CFP BOARD
CENTER FOR FINANCIAL PLANNING

2021 Virtual Diversity Summit
November 17 and 18, 2021 | 12 - 4 pm ET
Summit Agenda

Theme: Metrics that Matter

Objectives

- Share stories from senior, emerging and future leaders in the field on the challenges and opportunities for people of color
- Showcase how to make diversity, equity and inclusion a sustainable effort through sharing best practices and critical lessons learned from various size firms in advancing racial equity
- Demonstrate how to scale efforts at the firm and individual level to give people of color and new entrants to the field a sense of belonging and equity
- Hold firms, academic institutions, influencer organizations and individuals accountable for taking action to increase racial diversity of CFP® professionals

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Program Tracks

1. Students =
2. Managers =
3. DEI Practitioners =
4. Registered Program Faculty =
5. Financial Planners / CFP® professionals =
6. Executives =

Day One | November 17, 2021

12:00 -12:10 pm	**Welcome** • Kevin Keller, CAE, CEO, CFP Board • D.A. Abrams, CAE, Managing Director, CFP Board Center for Financial Planning

12:10 – 12:15	**Opening Remarks** U.S. Representative Joyce Beatty (OH-3), Chair, House Committee on Financial Services Diversity and Inclusion Subcommittee; Chair, Congressional Black Caucus
12:15 - 12:30 pm	**Opening Keynote** ● Introduction: Cy Richardson, Senior Vice President, National Urban League and Chair, CFP Board Center for Financial Planning Advisory Group ● Speaker: Andy Sieg, President, Merrill Lynch Wealth Management
12:30 - 1:15 pm	**2021 Thought Leadership Paper: Metrics that Matter** *The authors of the 2021 Center for Financial Planning thought leadership paper discuss their articles on due diligence, leading and lagging metrics, and scaling up diversity, equity, and inclusion efforts.* ● Moderator: Maureen Thompson, Vice President, Public Policy, CFP Board ● Panelists: ○ Stefanie Johnson, Ph.D., Associate Professor, Organizational Leadership and Information Analytics, Leeds School of Business, The University of Colorado ○ Ella Bell Smith, Ph.D., Professor of Business Administration, Dartmouth University ○ Rachel Robasciotti, Founder & CEO, Adasina Social Capital ○ Crystal Cox, CFP®, CRPC®, Vice President, Wealthspire ○ Emily Thomas, Executive Director, Morgan Stanley Wealth Management
1:15 - 1:25 pm	**BREAK** Nancy Kistner CFP®, Chair, CFP Board Center for Financial Planning WIN Council
1:25 - 1:35 pm	**CFP® Pro Talk** *During a "TED Talk" like presentation, professionals of color share their career experiences and describe the challenges and opportunities they experience as a person of color in the profession.* ● Introduction: Gerty Simon, Associate Vice President/Assistant Complex Manager, Morgan Stanley

	• Speaker: Reshell Smith, MBA, CFP®, Founder, AMES Financial Solutions, LLC
1:35 - 1:40 pm	**Break into concurrent sessions** Alex Torres, Director, Continuing Education & Experience, CFP Board
1:40 - 2:25 pm	**Concurrent Sessions (Q&A)** *Breakout sessions in which speakers will discuss opportunities and challenges in the industry generally and at specific firms. The last 8- 10 minutes of each session will be open for questions from the audience.* 1. Financial Planning as A Career *Financial planners at various stages in their careers discuss the importance of diverse financial planners, and the benefits of the career to clients, their communities, and the industry.* a. Moderator: Jocelyn Wright, MBA, CFP®, RICP®, Founder & CEO, Ascension Wealth Management b. Panelists: i. Cait Howerton, MBA, AFC®, CFP®, Lead Planner, Facet Wealth ii. Marguerita Cheng, CFP®, RICP®, CSRIC®, Chief Executive Officer, Blue Ocean Global Wealth iii. Akeiva Ellis, MSFP, CPA/PFS, CFP®, ChSNC®, Financial Education Specialist, Ballentine Partners iv. Ed Gonzalez, Senior Vice President, Capital Group 2. The DE&I Metrics that Truly Matter *A workshop on how to set a strategy for diversity, equity and inclusion metrics and create a balanced DEI scorecard for your firm.* a. Speaker: Andres Tapia, Senior Client Partner & Global Diversity and Inclusion Strategist, Korn Ferry
2:25 - 2:30 pm	**BREAK**

2:30 - 3:15 pm	**Financial Planning Career Paths: Building and Sustaining a Successful Career** *A discussion on the CFP Board Center for Financial Planning's guides, "Financial Planning Career Paths: Building More Sustainable and Successful Businesses," and "Guide to Careers in Financial Planning," and how firms recruit, onboard, and retain the next generation of financial planners.* ● Introduction: Eddy Demirovic, Director, Talent Pipeline, CFP Board Center for Financial Planning ● Moderator: Mark Tibergien, Chair, CFP Board Center for Financial Planning Workforce Development Committee ● Panelists ○ Ronald J. Adams, Vice President, Field Diversity & Inclusion, Northwestern Mutual ○ Michelle Balatero, Assistant Vice President, Advisor Diversity & Inclusion, LPL Financial ○ JoDee Klinker, Director of Talent Acquisition, Carson Group ○ Danielle Swancey, Financial Advisor Development Program Manager, Vanguard
3:15 - 3:55 pm	**Lessons from the Forum on Racial Diversity in Financial Planning** *Senior executives share best practices discussed during the CFP Board Center for Financial Planning's first-of-its-kind convenings for diversity and inclusion (D&I) practitioners within and outside of the financial services industry.* ● Moderator: Dawn Harris, Director, Diversity & Inclusion, CFP Board Center for Financial Planning ● Panelists: ○ Raymone Jackson, MBA, Global Head of Diversity and Inclusion, T. Rowe Price ○ Esu Ma'at, Chief Diversity, Equity and Inclusion Officer, Orlando Magic ○ Crystal Hardie-Langston, MBA, Principal, Chief Diversity Officer, Vanguard
3:55 - 4:00 pm	**Day One Final Thoughts & Recap** Cristina Santos, SVP and Head of Diversity Equity and Inclusion, Capital Group

Day Two | November 18, 2021

12:00 - 12:05 pm	**Day Two Welcome** Doug King, CFP®, Chair, CFP Board
12:05 - 1:00 pm	**Opening Keynote: Two American Financial Plans** *Presentation on "TWO AMERICAN FINANCIAL PLANS: The Next 50 Years of the Racial Wealth Gap and What You Can Do About It," including key financial planning interventions that can eliminate the racial wealth gap.* ● Introduction: Joe Maugeri, CFP®, Managing Director, Corporate Relations, CFP Board ● Speakers: ○ Kamila Elliott, CFP®, President, GRID 202 Partners ○ Brent Kessel, Co-Founder and CEO, Abacus Wealth Partners
1:00 – 1:10 pm	**CFP® Pro Talk** *During a "TED Talk" like presentation, professionals of color share their career experiences and describe the challenges and opportunities they experience as a person of color in the profession.* ● Introduction: Diana Cheung, MSF, Wealth Planning Associate, Ballentine Partners ● Speaker: Marcus Malonson, CFP®, SVP and Wealth Management Advisor, Merrill Lynch Wealth Management
1:10 – 1:50 pm	**Concurrent Sessions** *Breakout sessions in which speakers will discuss opportunities and challenges in the industry generally and at specific firms. The last 8 - 10 minutes of each session will be open for questions from the audience.* *1.* Recruitment & Pipelining Workshop for CFP Board Registered Programs a. Speaker: Danny Harvey, Program Director, Prairie View A&M University

	2. <u>Building and Bolstering Multigenerational Black Wealth</u> *Presented by Ballentine Partners* *A panel discussion on how various professionals, including* CFP® *professionals, can help Black consumers begin and progress in their wealth journey.* a. Moderator: Coventry Edwards-Pitt, CFA, CFP®, Chief Creative Officer, Ballentine Partners b. Panelists: i. Akeiva Ellis, MSFP, CPA/PFS, CFP®, ChSNC®, Financial Education Specialist, Ballentine Partners ii. Lori Anne Douglas, Esq., Founding Partner, Douglass Rademacher LLP iii. Robin Washington, Board of Directors, Alphabet, Inc., Honeywell International, Inc., and Salesforce.com iv. Wes Thompson, President and Chief Executive Officer, M Financial Group 3. <u>Measuring Inclusive Culture: The Manager/Financial Planner Relationship</u> *Presented by Vanguard* *A panel discussion that will highlight the elements of and how to measure inclusive culture, how to measure inclusive culture, the unique role and responsibility that managers have to ensure culture is inclusive, and how firms can hold managers accountable.* a. Moderator: George Centeno, Regional Director, Texas, Personal Advisor Services, Vanguard b. Panelists i. Matt Aaron, CFP®, RICP®, ChFC®, Founder & CEO of Lux Wealth Planning, Northwestern Mutual ii. Johnathan Shaw, CFP®, Executive Director, Sub Complex Manager, Morgan Stanley Wealth Management iii. Emily Millsap, CFP®, Senior Director of Financial Planning, Facet Wealth
1:50 - 2:10 pm	**BREAK**

2:10 - 2:50 pm	**Play: A Thank You & Opportunities to Advance the Center for Financial Planning's Work** Elizabeth Stewart, JD, MA, COO, CFP Board **Concurrent Sessions** *Breakout sessions in which speakers will discuss opportunities and challenges in the industry generally and at specific firms. The last 8-10 minutes of each session will be open for questions from the audience.* 1. Fireside Chat: Cultural Fluency in Business and Leadership *A conversation with Jane Hyun, a trusted coach to global Fortune 500 companies and author of Breaking the Bamboo Ceiling, on the importance of cultural fluency and "flexing" in a diverse and inclusive workplace.* a. Moderator: D.A. Abrams, CAE, Managing Director, CFP Board Center for Financial Planning b. Speaker: Jane Hyun, Founder & President, Hyun & Associates 2. Financial Literacy Institute (FLi): Pathway from Financial Stress to Financial Well-Being *A discussion on the launch of the new Financial Literacy Institute (FLi), a partnership between Delaware State University and Charles Schwab Foundation, and how financial literacy can positively impact a community and function as a precursor to a more educated consumer base.* a. Introduction: Mary Kay Svedberg, Director, Education, CFP Board b. Speaker: Nandita Das, Ph.D., CFA, CFP®, EA, RICP®, Professor of Finance and Director, CFP-Board Registered Program, Delaware State University; Founder-Owner, Das Financial Health, LLC 3. Pipelining and Attracting Diverse Talent for RIAs *A panel on best practices at RIAs for attracting, sourcing, onboarding, developing, and retaining diverse talent.*

	a. Moderator: Leslie Tabor, Director, Advisor Services Business Consulting & Education, Schwab b. Panelists i. Jill O'Connell, Head of Talent and Chief Diversity Officer, Edelman Financial Engines ii. Marianela Collado, CFP®, CPA/PFS, Senior Wealth Advisor and Co-Owner, Tobias Financial iii. Craig Jones, JD, MBA, CPWA®, The Colony Group 4. Diverse Viewpoints: Understanding Affluence in the U.S. *Presented by Merrill Lynch Wealth Management* *Merrill's first-of-its-kind research, titled Diverse Viewpoints: Understanding Affluence in the U.S., aims to better understand how individuals in diverse communities achieve success and grow their wealth, including their goals, motivations, and financial mindsets. Join a panel of Merrill executives to learn more about the research findings and additional efforts to prioritize diversity and inclusion.* a. Moderator: Jennifer Auerbach, Managing Director, Strategic Growth Markets, Merrill Lynch Wealth Management b. Panelists: i. Lindsay Hans, Division Executive for the Mid Atlantic Division of Merrill Lynch Wealth Management ii. Kenneth Correa, CFP®, Managing Director, Market Executive, Merrill Lynch Wealth Management iii. Adrienne Hughes, Director, Business Strategy and Initiative Executive, Merrill Lynch Wealth Management
2:50 - 3:30 pm	**Ally, Accomplice, Co-Conspirator Workshop** *A workshop on how to practice racial and gender equity allyship and more at your firm.* ● Speakers: ○ Rickie Taylor, Regional Director, Association of African American Financial Advisors (Quad A) ○ Elissa Sangster, MBA, CEO, Forte Foundation

	o Whitney Tome, Head of Beyond Diversity Strategies & Principal, The Raben Group
3:30 - 4:00 pm	**Closing Fireside Chat** *A conversation with Dr. Ibram X. Kendi, MacArthur Fellow and author of "How to Be an Antiracist," on the true meaning of anti-racism and its implications for the financial services industry***.** ● Introduction: Bob Glovsky, Vice Chair and Principal, The Colony Group; Chair, Center for Financial Planning Advisory Council ● Moderator: D.A. Abrams, CAE, Managing Director, CFP Board Center for Financial Planning ● Speaker: Ibram X. Kendi, Ph.D., Andrew W. Mellon Professor, Boston University, and Founding Director, BU Center for Antiracist Research
	Summit Final Thoughts Dawn Harris, Director, Diversity & Inclusion, CFP Board Center for Financial Planning