PORTFOLIO SUMMITS

Carolinas RIA Summit

June 22nd, 2023
Sheraton Le Meridien Charlotte, 555 South McDowell Street, Charlotte, NC 28204

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SUMMIT SCHEDULE

8 AM	**WELCOME RECEPTION AND NETWORKING BREAKFAST**
8:55 AM	**HOST WELCOME**
9 AM CFP	**Market Outlooks, Opportunities and Trends:** How are RIAs positioning, managing risk and growing clients portfolios in domestic and global markets? With appetites constantly shifting, listen to panelists discuss current market trends and how you can take advantage of various opportunities to better serve your clients. Moderator: **Peter Krull, CSRIC,** Partner, Director of Sustainable Investments, **Earth Equity Advisors** Panelists: **Adam Morgan, CFA, CMT,** Chief Investment Officer, **Armor Investment Advisors** **Craig Sullivan, CFA, CAIA,** Director of Fixed Income and External Managers, **Franklin Street Partners** **Speaker,** TBD, **Goldman Sachs**
9:50 AM	**Understanding IRR, MOIC, and ROR:** This presentation will review the difference between a private equity investment and a private equity program. Speaker: **Michael Lee, CAIA,** Managing Director, **Hatteras Investment Partners**
10:30 AM	**MORNING NETWORKING BREAK**
11 AM	**Increased Offerings in Financial Planning:** Panelists discuss strategies and answer what is new in Tax Strategies, Charitable Giving, Retirement Planning, and more to ensure your clients are positioned outside of their portfolios for success. Moderator: **Kelly Straub,** Senior Managing Partner, **Merit Financial Advisors** Panelists: **Derek Pszenny,** Founder, Co-Managing Partner, **Carolina Wealth Management** **Ben Yeager, CFP®, ChFC®, CLU®, APMA®,** Partner, **Hilltop Wealth Advisors** **Judson Meinhart, CFP®, BFA, CTS,** Director of Financial Planning, Senior Financial Advisor & Principal, **Modera Wealth Management** **Blair Thompson, CWS,** Founder, President, **Sparta Wealth Partners**
11:40 AM	**Presentation** Speaker: **Logan Henderson,** Chief Executive Officer, Founder, **Gridline**
12:10 PM	**NETWORKING LUNCH**

1:10 PM	**Recalibrating the 60/40 Asset Allocation Model:** After interest rates have hovered near a historic low, the classic 60/40 portfolio has come under substantial strain with both an inflationary and higher interest rate environment. Explore the shift in the increasingly complex investment landscape and how to adapt to keep risks low while increasing ROI for your clients, even during periods of market volatility. Panelists discuss creating opportunities to diversify solutions when allocating to fixed income securities and how to cope with market shocks and recovery in the short and long term. Moderator: **Paul Nolte,** Senior Wealth Advisor & Market Strategist, **Murphy & Sylvest Wealth** Panelists: **Kyle Sweeney, MBA,** Chief Investment Officer, **Flagship Healthcare Properties**
1:50 PM CFP	**Leveraging Alternative Investments in Client Relationships:** As many advisors are shifting to a three-dimensional portfolio across stocks, bonds, and alternatives, streamlined access to alternative investment strategies, such as hedge funds, private equity, private credit, real estate, structured products, and others, is becoming increasingly important. Where do alternatives fit within the portfolio alongside traditional investments? How can advisors take the first steps towards a historically difficult to access marketplace? Panelists discuss the current state of alternatives, portfolio construction, asset allocation, and how advisors can have more effective client conversations, or win new client assets, around alternative investments to deliver better results. Moderator: **Christopher Tocco,** Principal, Senior Investment Consultant, **Mercer Investments** Panelists: **Brian Griggs, CFA,** Managing Director, Portfolio Strategy & Solutions, **Nuveen**
2:40 PM	**AFTERNOON NETWORKING BREAK**
3:10 PM	**Gaining a Competitive Edge through Practice Management:** An increasingly competitive RIA landscape has advisors thinking outside of their portfolio returns to help their firm stand out to clients and potential employees alike. Panelists describe their approaches to practice management focusing on topics such as developing a culture in line with their investment philosophy, choosing a tech stack and the digital transition, employee hiring, development and retention, effective client prospecting and marketing and more. Moderator: **Robert Shaw,** Consultant and Director of Technology, **Carolinas Investment Consulting** Panelists: **Sarah-Katherine Brock, CFP®,** Chief Compliance Officer, **Colony Family Offices and Colony Trust Company** **Don Stamas,** Founder, Chief Executive Officer, **Defender Capital** **Tom Westhoff.** Vice President, Sales, **Practifi** **Jeffrey Gonyo,** Senior Vice President, Southern Divisional President, **Steward Partners Global Advisory**

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3:50 PM	**Coming to a Crossroads: Build, buy or sell?** Eighty percent of the RIAs surveyed for the RIA Edge Report by Wealth Management IQ think their businesses will be worth at least 10% more in 2024 than it is today, and 50% believe the value of their firm will increase by 20% or more. Given this rapid growth, RIAs are faced with the decision on whether or not to participate in the industry-wide M&A activity either on the buy-side or the sell-side. Hear panelists debate inorganic versus organic growth and identify the pros and cons to both while highlighting the importance of a succession plan. Moderator: **Donald Stahl,** Head of Sales & Solutions, **Private Advisor Group** Panelists: **Jack Cooper,** Director, Mergers & Acquisitions, **Beacon Pointe Advisors** **Paul Cantor, CFA, CFP®, AIF,** Managing Director, Senior Wealth Advisor, **Mariner Wealth Advisors** **Kris Carroll, PhD, CFA, CFP®,** Managing Director, Carolinas, **Wealth Enhancement Group**
4:30 PM	**HAPPY HOUR NETWORKING**

Please email Vivian.Chang@PortfolioSummits.com for Registration

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Hatteras Investment Partners

At Hatteras, our single mission is to strengthen the relationship between the Advisor and the Investor through performance-focused private investment solutions designed to help build more robust and resilient portfolios. Since 2003, we have been committed to helping you produce better out-comes. With a simplified and streamlined process for implementing alternatives, you are able to construct a more efficient, highly diversified portfolio. One that takes inspiration from the university endowment programs that have become some of the most successful institutional investors over the last 30 years largely because of their asset allocation model.

Presenting Sponsor

Gridline

For far too long, access to alternative investments has been limited to institutional investors & insiders who can leverage proprietary opportunities to capture outsized returns. These investments have been inaccessible for the individual investor and "Main Street" has been left behind. At Gridline, we believe that everyone should be able to emulate what the smartest investors are doing with their portfolios, but we recognized no system was in place to provide this unfettered access.

Sponsors

Axos Advisor Services

Axos Advisor Services provides services and solutions to help your firm stay ahead of your evolving needs. , our focus is solely on RIAs. As a hybrid custodian and financial services company, our powerful, integrated custodial and banking solutions enable RIAs to offer a wider range of services to their clients. Our dedicated client service team provides relationship-based service, getting to know each business and its unique needs to provide customized support. And advisors have access to our intuitive, easy-to-use Liberty Platform, designed and built specifically for RIAs. We're not just a custodian. We're custody evolved.

Bates Group

Chicago Atlantic Group

Chicago Atlantic's 45+ person team in Chicago and Miami focuses on opportunistic credit investments: senior secured loans to state-licensed cannabis operators. We are the largest lender to this high-growth industry, have deployed over $1.5bn across 55+ loans, and have outstanding loan portfolio performance since inception in 2019. Our open-ended unlevered private fund has over $400mm in capital commitments, deploys committed capital within 1-3 months, has returned over 16% net annually, is diversified across 35+ loans, has an offshore feeder, consistently distributes 3% quarterly, and holds equity kickers for additional upside.

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Flagship Healthcare Properties

Flagship Healthcare Properties, LLC (Flagship) is a fully-integrated outpatient healthcare real estate firm serving clients throughout the Southeastern and Southern Mid-Atlantic United States. Headquartered in Charlotte, North Carolina, Flagship offers a full range of real estate services including investment and capital solutions, development, property sales, leasing and marketing, as well as facilities, property and asset management. Flagship manages over 5.1 million square feet of healthcare real estate in over 220 properties serving more than 530 tenants. Flagship serves as the manager of its private REIT, Flagship Healthcare Trust, Inc. For further information, visit www.FlagshipHP.com.

Goldman Sachs

The structured product team creates smart, custom solutions for institutions and RIAs that are looking to implement hedging solutions, asset preservation, and enhanced market performance. Strategies include, but are not limited to, equity out-performance notes, higher yielding coupon paying bonds, and fully principal protected, FDIC insured CDs that provide uncapped market upside. Providing a large range of investment types and exposures, there are solutions for pure asset allocators as well as investors who want to implement a tactical view across equities, rates, commodities, and currencies. Working with money managers that cover mass affluent and HNW, this team brings Goldman's portfolio expertise and thought leadership to its clients and partners.

Nuveen

Nuveen, the investment manager of TIAA, offers a comprehensive range of outcome-focused investment solutions designed to secure the long-term financial goals of institutional and individual investors. Nuveen has $1.1 trillion in assets under management as of 3o Sept 2022 and operations in 27 countries. Its investment specialists offer deep expertise across a comprehensive range of traditional and alternative investments through a wide array of vehicles and customized strategies. For more information, please visit www.nuveen.com.

Practifi

More than a CRM, Practifi is an enterprise-grade business management platform designed for high-performing financial advice firms. Practifi's innovative product suite helps advisory teams integrate systems and automate processes while maximizing revenue, boosting growth, and strengthening client relationships. With a focus on client success and product innovation, Practifi provides the foundation and support needed to build the financial advisory firm of the future. Practifi was founded in Sydney, Australia, and has U.S. headquarters in Chicago. To learn more, visit practifi.com.

Welton Investment Partners

Welton Investment Partners is an established alternative asset manager focused on creating better investor outcomes. Unconstrained by convention or product silos, we draw on our experience, investment acumen, and creativity to develop non-correlated investment strategies that seek to address common yet frequently unmet investor needs. We believe our investment edge derives from our proprietary investment strategies and sophisticated capital allocation process, applied across the major liquid markets spanning equities, fixed income, commodities, and currencies.

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UPCOMING EVENTS CALENDER

Miami Offshore Summit **June 29th, 2023** Miami, FL
Texas RIA Summit **September 21st, 2023** Dallas, TX
Colorado RIA Summit **September 28th, 2023** Denver, CO
Northern California RIA Summit **October 11th, 2023** Palo Alto, CA
Washington RIA Summit **November 14th, 2023** Bellevue, WA
Southeast RIA Summit **November 28th, 2023** Atlanta, GA
Florida RIA Summit **December 7th, 2023** St. Pete Beach, FL