

DRIVING PLAN HEALTH



6TH ANNUAL

QUALIFIED PLAN FIDUCIARY SUMMIT

THURSDAY
JUNE 12, 2014
8:00am - 3:00pm

OVERLAND PARK
CONVENTION CENTER
6000 COLLEGE BOULEVARD
OVERLAND PARK, KS 66211

PRESENTED BY:



WELCOME TO KANSAS CITY

Qualified Plan Fiduciary Summit Attendees,

Welcome to the 6th Annual Qualified Plan Fiduciary Summit. We have our strongest line-up of speakers ever, and are very excited that they are joining Qualified Plan Advisors, and our clients, as we watch a tidal wave of changes happening in the retirement plan industry. Instead of the industry focusing on administrative, operational and fiduciary topics alone, the focus has moved to the most important topics of all, *participant outcomes and Plan Health*. We invite you to hear how these changes will affect your retirement plan, how you can best prepare for these changes, and what steps you can take to make your benefits package as competitive as it can be within the limits of your corporate budgets.

Our speakers cover a wide range of industries, have different points of view and are all leaders in their own professional space. We feel lucky to continue to be able to bring you such talented individuals. We thank them for their commitment to making this industry better while being so generous with their time. Of course, we are very appreciative of your time as we know how busy you are. It is exciting to see such a diverse group, from all around the country, representing many different industries, taking time to try and improve their retirement plans for their employees.

Again, we thank you for taking the time away from your busy calendar to join us. All Advisors, Associates and Staff from Qualified Plan Advisors appreciate your commitment to your participants. The Department of Labor strongly encourages plan fiduciaries to complete formal fiduciary training. To help you comply, all attendees will receive a Fiduciary Training Certificate.

Enjoy the Summit!

Scott J. Colangelo
Managing Director
Qualified Plan Advisors

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QUALIFIED PLAN ADVISORS TEAM MEMBERS



EVENT HOSTS



KERRY LAWING

President & CEO; Lawing Financial

Kerry Lawing is president and CEO of Lawing Financial and Qualified Plan Advisors. He is responsible for directing the senior management team by offering continued mentoring and developing support for all LFA and QPA associates. He has led the company to its leadership position as one of the largest independent financial firms in the Midwest, specializing in estate planning and advanced business strategies. Despite turbulent times in the financial markets and many firms downsizing, Lawing Financial has continued to thrive and provide value-added services for its clients. Early on, Kerry identified three concepts – communication, collaboration, credibility, and made them the critical values on which he would build and grow Lawing Financial. Since its launch in the mid-80s, Kerry has developed a unique client service niche by assembling an expert team of 50+ highly-qualified financial advisors, each with a distinct area of industry experience. This concept has proven to be an advantage for both the firm and its clients. Kerry is a recipient of the GAMA National Management Award (1996-2004), a consistent Qualifying member of the Million Dollar Round Table, and a contributor to the Million Dollar Round Table Foundation. He is also a member of the National Association of Insurance and Financial Advisors.



SCOTT COLANGELO

Managing Director; Qualified Plans

Scott Colangelo serves as the Managing Director of Qualified Plans. Scott joined Lawing Financial in 1998 and is a founding member of Lawing's Investment Advisory Committee. Using his industry knowledge and vision, he created Qualified Plan Advisors and is one of four Executive Team Members responsible for the strategic planning, growth and oversight of the organization. Working in the financial services industry for over 20 years, Scott specializes in qualified retirement plans, with a strong emphasis on participant retirement readiness, plan health and comprehensive fiduciary services. Scott has earned several industry awards after entering the industry. He entered the financial services industry after completing his Bachelors of Science Degree in Marketing with a minor in Finance from Kansas State University. He has furthered education by obtaining his FINRA Series 7, 63 and 66 registrations.

SPEAKERS



FRED REISH, ESQ.

Partner; *Drinker Biddle & Reath, LLP*

Fred Reish is an ERISA attorney whose practice focuses on fiduciary responsibility and plan operational issues. He has been recognized as one of the “Legends” of the retirement industry by both PlanAdviser magazine and PlanSponsor magazine. Fred also received awards for: the 401(k) Industry’s Most Influential Person by 401(k) Wire; the Commissioner’s Award and the District Director’s Award by the IRS; the Eidson Founder’s Award by the American Society of Professionals & Actuaries (ASPPA); the Institutional Investor and the PlanSponsor magazine Lifetime Achievement Awards; and the ASPPA/Morningstar 401(k) Leadership Award. He has written more than 350 articles and four books about retirement plans, including a monthly column on 401(k) fiduciary issues for PlanSponsor magazine. Fred Co-Chaired the IRS Los Angeles Benefits Conference for over 10 years, served as a founding Co-Chair of the ASPPA 401(k) Summit, and has served on the Steering Committee for the DOL National Conference.



JASON ROBERTS, ESQ., AIFA

Pension Resource Institute; Founder & CEO

Jason C. Roberts is the Founder and CEO of the Pension Resource Institute (PRI) providing strategic consulting and training to retirement plan service providers (broker-dealers, RIAs, investment managers, recordkeepers, TPAs, etc.) and fiduciary education to plan sponsors. He is primarily responsible for tactical planning and business development at PRI and actively leads many of PRI’s consulting projects. Prior to founding PRI, Jason was a partner and co-chair of the Financial Services Group at Reish & Reicher – a leading ERISA law firm – where his practice focused on employee benefits and securities regulation. Jason continues to provide counsel on ERISA and investment-related matters. Jason was recently named as one of the “100 Most Influential in Defined Contribution” by the 401(k) Wire and a “Rising Star” by SuperLawyers Magazine. He currently serves on the steering committee for the American Society of Pension Professionals and Actuaries (ASPPA) 401(k) Summit and the membership committee for the National Association of Plan Advisers (NAPA).



ALISON COOKE MINTZER

Global Editor-in-Chief, PLANADVISER, PLANSPONSOR, PLANSPONSOR Europe

Alison Cooke Mintzer is global editor-in-chief of PLANADVISER and PLANSPONSOR (which includes PLANSPONSOR UK).

Prior to becoming editor-in-chief of the publications in 2011, Cooke Mintzer was the managing editor and later executive editor of PLANADVISER from its launch in 2006. From 2003 until 2006, she was senior editor for PLANSPONSOR magazine and wrote and edited the PLANSPONSOR AdviserDash e-newsletter.

In 2013, she was named #50 on the 2013 100 Most Influential People in Defined Contribution by 401k Wire.

She has a Bachelor of Science degree in journalism from Boston University, with a concentration in economics and a minor in classical civilizations.



JOHN MAYERS

Associate Regional Director, Department of Labor; Employee Benefits Security Administration

John W. Mayers is the Associate Regional Director for the Department of Labor’s Employee Benefits Security Administration in Kansas City, Missouri. As the Regional Director he serves as the primary operational and technical advisor in planning and coordinating compliance and enforcement activities within the Kansas City area. He also is responsible for program formulation and guidance and implementation of outreach, education and assistance activities. Mr. Mayers has more than 20 years of investigation and audit experience, 15 years with employee benefit plans. He has an MBA in Accounting and Finance from the University of Missouri - Kansas City. His undergrad BA is from the University of Minnesota. He is a CPA and CEBS.



ROBERT J. CRUZ

Vice President, BlackRock

Robert J. Cruz, CIMA, AIFA, CRPS, Vice President, is an Advisor Consultant for the U.S. Private Client Group within the Global Client Group. He has primary responsibility for managing BlackRock's advisor defined contribution relationships in the South Central United States. Prior to joining BlackRock in 2010, Mr. Cruz was an Institutional Advisor for AllianceBernstein. He joined AllianceBernstein in 1999 and became a Director in 2007. Previously, Mr. Cruz was a Retirement Plans Consultant for John Hancock Funds from 1997 to 1999. Earlier, Mr. Cruz was a Regional Manager for AIM Investment Management. He began his career as an Investment Specialist for USAA Management Company in 1993. Mr. Cruz is a member of the Investment Management Consultants Association, American Society of Pension Professionals & Actuaries, SouthWest Benefits Association and serves as a member of the ASPPA Benefits Council of Dallas/Ft. Worth Board of Directors. He earned a BS degree in international business from the University at Buffalo in 1993.



MATTHEW J. EICKMAN, JD

Director, ERISA Services, Qualified Plan Advisors

Matthew has more than 10 years of private legal practice experience focusing exclusively on employee benefits, including time as a partner with Utz, Miller & Eickman LLC. While in private practice, he has worked closely with sponsors and fiduciaries of defined contribution and defined benefit plans of all sizes, from a few to over 34,000 participants and with plan assets as high as \$1.8 billion, and represented clients in front of the DOL, IRS, and PBGC. In his current role as Director of ERISA Services for Qualified Plan Advisors, Matthew provides fiduciary training, Investment Policy Statement oversight and design, and vendor oversight, and has designed services offered through Plan Health Solutions. He is an active member of the Employee Benefits Committee of the American Bar Association Tax Section, serving as Chair of the Defined Contribution Plans Subcommittee and being honored as a Nolan Fellow. He also has been appointed to the IRS TE/GE Gulf States Council. Matthew served as Editor-in-Chief of the Baylor Law Review and currently serves on the advisory board of Rebel Inc. a not-for-profit organization started by his wife, Laura.



SCOTT LIGGETT, JD

Director, ERISA Oversight, Qualified Plan Advisors

Scott Liggett is an attorney with Lawing Financial's Qualified Plan Advisors Division. Scott's experience includes preparing and presenting quarterly/annual retirement plans reviews together with plan modification studies and recommendations; negotiating and preparing plan documentation; reviewing nondiscrimination testing results and making applicable recommendations to plan sponsors; researching and interpreting IRS, DOL and ERISA statutes, regulations and precedent and presenting annual actuarial valuation study results; His areas of experience are not limited to retirement programs, but also include business continuity issues such as corporate structure, succession plans and mergers and acquisitions. Scott currently holds FINRA Series 6, 63 and 65 registrations and is a member of the Kansas Bar. He is a registered representative with Cambridge Investment Research, Member FINRA/SIPC. Scott holds a B.A. in Business and is a graduate from the University of Nebraska College of Law, Lincoln, Nebraska (JD).



RANCE BUSS

Partner-in-Charge, Weaver, LLP

Rance Buss is the Partner-in-Charge of the Employee Benefit Plan Services division of the Texas regional CPA firm of Weaver LLP. Weaver LLP is in the top 50 firms in the country that audit employee benefit plans. Rance has been involved with auditing benefit plans for more than 25 years and has worked and consulted on employee benefit plan engagements for a variety of plan sponsors including Fortune 500/1000 companies, privately owned companies and numerous not-for profit groups. Rance is currently serving on the AICPA's Employee Benefit Plan Audit Quality Center Executive Committee and is a repeat speaker at national conferences on employee benefit plan audits as well as a repeat speaker on national webinars pertaining to specific benefit plan audit topics.



MICHAEL P. KREPS

Senior Pension and Retirement Counsel; U.S. Senate Committee on Health, Education, Labor and Pension

Michael P. Kreps serves as Senior Pension and Retirement Counsel for the U.S. Senate Committee on Health, Education, Labor, and Pensions. He advises Chairman Tom Harkin on matters related to retirement policy and has primary responsibility for pension legislation pending before the Committee, including amendments to the Employee Retirement Income Security Act of 1974. Before joining the HELP Committee staff, Michael practiced law in Washington, DC, and advised employers, labor unions, plan trustees, and financial institutions on issues involving employee benefit plans.

8:00am – 8:45am**REGISTRATION & SPONSOR BREAKFAST**

Location: Ballroom Pre-function

9:00am - 9:10am**WELCOME COMMENTS****KERRY LAWING***President and CEO; Lawing Financial and Qualified Plan Advisors***9:10am – 9:20am****INTRODUCTIONS & SUMMIT KICK OFF****ROBERT CRUZ***Defined Contribution Consultant; BlackRock*

Location: Ballroom C

9:20am – 10:05am**WHAT PLAN COMMITTEES SHOULD DO IN 2014****FRED REISH, ESQ.***Partner; Drinker Biddle & Reath LLP*

- Update on ERISA litigation against plan sponsors
- New fiduciary expectations for evaluating target date funds
- Revenue sharing from mutual funds and what to do about it
- Paying expenses from your plan

10:05am – 10:40am**BENEFIT PLAN AUDITS****JOHN MAYERS***Associate Regional Director; Department of Labor; Employee Benefits Security Administration*

- What to expect in a DOL audit
- Current National and Regional enforcement initiatives
- Voluntary correction programs

10:40am – 10:55am**SPONSOR BREAK****10:55am - 11:30am****INCREASING PLAN PARTICIPATION; MEETING YOUR FIDUCIARY RESPONSIBILITIES****RANCE BUSS***Partner-in-Charge; Weaver*

- Understanding the DOL's expectations for plan Fiduciaries
- Understanding the impact of increasing participation and contributions
- Increasing participation through effective plan design

FOR ATTENDING THE SUMMIT TODAY, QPA IS PROVIDING THE FOLLOWING CONTINUING EDUCATION CREDITS - HR AND CPA'S (CPE). YOU WILL NEED TO SIGN IN AND SIGN OUT AT OUR REGISTRATION DESK TO EARN CREDITS. CERTIFICATES WILL BE EMAILED TO YOU IN THE NEXT TWO WEEKS. IF YOU HAVE ANY QUESTION, PLEASE CONTACT MOXI EVENTS AT 913-732-2405 OR LVANZANTE@MOXIEVENTS.COM.

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11:30am – 12:15pm

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12:15pm - 1:00pm

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KTRADE

LUNCHEON

Location: Ballroom B

OPTIMIZING FIDUCIARY GOVERNANCE: TIPS FOR STREAMLINING PLAN ADMINISTRATION AND MAXIMIZING BENEFITS

JASON ROBERTS, ESQ., AIFA

Founder & CEO; Pension Resources Institute

- Understanding the linkage between plan governance and participant outcomes
- Adopting policies to save time and manage fiduciary risks
- Driving and monitoring participant success metrics
 - * Attendees provided a certification of completion from PRI to demonstrate the plan's commitment to proactively educating fiduciaries

1:00pm - 1:30pm

ERISA ATTORNEY PANEL

MODERATOR: JASON ROBERTS, ESQ, AIFA

Founder & CEO; Pension Resources Institute

PANELISTS:

FRED REISH, ESQ.

Partner; Drinker Biddle & Reath LLP

MATTHEW J. EICKMAN, JD

Director; ERISA Services; Qualified Plan Advisors

SCOTT LIGGETT, JD

Director; ERISA Oversight; Qualified Plan Advisors

1:30pm – 2:15pm

RETIREMENT REFORM IN CONGRESS

MICHAEL P. KREPS

Senior Pension and Retirement Counsel;

U.S. Senate Committee on Health, Education, Labor and Pension

- The retirement income deficit is at least \$6.6 trillion, and half of Americans have less than \$10,000 in savings. We'll discuss the leading efforts in Congress to address the retirement crisis and improve the public and private retirement systems.

2:15pm – 3:00pm

PLAN SPONSOR INSIGHTS

ALISON COOKE MINTZER

Editor-in-Chief, PLANADVISER, PLANSPONSOR, PLANSPONSOR Europe

- A look into the minds of Plan Sponsors' concerns and area of focus through comprehensive surveying

PLAN HEALTH SOLUTIONS

SCOTT COLANGELO

Managing Director; Qualified Plan Advisors

3:00pm

CLOSING COMMENTS

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