



# SPA Structured Products Distribution Summit

New York Hilton  
Tuesday, October 25, 2011

**8:00 -- 9:00 AM**

**REGISTRATION - BREAKFAST**

**9:00 - 9:30 AM**

**THE YEAR TO DATE:**

**Trends, Developments and Challenges in Structured Products Distribution**

- **Alec Papazian**, Cerulli Associates
- **Emma Trincal**, Prospect News
- **Srikant Dash**, S&P Indices
- **Brian Formento**, UBS Wealth Management

**9:30-10:10 AM**

**BROKER-DEALERS -- The Current State of Distribution from the Front Lines**

- **Dayna Kleiman**, RW Baird
- **Guy Gregoire**, Pershing
- **Joe Castelluccio**, PrinceRidge
- **Krizan Peros**, E\*TRADE
- **Rick Cabanes**, Hapoalim Securities

**10:10 - 10:50 AM**

**INSTITUTIONAL/FUNDS: Developments in ETFs, Funds, Asset Management**

- **Jason Ungar**, Guggenheim
- **Lisa Meyer**, Rydex/SGI
- **Solomon Teller**, ProShares
- **Will Rhind**, ETF Securities

**10:50 - 11:05 AM**

**MORNING NETWORKING BREAK**

**11:05 - 11:45 AM**

**SOLUTIONS: Assessing the Challenges of the Rapidly Growing Industry**

- **Eric Greschner**, Regatta Research & Money Management
- **Jim Jockle**, Numerix
- **Kevin Samborn**, Sapien
- **Tim Mortimer**, Future Value Consultants

**11:45 AM - 12:30 PM**

**THE POTENTIAL OF THE RETAIL BANK CHANNEL: High Growth Opportunities**

- **Howard Hammond**, Fifth-Third Bank
- **Marc Vosen**, Keybank Investments
- **Mike Millard**, Citizens Bank
- **Paul Werlin**, Bank-BD Analytics
- **Tim Stoddart**, Capital Investment Marketing

**12:30 - 1:45 PM - LUNCH**

**1:45 - 2:30 PM**

**WHOLESALE DISTRIBUTION OF STRUCTURED PRODUCTS -**

**How to Achieve the Full Potential of Mainstreaming the Investment Class**

- **James Fisk**, Newbridge
- **Joe Castelluccio**, PrinceRidge
- **Samson Koo**, Advisors Asset Management
- **Scott Greenwood**, JVB

**2:30 -- 3:15 PM**

**INTERNATIONAL PERSPECTIVES AND NEW STRATEGIES**

- **Gary Nathanson**, Barclays Capital
- **Bernd Henseler**, S&P Indices
- **Tim Andrews**, Scotiabank

**3:15 -- 3:30 PM - AFTERNOON NETWORKING BREAK**

**3:30 - 4:15 PM**

**LEGAL-COMPLIANCE-REGULATORY: Enhanced Scrutiny for a Growing Market**

- **Anna Pinedo**, Morrison & Foerster
- **Brad Busscher**, Incapital
- **Remmelt Reigersman**, Morrison & Foerster
- **Timothy McKenna**, NERA

**4:15 - 5:00 PM**

**FIDUCIARIES ROUNDTABLE: Brave New World of Opportunities & Challenges**

- **David Armstrong**, LPL/Monument Advisors
- **Eric Greschner**, Regatta Research & Money Management
- **Jim Powell**, Wells Fargo Advisors
- **Tim Mortimer**, StructuredEdge.com

**5:00 - 5:30 PM**

**THE CRYSTAL BALL: Distribution of Structured Products - 2012 and Beyond**

- **Deryk Rhodes**, Incapital
- **Glenn Lotenberg**, Incapital

**5:30 - 7:00 PM -- COCKTAIL RECEPTION - SUMMIT CONCLUDES**