

Pension Focus is a cutting-edge conference that gives sponsors of 401(k), 403(b) and Defined Benefits plans valuable insight on how to provide top performing retirement plans to their employees.



Early Bird Rate Until April 4th, 2018

CONFERENCE SPEAKERS



Master of Ceremonies

Jeff Houghton

Host and Presenter
The Mystery Hour



Keynote Speaker

Alison Cooke-Mintzer

Global Editor-in-Chief
PLANSPONSOR and
PLANADVISER



Rui Yao, PhD

Professor of Personal Finance,
Head of Finance Department
University of Missouri

**Investment Fee Performance:
How to Benchmark Your Fees**



Chris Thixton, QPA

Principal
Pension Consultants, Inc.
**The Future of the Retirement
Planning Industry**



Brandon Long, JD

Shareholder, Employee Benefits
& Executive Compensation
Practice Leader
McAfee & Taft
**Retirement Plan Fee
Performance**



John Utz, JD

Partner, Attorney
Utz & Lattan, LLC

**Retirement Plan Administration:
Common and Emerging Plan
Administration Concerns**



Keith Peters, JD

Partner, Attorney
Cline Williams Wright Johnson
& Oldfather, LLP

**The Last Fiduciary:
How to Join the Resistance**



**Raife Giovinazzo, PhD,
CFA**

Partner, Portfolio Manager
Fuller & Thaler Asset Management
**Investment Decisions and
Behavioral Finance (BeFi):
Shining a Light on your Blind
Spots**



Read more about our speakers at
www.pensionfocus.org

SPONSORED BY
 **PENSION**
consultants inc.

THURSDAY, MAY 3

Lunch Buffet for All Attendees

11:30 a.m.—12:15 p.m. (*Windsor*)

Welcome

12:15 p.m.— 12:25 p.m. (*Windsor*)

Cody Mendenhall, Pension Focus Conference

12:30 p.m.— 1:20 p.m. (*Heidelberg/St. Moritz*)

Chris Thixton, QPA, Pension Consultants, Inc.

The Future of Retirement Plan Management

The retirement planning industry is always changing. While the industry has traditionally focused on relationships and subjective means to gain confidence in providing a good plan, the future will see a move to objective criteria. Take a journey through the evolution of the retirement planning industry and address how to stay ahead of the curve and properly have confidence in providing a top performing plan.

1:30 p.m.— 2:20 p.m. (*Heidelberg/St. Moritz*)

Rui Yao, PhD, CFA, University of Missouri

Retirement Plan Investment Line-up Performance

Performance was once the sole domain of defined benefit retirement plan sponsors, administrators, and consultants. The mass transition from defined benefit pensions to defined contribution plans has changed who has to live with the plan performance: the risk adjusted return given time horizon, and investor's risk tolerance. In a defined contribution plan in today's new environment of fiduciary liability, the legal responsibility for the plan performance is falling to plan sponsors and their team. Plan sponsors are expected to do their best to ensure the optimal plan performance. Now is the time to review the investment performance of retirement plans and the factors that contribute to the performance.

2:40 p.m.— 3:30 p.m. (*Heidelberg/St. Moritz*)

Brandon Long, JD, McAfee & Taft

Retirement Plan Fee Performance

This presentation will discuss the fiduciary duty to understand plan fees, how to do that, when to do that, what fees committees often overlook, what committees often fail to fully understand, how to know if you are getting what your plan is paying for, and, ultimately, why your advisor should be working harder for you.

3:40 p.m.— 4:30 p.m. (*Heidelberg/St. Moritz*)

Raife Giovinazzo, PhD, CFA, Fuller & Thaler

Asset Management

Investment Decisions and Behavioral Finance (BeFi):

Shining a Light on your Blind Spots

People make mistakes. These mistakes are not random. Behavioral Finance is the study of when investors are likely to make a mistake, and what mistake they are likely to make. We will discuss the psychological research on when people are likely to over-react, versus under-react to information. And, we'll talk about how to apply that knowledge to investing, how to help clients (and yourself) avoid mistakes, and how to invest where others stumble.

Welcome Reception

4:45 p.m.— 5:45 p.m. (*Pool Courtyard*)

FRIDAY, MAY 4

Breakfast for All Attendees

7:30 a.m.— 7:50 a.m. (*Heidelberg/St. Moritz*)

Keynote Address

8:00 a.m.— 8:50 a.m. (*Heidelberg/St. Moritz*)

Alison Cooke-Mintzer, PLANADVISER and PLANSPONSOR

Retirement Planning Industry Update: Moving from Subjective to Objective

Plan Administrator Breakout Session

9:00 a.m.— 10:50 a.m. (*Innsbruck*)

John Utz, JD, Utz & Lattan, LLC

Retirement Plan Administration: Common and Emerging Plan Administration Concerns

This presentation will address common and emerging plan administration concerns. It will include: suggested practices relating to retirement plan privacy and cybersecurity, troubling proposed changes to the AICPA's plan audit rules, IRS and DOL warnings and guidance, and the importance of record retention. This presentation will also address how to respond to participants' requests for plan information and disclosures, as well as some thought practice relating to plan administration and fiduciary practices, to reduce risk.

Plan Fiduciary Breakout Session

9:30 a.m.— 10:50 a.m. (*Milan/Venice*)

Keith Peters, JD, Cline Williams

The Last Fiduciary: How to Join the Resistance

The Internal Revenue Code and ERISA set standards of conduct for fiduciaries, meaning those who manage an employee benefit plan and its assets. This presentation will provide an overview of the fiduciary responsibilities applicable to retirement plans under federal law and then discuss strategies to manage and fulfill those responsibilities. The presentation will include several scenarios for attendees to spot potential fiduciary problems based on recent allegations in litigation. The presentation will end with a summary of action items that attendees can follow.

Roundtable Discussion

11:00 a.m.— 11:50 a.m. (*Heidelberg/St. Moritz*)

This is your opportunity to ask plan-specific questions, or questions that arose during the conference.

All Speakers

SPONSORED BY



#PensionFocus2018



Agenda is subject to change

SPEAKER BIOS



Jeff Houghton MASTER OF CEREMONIES

The Mystery Hour

Jeff Houghton is the host of *The Mystery Hour*, a syndicated late night talk show on FOX and ABC affiliates. Jeff is a 4 time Emmy award winner, originally from Iowa City, IA. He created the viral hit Instagram Husband which has 50 million views, worked at the Late Show with David Letterman, and is also an improviser, radio host, and freelance writer. He often travels performing improv and hosting events.



Alison Cooke-Mintzer KEYNOTE SPEAKER

PLANSPONSOR and PLANADVISER

Mrs. Alison Cooke-Mintzer is global editor-in-chief of PLANADVISER and PLANSPONSOR and is responsible for all publications under those brands at Asset International. PLANSPONSOR and PLANADVISER—through their magazines, websites, webcasts, email newsletters, and conferences—provide comprehensive industry news, as well as regulatory and investment information to retirement plan sponsors, advisers, and consultants. The publications offer a breadth of information regarding the sale, design, and administration of institutional qualified and non-qualified retirement plans and executive compensation plans. Mrs. Mintzer regularly speaks at industry conferences and public engagements.



Rui Yao, Ph.D., CFP®

University of Missouri

Rui Yao, Ph.D., CFP®, is an Associate Professor and Director of Graduate Studies in the Personal Financial Planning Department at the University of Missouri. Dr. Yao received her doctoral degree from The Ohio State University. Her research interests focus on helping individuals and households increase financial well-being, specifically: retirement preparation, financial risk tolerance, investment behavior, saving motives, debt management, and consumption patterns.

Dr. Yao serves on the editorial board, and as a reviewer for a number of academic journals and conferences. She has been committed to working with the China Center for Financial Research in Tsinghua University of China and is a member of the research team on their first national survey of Chinese Consumer Finance and Investor Education.



Brandon Long, JD

McAfee & Taft

Mr. Brandon Long is an AV Preeminent-rated employee benefits attorney at McAfee & Taft, Oklahoma's largest law firm. He represents regional and national clients with thousands of employees. His achievements have earned him inclusion in *The Best Lawyers in America* and *Oklahoma Super Lawyers*. Mr. Long serves as leader of McAfee's Employee Benefits and Executive Compensation Group, overseeing one of the Southwest's largest teams of employee benefits lawyers. He also serves as the president-elect of the Southwest Benefits Association, a 700 member organization based out of Dallas.

More than 20 years ago, Mr. Long started in the mail room of a large Oklahoma City firm, worked as a legal assistant while going to law school at night, and graduated ranked first in his law school class. Mr. Long then practiced with large international law firms in Dallas and Washington, D.C. before returning to his hometown and joining McAfee & Taft.





Chris Thixton, QPA

Pension Consultants, Inc.

Mr. Chris Thixton started with Pension Consultants, Inc. (PCI) in 1995. Over that time, Chris has used his passions and skill sets to educate clients, plan sponsors, and fiduciaries on how to deliver a top-performing retirement plan. Chris created, developed, and implemented a wide variety of systems that have improved clients' retirement plans. He created the firm's vendor research system that includes a robust service provider comparative analysis system. He developed the firm's first investment search methodology, and created the first QP Review® - which expanded into PCI's proprietary compliance service for clients.



John Utz, JD

Utz & Lattan, LLC

Mr. John L. Utz is an attorney in the Overland Park, Kansas office of Utz & Lattan, LLC. He focuses exclusively on employee benefits and executive compensation law, including matters affecting pension, profit-sharing, and 401(k) plans; ESOPs, Section 403(b) tax-sheltered annuities, Section 457 plans, stock options, nonqualified deferred compensation, incentive pay, severance pay, and health and welfare programs.

Mr. Utz is a Fellow in the American College of Employee Benefits Counsel, a Fellow in the American College of Tax Counsel, and is listed in The Best Lawyers in America, Superlawyers, and Who's Who Legal (Pensions and Benefits). He is active in the American Bar Association, having served as Chair of the Employee Benefits Committee of the Section of Taxation and having chaired several ABA subcommittees. Mr. Utz has published more than 100 articles in professional journals and has been a frequent speaker at national employee benefits seminars, giving more than 200 invited talks. Mr. Utz holds a law degree and a master's degree in mathematics from the University of Illinois.



Keith Peters, JD

Cline Williams Wright Johnson & Oldfather, L.L.P

Mr. Keith Peters' practice includes employee benefits and executive compensation. He counsels clients on qualified plans, including defined benefit pension plans, profit sharing and 401(k) plans, 403(b) plans, 457 (b) plans, and employee stock ownership plans (ESOP). He prepares and reviews non-qualified deferred compensation plans for compliance with Code Section 409A and other applicable laws. He prepares and reviews documents related to welfare benefits arrangements. Mr. Peters counsels fiduciaries regarding their obligations and responsibilities related to retirement and welfare benefit plans. Mr. Peters works with clients responding to audits by the Internal Revenue Service and the U.S. Department of Labor. In addition, he works on litigation matters involving ERISA, retirement and welfare benefit plans, and non-competition agreements. He assists clients with employee benefits issues that arise in connection with mergers and acquisition transactions. In 2017, Mr. Peters was one of five lawyers identified by *Chambers and Partners* as a leading ERISA attorney in Nebraska.



Raife Giovinazzo, PhD, CFA

Fuller & Thaler Asset Management

Dr. Giovinazzo is responsible for managing Fuller & Thaler's Behavioral Small Cap Equity strategy. He conducts research at Fuller & Thaler, using market insights and behavioral finance to enhance the investment processes at the firm and manage research portfolios. Dr. Giovinazzo received his BA in sociology from Princeton, and his MBA in analytic finance, economics, and statistics, as well as a PhD in finance from the Booth School of Business at the University of Chicago. Dr. Giovinazzo holds the Chartered Financial Analyst designation and is a member of the CFA Society of San Francisco. He is an owner of the firm and a member of the Board of Directors.

