Spring 2013 CRM Forum
Monday April 15th & Tuesday April 16th 2013
ML / BOA @ University of Utah Conference Center, Salt Lake City

AGENDA: Topics for Discussion

MONDAY, April 15th

2:00 – 4:00 Member Only Roundtable Exchange
Conference Rooms 1 & 2

5:00 – 6:30 Member & Partner Networking Reception

7:00 – 9:00 Member & Partner Networking Dinner

TUESDAY, April 16th

7:00 - 8:00 Member & Partner Networking Breakfast

8:00 - 8:30 Opening Remarks and Introductions

8:30 - 10:00 Presentation by Industry Expert

10:00 - 12:00 Member Only Roundtable Exchange
Conference Rooms 1 & 2

12:00 - 1:00 Member & Partner Luncheon

1:00 - 3:00 Member & Partner Roundtable Exchange

3:00 - 4:00 Member & Partner Networking and Business Card Exchange

4:00 Scheduled Departures from University of Utah to Airport

All sessions will be held at the University of Utah Conference Center unless noted as such.

MONDAY, April 15th

2:00 – 4:00   Member Only Roundtable Exchange

Conference Room #1
Marketing / Client Experience

Since social channels are becoming more mainstream who is changing their messaging to adapt.

Who is utilizing social channels to answer advisor inquires.
Is anyone communicating directly with the end client?

Has anyone attempted to attach a revenue objective to marketing initiatives?
Essentially changing what was Marketing Automation to Revenue Marketing.

Are you incorporating Social Media into CRM?
How have you overcome concerns from Compliance?

CRM & Lead Generation, Best practices in on- and off-line marketing, to drive qualified leads into a CRM system.

Sales Goals & Pipeline Management
How to utilize the CRM platform to deliver information to generate revenue from marketing and sales activities

Utilizing One Platform across Firm: Improve user experience by integrating disparate sales tools across your web counterparts

What is the Definition of CRM - Who is it for Sales or Marketing.

<u>MONDAY, April 15th</u>

<u>2:00 – 4:00 Member Only Roundtable Exchange</u>

<u>Conference Room #2</u>
<u>Metrics / Analytics</u>

How are we attempting to understand how advisors behave, how can that data provide insight into future behavior and how to then plan for the future based on these behavioral predictions.

Predictive analytics are still the buzzwords: How can we turn it into ‘actionable insight’,”

Which processes are in place to maintain a clean data environment?
How are you addressing duplicate profiles and Rep movement from Firm to Firm?
Are you using a CRD #, and if so, how are you incorporating this data into a CRM?

Many current solution providers exclude information from various channels. (DST – Market Metrics etc)
How do you gather the required data needed.
How do we then create “Predictive Analytics”

Management of Channel Data
DCIO / RIA / Institutional / International
Tracking / Accuracy
Transaction vs NAV
TPA Platforms & Data Delivery & Omnibus
Challenges with monitoring and crediting compensation

Mutual Fund Models: How to Track Shares by Platform
UMA’S How to obtain better data. What level of data is available today?

<u>5:00 – 6:30 Member & Partner Networking Reception</u>
<u>Pierre Lassonde House @ University of Utah Conference Center</u>

<u>7:00 – 9:00 Member & Partner Networking Dinner</u>
<u>Lambs Grill 169 S Main St Salt Lake City, UT 84111</u>

<u>**TUESDAY, April 16th**</u>

<u>7:00 - 8:00 Member & Partner Networking Breakfast</u>

<u>University Conference Center</u>
<u>Guesthouse Restaurant</u>

<u>8:00 - 8:30 Opening Remarks and Introductions</u>

<u>University Conference Center</u>
<u>Fort Douglas Ballroom West</u>

<u>**8:30 - 10:00 Presentation by Industry Expert**</u>

<u>**Reflections on a trek to the Roof of Africa.**</u>

The speaker will share personal stories about the climb to the summit of Mt. Kilimanjaro and on the corporate journey to create a Global CRM organization.

TUESDAY, April 16th

10:00 - 12:00 Member Only Roundtable Exchange

Conference Room #1
CRM Engagement Strategies

What are the technology solutions that have been set up for wholesalers. Sharepoint / Dropbox, sales dashboards, datamarts. Is third party data such as Coates & Market Metrics included?

What is being used today. (If Not) Any plans for future implementation.

What is accessible by iPad?

What mobile devices do you currently support for CRM access? Has anyone migrated to a BYO device policy? Are there any smart phones you have excluded from your mobile strategy (i.e. Android or Blackberry)?

Mobil and Ipad vs Surface

Sales Reporting to measure data in system for sales optimization
Identify New to Pipeline. Determine how much is or should be a percentage of yearly goals
Make information relevant to sales.

Does any firm use Flow Based compensation for SMA's & UMA's.
What are the average Retention Rates for Non 40 act business in Sales Channels.

What percentage of advisor sales tickets is matched to your database at first attempt?
What percentage do you have to do additional manual match?
How long does it take to match up to 99% of your regular tickets?

TUESDAY, April 16th

10:00 - 12:00 Member Only Roundtable Exchange

Conference Room #2
CRM Business Processes

Who is utilizing 'the Cloud" and to what capacity have they adapted their IT infrastructure to accommodate.

Would like to hear more on Omnibus Transparency (Omniserv)

How to handle multiple 3rd party data feeds

Who and what is being utilized for data aggregation to establish a third party view of the advisor

What is the most effective mechanism to analysis output to sales organization.
What solution providers are being utilized. DST Wallet Share / Coates / Market Metrics.
How is it being done today.

Change Management What does it look like today (pre –rollout) vs Tomorrow (Implementation)
How to keep information in system fresh.

Best practices when introducing a new CRM as well as ongoing training offered.

What are effective ways to drive adoption?

Are there any of the forum member firms who have leveraged the integration between Salesforce and Access Data for Sales activity linkages and/or the Wholesaler Compensation Module.

> Who use it and what is their feedback and lessons learned?
> What is the architecture and operations approach?

TUESDAY, April 16th

1pm – 3pm Member & Partner Roundtable Exchange

Asset Management & Advisory Roundtable

Financial Advisors from Merrill Lynch will be discussing the following:

General Theme:

The Asset Management and Advisory Services are mutually dependent industries.

The Asset Management Industry relies on the services of the Financial Advisor to deliver their investment solutions to clients.

The Advisory Industry utilizes varied investment solutions of Asset Management Firms to service their clients.

Topics:

Is the current mix of Asset Management Services sufficient for today's market and clients?

Are the standard delivery methods adequate / utilization of (external & internal) wholesalers?

How can we use technology to better enable both the Advisor and Wholesaler?

How can Asset Management Companies work more efficiently with the Financial Advisor to develop and bring the utilization of investment solutions to the end client?

What are your opinions on the way the industry utilizes CRM data and systems to service both your needs, that of the clients' and the wholesaler.

TUESDAY, April 16th

3:00 - 4:00 Member & Partner Networking and Business Card Exchange
Outdoor Patio (weather permitting) University Guest House

4:00 - 4:15 Scheduled Departures from University of Utah to Airport