how wide-ranging these disciplines have become. Twenty years ago it was stock or occasionally other portfolios which screened companies in or out based on their social investing characteristics. Today, ESG and social-impact oriented strategies include new products and asset classes, influencing corporate governance through shareholder activism, Corporate Social Responsibility, Donor-Advised Funds, and bold for-profit approaches to helping the poor in the developing world.

This session provides an overview of the most important ESG and impact-investing concepts and styles and a look at whether investment return need be sacrificed for social benefit. It offers a high-level view of the products and strategies now permeating not only institutional, but retail investing as well.

FINDING NEW GROWTH OPPORTUNITIES

Jim Austin

President

JH Austin Associates, Inc.

In the bestselling book, *In Search of Excellence: Lessons from America's Best Run Companies* (Peters), 43 “best-in-class” companies were profiled some 35 years ago. Of the 32 public-traded entities, only eight subsequently surpassed the growth rates of their peer group while six disappeared in the intervening years—and these were the “best-run” companies! In the decade after *Built to Last* (Collins) was published, 8 of the profiled 18 companies were in trouble, growing slower than their peer group. As Steve Lohr writes in an article on Microsoft, “One of the evolutionary laws of business is that success breeds failure; the tactics and habits of earlier triumphs so often leave companies—even the biggest, most profitable and most admired companies—unable to adapt.” Clearly, sustained competitive advantage, Michael Porter’s definition of “strategy”, is difficult to attain. In this highly interactive seminar, Mr. Austin will outline key frameworks for identifying innovative, new avenues for growth.

LEARNING OBJECTIVES:

- Understand the difference between “inside-out” vs. “outside-in” thinking and what it means to be “customer-centric”.
- Identify obstacles to strategic growth and approaches for overcoming.

NEGOTIATION

(Also offered Wednesday at 1:30pm)

Eric Max

Lecturer

The Wharton School

The Negotiation Workshop is fun and very interactive. It will utilize simulations to highlight key concepts and skills. Participants will conduct mock negotiations and then discuss what occurred. The workshop is intended for those who would like to improve their negotiation skills as well as those who are already accomplished negotiators.

LEARNING OBJECTIVES:

- How to identify your negotiation style
- Negotiation ethics
- Opening offers and counter-offers
- How to build trust and communicate in a negotiation.

THE POWER OF A BRAND

Keith Niedermeier, Ph.D.

Director of the Undergraduate Marketing Program

Adjunct Assistant Professor of Marketing

The Wharton School

Ideal for: Sales and sales management professionals, financial advisors, and wealth managers seeking to strengthen personal and corporate brand to gain more customers.

This session focuses on establishing brand and reputational awareness, creating a differentiated value proposition, and understanding brand positioning. We will also touch on client psychology and segmentation. The goal is to understand and analyze brand as a key element needed to build an actionable marketing plan for you and your team.

LEARNING OBJECTIVES:

- Take control of your brand
- Understand the needs of your customers
- Market you and your team in the best possible way

10:35 a.m. – 4:20 p.m.*

*ELECTIVES IN THIS TIME FRAME SPAN BOTH THE MORNING AND THE AFTERNOON.

ATTENDANCE IS REQUIRED FOR BOTH PART 1 & PART 2.

MASTERING STRESS, RESILIENCE AND CHANGE

Andrew Bernstein

President & CEO

Resilience Academy

What if your entire understanding of how stress works is wrong?

In this eye-opening interactive session, you’ll see how stress research pioneers made a fundamental error when formulating the stress concept, and why this has had disastrous consequences on the way we live and work today.

Then you’ll learn the truth about where stress really comes from, and discover a powerful approach to taking apart personal and professional challenges faster, without jargon, stigma, or “touchy-feeliness.” This process has been beloved by thousands of skeptical, Type A financial services leaders because it’s smart, it’s simple, and it works.

All participants will receive a three-month pass to ResilienceAcademy.com and a paperback copy of *The Myth of Stress* after the session to continue the learning journey.

LEARNING OBJECTIVES:

- Understand how stress really works, and why we've misunderstood it for so long.
- See why stress management techniques like breathing, exercise, and meditation tend to produce only temporary results.
- Discover why there's no such thing as a stressor.
- Learn a flexible 7-step framework for transforming challenges faster so you can maintain a high-performance mindset in the face of change.

Attendees will also receive a special three month All-Access pass to the Resilience Academy — a unique online platform that helps you continue to build your resilience skills privately and conveniently once you return to daily life — as well as a paperback copy of *The Myth of Stress* to take home.

THE OUTTHINKER PROCESS

Kaihan Krippendorff, Ph.D.

Founder
Outthinker LLC

Ideal for: General Audience

Accelerating technological change, digitization, globalization, and growing complexity are pushing traditional strategic planning approaches past their limits. Nowhere is this more critical than in financial services which is facing historic disruptions from the rise of distributed-ledger and big data to automation and crowd-funding, all within the context of significant regulatory uncertainty. In this program, you will learn how to apply a more agile, innovative strategic process to engage your team and unlock hidden growth opportunities.

LEARNING OBJECTIVES:

- Learn a five-step process to drive more innovative strategic thinking.
- Understand the emerging strategies adopted by companies thriving in today's agile, digital, purpose-driven environment.
- Produce several concrete strategies to grow your business, team, or unit.

STRATEGIC PERSUASION: ART OF WOO

(Also offered on Wednesday)

Lauren Hirshon

Director of Operations and Development
Harvard University

This workshop will help strengthen your influence and persuasion skills -- skills you need to win support for important initiatives, achieve organizational alignment, and implement strategies. Through a series of interactive discussions and role-plays, you will answer four key questions: What are the steps that led to buy-in? What is your communication style and how do you use to engage stakeholders? How do you make your ideas simple and compelling? How do you generate lasting commitment? The workshop content is drawn from the book *The Art of Woo: Using Strategic Persuasion to Sell Your Ideas* (Portfolio/Penguin), co-authored by G. Richard Shell and Mario Moussa. This class will require pre-work to be completed prior to the participants' arrival.

LEARNING OBJECTIVES:

- Learn about the six channels of influence and how to use them effectively.
- Optimize each message so it appeals directly to your counterpart's style and interests.
- Measure your progress on real problems you bring to the program and see immediate results.
- Map the political landscape of your organization to see where the landmines are buried and where your allies can help you.
- Experience enhanced self-awareness, including emotional intelligence.
- Enhance the ability to assemble winning coalitions.

Participants will be asked to complete a survey and to read a chapter of "The Art of Woo" prior to attending this session.

2:50 p.m. – 4:20 p.m.*

COLLABORATION SKILLS DEVELOPMENT

(Also offered Monday at 10:35am)

*PLEASE BE ADVISED THAT THIS IS SESSION IS HIGHLY INTERACTIVE AND PARTICIPANTS WILL BE ON THEIR FEET FOR A LARGE PORTION OF THE SESSION

Bobbi Block

Instructor

The Wharton School

Ideal for: General Audience

In this experiential session, participants will discover techniques to improve their collaborative relationships. The session explores practical, applicable skills for increasing the ability to effectively communicate with others — to hear and be heard. The atmosphere of the session is lighthearted and fun, utilizing activities developed from traditional and non-traditional training methodology, including exercises based in improvisational theater training. No one is singled out — all exercises are performed in large or small groups. The facilitator creates a comfortable atmosphere in which all participants are supported and encouraged. Every exercise has a specific objective and will be debriefed to maximize its application to the participants' business-place needs.

LEARNING OBJECTIVES:

- Increase effectiveness in workplace collaboration by recognizing one's strengths and challenges.
- Recognize and capitalize on a group's similarities and differences.
- Increase awareness of one's ability to be "present," focused and energized while working with others.
- Explore listening skills.
- Practice letting go of one's agenda and building upon others' ideas.
- Explore the concept of 'true collaboration' in equal partnership toward reaching a goal.
- Explore the concepts of 'Perception trumps Intention' and 'Emotional Congruency builds Trust'.
- Explore the benefits of risk-taking and recovery from mistakes.
- Collaboratively innovate.
- Increase confidence in spontaneous behavior.

CONNECTED STRATEGIES

(Also offered Monday at 10:35am)

Nicolaj Siggelkow, Ph.D.

David M. Knott Professor of Management

The Wharton School

We are observing a current trend that has the potential to fundamentally transform a range of industries. Rather than having episodic interactions with customers, firms connect to customers in a continuous way, providing services and products as the needs of customers arise. Consider a few examples: Healthcare providers are moving from having only interactions when an urgent need arises to a "connected healthcare" model with continuous monitoring of patients. Software is increasingly moving from being installed on computers to software-as-a-service, and even the educational system is questioning whether spending multiple years on-campus can be replaced by providing students the required knowledge when needed, e.g., through on-line learning modules. At the same time, many firms are changing how suppliers are connected to customers. Firms such as Kickstarter, Venmo, Uber, and Airbnb, create connections, and thereby markets, where none had existed before. Most of these innovations are "business model" innovations that rely on recent technological advances. We identify how these new business models create value and categorize them into different models. We discuss the implications for both new entrants and existing firms in these industries.

LEARNING OBJECTIVES:

- Understand how firms are creating deep, connected relationships with customers
- Understand a range of business models that arise from new connections between customers and suppliers
- Use the tools to create a connected strategy for your own organization

DISRUPT BY DESIGN: BECOMING A BETTER INNOVATOR

Andrew Pek

Founder

DxD Partners Inc.

Adjunct Professor

Cornell University-Johnson Business School

DISRUPT BY DESIGN™ is an energetic exploration of the core capabilities and conditions that leaders cultivate to make strategic, creative and design thinking behavior translate into business, customer and organizational innovation. The course is a playful, practical and easy-to-use approach to helping leaders and entrepreneurs create a culture of innovation and achieve breakthrough results more consistently.

We live in a complex world with many challenges that are calling for an innovative response. None of these challenges lend themselves to easy or quick solutions. DISRUPT BY DESIGN™ is an approach to leadership and new ventures that considers the relationship between the individual parts of an organizational system (internal and external perspective) and how the actors (customers, regulators, suppliers, workforce, etc.) can be best combined and leveraged to achieve disruptive and fast breakthroughs.

The good news is that DISRUPT BY DESIGN™ is a learned behavior and mindset that will help breakthroughs become more frequent, ideas be more impactful and commercial success more likely. When leaders take a strategic pause and immerse themselves, for instance, in the experience a customer may have with their company's products, the leader(s) are more apt to identify unmet needs and generate opportunities for innovation.

LEARNING OBJECTIVES:

- How to apply multiple design tactics (customer, business and organizational) to drive meaningful innovations that are desirable to the end-user, doable by the organization and commercially viable (delivers profit/value)
- How to cultivate a disruptive mindset and anticipate or adapt to external forces of change (market, technological, social and environmental) more effectively
- How to apply a 'turn-key' approach to innovation that blends both "disruptive and design" thinking methods to make innovation an everyday habit

DOING WELL BY DOING GOOD: SOCIAL WEALTH CREATION THROUGH ENTREPRENEURSHIP

James D. Thompson, Ph.D.

Co-Founder and Director, Wharton Social

Entrepreneurship Program

Adjunct Associate Professor at the School of Social Policy and Practice

The Wharton School

Entrepreneurship and entrepreneurial thinking can serve as vehicles to confront social problems. When successfully deployed, such initiatives not only generate positive financial returns, but also positive social impact. This session will cover key concepts in social entrepreneurship and will reference links to corporate social responsibility, entrepreneurship, and innovation. It is relevant for any industry, including non-profit organizations.

LEARNING OBJECTIVES:

- To understand key principles of Social Entrepreneurship,
- To highlight links between entrepreneurial thinking, innovation, & Social Impact,
- To understand broader roles larger organizations can play in societal improvement.

THE ETHICS OF TECHNOLOGY-ASSISTED ADVISING

Julie A. Ragatz

Director of the Center for Ethics in Financial Services

American College of Financial Services

The current structure of the financial services industry has been identified as an obstacle to providing financial advice to the large segments of the American public. Robo-advisors were introduced as an efficient, scalable way through which to deliver financial advice to these groups. However, it is unlikely that this will prove to be 'silver-bullet' many hoped. Moreover, the use of the technologically-directed decision processes, including the use of algorithms and data profiles created by 3rd party providers, raise ethical problems that have not been addressed. Even if robo advising is not the 'silver bullet' – technology-assisted advising will change the nature of the industry. What could these changes look like?

LEARNING OBJECTIVES:

- Identify the ethical challenges embedded in different components of technologically-directed decision making.
- Consider potential solutions to these ethical challenges and how they could be implemented to extend the reach of financial services organizations

EXECUTION AND DRIVING CHANGE

(Also offered Wednesday at 3:20pm)

Jim Austin

President

JH Austin Associates, Inc.

High performance requires effective execution and, for many organizations, change management. Unfortunately, major change efforts have a dismal track record. In multiple studies, highlighting the experiences of hundreds of companies initiating large-scale changes, the overwhelming results are poor. For example:

- John Kotter's seminal research in the field of change management half a century ago revealed that only 30% of change programs succeed.
- A 2008 global IBM study of major change initiatives found that only 41% fully met their objectives, while 44% missed their budget, time, or quality goals, and 15% were seen as total failures.
- In 2013, a report that aggregated over 6,000 senior executive surveys revealed that 70% of change efforts fail to achieve their target impact.

As the Harvard Business Review's editor articulated so well in discussing why so many transformation efforts fail: *"...no business survives over the long term if it can't reinvent itself. But human nature being what it is, fundamental change is often resisted mightily by the people it most affects: those in the trenches of the business. Thus, leading change is both absolutely essential and incredibly difficult"* (Kotter 2007).

LEARNING OBJECTIVES:

- Understand a 3-step process for driving execution; and
- Improve the capacity to lead change.

THE GLOBAL ECONOMY IN THE ERA OF TRUMP: DRIFT OR MASTERY?

(Also offered Wednesday at 3:20pm)

CFP ELIGIBLE / CIMA ELIGIBLE

Paul Tiffany, Ph.D.

Senior Lecturer, Haas School of Business
University of California, Berkeley

The US elections of 2016 have created a potentially massive shift in American policy, both domestic and global. The new President has staked out positions radically different from those of the post-World War II "Washington Consensus," and as such has created uncertainties for political and economic decision-makers worldwide. However, one must ask whether President Trump created this situation—or was he simply the predictable outcome of a shifting global reality in which prior values and beliefs no longer hold? This session

will explore recent upheavals in the world economy that have led to the current challenge, focusing on the major geographic regions and their issues and problems. We will conclude with a consideration of potential outcomes for the years ahead, and what implications they hold for both US firms as well as its citizens in the era of President Trump. Participant discussion will be strongly encouraged.

LEARNING OBJECTIVES:

- To inform participants of the broader economic and political global trends of the recent past and how these may affect the direction of the American economy in the 21st Century going forward.
- To attempt to put the current political situation in America into a framework that can provide insight to potential economic shifts in the world economy.
- To stimulate participant thinking about how the changing global political-economic environment will affect economic progress in the United States in the coming decades.

LEADERSHIP AND FOLLOWERSHIP

(Also offered by Greg Shea on Wednesday at 1:30pm)

Jeff Klein

Executive Director

Anne and John McNulty Leadership Program

Lecturer

The Wharton School

School of Social Policy and Practices, UPenn

Leadership and Followership examines the relationship between the leaders and followers to explore what followers need from their leaders, what exemplary followership looks like, and what kinds of authority makes leaders powerful.

LEADERSHIP PRESENCE

Quinn Bauriedel

Speaker, Pig Iron Theater Company
The Wharton School

True presence is a highly-sought after and crucially important skill for the modern executive. Successful leaders in every field have that rare combination of confidence, charisma, self-awareness and inspiration. Easily seen and difficult to describe, stage presence or leadership presence is an attribute that we all feel is something which would make us better leaders. It is the ability to authentically connect with and engage audiences. Presence is a skill that we need in one-on-one encounters as well as when presenting to 1000 people. True presence allows us to read the room and to lift audiences away from the many distractions that are a part of everyday life in order to inspire, persuade and build momentum toward a strong vision. It brings people from the ordinary into the extraordinary. While some might argue that presence is an innate quality, this workshop will prove otherwise as we demystify the building blocks of presence and train ourselves to strengthen our own engagement with audiences. By learning to be more “present,” participants will understand how to be more motivational as a leader, more convincing as a negotiator and more open and honest as a team member. This workshop develops a practical toolkit for leaders to continue working on their presence and their ability to communicate their vision and their story long after the workshop has ended.

LEARNING OBJECTIVES:

- To strengthen one’s own Leadership Presence and ability to motivate and inspire others.
- To develop an authentic presentation style.
- To recognize and overcome individual habits when connecting and engaging with audiences.

MEANINGFULNESS OF WORK & THE MEANING OF WORK

Drew Carton, Ph.D.

Assistant Professor of Management
The Wharton School

When we believe that our work is meaningful, we feel that it has broader significance. Yet most employees — about 70% — do not find their work be meaningful.

In this session we will consider a number of actionable tactics that we can employ to help ourselves and others experience a greater sense of significance at work.

LEARNING OBJECTIVES:

- Understand different ways that employees approach work, including approaches that yield the most meaning
- Learn the downsides that occur when people experience the greatest amount of meaning
- Learn how to better help other people feel a sense of purpose at work

PLAYING TO YOUR STRENGTHS

Anne Greenhalgh, Ph.D.

Deputy Director
Anne and John McNulty Leadership Program
Adjunct Professor of Management
The Wharton School

Ideal for: General Audience

Your reputation precedes you. How do others see you at work? Are you perceived as cool, calm, and collected? Emotionally expressive? Competitive? A team player? Sociable? Independent? A people person? Task-focused? Conscientious? Willing to take a risk? Imaginative? Practical? Do you seem to prefer formal education or hands-on learning? How do these perceptions about you play out when you face an issue, problem, or adversity at work? What consequences do they have for better or worse? Complete the Hogan Personality Inventory as pre-work, and this session will give you the opportunity to see yourself as others see you, reflect on your strengths, and consider how to make the most of strengths and downplay liabilities.

LEARNING OBJECTIVES:

- See yourself as others see you.
- Reflect on the assets of your personality and recognize the liabilities.
- Learn how to make the most of strengths so that weaknesses pale by comparison.

INDUSTRY ELECTIVES

*Advance sign-up required.

WEDNESDAY, MARCH 7, 2018

10:35 a.m. – 12:05 p.m.

CENTRAL BANKING IN A GLOBAL CONTEXT

CFP ELIGIBLE / CIMA ELIGIBLE

Peter Conti-Brown, Ph.D.

*Assistant Professor, Department of Legal Studies and Business Ethics
The Wharton School*

Central banks have come to be regarded as the “only game in town” for economic policy-making. But what are these curious institutions, where did they come from, and where are they going? This session analyzes these and related issues by providing a brief history of central banking and focusing on the ways that central banks today and in the future will dominate the landscape for banking and finance the world over. The focus will be on the U.S. Federal Reserve System, the European Central Bank (and its predecessors), and the People’s Bank of China.

CHINA: FUTURE PROSPECTS AND THEIR ECONOMIC IMPLICATIONS FOR THE U.S.

CFP ELIGIBLE / CIMA ELIGIBLE

Paul Tiffany, Ph.D.

*Senior Lecturer, Haas School of Business
University of California, Berkeley*

Ideal for: Participants who want to improve their appreciation of and insights regarding the current political economy of the Peoples Republic of China, and the relationship between that nation’s recent economic expansion and prospects for the future of the United States of America.

The rise of China since the 1990s has been the most significant economic event in the world in recent times. However, the 2016 election in the US has created great uncertainty about how we will respond as a nation in the coming years to China’s political and economic evolution. This elective session will first briefly review the remarkable rise of the Chinese economy from the rise of Mao in the mid-20th Century into the current era of the early 21st Century. We will focus on the historical roots of that transformation, and how these have shaped the current attitudes and perspectives of the Chinese leadership towards economic priorities, growth, and relations with its off-shore business entities. We will then turn specific attention to the prospects for future political-economic relations between the PRC and the USA as the “American Century” winds down and an aggressive new President with a stated Chinese agenda takes the helm—while in China a transformative President appears determined to raise that country to global preeminence. Participants will be challenged to consider how the many benefits of “doing business with China” for American firms must be balanced against the ultimate ends and goals of that nation as they relate to the value proposition of the United States—which includes respect for democracy, free markets, and human rights-- and its own ambitions in the decades ahead.

LEARNING OBJECTIVES:

- Have a better understanding of the evolution of the contemporary Chinese economy and how that historical development has shaped the attitudes and perspectives of China’s leadership toward business and investment activities within the country, and abroad.
- Increase their awareness of the opportunities and threats posed to US-based investors who choose to operate within the confines of the Chinese economy today.
- Better comprehend the looming challenge that China represents to the long-standing hegemony of the United States as the world’s leading nation-- and what implications for America stem from the recent “rise of China.”

CONSUMER FACING TRENDS IN FINANCE

Kartik Hosanagar, Ph.D.

John C. Hower Professor of Technology and Digital Business
Professor of Marketing
The Wharton School

The rapidity of technological innovation has changed the way financial services are conceived, delivered, and analyzed. The focus of this session will include a review of c. The session will then focus on two specific sectors, namely payment technologies and automated investment management to highlight some of these trends and how they are reshaping industries.

LEARNING OBJECTIVES:

- To understand trends in how consumers leverage Internet tools, social trends and personalization of finance.
- Understand emerging payment technologies and automated investment management technologies.

EMERGING MARKETS

CFP ELIGIBLE / CIMA ELIGIBLE

Candice Tse

Vice President, Strategic Advisory Solutions
Goldman Sachs Asset Management

This session will focus on our latest market and economic perspectives on the Emerging Markets. Emerging market equities posted their strongest gains +37.5% in US Dollar terms since the 2009 bounce back. With the strong performance of emerging market assets in 2017, investors wonder if this trend is sustainable.

Emerging Markets underperformed Developed Markets from 2011 until the beginning of 2016, against the backdrop of excessive valuations, economic pressures from imbalances, slowing growth, and high investor expectations. Progress on these fronts created attractive opportunities across Emerging Markets in both equity and debt over the course of the last two years. With the solid performance across Emerging Markets, investors question whether conditions remain supportive moving forward. In our view, Emerging Markets remain a key driver of global growth over the longer term. Although, there will be differentiation at the country, sector, and, stock level, we continue to believe that exposure to the Emerging Markets across assets should be a critical part of investors' strategic long term asset allocation.

LEARNING OBJECTIVES:

- Explore the current state of the Emerging Markets and the implications from central bank action, China, and US policy.
- Understand what has driven the strong performance in Emerging Markets over the last two years
- Examine trends that may continue to fuel growth going forward.

FACTOR BASED INVESTING

CFP ELIGIBLE / CIMA ELIGIBLE

Christopher Geczy, Ph.D.

Adjunct Professor of Finance
Academic Director, The Wharton Wealth Initiative
Academic Director, Jacobs Levy Equity Management
Center for Quantitative Financial Research
The Wharton School

Most financial professionals recognize that asset allocation, long a predicate of portfolio construction, dynamics, implementation, monitoring, and rebalancing, is a fundamental determinant of investment risk and return. However, many asset classes are highly correlated and respond to common sources of risk, return, correlation and other characteristics known as investment factors. Long understood as comprising the building blocks of investment performance in academia and the buy-side, factor-based investing is now becoming democratized and increasingly present and available in broader circles. This session will define factor-based investing, present evidence on the existence of factors in returns, and how factors, factor betas, and factor premia may be used to create portfolios and to assess investment performance. Covered will also be how factor-based investing relates to traditional active management, the "new" definitions of alpha and beta, implications for multi-asset class investing, the advent of smart-beta strategies as well as their implications for investing with alternatives.

LEARNING OBJECTIVES:

- Define factor based investing and how it relates to asset allocation
- Explain how factors relate to both active and passive investing strategies
- Explain how factor-based strategies relate to alpha, beta and so-called smart beta and alternative investments
- Describe several practical implementation methodologies for incorporating factor-based approaches into portfolios

FINANCE FOR THE NON-FINANCIAL EXECUTIVE

CFP ELIGIBLE / CIMA ELIGIBLE

Mary Kay Scucci, Ph.D., CPA

Adjunct Professor

Columbia University, School of International and Public Affairs

Managing Director

SIFMA

Finance aims to price assets based on their risk level and their expected rate of return. The course will sharpen non-financial executive's comprehension of financial insights including M&A and risk management at a high level. Participants of this program will explore techniques to assess the desirability and value of investment projects, corporate assets and acquisitions. This session is designed for executives with a basic knowledge of accounting principles who want to develop their financial knowledge to effectively communicate with CFOs and financial executives.

LEARNING OBJECTIVES:

- Participants will have an understanding of the most critical financial decision tools used within their firms which provide an indication of the value and magnitude of an investment (i.e., NPV), an indication of the efficiency or yield of an investment (i.e., IRR) and market-based comparisons.
- Participants will have an understanding of the role finance plays in selected financial products within the financial services industry.

FOREIGN EXCHANGE MARKETS

CFP ELIGIBLE / CIMA ELIGIBLE

Gordon Bodnar, Ph.D.

Morris W. Offit Professor of International Finance

Director of the International Economics Program

Director of the Master of International Economics and Finance Degree

Paul H. Nitze School of Advanced International Studies (SAIS)

The Johns Hopkins University

Review and discuss the basics of exchange rate market: terminology, institutional features, common contracts, and market size and structure. Introduce concepts such as effective exchange rates, cross currency rates and dealing with pricing in a dealer market. Link the FX

markets with the offshore money markets and summarize equilibrium market view for current and future exchange rates, interest rates and expected future macroeconomic conditions. This session lays the groundwork for understanding how the FX markets work.

LEARNING OBJECTIVES:

- To understand exchange rates and their quotation
- To be able to calculate an effective exchange rate index
- To gain intuition of equilibrium conditions that tie together exchange rates, interest rates and future macroeconomic conditions.

FUNDAMENTALS OF SECURITIES OPERATIONS

CFP ELIGIBLE / CIMA ELIGIBLE

Thomas Gooley

Managing Director

LPL Financial

Ideal for: Non-operations professionals in the securities industry.

This course provides a broad and basic perspective of brokerage operations covering Global Markets across a range of products, functions and services. Topics will include the life cycle of securities transactions from execution through clearance/settlement and custody, as well as critical client service and operations risk management functions. Operations will be discussed from both a macro industry perspective and the inner workings of individual broker/ dealers.

LEARNING OBJECTIVES:

- Develop a basic understanding of brokerage operations.
- Describe the life cycle of a standard trade in Fixed Income and Equities.
- Understand how regulations impact the brokerage industry.

GENERATING CASH FLOW FOR RETIREMENT: CAVIAR OR CAT FOOD?

CFP ELIGIBLE / CIMA ELIGIBLE

Bryan Piskorowski

Managing Director, Director of Markets & Product Strategy
Wells Fargo Advisors, LLC

In theory, retirement begins on the day an employee receives their last paycheck—that is also the day that they begin to looking at their investments differently. The paycheck is, in essence, an investment safety net and one that no longer exists for a retiree. Shifting demographics, elongated lifespans, increasing inflation expectations, the decline in pensions, and secular changes in the interest rate environment are just some of the issues forcing the financial services industry to redraw the playbook for retirement income. This session will explore the differences between the accumulation and distribution phases of the investing cycle. It will detail the history of retirement cash flow generation and introduce a new, more diversified approach using a wide array of investment solutions available in today's marketplace. With more than \$2.5 trillion in self-managed 401k assets preparing for rollover in the next decade, professional advice has never been more needed. For many, particularly the underfunded, it could be the difference between eating caviar or cat food.

LEARNING OBJECTIVES:

- Differentiating strategies for asset accumulation versus distribution
- Equities—the difference between dividend producers and dividend growers
- Fixed income investing in a low interest rate environment
- Alternative income: Real Estate Investment Trusts (REITs), Master Limited Partnerships (MLPs) and Business Development Companies (BDCs)
- Impact of annuities on retirement cash flow and portfolio construction

THE JOB MARKET: UNDEREMPLOYMENT NOW AND IN THE FUTURE

CFP ELIGIBLE / CIMA ELIGIBLE

Jeff Rosensweig, Ph.D.

Director, John Robson Program for Business, Public Policy, and Government
Goizueta Business School at Emory University

We will analyze different gauges on the Federal Reserve's "job market dashboard." The U.S. now exceeds 'full employment' as commonly defined and measured by the official unemployment rate. However, other metrics do not indicate full employment, even for prime-age workers. We will show and analyze four forms of underemployment. We will discuss the possibility that there is still slack in the labor market that could account for the slow wage growth the US economy is still generating.

This session will engage participants by analyzing the future of various industries' job markets, in an economy increasingly impacted by global forces, automation and robotics, machine learning, AI, disruption, and the gig economy. Prime learning objectives include deepening an understanding regarding key questions for the future of the job market. Will robots and self-driving vehicles take many jobs? If so, what are the new jobs of the future? How do we train people for possible new careers? If there will not be enough demand for labor, what can leaders do to help displaced workers? We will analyze a Universe Basic Income (UBI) and the pros and cons of using it.

LEARNING OBJECTIVES:

- Financial professionals need to understand the dynamics of the economy and financial markets. Specifically, understanding the impact of the economy on employment, and the role of the job market and its performance on financial markets, is crucial. This session aims to heighten understanding of job market linkages with the economy and with financial markets.
- The performance of the US job market, and the degree of underemployment or "slack," has been the subject of intense analysis by economists, financial professionals, and policymakers since the financial crash of 2008. An objective here is to discuss the metrics used by experts to analyze the job market and its practical impacts.
- The 21st Century job market is being increasingly impacted by forces of globalization and technological progress. We aim to portray some of the likely effects in the future, potential policy responses, and the resultant implications for financial professionals. The objective is to heighten understanding of the rapidly evolving job market, the likely displacement of workers, and potential solutions to problems caused by a job market characterized by increasing disruption.

MACROECONOMICS, INNOVATION, AND THE GLOBAL ECONOMIC CLIMATE

CFP ELIGIBLE / CIMA ELIGIBLE

Jules van Binsbergen, Ph.D.

The Nippon Life Associate Professor of Finance
The Wharton School

This is a session that covers recent developments in global economic growth and innovation, with an emphasis on current events and policy applications. The session discusses the current drivers of innovation and economic growth and analyzes the strengths and challenges of financial analysis for long-term innovative investment decisions. Topics covered include: national income accounting, total factor productivity, investment in capital and labor, inflation, interest rates, monetary policy, net present value and the internal rate of return.

LEARNING OBJECTIVES:

- Understanding current economic climate
- Implications for short and long-term investment decisions
- Assessing upcoming risks and opportunities

MARKET STRUCTURE

CFP ELIGIBLE / CIMA ELIGIBLE

Lawrence Leibowitz

President
Cruz Informatics

TR Lazo

Managing Director & Associate General Counsel
SIFMA

Ideal for: General Audience

There is currently considerable debate about market structure reform and both the industry and the regulators are weighing in. This session will focus on how and why we arrived at this current market structure and explore why reforms are being discussed and how this all connects to increasing investor confidence. The session will provide background on how the market structure evolved to what it is today and perhaps more importantly, why it evolved that way, what were the intentions of the legislation and rule making that shaped it and what were some important unintended consequences.

LEARNING OBJECTIVES:

- Explore the symptoms of the current market structure that are occurring and that have led to market structure reform now becoming so topical.
- Identify what are the problems the regulators and industry are trying to solve or should be trying to solve.
- Discuss the real benefits of the current market structure and the potential drawbacks, all through the lens of regaining trust and confidence of the public in the markets and the industry.

PRIVATE EQUITY

CFP ELIGIBLE / CIMA ELIGIBLE

Burcu Esmer, Ph.D.

Lecturer
Research Fellow, Alternative Investments Initiative
The Wharton School
University of Pennsylvania

Ideal for: Participants who would like to get familiar with private equity industry, learn the anatomy of a deal, industry trends, secondary purchases, co-investments, and understand the sources of value creation and the drivers of return of private equity funds.

Private equity is an asset class that has potential to generate sustainable long-term returns for its investors. Although it is relatively a new asset class that has some unique characteristics that may not be familiar to investors, it has become a key component of many investors' portfolios. In this elective session we will cover the structure of a private equity fund, and describe how a private equity fund operates and governs its portfolio companies. We will then talk about the changing trends in the private equity industry. We will also discuss whether and how a private equity fund creates value in a changing macroeconomic landscape.

RISK MANAGEMENT – JOURNEY OR DESTINATION?

CFP ELIGIBLE / CIMA ELIGIBLE

Adam Rosenthal

Executive Director, Financial Services Risk Management EY

This session will focus on risk management practices for the financial services industry. The discussion will include why risk management exists, the lessons learned from significant events and what environment is required for an effective risk management program. Other topics will include impact of biases and incentives, accountability for risk management, positioning risk management within the organization.

LEARNING OBJECTIVES:

- What is risk management from a practitioners view?
- What attributes/ capabilities can enhance or degrade a firm's risk management effectiveness?
- What structures and incentives can firm's utilize to fortify their risk management capabilities?

TAXES AND INVESTING

CFP ELIGIBLE / CIMA ELIGIBLE

Robert Gordon

*President
Twenty-First Securities Corporation
Adjunct Professor of Finance
NYU Stern School of Business*

This course will help you understand the dependable sources of "tax alpha". The goal is to not disturb pre-tax returns while achieving higher after tax returns. You may be familiar with loss-harvesting, but what about gain harvesting? We will also explore the many ways to invest in the S&P 500, gold and MLPs. Wall street's creativity has spawned multiple ways to get exposure. Surprisingly different investment products dedicated to the same asset class may produce the same pre tax return but the after tax returns can vary greatly.

WHY SOCIAL SECURITY MATTERS

CFP ELIGIBLE / CIMA ELIGIBLE

Rob Kron

*Head of Advisor and Client Education
BlackRock*

Ideal for: All industry professionals or anyone interested in learning about the US Social Security system.

With limited other resources, clients are turning to their financial professionals for advice on Social Security. Advisors who can provide education and guidance on Social Security as part of the retirement planning process are more likely than their peers to retain retiring clients, grow share of wallet and gain referrals.

LEARNING OBJECTIVES:

- Understand the fundamental rules (including recent legislative changes)
- Recognize the options and benefits available
- Incorporate the collection decision into retirement plans

WEDNESDAY ELECTIVES

*Advance sign-up required.

WEDNESDAY, MARCH 7, 2018

1:30 p.m. – 3:00 p.m.

BIG DATA, BIG RESPONSIBILITIES: THE LAW AND ETHICS OF BUSINESS ANALYTICS

Kevin Werbach

Associate Professor of Legal Studies & Business Ethics
The Wharton School

Significant technologies always have unintended consequences, and their effects are never neutral. A world of ubiquitous data, subject to ever more sophisticated collection, aggregation, analysis, and use, creates massive opportunities for both financial gain and social good. It also creates dangers in areas such as privacy and discrimination, as well as simple hubris about the effectiveness of management by algorithm. This session addresses the legal, policy, and ethical dimensions of big data, predictive analytics, and related techniques. It then examines responses—both private and governmental—that may be employed to address these concerns.

LEARNING OBJECTIVES:

- Identify where analytics depend on human judgments or assumptions.
- Evaluate claims that algorithmic systems raise ethical or public policy concerns
- Understand potential responses to concerns about privacy violations, manipulation, and bias through machine learning.

BLUE OCEAN STRATEGY WORKSHOP

(Also offered Monday at 10:35am and Wednesday at 3:20pm)

*Year 3 Students Only

Roch Parayre, Ph.D.

Partner, Leadership Consulting

Heidrick & Struggles

Teaching Fellow

The Wharton School

Ideal for: Decision makers or others who develop or implement strategic decisions.

In today's economic climate, most organizations compete in red oceans, stained by the blood of competition. We fight for market share, try to maintain prices, and execute more efficiently than others. Blue Ocean Strategy suggests an alternative. It urges us to explore how we can make our value offering so distinctive that we find the blue waters of new, uncontested market space... and make the competition irrelevant. It offers a systematic approach to creating that new market space. In this workshop, we will introduce the Blue Ocean methodology, and teams will work to map a creative, visual exploration of new market opportunities against current industry realities. Tools covered will include the Pioneer-Migrator-Settler Map, The Strategy Canvas, The Buyer Experience Cycle, and The Six Paths for Exploring new market space.

LEARNING OBJECTIVES:

- Understand the Blue Ocean Strategy framework, and the core tools associated with it.
- Develop a deeper customer-centric view of the industry and its offerings.
- Identify obstacles to strategic innovation.

DIVERSIFICATION OR DE-WORSE-IFICATION?

CFP ELIGIBLE / CIMA ELIGIBLE

Bryan Piskorowski

Managing Director, Director of Markets & Product Strategy
Wells Fargo Advisors, LLC

Modern Portfolio Theory and the case it makes for diversification have long been foundations for investing. However, since the financial crisis, disparate asset class performances have brought investors to question the benefits of asset allocation. This session will break down the performance drivers in the current market cycle and lay out the global growth story, making the case for continued asset diversification. It will examine the issues currently facing globally allocated portfolios and survey several strategies and techniques investors can use to mitigate these problems. Topics will include strategic versus tactical allocation, active versus passive investing, and the power of rebalancing, among others. The goal of this elective is to give the participant a broader and deeper understanding of the forces affecting asset allocation portfolios in the 21st century and to make the case that diversification still works—that it's not “different this time”.

LEARNING OBJECTIVES:

- The basics of asset allocation
- The differences between strategic and tactical asset allocation
- The drivers of portfolio performance
- Active versus passive investing
- The impact of rebalancing portfolios

IMPROVING DECISION-MAKING

Jim Austin

President
JH Austin Associates, Inc.

At the core of any organization's performance are the decisions that leaders make...those financial, strategic, human resource, marketing and leadership decisions that in the end determine an organization's performance. Thus, to understand how to improve decision-making is a truly fundamental issue. In this session, we will discuss a range of decision “traps” commonly observed in decision makers. These biases are widespread because they are in part derived from how the human brain operates. Drawing on the findings of recent research, this session will expose participants to decision biases through short exercises and offer ways to alleviate them. Issues to be covered are: understanding the problem; seeking non-confirming data; making a decision; and, building trust.

LEARNING OBJECTIVES:

- Understand how we are all susceptible to “irrational” decisions in certain situations;
- How to spot such biases within one's own organization or team; and
- Approaches to offset such decision-making challenges.

INDIVIDUAL THINKING STYLES: HOW THEY INFLUENCE OTHERS

(Also offered Wednesday at 3:20pm)

*Year 1 and Year 2 Students Only

Anthony Palombit, Ph.D.

Executive Coach and Consultant
Herrmann International and Genos Americas

The Herrmann Brain Dominance Instrument (HBDI™) is a 120-question diagnostic survey, the answers to which indicate an individual's thinking style preferences. Our minds have preferred modes of operating that impact how we see the world, how we interpret what we see, and how we communicate with others who are also operating from their own preferred modes of thinking and speaking. Thinking preferences influence communication, decision-making, problem solving, and management styles. By understanding their thinking style preferences, participants will gain a new perspective of themselves and the people with whom they interact each day. In this HBDI session, a series of interactive exercises is used to get participants comfortable with the model, conversant about each of the 4 styles, and aware of the dangers of over-simplifying the process. This session offers a wide range of exercises and will choose a combination of exercises specific to each group's needs. Participants will also explore when thinking styles are problematic. Through development of self-inventory, participants will learn about their own hot buttons and the hot buttons of others and develop strategies for addressing these situations in a constructive manner. This course will require a 120-question survey to be completed prior to the participants' arrival.

LEARNING OBJECTIVES:

- Realize increased self awareness by identifying their preferred thinking styles and the thinking styles of others.
- Recognize when their thinking styles are problematic and how to put corrective strategies in place to get back on course.

LEADERSHIP & FOLLOWERSHIP

(Also offered by Jeff Klein on Monday at 2:50pm)

Gregory P. Shea, Ph.D.

*Adjunct Professor of Management; Senior Fellow
Wharton Center for Leadership and Change Management
Adjunct Senior Fellow, Leonard Davis Institute of Health
Economic
The Wharton School*

Leadership & Followership is based on the notion that leadership is relational, that people must accept the leadership of the person in charge in order for him or her to influence, to guide, to lead. The session focuses on leader-follower relationships—both healthy and unhealthy—and, using real-world examples, analyzes what characterizes good followers and good leaders and how leaders and followers aid and hinder one another efforts.

This session will involve lots of discussion and drawing on participant experience.

LEARNING OBJECTIVES:

- Improved understanding of the centrality of relationship to leadership
- Enhanced understanding of what a leader/follower relationship can look like
- How to improve leader/follower relations

LEADING HIGH-PERFORMING TEAMS

Todd Henshaw, Ph.D.

*Senior Fellow, Center for Leadership Change Management
The Wharton School*

Participants will learn how to conduct an effective After Action Review and will participate in the “Crossing the River” exercise, a practical application of leadership, innovation and strategy in a challenging team environment. Participants will learn a cutting-edge technique called the “After Action Review.” The After Action Review (AAR) is used by many organizations, including the U.S Army, Navy Seals, Police and Fire Departments, surgical and trauma teams, and more recently, corporations to create a learning culture and focus on continuous improvement and sharing best practices across teams and organizations. Leaders can leverage the AAR to implement and reinforce change efforts, improve process execution, shape culture and influence employees to learn from past performance.

LEARNING OBJECTIVES:

- Participants learn and practice a method to enhance a team’s capacity to perform, learn and adapt to change through a collaborative learning process emphasizing collective accountability.
- Participants engage in an experience requiring team strategy development and execution
- Participants learn the After Action Review Process, and the importance of balancing learning and performance culture
- Participants are able to better understand innovation leadership and adaptive leadership through participation in the exercise and “debrief”
- Teams participate in multiple iterations of the simulation, using the After Action Review as a means to discuss and improve team performance
- Participants learn how to develop a collaborative, open, candid, innovative team- learning environment

MAKING TEAMS WORK

Anne Greenhalgh, Ph.D.

Deputy Director

Anne and John McNulty Leadership Program

Adjunct Professor of Management

The Wharton School

Ideal for: General Audience

Have you ever been on a group project in which everyone worked hard but no one got along? How about a group in which everyone got along but no one worked hard? How do you turn a group into a team with positive group dynamics and high productivity? This session will help you identify the key factors that can help turn a group into a team. In addition, by participating in a survival simulation, you create a live “case study” and opportunity to reflect on the ways in which you typically contribute to and participate in group work. By the end of the session, you will have a better understanding of how you work in a group and make a group work.

LEARNING OBJECTIVES:

- Understand the key differences between groups and teams.
- Reflect on ways individuals participate in and contribute to groups.
- Practice working in a group and making a group work.

NEGOTIATION

(Also offered Monday at 10:35am)

Eric Max

Lecturer

The Wharton School

The Negotiation Workshop is fun and very interactive. It will utilize simulations to highlight key concepts and skills. Participants will conduct mock negotiations and then discuss what occurred. The workshop is intended for those who would like to improve their negotiation skills as well as those who are already accomplished negotiators. The Negotiation Workshop is fun and very interactive. It will utilize simulations to highlight key concepts and skills. Participants will conduct mock negotiations and then discuss what occurred. The workshop is intended for those who would like to improve their negotiation skills as well as those who are already accomplished negotiators.

LEARNING OBJECTIVES:

- How to identify your negotiation style
- Negotiation ethics
- Opening offers and counter-offers
- How to build trust and communicate in a negotiation.

ORGANIZATIONAL CULTURE AND DECISION MAKING

(Also offered Wednesday at 3:20pm)

Dafna Eylon, Ph.D.

President

Eylon Associates

Organizational culture, a critical component for the success of strategy and organizational decision making, impacts how employees frame their organizational world, including their own performance, commitment and attitudes toward the workplace. Using a group exercise participants experience how culture impacts “objective” business data interpretation and decision making. In addition, through examples and clips we explore what is organizational culture, how it functions, and how it can be adjusted. This includes how meaning is infused into artifacts, the impact of leader behaviors as well as managing sub-cultures in large organizations. The session ends with an intriguing and symbolic puzzle activity that exemplifies the impact of culture on framing organizational decision making.

LEARNING OBJECTIVES:

- Identifying an organization’s culture.
- Gaining tools for creating organizational culture (or subculture).
- Creating symbols to strengthen culture.
- Matching culture to support strategy.
- Overcoming culture bias in decision making.

POSITIVE INTERACTIONS AT WORK – MOVING FROM COMMUNICATION TO CONNECTION

Faisal Khan

Founder

1ExtraordinaryLife

Workplace interactions can create extraordinary engagement and vigor that allow people and organizations to thrive, or they can have the opposite effect. This workshop explores the difference between the two. Our interactions at work, however brief or extended they might be, have qualities that if better understood can allow us to harness the positive impacts of them. Gaining insights into these qualities is essential for us to perform at our best. We are social beings that require a connection; many argue that most of the work in organizations is conducted through informal methods and networks based on our connections. While communication is one way we connect, if done correctly it can bind us, or if done incorrectly it can alienate us. The workshop will help participants understand distinctions between communicating and connecting for results.

Drawing from psychological and management research on positive emotions, relationships, and connections at work; participants will learn how to create and then harness high-quality connections for the benefit of all.

LEARNING OBJECTIVES:

- To understand the importance of connecting versus communicating with others.
- To become aware of the criteria that help create high-quality connections.
- Understand the attributes of trust at work and how this can be harnessed for better connections.
- Learn techniques that help conversations become more engaging and lead to the building of connections.
- Recognize how we create value for each other at work and use this awareness to build connections.

STRATEGIC AGILITY

(Also offered Wednesday at 3:20pm)

Kathy Pearson, Ph.D.

President and Founder

Enterprise Learning Solutions

Adjust Senior Fellow, Leonard Davis Institute of Health Economics

The Wharton School

Today's business environment is no longer described as having an "ebb and flow", but rather a permanent "whitewater" condition. This increased speed of change has caused a movement from discrete-event strategic planning to more dynamic planning – the quarterly strategy "refresh", for example. However, many organizations struggle with the ability to stay nimble to respond to rapid market changes because of a variety of factors. This session explores the common barriers to agility, discusses ways to create a culture of productive paranoia, and describes three concrete actions in achieving strategic agility.

LEARNING OBJECTIVES:

- Understand the importance of establishing concrete strategic decision rights.
- Describe the characteristics of a culture of "productive paranoia".
- Identify key future trends and uncertainties for the organization.

STRATEGIC MARKETING: UNDERSTANDING MARKETING, STRATEGY AND PLANNING

Patti Williams, Ph.D.

*Ira A. Lipman Associate Professor of Marketing
The Wharton School*

This session will focus on developing an outside-in strategy as a key driver of the marketing proposition, the idea that firms succeed when they deliver value to customers. We will discuss the marketing planning process which begins with a strategic overview of the 5Cs (Company, Customers, Competitors, Collaborators and Context), proceeds through a process of understanding and evaluating customers (Segmentation, Targeting and Positioning) to ultimately arrive at a marketing strategy. We will discuss what it means to be customer-centric and to develop a "value monopoly," as well as how to build a brand that customers trust and prefer.

LEARNING OBJECTIVES:

- Understand the basics of marketing and branding.
- Understand the elements of a marketing plan.
- Understand how to develop a customer-centric value-based strategy.

UNDERSTANDING CUSTOMER BEHAVIOR

Jonah Berger

Associate Professor of Marketing

The Wharton School

Ideal for: General Audience

To succeed, businesses have to understand their customers – from determining their wants and needs to delivering customer satisfaction and maintaining relationships. What drives their decisions? What motivates them to take (or not take) action? This presentation will discuss practical, science-based insights to better understand customer behavior, and how to use those insights to drive success. From avoiding decision quicksand to how people process information, I'll share tools to shape the choice context, increase influence, and drive customer growth.

LEARNING OBJECTIVES:

- Better understand their customers
- Overcome the paradox of choice
- Structure choice environments to help people make better choices

U.S. TAX POLICY, INTEREST RATES, DEFICITS, AND THE SUSTAINABILITY OF GOVERNMENT DEBT

CFP ELIGIBLE / CIMA ELIGIBLE

Jeff Rosensweig, Ph.D.

Director, John Robson Program for Business, Public Policy, and Government
Goizueta Business School at Emory University

The Tax Reform package has been the major economic initiative of the Trump administration and Congress. We will analyze its likely economic and financial impacts. How will it affect the decisions of the Federal Reserve, and interest rates more generally? The tax cuts will increase the Federal Government deficit, which was already forecast to grow significantly. The extent of the impact is uncertain, so we will discuss possible scenarios. Deficits imply government borrowing, achieved by issuing more Treasury Securities. Thus, deficits add into a Gross Federal Debt that already exceeds \$20 trillion. If the deficits do increase over the next decade, will the US government debt become so large that people will not want to hold it? If so, bond prices would decline, market interest rates would rise, and the sustainability of the debt will become a crucial issue. This elective aims to engage SII participants in an exploration of the U.S. fiscal and financial future.

LEARNING OBJECTIVES:

- Understand the evolution of fiscal policy in the US. Fiscal, also known as government tax and spending or budgetary policy, is a key determinant of the performance of the US economy and financial markets. Participants will develop and/or update their skills analyzing the theory and practice of fiscal policy. Real-world data and trends will enhance learning.
- The tax reform package, passed by Congress and signed by the President, is the major piece of economic or financial legislation of 2017 and the beginning of 2018. Participants will gain an understanding of the main features, the aims, and the major possible scenarios resulting from the impact of the tax package on the US economy and financial markets. One case that will be studied is the potential impact on market interest rates.
- Almost all nationally-and internationally-renowned economists that have been surveyed forecast that the new tax package will increase the US budget deficit. However, the channels of impact and the magnitude of impact on the federal deficit are subject to considerable debate. This session aims to portray the range of forecasts, the reasons why forecasts differ, and the implications of increased deficits. A prime objective will be to show how deficits accumulate into increased debt, and to analyze the sustainability of increased US federal debt. A key theme is the impact of tax cuts on market interest rates and financial markets more generally.

WOMENOMICS

CFP ELIGIBLE / CIMA ELIGIBLE

Candice Tse

Vice President, Strategic Advisory Solutions
Goldman Sachs Asset Management

This course will focus on the increasing value of women to the global economy. Research has demonstrated that women continue to be a powerful economic force and by investing in them, we better families, communities, and society. Regardless of where you invest in women, one finding is consistent, that when you invest in women, we create a multiplier effect that impacts markets around the world.

This seminar will take a deeper dive into women in the Emerging Markets. We examine how bringing more women into the labor force and providing female business owners with better access to capital, can substantially boost GDP growth and per capita income. Additionally, our research has also shown that as economic opportunities for women improve, countries can reap the benefit of a 'double dividend' as women are more likely to use their earnings and increased bargaining power to buy goods and services that improve the family's welfare. This should create a virtuous cycle as female spending supports the development of human capital, which in turn will fuel economic growth in the years ahead. At the same time, economic growth should continue to bolster gender and income equality which is critical to sustainable development.

LEARNING OBJECTIVES:

- Explore the powerful role that women play around the globe.
- Understand the moral and economic case for investing in women and girls in the emerging markets.
- Recognize the potential for growth, wealth and social improvements from increasing employment opportunities for females.

1:30 p.m. – 4:50 p.m.*

*ELECTIVES IN THIS TIME FRAME SPAN THE ENTIRE AFTER-NOON (BREAK FOR 20 MINUTES).

ATTENDANCE IS REQUIRED FOR BOTH PART 1 & PART 2.

LEADING TEAMS/IMPLEMENTING THROUGH TEAMS

Martine Haas, Ph.D.

Associate Professor of Management
The Wharton School

The session will focus on how leaders can build high flying teams that enable them to implement their strategies successfully, with special attention to the challenges of managing teams that are dispersed, diverse, digital and dynamic. We will introduce a tool for analyzing your own teams, the Team Effectiveness Pyramid, and work through how to use this tool to diagnose your teams and figure out how and where to intervene to make them stronger.

LEARNING OBJECTIVES:

- Understand conditions that make teams more effective (or less effective)
- Diagnose your own team
- Identify possible interventions to improve your team's performance

LEADING WITH EMOTIONAL INTELLIGENCE

Sigal Barsade, Ph.D.

Joseph Frank Bernstein Professor
Professor of Management
The Wharton School

Emotional intelligence is the ability to a) use your emotions to help you think more intelligently and b) be intelligent about your emotions. It is a critical management skill for successful interpersonal relations and productivity at work. This session will help participants understand the important role emotions can play in the work environment, their personal levels of emotional intelligence, and steps to improve emotional intelligence skills in themselves or those they work with. The session begins before participants arrive at Wharton through taking an on-line emotional intelligence test prior to the session (this is not a self report or 360 test, rather, this emotional intelligence (EI) ability test provides an opportunity participants to evaluate their EI ability). During the class session each participant receives an individualized report with his or her personal EI feedback. This report gives participants information about their EI strengths and areas of opportunity, as well as helping participants become even more involved in the session itself. This class will require pre-work to be completed prior to the participants' arrival.

LEARNING OBJECTIVES:

- Accurately perceiving emotions in yourself and others - For example, recognizing that something you have done has hurt or upset a co-worker rather than being surprised when they confront you with it.
- Internally accessing and generating emotions so as to assist thought - For example, knowing how your moods can influence your business decisions and how emotional contagion can change your team's performance.
- Understanding the complexity of different emotions and how emotions can predictably turn into other emotions. - For example, recognizing that a colleague who has made a mistake is embarrassed about it and may lash out rather than admit his or her error.
- Regulating your own emotions and those of others so as to promote emotional and intellectual growth. - For example, knowing why people can "lose control" and how an important component of leadership is based on emotions and helping to reach the emotions of those who work for you.

STRATEGIC PERSUASION: ART OF WOO

(Also offered Monday)

Lauren Hirshon

Director of Operations and Development
Harvard University

This workshop will help strengthen your influence and persuasion skills -- skills you need to win support for important initiatives, achieve organizational alignment, and implement strategies. Through a series of interactive discussions and role-plays, you will answer four key questions: What are the steps that led to buy-in? What is your communication style and how do you use to engage stakeholders? How do you make your ideas simple and compelling? How do you generate lasting commitment? The workshop content is drawn from the book *The Art of Woo: Using Strategic Persuasion to Sell Your Ideas* (Portfolio/Penguin), co-authored by G. Richard Shell and Mario Moussa. This class will require pre-work to be completed prior to the participants' arrival.

LEARNING OBJECTIVES:

- Learn about the six channels of influence and how to use them effectively.
- Optimize each message so it appeals directly to your counterpart's style and interests.
- Measure your progress on real problems you bring to the program and see immediate results.
- Map the political landscape of your organization to see where the landmines are buried and where your allies can help you.
- Experience enhanced self-awareness, including emotional intelligence.
- Enhance the ability to assemble winning coalitions.

Participants will be asked to complete a survey and to read a chapter of "The Art of Woo" prior to attending this session.

3:20 p.m. – 4:50 p.m.

BLUE OCEAN STRATEGY WORKSHOP

(Also offered Monday at 10:35am and Wednesday at 1:30pm)

*Year 3 Students Only

Roch Parayre, Ph.D.

Partner, Leadership Consulting
Heidrick & Struggles
Teaching Fellow
Wharton School

Ideal for: Decision makers or others who develop or implement strategic decisions.

In today's economic climate, most organizations compete in red oceans, stained by the blood of competition. We fight for market share, try to maintain prices, and execute more efficiently than others. Blue Ocean Strategy suggests an alternative. It urges us to explore how we can make our value offering so distinctive that we find the blue waters of new, uncontested market space... and make the competition irrelevant. It offers a systematic approach to creating that new market space. In this workshop, we will introduce the Blue Ocean methodology, and teams will work to map a creative, visual exploration of new market opportunities against current industry realities. Tools covered will include the Pioneer-Migrator-Settler Map, The Strategy Canvas, The Buyer Experience Cycle, and The Six Paths for Exploring new market space.

LEARNING OBJECTIVES:

- Understand the Blue Ocean Strategy framework, and the core tools associated with it.
- Develop a deeper customer-centric view of the industry and its offerings.
- Identify obstacles to strategic innovation.

BUSINESS MODEL DESIGN AND INNOVATION

Henry Han, Ph.D.

Senior Fellow
The Wharton School

The objective of the session is to help the students understand the theoretical framework and practice of business model design and innovation. In particular, we introduce the theoretical development in business model research, the design elements of a business model as well as the value drivers of innovative business models. In addition, we examine the process through which innovative business models can be designed and identify challenges entrepreneurs and managers faced in the business model innovation.

LEARNING OBJECTIVES:

- Introduce the concepts of business model and its design elements.
- Examine the process of business model innovation and identify challenges
- Help students to develop their own perspectives on and skill sets for business design and innovation.

CHANGE FATIGUE

Gregory P. Shea, Ph.D.

*Adjunct Professor of Management; Senior Fellow
Wharton Center for Leadership and Change Management
Adjunct Senior Fellow, Leonard Davis Institute of Health
Economic
The Wharton School*

Why are so many people suffering from change fatigue? What might we do differently as individuals and as leaders to help ourselves and others cope better with a world dominated by change? How might we approach organizational change differently so it succeeds more often, i.e., produces sustainable, desired patterns of behavior?

LEARNING OBJECTIVES:

- Normalization of the reality of change fatigue
- How to spot change fatigue in self and others
- Methods to prevent change fatigue

COMMUNICATION STYLE

(Also offered Monday at 10:35am)

Anne Greenhalgh, Ph.D.

*Deputy Director
Anne and John McNulty Leadership Program
Adjunct Professor of Management
The Wharton School*

Do you prefer to communicate directly, emphasize facts over feelings? Are you more animated in your delivery? Do you take your listener's feelings into account? Do you like to think first and then speak? Whatever your preference, what impact does your communication style have on others in the workplace whether one-on-one or in group meetings? How can you make the most of assets and downplay the liabilities of your communication style? Complete the HRDQ What's My Communication Style questionnaire as pre-work, and this session will help you identify your dominant communication style and give you the opportunity to see your style in action so that you can make the most of assets and downplay liabilities. By the end of the session, you will have a greater appreciation of the impact of communication style on interpersonal relationships and results.

LEARNING OBJECTIVES:

- Understand key dimensions of communication style
- Identify individual preferences
- Practice making the most of assets and downplaying liabilities

CULTIVATING COLLABORATIVE TEAMS

Yael C. Sivi

*Managing Partner
Collaborative Coaching, LLC*

Collaboration is voluntary – it cannot be mandated. While most of us aspire to be “collaborative” at work, many leaders and teams struggle to implement the right skills and practices that the unrestrained sharing of work, ideas, and inspiration. How many of us feel we are actively cultivating the kind of environment where new ideas – and new value – can be created freely? And how many of us experience work and leadership cultures that can truly leverage the differences and similarities present in their teams? In this class, we will explore conditions, skills, and attitudes necessary for successful collaboration. We will discuss the contributions each of us can make – as peer and as leader – to bring collaboration to life. Participants will discuss case studies, explore assumptions about organizational and leadership practices, and leave with concrete ideas to foster collaboration in their work contexts.

LEARNING OBJECTIVES:

- Understand critical elements that contribute to a collaborative team environment—including the awareness of what highly collaborative companies practice on a regular basis
- Identify where their own team culture is strong and in need of improvement with respect to collaborative behaviors
- Leave with a few critical ideas about how they could help their own teams to be more collaborative moving forward

EXECUTION AND DRIVING CHANGE

(Also offered Monday at 2:50pm)

Jim Austin

President

JH Austin Associates, Inc.

High performance requires effective execution and, for many organizations, change management. Unfortunately, major change efforts have a dismal track record. In multiple studies, highlighting the experiences of hundreds of companies initiating large-scale changes, the overwhelming results are poor. For example:

- John Kotter's seminal research in the field of change management half a century ago revealed that only 30% of change programs succeed.
- A 2008 global IBM study of major change initiatives found that only 41% fully met their objectives, while 44% missed their budget, time, or quality goals, and 15% were seen as total failures.
- In 2013, a report that aggregated over 6,000 senior executive surveys revealed that 70% of change efforts fail to achieve their target impact.

As the Harvard Business Review's editor articulated so well in discussing why so many transformation efforts fail: *"...no business survives over the long term if it can't reinvent itself. But human nature being what it is, fundamental change is often resisted mightily by the people it most affects: those in the trenches of the business. Thus, leading change is both absolutely essential and incredibly difficult"* (Kotter 2007).

LEARNING OBJECTIVES:

- Understand a 3-step process for driving execution; and
- Improve the capacity to lead change.

GLOBAL CAPITAL MARKETS

CFP ELIGIBLE / CIMA ELIGIBLE

Gordon Bodnar, Ph.D.

Morris W. Offit Professor of International Finance

Director of the International Economics Program

Director of the Master of International Economics and Finance Degree

Paul H. Nitze School of Advanced International Studies (SAIS)

The Johns Hopkins University

Examine features of investment returns in global capital markets. Compare US equity performance with Developed Market equity and Emerging Market equity and different methods to invest such as ADRs, and ETFs. Examine size and return features of the global bond markets. Discuss impact of currency risk on foreign investments.

LEARNING OBJECTIVES:

- How to measure the USD risk and return to a foreign security
- Identify role of risk, return and correlation in a global equity or bond portfolio
- Understand when a USD investor needs to be concerned about FX risk in their global portfolios

THE GLOBAL ECONOMY IN THE ERA OF TRUMP: DRIFT OR MASTERY?

(Also offered Monday at 2:50pm)

CFP ELIGIBLE / CIMA ELIGIBLE

Paul Tiffany, Ph.D.

Senior Lecturer, Haas School of Business

University of California, Berkeley

The US elections of 2016 have created a potentially massive shift in American policy, both domestic and global. The new President has staked out positions radically different from those of the post-World War II "Washington Consensus," and as such has created uncertainties for political and economic decision-makers worldwide. However, one must ask whether President Trump created this situation—or was he simply the predictable outcome of a shifting global reality in which prior values and beliefs no longer hold? This session will explore recent upheavals in the world economy that have led to the current challenge, focusing on the major geographic regions and their issues and problems. We will conclude with a consideration of potential outcomes for the years ahead, and what implications they hold for both US firms as well as its citizens in the era of President Trump. Participant discussion will be strongly encouraged.

LEARNING OBJECTIVES:

- To inform participants of the broader economic and political global trends of the recent past and how these may affect the direction of the American economy in the 21st Century going forward.
- To attempt to put the current political situation in America into a framework that can provide insight to potential economic shifts in the world economy.
- To stimulate participant thinking about how the changing global political-economic environment will affect economic progress in the United States in the coming decades.

THE HISTORY AND FUTURE OF MONEY

CFP ELIGIBLE / CIMA ELIGIBLE

Peter Conti-Brown, Ph.D.

Assistant Professor, Department of Legal Studies and Business Ethics
The Wharton School

The 21st century has and will continue to see a revolution in the way we think about money. In this session, financial historian and legal scholar Peter Conti-Brown will provide an overview of what money is, where it comes from, and where it is going. He will focus on the costs associated with large-bill currency; what central banks make of Bitcoin and other kinds of decentralized, private currencies; how low (and even negative) interest rates interact with public demand for cash; and why blockchain technologies may fundamentally change the way we think about money and the payment system.

INDIVIDUAL THINKING STYLES: HOW THEY INFLUENCE OTHERS

(Also offered Wednesday at 1:30pm)

*Year 1 and Year 2 Students Only

Anthony Palombit, Ph.D.

Executive Coach and Consultant
Herrmann International and Genos Americas

The Herrmann Brain Dominance Instrument (HBDI™) is a 120-question diagnostic survey, the answers to which indicate an individual's thinking style preferences. Our minds have preferred modes of operating that impact how we see the world, how we interpret what we see, and how we communicate with others who are also operating from their own preferred modes of thinking and speaking. Thinking preferences influence communication, decision-making, problem solving, and management styles. By understanding their thinking style preferences, participants will gain a new perspective of themselves and the people with whom they interact each day. In this HBDI session, a series of interactive exercises is used to get participants comfortable with the model, conversant about each of the 4 styles, and aware of the dangers of over-simplifying the process. This session offers a wide range of exercises and will choose a combination of exercises specific to each group's needs. Participants will also explore when thinking styles are problematic. Through development of self-inventory, participants will learn about their own hot buttons and the hot buttons of others and develop strategies for addressing these situations in a constructive manner. This course will require a 120-question survey to be completed prior to the participants' arrival.

LEARNING OBJECTIVES:

- Realize increased self awareness by identifying their preferred thinking styles and the thinking styles of others.
- Recognize when their thinking styles are problematic and how to put corrective strategies in place to get back on course.

INSPIRATIONAL LEADERSHIP

Todd Henshaw, Ph.D.

Director of Executive Leadership Programs
The Wharton School

Leaders inspire, build capacity in others, lead change, and motivate employees to do more than they thought possible. This session includes a short exercise where we watch film clips to identify inspirational leadership behaviors. The team exercise involves teams participating in a video case about the Civil War Battle of Gettysburg, a dynamic and situation where they must determine how to inspire soldiers to overcome their frustrations to fight along with their unit. Each team presents an inspiring vision and employs inspirational behaviors to respond to the crisis. Selected individuals deliver the team's vision statement to the class. Learning Objectives After this session, you should be able to: - Discuss the impact of ambiguity and uncertainty on individual psychology and performance - Recognize the components and leader behaviors associated with inspirational leadership: leadership that promotes a personal connection, builds confidence, demonstrates a caring attitude, and includes great expectations - Employ these behaviors in a video case, and learn how to construct and effectively communicate a vision for followers.

LEARNING OBJECTIVES:

- We will discuss how visionary leaders inspire people to connect to the organization's purpose.
- We will understand where their particular contributions fit into the vision and how they belong to something larger than themselves.

MAKING IDEAS STICK

Jonah Berger

Associate Professor of Marketing
The Wharton School

Ideal for: General audience

It's hard to get people to do something or care about something if they can't remember what you told them. Whether it's externally to customers or internally to employees and co-workers, we're constantly communicating messages and ideas. How can we communicate more effectively with our clients, helping them understand the suggestions we're making and the value we provide? How can we make sure our boss, or employees, remember our suggestions? This session will provide a framework for making ideas stick. Tips and tricks to avoid the curse of knowledge, communicate more effectively, and drive people to take action.

LEARNING OBJECTIVES:

- Craft more memorable messages
- Simplify complex ideas
- Overcome the curse of knowledge

MAKING PERFORMANCE MEASUREMENT PAY

CFP ELIGIBLE / CIMA ELIGIBLE

Christopher D. Ittner, Ph.D.

EY Professor of Accounting
Chairperson, Accounting Department
The Wharton School

Ideal for: Managers who select performance measures and goals for their organizations, evaluate businesses or employees using these performance measures and goals, or use the measures for decision-making

The use of dashboards and scorecards that contain both financial and nonfinancial performance measures is a ubiquitous feature of modern business. These performance measures play important roles in decision-making and managerial and business performance evaluation. But how do you know that improvements in the performance measures you choose actually lead to better financial outcomes in the future? And how do you pick goals for these performance measures? Do you necessarily want 100% satisfied customers or zero employee turnover? This session provides a framework for choosing performance measures and performance targets that enhance economic value, reviews techniques for validating the economic links between the chosen measures and financial outcomes, and discusses the use

of these analyses for financial decision making. A wide variety of examples are used to illustrate the application of the concepts taught in the session.

LEARNING OBJECTIVES:

- Understand the steps in choosing economically-relevant performance measures and targets.
- Review the issues to address when trying to link improvements in nonfinancial performance to current and future financial outcomes.
- Understand how to apply the performance driver analysis results to decision-making.

ORGANIZATIONAL CULTURE AND DECISION MAKING

(Also offered Wednesday at 1:30pm)

Dafna Eylon, Ph.D.

President
Eylon Associates

Organizational culture, a critical component for the success of strategy and organizational decision making, impacts how employees frame their organizational world, including their own performance, commitment and attitudes toward the workplace. Using a group exercise participants experience how culture impacts "objective" business data interpretation and decision making. In addition, through examples and clips we explore what is organizational culture, how it functions, and how it can be adjusted. This includes how meaning is infused into artifacts, the impact of leader behaviors as well as managing sub-cultures in large organizations. The session ends with an intriguing and symbolic puzzle activity that exemplifies the impact of culture on framing organizational decision making.

LEARNING OBJECTIVES:

- Identifying an organization's culture.
- Gaining tools for creating organizational culture (or subculture).
- Creating symbols to strengthen culture.
- Matching culture to support strategy.
- Overcoming culture bias in decision making.

STRATEGIC AGILITY

(Also offered Wednesday at 1:30pm)

Kathy Pearson, Ph.D.

President and Founder

Enterprise Learning Solutions

Adjunct Senior Fellow, Leonard Davis Institute of Health

Economics

The Wharton School

Today's business environment is no longer described as having an "ebb and flow", but rather a permanent "whitewater" condition. This increased speed of change has caused a movement from discrete-event strategic planning to more dynamic planning – the quarterly strategy "refresh", for example. However, many organizations struggle with the ability to stay nimble to respond to rapid market changes because of a variety of factors. This session explores the common barriers to agility, discusses ways to create a culture of productive paranoia, and describes three concrete actions in achieving strategic agility.

LEARNING OBJECTIVES:

- Understand the importance of establishing concrete strategic decision rights.
- Describe the characteristics of a culture of "productive paranoia".
- Identify key future trends and uncertainties for the organization.

THE STRATEGIC MANAGEMENT OF KNOWLEDGE

Martin Ihrig, Ph.D.

President

I-Space Institute

Adjunct Professor of Management

The Wharton School

Everyone in strategy is saying that the key to growth, even just survival, is via continuous and rapid innovation. But the real key to growth via profitable innovation is in fact the strategic development and management of your knowledge: the insights of your employees, your technology, your core competences, and your intellectual property. This session will provide you with the foundation from which to prosper in this, the knowledge age. It will give you specific tools and frameworks to map your critical knowledge, design a program to strategically develop your knowledge, and then exploit it to successfully grow your organization.

LEARNING OBJECTIVES:

- A solid conceptual understanding of how to create and strategically manage competitive knowledge.
- A tool to assess knowledge-based advantage and to map and develop an organization's portfolio of critical knowledge assets.

STRATEGIES FOR SUCCESS

John Spence

Managing Partner

John Spence, LLC

Nearly every businessperson agrees that to have a successful company you need a good strategy, yet few people do this in their own lives. This intensive and highly personal program is designed to help attendees begin to create a clear, focused and compelling strategic plan to enjoy more happiness, balance, and success in their lives and careers.

LEARNING OBJECTIVES:

- An understanding of your true core values
- A review of the power of questions
- An examination of who you spend your time with and how you spend your time
- An understanding of what gives you stress and what gives you joy
- The process of learning how to control what you can and how to let go of what you cannot control
- The development of action steps to make your ideal life become a reality

EMMANUEL AIDOO is Head of Blockchain & Distributed Ledger Strategy at Credit Suisse within the Global Markets Division where he leads the Emerging Technology Practice. He is an Innovation leader with over 18 years at Credit Suisse and has worked in a variety of senior roles which include Global Head of Debt Capital Markets Technology and, Global Head of Solution Delivery and Global Head of Leverage Finance Technology.

JIM AUSTIN, a former senior executive at Baxter Healthcare, combines business strategy and organizational development theory with extensive industry experience. Author of numerous articles, Jim co-authored the book, *Leading Strategic Change in an Era of Healthcare Transformation*, with two other Brown faculty members. As a lecturer in the Aresty Institute of Executive Education at the Wharton Business School, he tailored and delivered senior-level seminars on Strategy Development, Scenario Planning, Strategic Execution, and Critical Thinking for a number of leading companies including Boston Scientific, Coca-Cola, Lincoln Financial, CITIC (China), GE and Hitachi. In 2013, Brown University appointed Jim an Adjunct AuSenior Lecturer of Healthcare Leadership where he heads a graduate Marketing & Management seminar. Jim is a Business Management Professor at the Lake Forest Graduate School of Management where he received the “Most Distinguished Corporate Education Faculty Member” (2009-10) and the “Learning Excellence” (2012) awards. From 2005-2016, Mr. Austin worked at Decision Strategies International, leaving as a Senior Principal. There he led numerous projects including scenarios of the future for a Medical Devices firm; R&D priorities for a major consumer products company; a strategic plan for the American College of Radiology; scenarios of the future for the League of Southeastern Credit Unions; and a new vision, strategic priorities for the national and IL Boards, Volunteers of America (VOA). Jim now heads his own firm, JH Austin Associates, Inc. Prior to joining Decision Strategies, Jim worked for 12 years at Baxter Healthcare, the last four as Vice President of Strategy Development for the Renal Division. Jim identified new business opportunities, facilitated annual strategy planning processes and worked with senior management on organizational development for this rapidly growing, nearly \$2B Division. Before Baxter, Jim was Assistant to the President for ANCHOR HMO, a subsidiary of Rush Medical Center, Chicago. From 1982-86, Jim worked as a Consultant for Arthur D. Little, Inc., where he led a number of large-scale planning, business development and strategic positioning studies. Between college and graduate school, Jim spent four years as an Economist/Planning Officer in the Ministry of Finance, Botswana. Jim holds a B.A. in Economics and Politics from Yale University. He was a Special Student at the Massachusetts Institute of Technology in the Urban Studies Department, and received a joint Masters in Public Affairs (MPA) and a Masters in Urban and Regional Planning (MURP) from the Woodrow Wilson School, Princeton University. Jim was past Chairman of the Strategic Leadership Forum, a recent Board Member of the National Kidney Foundation of Illinois, a past Member of the Board of Directors for the University Club of Chicago, Treasurer of LaSalle Language Academy and Member of the Admissions Committee for the Latin School of Chicago.

SIGAL BARSADÉ is the Joseph Frank Bernstein Professor of Management at the Wharton School of Business, University of Pennsylvania where she has been on the faculty since 2003, and prior to that was a faculty member at Yale University for 10 years. Dr. Barsade has been engaged as a speaker or consultant to numerous large corporations across myriad industries such as Cisco, Coca Cola, Coldwell Banker, Comcast, Deloitte, Del Monte, Estee Lauder, Google, Hertz, Hitachi, IBM, KPMG, Lincoln Financial, Magna PowerTrain, Merrill Lynch, the NBA, the NFL, Office Depot, Penske, State Farm Insurance, Sunoco, US Trust, and Wyndham Worldwide; health care and biopharma organizations such as GlaxoSmithKline, Novartis and Penn Medicine; public and not for profit corporations such as the OECD, World Economic Forum and the United Nations; as well as to small entrepreneurial organizations. The focus of her research expertise, speaking and consulting practice is emotional intelligence, organizational culture, unconscious bias, organizational change, teamwork and leadership. Professor Barsade is an award winning researcher and teacher whose academic expertise enables her to integrate cutting edge research tools and knowledge into practical use. She has published in the top academic research journals in her field, and has served on the editorial boards of the *Administrative Science Quarterly*, *Organizational Behavior and Human Decision Processes* and *Organization Science*. She is also often interviewed by, and has her research referenced in the general media, such as the *Wall Street Journal*, *New York Times*, *Business Week*, *Time Magazine*, *US News & World Report*, *International Herald Tribune*, *AP Wire*, *Forbes*, *LA Times*, *Oprah Magazine*, *Fast Company*, *Slate*, *NPR Radio*, *ABC*, *CBS* and *CNN News* as well as numerous national and regional news outlets.

QUINN BAURIEDEL is a founder and Co-Artistic Director of the two-time OBIE Award-winning Pig Iron Theatre Company and has been a leading artistic voice in the company for over 20 years. Quinn has toured around the world with his productions and has taught workshops throughout the U.S. and abroad. In 2016 he was named an Eisenhower Fellow. He has also been awarded a Henry Luce Fellowship, a Pew Fellowship, a Fox Foundation Actor Fellowship (one of 6 awards given out nationally), a USA Knight Fellowship and an Independence Foundation Fellowship. Quinn regularly teaches leadership sessions for Wharton's Aresty Institute for Executive Education and for the Wharton MBA Leadership program. He also teaches workshops for Fordham, Penn State and Johns Hopkins' Business Schools. He has led leadership development workshops for Johnson & Johnson, Pfizer, Novo Nordisk, Credit Suisse, US Trust, Morgan Stanley, KPMG, Exelis, FINRA, Danisco and ADP, among others. He has taught theatre courses and workshops at Harvard, Princeton, Brown, Stanford, Swarthmore College, UVA, Georgetown, Yale, UPenn, Wesleyan and American University, among many others. Quinn brings fresh insights and cutting edge thinking to all of the workshops he offers.

JONAH BERGER is a Marketing Professor at the Wharton School at the University of Pennsylvania and a world-renowned expert on word of mouth, social influence, consumer behavior, and how products, ideas, and behaviors catch on. He has published dozens of articles in top tier academic journals, teaches Wharton's highest rated online course, and popular accounts of his work often appear in places like The New York Times, Wall Street Journal, and Harvard Business Review. Berger is the bestselling author of multiple books including *Contagious: Why Things Catch On* (hundreds of thousands of copies are in print in over 30 languages) and *Invisible Influence: The Hidden Forces that Shape Behavior*. Berger is a popular speaker at major conferences and events and often consults for companies like Apple, Google, GE, Charles Schwab, Chase, Vanguard, and The Gates Foundation.

ANDREW BERNSTEIN teaches people a smart new way to live happier lives, with no jargon, stigma, or "touchy-feeliness." He is the creator of *ActivInsight*, the author of *The Myth of Stress*, and the founder of the Resilience Academy. Since 2007, Andy has served as faculty at Wharton Executive Education, where his programs help leaders accelerate insight and break through challenges faster, both at work and at home. Andy also has extensive experience within wealth management, helping the industry's top financial advisors approach personal and professional growth in a surprising new way. Clients include Merrill Lynch, Morgan Stanley, UBS, Wells Fargo, Raymond James, U.S. Trust, General Electric, Johnson & Johnson, Google, Coca-Cola, and many others. Andy also works pro bono work with non-profit organizations addressing cancer, addiction, discrimination, and social change. A former writer for the Muppets, Andy brings a rare combination of humor, intelligence, and relatability to his programs, helping participants face even big challenges in a way that is non-threatening and actionable. He graduated Phi Beta Kappa from the Johns Hopkins University. and lives in New York City with his wife and two kids.

BOBBI BLOCK is an experiential Facilitator and Coach with a unique background in both training and the performing arts, specializing in Leadership, Collaboration, Creativity, Relationship-Building and Presentation Skills Development. In addition to her independent consulting work, Bobbi works as Independent Faculty for The Wharton School's Executive Education Institution. She is also a Senior Affiliate with The Ariel Group, an award-winning training and development firm that uses theatrical approaches to teach Leadership Presence and authentic connection to executives around the globe. Also, Bobbi is a Facilitator and Designer for the unique leadership development program Work.Life.Leader, as well as a Human Strategy Consultant for Bracken Leadership, and a Lead Facilitator for the training firm Performance of a Lifetime. Bobbi teaches and performs Improvisational Theatre in Philadelphia and is an Adjunct Professor in the Theatre Department at Temple University, Drexel University, and The University of Otago in New Zealand. Bobbi began her training career by teaching teambuilding and collaboration skills to corporate and nonprofit organizations utilizing improvisational theatre techniques she acquired through producing, performing and teaching with CSZ Philadelphia, home of improvisational theater company ComedySportz. Bobbi then worked for Team Builders Plus, an international Training and Development firm, where she complemented her Applied Improv techniques with a variety of experiential learning approaches, and worked extensively with communication assessment tools including DiSC. Bobbi received two Bachelor's degrees from the University of Pennsylvania, one in English and one in Development through Creative Expression. She received a Masters degree in Theatre from Villanova University, and trained with master improvisers at renowned theater centers in Chicago and NYC. In addition to co-founding and performing with Barrymore Award-winning ComedySportz Philadelphia for 20 years, Bobbi founded and is the Producing Artistic Director of critically-acclaimed spontaneous theater company, Tongue & Groove. She is a founding member of the popular longform improv group, LunchLady Doris, and performed with the interdisciplinary improv company Playback Philadelphia. Bobbi co-founded and performed with the body percussion troupe People Percussion Project, and plays drums in the Brazilian percussion troupe Unidos da Filadelfia. In addition to her current appointments at Temple, Drexel and Otago, Bobbi has taught Improvisation at numerous theatres and colleges including The University of the Arts, The Wilma Theatre, University of Pennsylvania, The Wharton School, and Villanova University. She has worked extensively with Philadelphia Young Playwrights, teaching playwriting to young people and training teachers and teaching artists on the integration of theatre in the classroom. Bobbi has worked with: ABC Television, Abington Hospital, Accenture, Achievement Network, American Express, Andersen Consulting, AstraZeneca, Bristol Myers Squibb, Campbell Soup, Capitol One, Comcast, Deloitte, Disney, Exelon/PECO, Federal Reserve Bank, Firmenich, Fox School of Business, General Electric, GlaxoSmithKline, Hospital of the University of Pennsylvania, IKEA, KPMG, Nationwide, Neiman Group, Oliver Wyman, Pew Charitable Trusts, Philadelphia Museum of Art, Philadelphia Workforce Development, Praxair, The Ranney School, Raymond James, SAP, Scratch, SEI, Sun Company, Time Warner, Tribe 12, US Trust, The Wright Center for Medical Education.

GORDON BODNAR, PH.D. is the Morris W. Offit Professor of International Finance at the Paul H. Nitze School of Advanced International Studies (SAIS) at Johns Hopkins University. He has been the Director of the International Economics Program at SAIS since 2005 and is the founding director of the SAIS Master of International Economics and Finance degree program. In 2011, he received a courtesy appointment as a Professor in the Carey Business School at Johns Hopkins University. Before joining Johns Hopkins, he was an assistant professor at The Wharton School of the University of Pennsylvania and the Simon Graduate School of Business at the University of Rochester. He has also held visiting professorships at Frankfurt University in Germany and the University of Pennsylvania. He received his Ph.D. in Economics from Princeton University in 1991. His research focuses on the areas of international finance and corporate finance. Specific topics include corporate exchange rate exposure, risk management, the valuation of multinational operations, and financial disclosures. Dr. Bodnar's research has been published in major academic journals in finance, economics and accounting as well as practitioner journals. He is currently on the Editorial Board of European Financial Management and the Editorial Review Board of the Journal of International Business Studies. He has held appointments as a research fellow at the National Bureau of Economic Research and as a visiting scholar at the International Monetary Fund. At SAIS, Dr. Bodnar teaches masters-level courses in corporate finance and international finance. He also teaches international corporate finance in the Wharton MBA for Executives program in Philadelphia and San Francisco. He has also previously taught international finance and global macroeconomics courses for Executive MBA programs at Cornell University and the Carey Business School. Dr. Bodnar is the recipient of eight Excellence in Teaching awards from Wharton, SAIS, and Cornell. He also lectures in a variety of executive education programs and is an occasional consultant to the financial industry, multinational firms, and international research organizations.

LAWTON ROBERT BURNS is the James Joo-Jin Kim Professor, a Professor of Health Care Management, and a Professor of Management in the Wharton School at the University of Pennsylvania. He is also Director of the Wharton Center for Health Management & Economics, and Co-Director of the Roy & Diana Vagelos Program in Life Sciences and Management. He received his doctorate in Sociology and his MBA in Health Administration from the University of Chicago. Dr. Burns taught previously in the Graduate School of Business at the University of Chicago and the College of Business Administration at the University of Arizona. Dr. Burns has analyzed physician-hospital integration over the past 25 years. In recognition of this research, Dr. Burns was named the Edwin L. Crosby Memorial Fellow by the Hospital Research and Educational Trust in 1992. Dr. Burns has also published several papers on hospital systems and physician group practices. The last 13 years he spent studying the healthcare supply chain. He completed a book on supply chain management in the healthcare industry, *The Health Care Value Chain* (Jossey-Bass, 2002), and a recent analysis of alliances between imaging equipment makers and hospital systems. These studies focus on the strategic alliances and partnerships developing between pharmaceutical firms/distributors, disposable manufacturers, medical device manufacturers, group purchasing organizations, and organized delivery systems. He has also edited *The Business of Healthcare Innovation* (Cambridge University Press, 2012) which analyzes the healthcare technology sectors globally: pharmaceuticals, biotechnology, medical devices, and information technology. Most recently, he has served as lead editor of the 6th Edition of the major text, *Healthcare Management: Organization Design & Behavior* (Delmar, 2011). His two latest books, *India's Healthcare Industry* (Cambridge University Press, 2014) and *China's Healthcare System and Reform* (Cambridge University Press, 2017), are based on global modular courses (GMCs) that Professor Burns has taught at Wharton. Next year, along with two colleagues, he will publish *Managing Discovery: Harnessing Creativity to Drive Biomedical Innovation* (Cambridge University Press, 2018). Dr. Burns teaches courses on healthcare strategy, strategic change, strategic implementation, organization and management, managed care, and integrated delivery networks. From 1998-2002, he was a Visiting Professor in the Department of Preventive Medicine at the University of Wisconsin School of Medicine, where he taught corporate strategy to physicians. Dr. Burns also received an Investigator Award from the Robert Wood Johnson Foundation to study the reasons for failure in organizational change efforts by healthcare providers. He is a past member of the Grant Review Study Section for the Agency for Health Care Policy & Research, and a past board member of the Health Services Section of the Institute of Medicine. He is also a Life Fellow of Clare Hall at the University of Cambridge.

ANDREW CARTON, PH.D. is an assistant professor of management at The Wharton School. He conducts research on how leaders can help employees experience greater meaningfulness at work. He has taught classes on leadership, ethics, negotiations, and change management. He received his PhD from Duke University.

GERALD CHERTAVIAN is dedicated to closing the Opportunity Divide that exists in our nation. Determined to make his vision a reality, Gerald combined his entrepreneurial skills and his passion for working with urban young adults to found Year Up in 2000. With its annual operating budget in excess of \$130M, Year Up is one of the fastest growing non-profits in the nation. It has been recognized by Fast Company and The Monitor Group as one of the top 25 organizations using business excellence to engineer social change. Year Up has also been named one of the nation's top 50 non-profits to work for by the Non-Profit Times for the past seven years. Gerald's commitment to working with urban youth spans more than 25 years. He has actively participated in the Big Brother mentoring program since 1985 and was recognized as one of New York's outstanding Big Brothers in 1989. In 2006, Gerald was elected as a Fellow with the Ashoka Global Fellowship of social entrepreneurs, and in 2008, he was appointed by Former Governor of Massachusetts, Deval Patrick to serve on the MA State Board of Elementary and Secondary Education. In 2013, he was appointed by Governor Patrick to serve as Chairman of the Roxbury Community College Board of Trustees and reappointed to that role by Massachusetts Governor Charlie Baker in 2016. Gerald began his career on Wall Street as an officer of the Chemical Banking Corporation. Following graduate school he co-founded Conduit Communications and fostered its growth to more than \$20M in annual revenues. From 1993 to 1998, Conduit ranked as one of the UK's fastest growing companies. Following the sale of Conduit to i-Cube in 1999, Gerald turned his full attention to creating opportunities for others. Gerald earned a B.A. in Economics, Phi Beta Kappa, summa cum laude, from Bowdoin College and in 2017 he was awarded the Bowdoin Common Good Award. He received his M.B.A., with honors, from Harvard Business School and in 2016 received the Distinguished Alumni Award. He has received honorary doctorates from the Massachusetts School of Professional Psychology and Mount Ida College. He is on the Board of Advisors for the Harvard Business School Social Enterprise Initiative and a former member of the World Economic Forum's Youth Unemployment Council. Gerald is also an Emeritus Trustee of both Bowdoin College and the Boston Foundation. His 2012 book, *A Year Up*, is a New York Times best seller.

PETER CONTI-BROWN, PH.D. is an assistant professor of legal studies and business ethics at The Wharton School of the University of Pennsylvania. A financial historian and a legal scholar, Conti-Brown studies central banking, financial regulation, and public finance, with a particular focus on the history and policies of the US Federal Reserve System. He is author of the book *The Power and Independence of the Federal Reserve* (Princeton University Press 2016), the editor of two other books, and author or co-author of a dozen articles on central banking, financial regulation, and bank corporate governance. He has been widely quoted in print and online media on central banking and has testified before the US Senate Banking Committee on reforming the Federal Reserve. He graduated from Harvard College and Stanford Law School and received his PhD in financial history from Princeton University. He is currently writing two books, a political history of the U.S. Federal Reserve and a history of bank supervision in the United States (with Sean H. Vanatta).

ANNE COONEY is a Managing Director and is the General Counsel of Morgan Stanley Wealth Management (WM), the wealth management division of Morgan Stanley. Anne leads a team of approximately 70 professionals who advise the business on legal issues and regulatory requirements involving the division's broad product and services offerings. Anne previously served as head of Client Litigation for the Wealth Management business. Anne is a member of the WM Operating Committee. She is a member of the SIFMA Compliance and Legal Society's Executive Committee. Prior to joining Morgan Stanley in 1999, Anne practiced as a securities litigator with a leading Florida law firm, where she specialized in representing financial institutions in court litigation, arbitrations, and regulatory proceedings before the SEC and the self-regulatory organizations. She holds a J.D. with honors from the University of Florida and a B.S. in Business Administration from the University of North Carolina, Chapel Hill.

BURCU ESMER is a research fellow at Alternative Investment Initiative and a lecturer at the Wharton School. Previously, she was a faculty member at Kelley School of Business, Indiana University and Bilkent University. She received her Ph.D. in finance and M.A. in economics from the University of Iowa. Professor Esmer's research interests are in empirical corporate finance and alternative investments. Her most recent research focuses on agency conflicts in financial contracts, mergers and acquisitions, and private equity investments. Her articles appeared in leading academic journals such as *Journal of Banking and Finance*. Professor Esmer has presented her work to different audiences at various conferences and workshops, and she frequently serves as a reviewer for academic journals and conferences. She provides consulting and training to government institutions as well as private corporations. Professor Esmer currently teaches undergraduate and graduate level courses on private equity and mergers and acquisitions. In the past, she has taught courses on economics, statistics, and corporate finance. She received Ponder Graduate Fellowship and Center for Teaching 'Thank a Teacher' Recognition from the University of Iowa. She has also served on several graduate student committees. Professor Esmer is a member of American Finance Association, Financial Management Association, Midwest Finance Association, Eastern Finance Association, European Finance Association, and European Financial Management Association.

DAFNA EYLON, PH.D. specializes in developing senior executives and management teams to enhance leadership and organizational effectiveness. President of Eylon Associates, she also delivers programs at Wharton's Aresty Institute for Executive Education at the University of Pennsylvania and is a former Senior Fellow at Wharton. She previously served as the F. Carlyle Tiller Chair of Business at the Robins School of Business and Associate Professor of Psychology at the University of Richmond. Dr. Eylon has extensive experience in organizational consulting and executive coaching. Her primary focus is on enabling executives to realize opportunities for professional growth as they face key leadership challenges such as thriving and managing change, strengthening communication, increasing social influence and meaningful purpose, building organizational courage, enhancing organizational culture with strategic focus and workplace empowerment. Dr. Eylon works with global clients across multiple industries. Previous clients include: Bank of America, Capital One, CTBC, Deloitte, Estee Lauder, FAO United Nations, IBM, IMCA, IFC World Bank, Intel, Invensys, General Electric, Marathon Oil, Medtronic, Merck, Merrill Lynch, Novartis, Organization for Economic Co-operation and Development (OECD), Payoneer, SanDisk, The Sage Group, Shell International, Siam Commercial Bank, Teva, Raytheon, VA Medical Centers and World Trade Organization. A popular keynote speaker at organizational and industry events around the world, Dr. Eylon integrates her business experience and academic background on topics such as *Your Leadership Blueprint*, *Leading Innovative Change*, *Executive Communication*, *Creating Effective Teams*, *Building Social Influence*, *Global Ethical Decision Making*, and *Organizational Courage*. Dr. Eylon is the recipient of numerous professional awards including the State Council of Higher Education for Virginia Outstanding Faculty Award, and her work has been profiled in the highly regarded multi-disciplinary journal *Science*. She has also served as representative-at-large for the Academy of Management, Organizational Behavior Division. Dr. Eylon's current research interests and publications are in the areas of workplace empowerment, use of ambiguous information in organizational settings, posthumous impressions of organizational leaders, and negotiation. Dr. Eylon earned her Ph.D. in Organizational Behavior from the University of British Columbia.

ROBERT FOGARTY is the founder and CEO of Dear World. Dear World aligns the remarkable stories of individuals to the values of their community. You will have the opportunity to participate in their recognized narrative facilitation process and be photographed in their signature ink-on-skin style. RX Fogarty, is a journalist by training and knows that when teams care about each other more than the CV version of themselves, they produce better work. Clients include Duke University men's basketball, Accenture, Genentech, UBS, and Astra Zeneca. Fogarty is a graduate of the University of Oregon and founded Dear World in New Orleans the year the city's football team--the Saints--won the Super Bowl (2010). He wants you to know: It's not about the final portraits you may have seen before. It's about the process that gets a person to reveal their Dear World story.

ANDREW FRIEDMAN According to CNBC, Andy Friedman is "one of the nation's most sought-after speakers on all things political." An expert on political affairs, Andy explains the ever changing, sometimes confusing, and often crazy world of Washington in a straightforward bipartisan manner. He is known for predicting the outcomes of Washington deliberations and providing financial advisors and investors with strategies to consider in light of the changing political landscape. Andy was a senior partner with the law firm of Covington & Burling in Washington, D.C., where he practiced for almost thirty years, serving as head of the tax and corporate groups. He received his bachelor degree as valedictorian from Trinity College in Hartford, Connecticut, and his law degree from the Harvard Law School. Andy also served as tax counsel to Major League Baseball, the National Football League, the National Basketball Association, and the National Hockey League. Andy appears on CNBC, which refers to him as "Wall Street's Tax Expert" and calls him "one of Washington's savviest political observers." Andy also has appeared on the Larry Kudlow Show, the Fox Business Channel, and POTUS radio, has been profiled in the Washington Post and Research Magazine, and is quoted extensively in publications ranging from the Wall Street Journal to USA Today. Andy is included in Best Lawyers in America and Chambers' America's Leading Lawyers for Business, which notes that "Andy's ability to combine vast knowledge and a practical mindset permits him to convey the most complex of tax concepts in layman's terms. He is the expert's expert. If every lawyer were like him, the world would be a much better place."

CHRIS GECZY has been on the Finance Department faculty at the Wharton School of the University of Pennsylvania since 1997. He is Academic Director of the Jacobs Levy Equity Management Center for Quantitative Financial Research. He is also Academic Director of the Wharton Wealth Management Initiative at Wharton Executive Education. He has a B.A. in economics from the University of Pennsylvania and a Ph.D. in finance and econometrics from the Graduate School of Business at the University of Chicago (now the Booth School). Before his studies at Chicago, Chris worked for the Board of Governors of the Federal Reserve System, Washington, DC in its Division of Research and Statistics. He regularly teaches investment management and co-created the first full course on hedge funds at The Wharton School, a course on Impact Investing, and a large number of executive education courses. He has taught AIMR/CFA Institute-accredited professional Risk Management courses through the University of Chicago's Graduate School of Business. The Jacobs Levy Center is an interdisciplinary research hub at Wharton focusing on innovative knowledge creation in quantitative finance. It supports faculty research projects and dissertation fellowships, and it awards the Wharton-Jacobs Levy Prize for Quantitative Financial Innovation. Chris became Academic Director in March 2014. Chris has been the Academic Director of a number of Wharton Executive Education programs including the 2009 Securities Industry Institute in partnership with SIFMA, the Private Wealth Management program in partnership with The CFA Institute, and programs focused on advanced strategies, endowments and foundations, alternatives and hedge funds in partnership with the Investment Management Consultants Association (IMCA). In addition, he has taught Investment Management in the Penn-Securities Association of China (Penn-SAC) program for a number of years. He received the Best Elective Course Teaching Award in the Wharton Executive MBA Program. He currently serves on Intel's US Retirement Plans' Investment Policy Committee. He has served on the Economic Advisory Board of NASDAQ, has been an editor of the Journal of Alternative Investments and is on the Editorial Advisory Board of the Journal of Wealth Management. He is Co-Editor of Financial Planning Review, the academic journal of the CFP® Board Center for Financial Planning. Chris is also a founding board member and past Chairman of the MidAtlantic Hedge Fund Association and served on the curriculum and exam committee of the Chartered Alternative Investment Analyst Association (CAIA). He serves on the Impact Investing Advisory Council of the Wharton Social Impact Initiative. Chris's current research focuses on various topics including multifactor models, wealth management, risk management, asset allocation, the performance of managed funds including hedge funds, venture capital and private equity as well as other alternatives, ESG incorporation in funds and portfolios, and various aspects of equity lending and shortselling. His work has appeared in numerous books and scholarly journals including the Journal of Finance, Journal of Financial Economics, Journal of Portfolio Management, The Society for Industrial and Organizational Psychology and the Journal of Political Economy. He currently consults with and advises a number of private and institutional investors including pension plans, insurance companies and ultra-high net worth families and others in the area of portfolio construction, management and evaluation, asset allocation, investment selection, alternative investments including private equity, infrastructure, hedge funds, risk management, and subprime exposures in both the 1940 Act space as well as the private fund area. Chris also serves as a Trustee and member of the Investment Committee of The Episcopal Academy, is on the Board of Directors of the Alexander Hamilton Friends Foundation, and is a founder of Forefront Analytics and GKFO.

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THOMAS GOOLEY is the Managing Director of Service, Trading, and Operations at LPL Financial. In this role, he is responsible for leading the service, trading, and client-facing operations organizations, while mitigating risk, increasing efficiency, and improving the client experience at LPL. He also is responsible for driving the strategy, governance, and execution of the firm's business process outsourcing activities in India. Tom has over 20 years of experience in brokerage and banking operations with expertise in managing large, complex organizations through transformational change. Prior to LPL, Tom was Senior Managing Director and Chief Risk Officer for Retirement & Individual Financial Services at TIAA CREF where he drove the risk management strategy and framework for the organization. Prior to TIAA CREF, Tom was Managing Director and Global Head of Operations for the Wealth and Investment Management Groups at Morgan Stanley, where he defined and implemented the vision and strategy for the groups from a people, infrastructure, controls, product and stakeholder perspective and revitalized the control program, providing transparency on risk within the organization. Additionally, Tom co-led the integration of Smith Barney and Private Wealth Management positions and accounts onto the Morgan Stanley retail platform – the largest conversion of its kind in the industry today. Prior to Morgan Stanley, Tom held management positions in operations at Bank of America Securities and Goldman Sachs as well as serving on the SIFMA Ops and Tech Steering Committee, the DTCC Ops Advisory Council and is currently an advisor to the SIFMA Securities Operations Section. Tom currently is a member of the SIFMA Private Client Steering Committee. Tom has a B.A. from the University of California, Berkeley, and an M.B.A. from The Wharton School, University of Pennsylvania.

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ARIEL GURSKY focuses her practice on representing broker-dealers and their employees in governmental, self-regulatory organization, and state securities commission investigations, and conducting internal investigations for such firms. She has particular experience in assisting firms in evaluating whether to self-report matters under FINRA Rule 4530(b), electronic trading, and trade reporting obligations; she acts as counsel to several broker-dealer self-reporting committees. Ariel also has experience representing corporate and individual clients in litigation and arbitration. Ariel’s pro bono practice includes successfully securing tuition reimbursement for a student under the Free Appropriate Public Education for Students With Disabilities requirement of The Rehabilitation Act of 1973. Ariel is a member of the New York Office’s Recruiting Committee and IT Committee. She previously served as chair of the New York Office Associates Committee. Prior to joining Morgan Lewis, Ariel was an intern in the US District Court for the District of Columbia, served as a student attorney in the Institute for Public Representation (IPR), and was president of Georgetown Law Habitat for Humanity.

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BEN A. INDEK focuses his practice on representing broker-dealers and their employees in governmental, self-regulatory organization, and state securities commission investigations, and conducting internal investigations for such firms. Ben also counsels clients on regulatory and compliance issues, with a particular emphasis on assisting firms in self-reporting matters under FINRA Rule 4530(b); he acts as counsel to a broker-dealer self reporting committee. Ranked for the last nine years, Chambers USA noted that Ben has been described by securities industry insiders as "always prepared, measured and unflappable, even in difficult situations" and as having a "very strong" regulatory enforcement practice and "a style that goes down well with regulators." An author of many articles on broker-dealer regulation and enforcement issues, in 2006 Ben developed the firm's annual publication "Select SEC and FINRA Broker-Dealer Cases and Developments"; he continues to be the lead author of that outline. Previously, Ben co-authored "Securities Litigation and Enforcement," a regular column appearing in the New York Law Journal. Ben and Christian J. Mixer, a partner at Morgan Lewis, co-authored an amicus brief filed on behalf of the National Society of Compliance Professionals with the SEC in connection with In the Matter of Theodore Urban. From 1984-1987, Ben served as a compliance officer for E.F. Hutton & Co. During his tenure at Morgan Lewis, he has served on the FINRA Independent Dealer/Insurance Affiliate Committee, NASD's Market Regulation Committee, NYSE's Electronic Communications Task Force, and NSCP's Board of Directors. Ben is chair of the firm's Audit Committee, and is the co-managing partner of the New York Office. He previously served for six years on the firm's Advisory Board.

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Yael C. Sivi is the Co-Founder and Managing Partner of Collaborative Coaching. As a consultant, executive coach, and keynote speaker with over seventeen years experience working in Fortune 1000 companies, non-profit organizations, and government agencies, Yael's focus is on supporting leaders and teams to be more conscious and collaborative. Yael has worked on numerous global and domestic assignments— in the role of executive/leadership coach, team coach, facilitator, process consultant, curriculum designer, trainer, and presenter. Her clients have included American Express, Boehringer Ingelheim, Citibank, Coca-Cola, Commerzbank, Deutsche Bank, Genentech, Goldman Sachs, JPMorgan Chase, NASA, NYSE/Euronext, New York Foundation for the Arts, Partnership for Children, Securities Industry Institute, United Nations, US Forest Service, WL Gore, World Bank, among others. Yael's area of expertise centers upon improving human dynamics in the workplace. She speaks about and consults on topics such: emotional intelligence, conscious leadership, intentional organizational culture, team collaboration, conflict management, mentoring, as well as diversity and inclusion. She was selected as a presenter at the 2015 Organizational Development Summit, during which she spoke about Millennials in the workplace—specifically, as emerging leaders and ambivalent followers. Yael is a regular faculty member at SIFMA's annual Securities Industry Institute, held each spring at Wharton Business School, where she teaches classes on generations in the workplace and cultivating collaboration. She is also the lead facilitator for Princeton AlumniCorps' Emerging Leaders Program, an 8-month leadership development program for non-profit managers/leaders in New York City. In addition to her coaching/consulting work, Yael is also a licensed psychotherapist with a part-time private practice in New York City. In her counseling work, Yael supports individuals and couples to build self-awareness, versatility, and meaning in their personal and professional lives.

JOHN SPENCE for more than 23 years has traveled worldwide helping people and businesses be more successful. John is the author of five books and co-author of several more, a business consultant, workshop facilitator, keynote speaker and executive coach with a client list that includes numerous Fortune 500 firms to small businesses, professional associations and other organizations. John's areas of expertise include: leadership, high-performance teams, managing change, organizational culture, consultative selling, strategic planning, strategy execution and the future of business. At 26 John was the CEO of an international Rockefeller foundation, overseeing projects in 20 countries. Just two years later Inc. Magazine named him one of America's Up and Coming Young Business Leaders. John is recognized as one of the Top 100 Business Thought Leaders in America, one of the Top 100 Small Business Influencers in America, one of the Top 50 Small Business Experts in America and one of the top 500 Leadership Development Experts in the World. The American Management Association named John one of America's Top 50 Leaders to Watch along with Sergey Brin and Larry Page of Google and Jeff Bezos of Amazon. John was named one of eight finalists for the Breakthrough Idea Award for the Thinkers50 2017 Distinguished Achievement Awards. The Thinkers50 celebrates the thinkers who have contributed the most to management thinking and practice over the last two years and whose ideas drive the conversations of the day. John is a voracious learner and consumes a minimum of 100 business books, countless articles and blogs a year. He is a guest lecturer at more than 90 colleges and universities including MIT, Stanford, Cornell, Wharton School of Business, University of Auckland, Canterbury University, University of Krakow and Kozminski University. He was the owner or CEO of six companies and currently serves as a board member or adviser to several organizations and executives. John has made a career of "Making the Very Complex...Awesomely Simple".

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