

2018 DIVERSITY SUMMIT

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The CFP Board Center for Financial Planning would like to extend a special thanks to Ariel Investments for supporting the Diversity Summit, as well as LPL Financial, Tim Kochis, CFP®, Ray Ferrara, CFP® and Rochelle Zeidman for sponsoring financial planning students to attend the Summit.

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WELCOME

Thank you for joining us at the first-ever Diversity Summit hosted by the CFP Board Center for Financial Planning.

Your presence here today is a testament to your willingness to learn, to become engaged, and join us in making commitments to take meaningful actions to advance diversity in the financial planning profession.

As evidenced in the research findings that we are presenting today, the challenges to achieving racial and ethnic diversity in the profession are significant. Addressing them will require thoughtful, intentional and persistent action from all corners of the profession and beyond. It is only through collective action by all who have a stake in this important work that we can begin to make real progress.

To all of you here today – executives from financial firms from across the country, who are striving to attract and retain diverse talent to serve your growingly diverse clients; educators who teach financial planning in our colleges and universities; experts and researchers in the area of diversity and inclusion; individuals involved in the delivery of financial services, particularly CFP® professionals of color and CFP® professional allies; representatives from influencer organizations who can help us raise awareness about financial planning careers with their members or networks – thank you all for accepting our invitation. Each of you sits in a unique position to make a difference.

To our truly accomplished, dynamic and thought-provoking speakers and panelists who have agreed to share their expertise, perspective and wisdom with all of us today – we are very grateful.

To members of the Diversity Summit Host Committee – we are very grateful for your generous contribution of time and talent to make this first-ever Summit a success.

And to our sponsors, you have made this important step toward change possible. We thank our Diversity Summit Signature Sponsors, Merrill Lynch, The Charles Schwab Foundation and Fiserv; our Major Sponsors, Prudential and Morgan Stanley, and our Center for Financial Planning Founding Sponsors, TD Ameritrade Institutional, our Lead Founding Sponsor, and Northwestern Mutual and Envestnet, our Founding Sponsors.

Today is an important first step as we inspire each other to make commitments to do our part to change the face of the financial planning profession. Thank you for joining us on this journey.

Kevin R. Keller, CAE
Chief Executive Officer
CFP Board

Marilyn Mohrman-Gillis
Executive Director
CFP Board Center for Financial Planning

DIVERSITY SUMMIT HOST COMMITTEE



Cy Richardson

Senior Vice President,
National Urban League
(Chair)



**Jennifer Auerbach-
Rodriguez**

Director, Head of Strategic
Growth Markets,
Global Wealth & Investment
Management



Louis Barajas, CFP®

Managing Director,
Business Consulting
& Education, Charles
Schwab Advisor Services



Danielle Beyer

Chief Executive Officer,
New America Alliance



**Lazetta Rainey
Braxton, CFP®**

Past President, Association
of African American Financial
Advisors; Founder/CEO,
Financial Foundations



Catalina Camoscio

Vice President of
Recruiting & Development,
Prudential Insurance
Company of America



Marguerita Cheng, CFP®

Chief Executive Officer,
Blue Ocean Global Wealth



Rianka Dorsainvil, CFP®

Founder and President,
Your Greatest Contribution;
"I am a CFP® Pro" campaign
spokeswoman



Roberto Fernandez

Professor of Organization
Studies, MIT Sloan School
of Management



Jamie-Clare Flaherty

Director, Strategic Initiatives,
The Obama Foundation



Kate Healy

Managing Director,
Generation Next,
TD Ameritrade Institutional



Gerald Loftin, CFP®

President, Association
of African American
Financial Advisors



Phuong Luong, CFP®

Founder and Financial
Planner, Just Wealth, LLC



Cheryl Nash

President,
Investment Services, Fiserv



Jorge Quezada

Director of Leadership
Development,
Diversity & Inclusion,
Northwestern Mutual



Gary Rozier

Senior Vice President
of Institutional Marketing
& Client Services,
Ariel Investments



Leslie Y. Tabor

Managing Director,
Business Consulting
& Education, Charles
Schwab Advisor Services



Kara Underwood

Head of Wealth Management,
Diversity & Inclusion,
Morgan Stanley



**Jocelyn D. Wright,
MBA, CFP®**

Managing Partner, Ascension
Investment Advisors;
Consultant, The American
College of Financial Services

OCTOBER 23, 2018 THE TIMES CENTER, NEW YORK CITY

8:00 a.m. - 8:30 a.m. **Registration**

8:00 a.m. - 8:30 a.m. **Breakfast**

8:30 a.m. - 8:35 a.m. **Welcome**
Kevin Keller, CEO, CFP Board

8:35 a.m. - 8:45 a.m. **The Power of Opportunity**
Andy Sieg, Head of Merrill Lynch Wealth Management

8:45 a.m. - 8:50 a.m. **Introduction to Opening Keynote**
Cy Richardson, Senior Vice President, National Urban League,
Chair of Diversity Advisory Group, Center for Financial Planning

8:50 a.m. - 9:05 a.m. **Opening Keynote**
Carla Harris, Vice Chairman, Wealth Management, Morgan Stanley

9:05 a.m. - 9:10 a.m. **Introduction to Thought Leadership Paper**
Cynthia Owyong, Vice President, Diversity and Inclusion, Charles Schwab

9:10 a.m. - 10:10 a.m. **Thought Leadership Paper: Findings and Recommendations**
Peter Fondulas, President, Fondulas Strategic Research
Whitney Tome, Principal, The Raben Group

10:15 a.m. - 10:30 a.m. **Break**

10:30 a.m. - 10:35 a.m. **Introduction to “CFP Pro® Talks”**
Tom Nally, President, TD Ameritrade Institutional

10:35 a.m. - 11:15 a.m. **CFP Pro® Talks: Personal Reflections on Barriers and Opportunities**

- Moderator: Tom Nally, President, TD Ameritrade Institutional
- Louis Barajas, CFP®, Wealth & Business Manager, Wealth Management LAB
- Phuong Luong, CFP®, Financial Planner, Just Wealth, LLC
- Rianka Dorsainvil, CFP®, Founder and President, Your Greatest Contribution and Spokeswoman, “I am a CFP® Pro” Campaign

11:15 a.m. - 12:30 p.m. **Meeting the Challenge: Creating a More Diverse Financial Planning Profession**

- Moderator: Sharon Epperson, Senior Personal Finance Correspondent, CNBC
- Catalina Camoscio, Vice President, Recruiting & Development, Prudential
- Dr. Frank Dobbin, Professor of Sociology, Harvard University
- Frank Paré, CFP®, President, Financial Planning Association
- Lazetta Rainey Braxton, CFP®, President, AAAA Foundation and Chair, Association of African American Financial Advisors

12:30 p.m. - 12:35 p.m. **Reflections on the Morning and Invitation to Lunch**
Richard Salmen, CFP®, Chair, CFP Board

12:35 p.m. - 2:00 p.m. **Lunch**

Introduction to Fireside Chat

Danielle Beyer, CEO, New America Alliance

Fireside Chat: Transforming the Culture of the Financial Services Industry

- John Rogers, Founder, CEO and CIO, Ariel Investments
- Hon. Henry Cisneros, Partner, Siebert Cisneros Shank & Co.,
Former Mayor of San Antonio and Former Secretary of HUD

2:00 p.m. - 2:10 p.m. **What the Center is Doing**

Marilyn Mohrman-Gillis, Executive Director, Center for Financial Planning

2:10 p.m. - 2:15 p.m. **Introduce Breakout Groups**

Audra Bohannon, Senior Partner, Korn Ferry

2:15 p.m. - 2:30 p.m. **Break**

2:30 p.m. - 3:15 p.m. **Breakout Groups**

Facilitators

- Kate Healy, Managing Director, Generation Next, TD Ameritrade Institutional
- Jorge Quezada, Director of Leadership Development, Diversity & Inclusion,
Northwestern Mutual
- Leslie Tabor, Managing Director, Business Consulting & Education,
Charles Schwab Advisor Services
- Cheryl Nash, President, Investment Services, Fiserv
- Jocelyn D. Wright, MBA, CFP®, Managing Partner, Ascension Investment Advisors,
and Consultant, The American College of Financial Services

3:15 p.m. - 3:45 p.m. **Break**

3:45 p.m. - 4:30 p.m. **Action Items: Breakout Groups Recap Panel**

- Moderator: Audra Bohannon, Senior Partner, Korn Ferry
- Kate Healy, Managing Director, Generation Next, TD Ameritrade Institutional
- Jorge Quezada, Director of Leadership Development, Diversity & Inclusion,
Northwestern Mutual
- Leslie Tabor, Managing Director, Business Consulting & Education,
Charles Schwab Advisor Services
- Cheryl Nash, President, Investment Services, Fiserv
- Jocelyn D. Wright, MBA, CFP®, Managing Partner, Ascension Investment Advisors,
and Consultant, The American College of Financial Services

4:30 p.m. - 4:35 p.m. **Introduction of Closing Talk**

Bob Glovsky, CFP®, Vice Chair & Principal, The Colony Group,
Chair of Advisory Council, Center for Financial Planning

4:35 p.m. - 4:50 p.m. **Closing Talk**

Marc Morial, President and CEO, National Urban League

4:50 p.m. - 5:00 p.m. **Call to Action**

Cy Richardson, Senior Vice President, National Urban League,
Chair of Diversity Advisory Group, Center for Financial Planning

5:00 p.m. - 6:30 p.m. **Reception**

**Louis Barajas, CFP®****Wealth & Business Manager, Wealth Management LAB**

Born in East Los Angeles, Louis Barajas is a living example of the American Dream...hard work, a successful business, and a rich family life. After some personal life-changing events and years of experience at major financial planning, accounting, and consulting firms in Southern California, Louis formed his own wealth and business management firm in 1991 to help hardworking men and women, who, because of a lack of information or understanding, often made bad choices. Since then he has created a special financial framework to help people who are inspired to create wealth and use their money to live a better life. Other people he helps are those who have more desire than money, but are committed to create wealth to reach their full potential.

His business management firm, Wealth Management LAB, is the only Latino-owned firm that manages the businesses and finances of some of the most iconic internationally recognized Latin celebrities.

Louis graduated from UCLA with a bachelor's degree in Sociology in 1984, received his MBA from Claremont Graduate School in 1987, and attained a CERTIFIED FINANCIAL PLANNER™ designation from the Denver College of Financial Planning in 1990. He has been an SEC Registered Investment Advisor since 1991.

Louis has published five books, *The Latino Journey to Financial Greatness*, *Small Business - Big Life*, *Overworked - Overwhelmed* - and *Underpaid*, *My Street Money*, and *Small Business, Big Life for Women*.

Mutual Funds Magazine and Money Magazine named Louis as one of America's top financial advisors. Billboard Magazine has named him as one of the top entertainment business managers for 2018.

**Danielle Beyer****Chief Executive Officer, New America Alliance**

Danielle Beyer is Chief Executive Officer of the New America Alliance. Prior to joining the organization, Danielle was Director of Business Development at 55 Capital Partners, a startup fintech firm. Previously, Danielle was with Mariner Investment Group, LLC, most recently as Managing Director and Head of Investor Relations, where she focused on managing the firm's institutional investor relationships. Prior to joining Mariner, Danielle was with NatCity Investments (now PNC) where she worked on Special Situations, Industrials M&A engagements and Structured Products. Danielle earned a M.B.A. from the Simon School of Business and is a cum laude graduate of the University of Rochester. She is an active member of the University of Rochester and Simon School of Business alumni communities, and serves as a mentor for recent graduates. She advises entrepreneurs in the technology, media and financial services sectors, and serves on the Center for Financial Planning Diversity Advisory Group. She has been a member of the NAA since 2012.

Audra Bohannon

Senior Client Partner for Korn Ferry Hay Group

Audra Bohannon is a Senior Client Partner for Korn Ferry Hay Group based in the firm's Boston office.

For over 30 years, Audra has delivered strategic leadership and business consultation solutions that have helped move people and organizations toward their desired performance results.

In her current position, Audra brings keen analysis and outcome-driven expertise on issues related to optimizing the contribution of a global workforce and advancing women worldwide. Her portfolio of client organizations served includes a broad range of U.S. and global industries and businesses. Audra's consulting, facilitation and executive coaching services have spanned corporate structure, from C-level executives to entry-level individual contributors.

Prior to her engagement at Korn Ferry, Audra served as Principal at Global Novations, a Korn Ferry acquisition, Senior Vice President of Novations Group; and as Partner and business architect of J. Howard & Associates, one of the leading consulting and training firms that established the diversity and inclusion industry.

Audra is a highly-sought conference speaker, panel moderator, seminar facilitator and thought driver on topics related to development, inclusion and diversity. Whether engaging an industry audience or a global women's summit, Audra delivers high energy, practical tools and a transformative message: "Lead life by design, not by default." Her many white papers and articles also emphasize this theme and expand her insights on achieving personal and business success. Her collective experience is captured in Inclusion magazine, Issue 3 where she is featured as the cover story.

Audra holds a bachelor's degree from Wayne State University. Beyond Korn Ferry Hay Group, she sits on the national boards of Community Builders and Accelerated College Experiences (ACE), and she serves on the Advisory Council of the Center for Financial Planning.





Lazetta Rainey Braxton, CFP®

Founder & CEO, Financial Fountains

Lazetta Rainey Braxton, MBA, CFP®, is the financial planner for the rest of us. Unlike many financial advisors who focus only on the super-rich, Lazetta partners with everyday people who desire the financial freedom to experience, influence, give, and make a difference for their family and future generations; to create wealth for the common good.

A CERTIFIED FINANCIAL PLANNER™ practitioner with more than 20 years of experience, Lazetta offers personalized financial planning, investment management, and educational seminars to individuals, families, businesses, and institutions. In 2008, she founded Financial Fountains, a fee-only financial planning and registered investment advisory firm that serves clients from around the country. Lazetta strongly believes in diversity and inclusion and access to financial planning. Her professional volunteer efforts include serving as Chair of the Association of African American Financial Advisors, board member of the Foundation of Financial Planning, as well as a member of the Center for Financial Planning Advisory Council, Women's Initiative Council, and Diversity Advisory Group.

Recognized for her leadership, entrepreneurial spirit, and dedication to the financial planning profession, Lazetta was honored as one of the inaugural Investment News' Women to Watch and is a recipient of the Association of African American Financial Advisors' Leadership Legacy Award.

She is frequently featured in national publications and makes guest TV appearances as a financial expert. Lazetta has appeared on NBC Nightly News with Lester Holt, Nightly Business Report, and CNBC Closing Bell. She has been featured in national publications including CNBC.com, Wall Street Journal, Kiplinger's, Essence, Black Enterprise, Financial Planning Magazine, Morningstar, USA Today and many more. Also, as sought-after speaker, Lazetta delivers keynotes and workshops that invite attendees to secure their legacies one dollar at a time.

Catalina Camoscio

Vice President, Field Development, Prudential Financial

Catalina Camoscio joined Prudential Financial in 2013 to co-lead the company's Greater New England Financial Firms as an Associate Managing Director. Her business acumen and field experience was quickly tapped to lead the company's Recruiting and Field Development organization, a position she currently holds. Catalina is an accomplished leader with extensive field and corporate experience in growing organizations in the financial services industry. Prior to taking on this latest assignment for Prudential, she served as a member of John Hancock's Distribution and Broker-Dealer Executive Management team heading the Marketing, Communications and Brand Management divisions. There she led the re-branding of the firm to attract experienced advisors to the \$20B AUM firm. Prior to this assignment, Catalina had been brought in to lead the company's Field Training & Education division. She redefined the career development path for advisors and field management, and delivered a state-of-the-art online learning system that went on to become the model for John Hancock's parent company in Canada, Manulife Financial.

Prior to joining John Hancock, Catalina was named the first Hispanic woman to serve as Regional Vice President for New England Financial (NEF), where she was responsible for agencies in the mid-west and southeastern U.S. As a Regional Vice President, she also played a key role in the firm's Corporate Diversity Initiative, where she led the increased recruitment of women advisors into the firm. During her tenure at NEF, Catalina also held senior leadership positions in the Advanced Markets Competition Unit, National Marketing Division, and Marketing Technology Systems. As a result of her accomplishments, she was awarded the National Hispanic Achievers Awards for excellence in her profession.

Catalina began her career in the field with New York Life where she spent seven years as part of the sales management team, recruiting and developing financial advisors. During her tenure at New York Life, she also launched the firm's first local Advanced Sales Case Design Unit.

Catalina graduated from Boston University with a degree in Economics.





Henry Cisneros

**Principal & Chairman of the Executive Committee
Siebert Cisneros Shank & Co., L.L.C.**

The Honorable Henry Cisneros is a Principal of Siebert Cisneros Shank & Co., L.L.C., and Chairman of the Executive Committee.

Henry is also Chairman of the CityView companies which work with urban homebuilders to create homes priced within the range of average families. CityView is a partner in building more than 60 communities in 13 states, incorporating more than 7,000 homes with a home value of over \$2 billion.

Henry' community-building career began at the local level. After serving three terms as a City Councilmember, in 1981, Henry became the first Hispanic-American Mayor of a major U.S. city: San Antonio, Texas. During his four terms as Mayor, he helped rebuild the city's economic base and spurred the creation of jobs through massive infrastructure and downtown improvements. In 1984, Henry was interviewed by the Democratic presidential nominee as a possible candidate for Vice President of the United States and in 1986 was selected as the "Outstanding Mayor" in the nation by City and State Magazine.

After completing four terms as Mayor, Henry formed Cisneros Asset Management Company, a fixed income management firm operating nationally and ranked at the time as the second fastest growing money manager in the nation.

In 1992, President Clinton appointed Henry to be Secretary of the U.S. Department of Housing and Urban Development (HUD). As a member of President Clinton's Cabinet, Secretary Cisneros was credited with initiating the revitalization of many of the nation's public housing developments and with formulating policies which contributed to achieving the nation's highest-ever homeownership rate. In his role as the President's chief representative to the nation's cities, Henry personally worked in more than 200 U.S. cities in every one of the 50 states.

After leaving HUD in 1997, Henry was president and chief operating officer of Univision Communications, the Spanish-language broadcaster which has become the fifth-most-watched television network in the nation. Henry currently serves on Univision's Board of Directors.

Henry has served as President of the National League of Cities, as Deputy Chair of the Federal Reserve Bank of Dallas and is currently an officer of Habitat for Humanity International. Henry remains active in San Antonio's leadership where he is Chairman of the San Antonio Economic Development Foundation. He is currently on Univision's Board of Directors, is Chairman for the San Antonio Chamber of Commerce and a member of the advisory boards of the Bill and Melinda Gates Foundation and the Broad Foundation.

Henry has been inducted into the National Association of Homebuilders (NAHB) "Builders Hall of Fame" and honored by the National Housing Conference as the "Housing Person of the Year."

Henry has also been author or editor of several books including: *Interwoven Destinies: Cities and the Nation*. His book project with former HUD Secretary Jack Kemp, *Opportunity and Progress: A Bipartisan Platform for National Housing Policy*, was presented the Common Purpose Award for demonstrating the potential of bipartisan cooperation, and *Casa y Comunidad: Latino Home and Neighborhood Design* was awarded the Benjamin Franklin Silver Medal in the category of best business book of 2006.

Henry holds a bachelor's degree and a master's degree in Urban and Regional Planning from Texas A&M University. He earned an MPA from Harvard University, studied urban economics at the Massachusetts Institute of Technology, holds a Ph.D. in Public Administration from George Washington University, and has been awarded more than 20 honorary doctorates from leading universities. He served as an infantry officer in the United States Army. Henry is married to Mary Alice P. Cisneros, who from 2007–2011 served on San Antonio's City Council and they have three children – Teresa, Mercedes, and John Paul – and four grandchildren..

Dr. Frank Dobbin

Professor of Sociology, Harvard University

Frank Dobbin is professor of sociology at Harvard University. He holds a bachelor's degree from Oberlin College and a Ph.D. from Stanford University. His *Inventing Equal Opportunity* (Princeton University Press, 2009), which won the Max Weber and Distinguished Scholarly Book Awards from the American Sociological Association, charts how corporate human resources professionals defined discrimination under the Civil Rights Act. With Alexandra Kalev, he is developing an evidence-based approach to diversity management, studying both the effects of corporate hiring, promotion diversity, and work-life policies on actual workforce diversity and the effects of workforce diversity on corporate performance. In related work, he is exploring how university hiring, promotion, diversity, harassment, and work-life programs can promote faculty diversity. Dobbin has held fellowships from the Guggenheim Foundation, the Russell Sage Foundation, the Center for Advanced Study in the Behavioral Sciences, and the Safra Center for Ethics.



**Rianka Dorsainvil, CFP®**

**Founder & President of Your Greatest Contribution
Creator & Host of 2050 TrailBlazers**

Rianka R. Dorsainvil is the Founder and President of Your Greatest Contribution (YGC), a comprehensive virtual financial planning firm dedicated to serving entrepreneurs, first-generation wealth builders and thriving professionals in their late 20s, 30s and 40s. She approaches financial planning with a strong emphasis on financial education, providing business owners, individuals, and families with tools to make informed financial decisions.

A strong advocate for young professionals, she served as 2016 National President of Financial Planning Association's (FPA) NexGen community, where she focused on the cultivation of the next generation of financial planners. In addition, she spearheaded the National Capital Area's first NexGen Retreat in 2014 and was named one of FPA's Diversity Scholarship Recipients in 2014 through her dedication to the profession.

She also sits on CNBC's Financial Advisors Council, volunteers annually with the IRS Volunteer Income Tax Assistance program, and co-founded a mentorship program for women in financial planning at her alma mater, Virginia Tech.

In 2017, Rianka became a spokesperson for the Center for Financial Planning's "I am a CFP® Pro" campaign. The campaign is focused on motivating young people, specifically women and people of color, to consider a career in financial planning by educating them on the many benefits, including a flexible work schedule, the ability to make a difference in peoples' lives, and the opportunity for career and financial growth.

More recently, Rianka launched 2050 TrailBlazers, a podcast aimed to directly address the lack of diversity in the financial planning profession by engaging industry experts and leaders in conversation to encourage cultural awareness, cultural perspective, and ways to make a measurable impact.

She earned a bachelor's degree in Agriculture and Applied Economics with a concentration in Financial Planning from Virginia Tech.

Sharon Epperson

Senior Personal Finance Correspondent, CNBC

Sharon Epperson, named one of “12 to Watch in TV News” in 2018, can be seen regularly on CNBC television and other media platforms.

As CNBC’s senior personal finance correspondent, Sharon covers the many facets of how people manage, grow and protect their money. Her expertise includes saving and investing for retirement, paying for college, managing mortgage, student loan, credit card and other debt, and building a financial legacy through estate planning.

She hosts the CNBC Digital original video series, “Retire Well” and “Your Money, Your Future.” She appears regularly on the syndicated program “On the Money” and Public Television’s “Nightly Business Report.” Both TV shows are produced by CNBC. Sharon is also a regular contributor on NBC’s “Today,” NBC “Nightly News,” MSNBC and NBC affiliates nationwide.

Her personal finance expertise has been featured in numerous publications, including The Wall Street Journal, The Washington Post, The Boston Globe, USA Weekend, Self, Essence, Ebony and TIME, where she had covered business, culture, social issues and health as a correspondent prior to joining CNBC.

An adjunct professor at Columbia University’s School of International and Public Affairs, Sharon has also taught courses at Columbia’s Graduate School of Journalism. She enjoys teaching the importance of budgeting and building long-term savings as part of her courses for graduate students interested in media careers.

Sharon received her bachelor’s in sociology and government from Harvard University, a master’s of international affairs degree from Columbia University, and an honorary doctorate from Carlow University in Pittsburgh. A Pittsburgh native, she has also been inducted into the Hall of Fame at Taylor Allderdice High School, her alma mater.





Peter Fondulas

President, Fondulas Strategic Research

Peter brings over 25 years of experience as a senior market research consultant and practitioner. He has a strong background in quantitative research methods, including advanced design and analytic techniques. He is also an accomplished moderator and in-depth interviewer.

Peter specializes in research for a number of industries, including financial services, digital and mobile technology, media, entertainment and sports. In addition to CFP Board, a sampling of his clients includes American Express, Dow Jones, Capital One, Liberty Mutual, AT&T, Time Inc., Verizon, DIRECTV, NBC, National Geographic and Ticketmaster.

His firm directed the CFP Board's Women's Initiative research in 2014.

Before launching his own consultancy, Peter was Executive Vice President for The Taylor Research & Consulting Group, a company he helped found in 1987. He began his research career with Louis Harris and Associates as a report and questionnaire editor. He earned a master's degree in English literature from New York University.



Bob Glovsky

Vice Chair and a Principal of The Colony Group

Bob Glovsky is Vice Chair and a Principal of The Colony Group. Prior to joining The Colony Group in July 2012, Bob was a founder and the President of Mintz Levin Financial Advisors, which provided wealth management and investment advisory services to individuals and families. Bob brings more than 30 years of experience in financial planning and money management with a focus on comprehensive planning.

Bob recently served as a member on the President's Advisory Council on Financial Capability for Young Americans, after being appointed by President Barack Obama in 2014. Bob currently serves as Chair of the CFP Board's Center for Financial Planning. Bob served as 2010 Chair of the Board of Directors of the CFP Board. He also has served as Chair of CFP Board's Board of Examiners. Bob also currently serves as a charter member of the Fidelity Institutional Wealth Services Advisor Council and is a former member of the Fidelity Research Institute's Advisory Council. He has lectured and spoken extensively throughout the country on financial planning topics.

Bob is the Director Emeritus of Boston University's Financial Planning Program, the largest CFP Board Registered Program in New England and one of the largest in the country. He was honored in 2010 for his service, and the Robert J. Glovsky Scholarship Fund was created to help fund financial planning education for qualified women and minority candidates and those choosing to assist the underserved population.

Worth magazine selected Bob as one of the "Best Financial Advisors in the Country" eight consecutive times, and he was also listed in Mutual Fund magazine's "Nation's Top 100 Financial Advisors." In 2015, Barron's chose Bob as one of the "Top 100 Independent Financial Advisors" for the eighth time and he

made Boston Magazine's list of "Five Star Wealth Managers" in 2010 and 2011. In addition, Bob has been on the cover of Financial Planning magazine three times. His expertise was broadcast for over eight years when he served as co-host of "The Money Experts" on Boston radio and of "The Financial Planners" on cable television, and he is regularly quoted in publications, including the New York Times, the Wall Street Journal, Barron's, Business Week, the Washington Post, the Boston Globe, and the Boston Herald.

Because of his commitment to community service, Bob was honored by the Financial Planning Association with a 2011 Heart of Financial Planning Award and awarded the highest honor bestowed by the Boston University School of Law, the Silver Shingle for Distinguished Service to the School of Law.

Carla Harris

Vice Chairman, Managing Director and Senior Client Advisor, Morgan Stanley

Carla Harris is a Vice Chairman, Managing Director and Senior Client Advisor at Morgan Stanley. She is responsible for increasing client connectivity and penetration to enhance revenue generation across the firm. She formerly headed the Emerging Manager Platform, the equity capital markets effort for the consumer and retail industries and was responsible for Equity Private Placements. In her 30-year career, Carla has had extensive industry experiences in the technology, media, retail, telecommunications, transportation, industrial, and healthcare sectors. In August 2013, Carla Harris was appointed by President Barack Obama to chair the National Women's Business Council.

For more than a decade, Carla was a senior member of the equity syndicate desk and executed such transactions as initial public offerings for UPS, Martha Stewart Living Omnimedia, Ariba, Redback, the General Motors sub-IPO of Delphi Automotive, and the \$3.2 billion common stock transaction for Immunex Corporation, one of the largest biotechnology common stock transactions in U.S. history. Carla was named to Fortune Magazine's list of "The 50 Most Powerful Black Executives in Corporate America," Fortune's Most Influential List, U. S. Bankers Top 25 Most Powerful Women in Finance (2009, 2010, 2011), Black Enterprise's Top 75 Most Powerful Women in Business (2017), and "Top 75 African Americans on Wall Street," and to Essence Magazine's list of "The 50 Women Who are Shaping the World," Ebony's list of the Power 100 and "15 Corporate Women at the Top" and was named "Woman of the Year 2004" by the Harvard Black Men's Forum and in 2011 by the Yale Black Men's Forum.

Prior to joining Morgan Stanley, Carla received an MBA, Second Year Honors from Harvard Business School and an AB in economics from Harvard University, Magna Cum Laude. Carla has also received Honorary Doctorates of Laws, Humanities and Business from Marymount Manhattan College, Bloomfield College, Jacksonville University, Simmons College, the College of New Rochelle, St. Thomas Aquinas College and Fisk University, respectively. Carla is actively involved in her community and heartily believes that "we are blessed so that we can be a blessing to someone else."





Kate Healy

Managing Director, Generation Next, TD Ameritrade Institutional

Kate Healy is Managing Director of Generation Next at TD Ameritrade Institutional. In this role, she oversees TD Ameritrade Institutional's industry-leading NextGen initiatives, including scholarships, grants, a career exchange and an internship network, all designed to help registered investment advisor (RIA) firms bring younger and more diverse talent into the business.

Kate joined TD Ameritrade Institutional in 2008, most recently serving as Managing Director of Marketing responsible for the development of marketing strategies and the execution of programs to help increase awareness and deepen relationships with nearly 5,000 independent RIAs who custody with TD Ameritrade Institutional. She oversaw the growth of the TD Ameritrade Institutional brand, including the division's website, social media, acquisition and advertising efforts. Additionally, she was TD Ameritrade's 2014 Impact Award winner for Diversity and Inclusiveness. Kate has spent more than 20 years in a variety of roles supporting the program development and marketing of financial and estate planning services in the financial planning industry.

She is a trustee for the Foundation for Financial Planning, a member of the Invest in Others board, is a founding member of the Center for Financial Planning Women's Initiative (WIN) Council, and sits on the Center for Financial Planning's Advisory Council. As an advocate for the industry, she was named to InvestmentNews' inaugural "Women to Watch" in 2015, and to Investment Advisor magazine's annual list of the 25 most influential people in the industry. Kate holds a bachelor's degree in Economics from Rutgers College and has completed the Securities Industry Institute program, sponsored by the Securities Industry and Financial Markets Association (SIFMA) at the Wharton School of Business.

Kevin R. Keller, CAE

Chief Executive Officer, CFP Board,

Kevin R. Keller, CAE is the Chief Executive Officer of CFP Board, a leading 501(C)(3) non-profit organization with a mission to benefit the public by granting and upholding CFP® certification as the standard of excellence in financial planning.

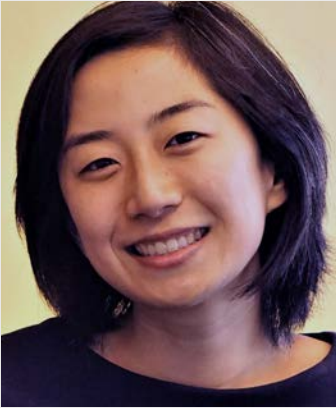
Since his arrival in May 2007, Kevin has helped raise the visibility of the certification within the financial services industry and among consumers. Key achievements include:

- Growing the number of CFP® professionals in the U.S. by nearly 45 percent to more than 80,000 even while strengthening CFP® certification requirements
- Establishing an ongoing and successful public awareness campaign to raise visibility of the CFP® brand.
- Strengthening and expanding relationships with educational institutions and financial services firms that support current and future CFP® professionals
- Adopting improved technology and business practices that provide better service to CFP® candidates and professionals.
- Expanding the Public Policy function that has raised awareness of CFP® certification among policymakers and thought leaders

Kevin joined CFP Board after serving for 16 years with the Association for Financial Professionals (AFP), a membership organization which provides products, education and training for treasury and corporate finance. At AFP, he held the position of senior vice president and chief operating officer for the prior seven years and managed programs and services for the 16,000-member organization. He led the organization's strategic planning process and enhanced and grew the Certified Treasury Professional credential.

Kevin has held senior staff positions at several associations and earned the Certified Association Executive (CAE) credential in 2000. He holds a bachelor's degree in agriculture and a master's degree, both from the Ohio State University.





Phuong Luong, CFP®

Financial Planner, Just Wealth, LLC

Phuong Luong is a CERTIFIED FINANCIAL PLANNER™ and founder of Just Wealth, a virtual, fee-only financial planning practice serving moderate-income clients doing mission-driven work. She also trains nonprofit professionals on how to build effective and culturally relevant financial coaching and counseling programs for marginalized communities, and provides education on structural economic inequality. In addition, Phuong is the virtual tutor for the Boston University Financial Planning Program. Her first career was as a math educator, special education case manager, and curriculum developer, for public schools throughout New England.

Phuong is a member of CFP Board's Council on Education (COE). The COE advises CFP Board staff on the development of all educational policies related to the CFP® certification process. She is also a member of the Center for Financial Planning's Diversity Advisory Group. Recently, she served on CFP Board's Ethics Working Group to develop curriculum standards for board-approved Ethics CE trainings.

Phuong earned a bachelor's degree from Dartmouth College, where she was a graduate of the Teacher Education Program and a recipient of the Woodrow-Wilson Rockefeller Brothers Fellowship for Aspiring Teachers of Color. She also earned a M.Ed in Special Education from Boston University. She completed the Financial Planning Program at Boston University, where she was a recipient of the Robert J. Glovsky Scholarship for Financial Planning. She was also a recipient of the Financial Planning Association's Diversity Scholarship. Phuong is a member of the National Association of Personal Financial Advisors (NAPFA) and is on the board of the New Leaders Council's Boston Chapter.

Marilyn Mohrman-Gillis

Executive Director, Center for Financial Planning

A highly regarded leader within the financial planning community, Marilyn Mohrman-Gillis was appointed as the Center for Financial Planning's first Executive Director in 2016 to lead a profession-wide effort to build a more inclusive and sustainable financial planner workforce. She guides the development and implementation of research and programmatic initiatives focusing on workforce development, diversity, and advancing the profession's body of knowledge.

Marilyn joined CFP Board as Managing Director of Public Policy & Communications in 2008. In that role, she developed and oversaw CFP Board's advocacy initiatives to ensure the visibility and credibility of the CFP® certification with legislators, regulators and other policymakers. Under her tenure, CFP Board became a nationally recognized leader in areas related to investor protection, the delivery of financial advice under a fiduciary standard, and advancing standards to promote competent and ethical financial planning services to the public.

Adept at developing strategic partnerships to advance common goals, Marilyn helped create the Financial Planning Coalition, which – along with members CFP Board, the Financial Planning Association and the National Association of Personal Financial Advisors – helped influence policy outcomes to benefit the public. On behalf of the Coalition, Mohrman-Gillis was recognized as a key spokesperson in support of the Department of Labor's 2016 fiduciary rule, testifying at several public hearings including on Capitol Hill.

Prior to joining CFP Board, Marilyn established an impressive track record of successful advocacy on behalf of the American public during a 30-year career in Washington. She began her career as a litigator in the Washington, D.C., office of the law firm Steptoe & Johnson.

Marilyn has a bachelor's degree in Psychology from St. Mary's College, Notre Dame, a MSW from Catholic University and a J.D. from the Columbus School of Law, Catholic University.





Marc H. Morial

President and CEO, National Urban League

Entrepreneur. Lawyer. Professor. Legislator. Mayor. President, U.S. Conference of Mayors. President and CEO of the National Urban League (NUL), the nation's largest historic civil rights and urban advocacy organization.

In a distinguished professional career that has spanned 25 years, Marc has performed all of these roles with excellence and is one of the most accomplished servant-leaders in the nation. As President and CEO of the NUL since 2003, he has been the primary catalyst for an era of change -- a transformation for the 105-year old civil rights organization. His energetic and skilled leadership has expanded NUL's work around an Empowerment agenda, which is redefining civil rights in the 21st century with a renewed emphasis on closing the economic gaps between whites and Blacks, as well as other communities of color, and rich and poor Americans.

During his tenure, NUL had record fundraising success with a \$280 million, five-year fundraising effort. He has secured the BBB nonprofit certification, which has established the NUL as a leading national nonprofit, and the coveted 4-star rating from Charity Navigator, which has placed the NUL in the top 10 percent of all U.S. charities for adhering to good governance and other best practices, as well as executing its mission in a fiscally responsible way.

Under his stewardship, NUL launched a historic \$100 million, five-year "Jobs Rebuild America: Educate, Employ, Empower" initiative in 2013 - a solutions-based, comprehensive approach to the nation's employment and education crisis that brings together federal government, business, and nonprofit resources to create economic opportunity in 50 cities across the country through the Urban League affiliate network.

His creativity has led to initiatives such as the Urban Youth Empowerment Program to assist young adults in securing sustainable jobs and Entrepreneurship Centers in 10 cities to help the growth of small businesses. Also, Marc helped create the Urban Empowerment Fund, which will lend to urban impact businesses, and helped create the League's New Markets Tax Credits initiative, which has resulted in \$1 billion in community investment via urban impact businesses, including minority business, through both debt and equity investments.

As mayor of New Orleans, Marc was a popular chief executive with a broad multi-racial coalition who led New Orleans' 1990's renaissance and left office with a 70 percent approval rating.

As a lawyer, Marc won the Louisiana State Bar Association's Pro Bono Publico Award for his legal service to the poor and disadvantaged. He was also one of the youngest lawyers, at age 26, to argue and win a major case before the Louisiana Supreme Court.

As a professor, Marc served on the adjunct faculty of Xavier University in Louisiana, where he taught Constitutional Law and Business Law.

As a Louisiana state senator, Marc was named Legislative Rookie of the Year, Education Senator of the Year, and Environmental Senator of the Year, while authoring laws on a wide range of important subjects.

A graduate of the University of Pennsylvania with a degree in Economics and African American Studies, he also holds a law degree from the Georgetown University Law Center in Washington, D.C., as well as numerous honorary degrees including Xavier University and Howard University.

Under appointment by President Obama, Marc has served as Chair of the Census Advisory Committee, a member of the President's Advisory Council on Financial Capability, and on the Department of Education's Equity and Excellence Commission. He was also appointed to the Twenty-First Century Workforce Commission by President Bill Clinton.

Marc has been recognized as one of the 100 most influential Black Americans by Ebony Magazine, one of the Top 50 Nonprofit Executives by the Nonprofit Times, and one of the Top 100 Black Lawyers in America.

Tom Nally

President, TD Ameritrade Institutional

Tom Nally oversees the strategy and deployment of initiatives for the Advisor segment at TD Ameritrade. He also serves as a member of the company's senior operating committee, which shapes the strategic focus of the organization.

Tom is responsible for all business functions at TD Ameritrade Institutional. As president of TD Ameritrade Institutional, he sets the vision for key initiatives supporting independent registered investment advisors (RIAs), a growing and dynamic segment of the wealth management industry. Tom has more than 20 years of experience working with advisors and leads a tenured team focused on serving more than 5,000 independent RIAs that custody assets with TD Ameritrade Institutional. In 2016, Nally's role was expanded to include oversight of TD Ameritrade Clearing, the brokerage operations of TD Ameritrade, Inc.

A recognized leader and advisor advocate, Tom was named to Investment Advisor Magazine's annual list of the 25 most influential people in the industry in 2012, 2014 and 2018. Under his leadership, TD Ameritrade Institutional has experienced strong growth and has earned accolades for delivering innovative technology to help RIAs run and build their businesses.

With a focus on the future, he has championed efforts to attract and support the Next Generation of advisors including launching the TD Ameritrade Institutional NextGen Scholarship and Grant Program and the TD Ameritrade RIA Intern Network.

Prior to being named president, Tom was responsible for TD Ameritrade Institutional Sales. Nally and his team developed new advisor relationships and provided practice management and consultative support to help RIAs achieve their business goals. Over his tenure, he has held multiple management positions in various key segments of the business, including responsibility for trading, fixed income, advisor relations, client service, advisor technology, account services and operations.

Tom graduated from Rider University with a degree in Finance and completed the Securities Industry Institute program at the Wharton School of Business. In 2013, he completed Executive Education coursework at the Stanford Graduate School of Business. Tom currently holds Series 7, 8, 24 and 63 licenses.





Cheryl Nash

President, Investment Services, Fiserv

Cheryl Nash, President, Investment Services at Fiserv, drives the strategic vision for industry-leading technology solutions in wealth management. With over 30 years of experience, Cheryl has a keen appreciation and understanding of industry trends, priorities and challenges, and is a highly sought after subject matter expert. Her consultative approach has yielded enduring client partnerships.

Cheryl's credentials include her recent appointment to the Money Management Institute (MMI) board of directors and selection as co-chair of the MMI Women in Wealth Management, a program dedicated to ensuring women in the workforce 0-5 years have an enriching start to their financial services careers; board member of MMI's Gateway to Leadership; and former co-chair for MMI's Technology & Operations Committee. She serves as an Investnet Institute on Campus advisory board member and leads the Women in Wealth Management initiative, a program dedicated to inspiring, advising, and educating career-focused women.

Cheryl has received numerous awards for her contributions and achievements including Money Management Institute's Pioneer Award (2009); Gold Stevie® Award for Women in Business (2016); Family Wealth Report's Women in Wealth Management—Individual Contributor award (2017); MMI/Barron's Industry award to Investnet Institute on Campus in the 'Doing Good' category, a program for which Cheryl Nash and Fiserv are key contributors (2017); InvestmentNews 2017 Women to Watch honoree; and most recently, the FTF News 2018 Editor's Choice Award.

Cynthia Owyong

Vice President, Diversity & Inclusion, Charles Schwab

Cynthia Owyong is Charles Schwab's Vice President of Diversity & Inclusion, and partners with its business leaders, employee resource groups, and the human resources team, to drive Schwab's approach to enhancing our corporate culture of diversity, inclusion and equality, and power better business results.

Cynthia is also the Founder of Breaking Glass Forums, accelerating more diverse leaders and inclusive organizations. She has established and led diversity and inclusion initiatives for nearly 15 years at organizations both large and small, including GitHub, Yahoo! and Intuit. Cynthia is known for integrating a diversity and inclusion lens into all aspects of the business, from talent management to product development.

Prior to her calling in human resources, Cynthia launched a strategic planning consultancy, increasing the capabilities of nonprofit and for-profit organizations in organizational development, brand marketing and business strategy. She also built a decade-long career as a Brand Strategist for leading global brands and advertising agencies, developing campaigns for Microsoft, Levi Strauss and Apple.

Cynthia currently serves on the Board of Directors for Abilities United, a nonprofit dedicated to the advancement, inclusion and independence of people with developmental disabilities. She earned an MBA in human resources from UCLA's Anderson School of Management, a bachelor's degree in marketing and finance from UC Berkeley's Haas Business School and a bachelor's degree in psychology, also from UC Berkeley.





Frank Paré, CFP®

2018 FPA President

Frank Paré, CFP® currently serves on the board of directors as the volunteer president for the Financial Planning Association® (FPA®), the largest membership organization for CFP® professionals in the country, and includes many others who support the financial planning process.

Frank started his career over 22 years ago. He holds an MBA in management and is a CERTIFIED FINANCIAL PLANNER™ professional in a private practice in Oakland, California.

Frank currently serves on the boards of the Financial Planning Association - East Bay Chapter and the Personal Financial Planning Board at the University of California at Berkeley. He has also served on CFP Board's Public Policy Council. For his work, Frank was honored in 2011 with the FPA Heart of Financial Planning Award and in 2012 with the FPA Leadership in Action Award.

Jorge Quezada

Director, Diversity & Inclusion Leadership Development, Northwestern Mutual

Jorge Quezada is responsible for driving the development of leaders in Diversity and Inclusion principles and practices at Northwestern Mutual. His responsibilities include, leading the D&I Leadership Program for Sales Leaders, integrating D&I competencies into Home Office and Field Leadership programs, and Executive Coaching.

Jorge most recently was the Chief Diversity Officer at Kraft. Prior to joining Kraft, he spent over 25 years at Allstate Insurance Company where he held leadership roles in Human Resources, D&I, Product Operations, Marketing, Claims and Sales.

Throughout the years, Jorge has been deeply involved in civic and community organizations, such as the Association of Hispanic Professionals for Education, the Urban League of Orange County (CA), Big Brothers and Big Sisters of Los Angeles, Leadership Greater Chicago, the Latino Policy Forum, the Hispanic Alliance for Career Enhancement (HACE) and the Chicago Posse Foundation.

Jorge holds a bachelor's degree in political science from Whittier College and an MBA from the University of Illinois at Chicago. Jorge and his wife, Judith, live in Arlington Heights, Illinois with their two children.



Cy Richardson

**Senior Vice President, National Urban League
Chair, Diversity Advisory Group, Center for Financial Planning**

Cy Richardson is the Senior Vice President for Economics and Housing Programs at the National Urban League (NUL). Prior to being appointed in 2013 to co-lead NUL's Programs Department, he previously served as Vice President for Housing and Community Development where he promoted asset building and wealth creation for people of color in urban America. A member of NUL's Senior Leadership Team, he also conducts basic and applied research around the guiding principles and practices of equitable development and is a frequent commentator and blogger on the boosts and blocks to building sustainable wealth in communities of color.

Prior to joining NUL in 2002, Cy, a certified City Planner and Economic Development Finance Professional, worked in various positions in New York City municipal government including as a researcher and policy analyst with the New York City Council, with the New York State Legislature on economic policy issues, and as a Land Use Planner for the Brooklyn Borough President.

He is Chair of the Center for Financial Planning Diversity Advisory Group and a member of the Center's Advisory Council. He also serves as a Lecturer in Hunter College's Urban Affairs Graduate Program.

Cy earned a bachelor's degree with honors in Political Science from the University of North Carolina at Chapel Hill, where he was a four-year starter and captain of the nationally-ranked baseball team. After graduating he played professionally in the Toronto Blue Jays organization for three years. He holds graduate degrees in City and Regional Planning from Pratt Institute and Urban Politics from the City University of New York's Graduate Center.

In 2001 he received an Advanced Certificate in Urban Policy Analysis from Humboldt University (Berlin) and in 2013 earned an Executive Certificate in Nonprofit Management from Georgetown University.





John W. Rogers, Jr.

Chairman, CEO & Chief Investment Officer, Ariel Investments

John's passion for investing began at age 12, when his father began buying him stocks as Christmas and birthday gifts. His interest in equities grew at Princeton University, where he majored in economics, and over the two-plus years he worked as a stockbroker for William Blair & Company, LLC. In 1983, John founded Ariel Investments to employ a patient, value strategy in small and medium-size companies. He is a member of the board of directors of Exelon, McDonald's and The New York Times Company. He also serves as trustee to the University of Chicago, Rush University Medical Center and is a life trustee of the Chicago Symphony Orchestra. Nationally, John is a member of the American Academy of Arts and Sciences, and a director of the Robert F. Kennedy Center for Justice and Human Rights. In 2008, he was awarded Princeton University's highest honor, the Woodrow Wilson Award, presented each year to the alumnus whose career embodies a commitment to national service. Following the election of President Barack Obama, John served as co-chair for the Presidential Inaugural Committee 2009, and more recently, he joined the Barack Obama Foundation's Board of Directors. In 2013, John was featured alongside legendary investors Warren Buffett, Sir John Templeton and Benjamin Graham in the distinguished book: *The World's 99 Greatest Investors* by Magnus Angenfelt. John received an AB in economics from Princeton University, where he was also captain of the varsity basketball team.

Richard Salmen, CFP®

Board Chair, CFP Board

Richard Salmen, CFP®, is currently the President of Family Investment Center, Inc. – a financial planning and investment advisory firm with offices in St. Joseph, Missouri and Lenexa, Kansas. He also serves on the Development Committee for the Center for Financial Planning.

Before serving as the interim CEO of Northern Financial Advisors in 2016 and 2017, Richard spent nearly 16 years at BOK Financial, overseeing the firm’s financial planning practice. Richard also served in the Army and Army Reserve, ending his career at the rank of Captain. For nearly 25 years, Richard was an air traffic controller until his retirement in 2013.

Richard is a Certified Trust & Financial Advisor (CTFA). The CFA Institute Board of Governors awarded him the Chartered Financial Analyst (CFA®) charter. As an Enrolled Agent (EA), he is authorized to represent taxpayers before the Internal Revenue Service at all levels.

In 2006, he began a three-year term as a member of the national board of directors for the Financial Planning Association (FPA) based in Denver, Colorado, ultimately serving as national President for 2009 and national Chairman for 2010.





Andy Sieg

Head of Merrill Lynch Wealth Management

Andy Sieg is Head of Merrill Lynch Wealth Management, leading more than 14,000 advisors and 6,000 client associates in the firm's U.S. Wealth Management Group and over 300 private wealth advisors in its Private Banking & Investment Group. Merrill Lynch serves millions of individuals, small businesses and institutions representing more than \$2 trillion in client assets. Andy is a member of the Bank of America Management Committee.

Andy first joined Merrill Lynch in 1992 as an analyst in the Global Wealth Management business and rose through a series of strategy and field leadership roles until assuming his current position on January 1, 2017. From 2005-2009, Andy led the Emerging Affluent Client Segment within Citigroup Global Wealth. In recent years, he served as Head of Global Wealth & Retirement Solutions, providing comprehensive investment products and services, as well as retirement solutions, to clients of Merrill Lynch Wealth Management and U.S. Trust.

Prior to Merrill Lynch, Andy served in the White House as an aide to the assistant to the President for Economic and Domestic Policy. Andy earned a Bachelor of Science in Economics from Penn State University and a Master in Public Policy from the Harvard Kennedy School.

In 2015, Andy represented Bank of America at the White House Conference on Aging, where he joined President Barack Obama and leaders in the field of aging to discuss the challenges and opportunities presented by the global longevity revolution. Andy also represents Bank of America Merrill Lynch on the advisory boards of the Stanford University Center on Longevity and the Milken Institute Center for the Future of Aging.

Andy was named an Alumni Fellow of Penn State in 2013, and is a member of the Schreyer Honors College External Advisory Board. He is also a member of the Harvard Kennedy School Dean's Council.

Leslie Y. Tabor

**Managing Director, Business Consulting & Education,
Charles Schwab Advisor Services**

Leslie Y. Tabor is a Managing Director with the Charles Schwab Advisor Services organization where she oversees the strategic direction of key programs for delivering value and high impact client experience for advisors who custody with Schwab, including the Executive Leadership Program, RIA Talent Advantage Program, RIA Intern Program, and Cybersecurity Resource Program.

Through the content, tools and action-oriented resources developed by her team, these programs have provided advisors with the insights and capabilities for evolving and growing their firms - cultivating next generation leaders, attracting diverse talent and strengthening awareness of the financial planning profession across dozens of colleges and universities throughout the country.

Leslie is highly passionate about diversity at Schwab and across the financial services industry. She currently sits on the CFP Board's Diversity Advisory Group, providing guidance and expertise in the development of diversity and inclusion initiatives that will increase the racial and ethnic diversity within the financial planning profession. She also serves as the co-chair for the San Francisco Women's Interactive Network at Schwab and the business advisor for all Charles Schwab San Francisco employee resource groups. She believes in the value that diversity brings to the workplace, and is enthusiastic about helping people reach their leadership potential and passionate about bringing important issues to the forefront. Leslie also works with numerous organizations including the Professional Business Women of California, Financial Women of San Francisco, and CFP Board to support furthering the message on the value of diversity.

Leslie earned her bachelor's degree in Business with a concentration in Accounting from the University of Phoenix. She's been recognized as one of the Top 100 Filipina Women in 2015 by the Filipina Women's Network and was a recipient of the 2016 Industry Leader award by the Professional Business Women of California for her work in the area of diversity and inclusion. She is a Bay Area native and an avid San Francisco Forty-Niners, Giants and Golden State Warriors fan. She enjoys traveling with her family and dancing around the house with her 4-year-old daughter.





Whitney Tome

Principal, The Raben Group

Whitney has worked with fishermen, environmentalists, advocates, political strategists, government employees, and thought leaders to develop the approach and solutions needed for the problem. Combining her facilitation skills, knowledge of environmental issues, and understanding of people, Whitney is able to walk into any room, ask the right questions, develop a strategy in the moment and leave everyone with action items and tasks.

Prior to joining the Raben Group, Whitney served as the director of diversity and inclusion at the National Parks Conservation Association where she led, defined and crafted metrics and measures for the organization's diversity and inclusion efforts. Whitney has advised complex ocean stakeholder processes as a Program Manager and Mediator at the Meridian Institute including facilitating public meetings for regional ocean planning bodies that included state, federal and tribal partners.

At Environmental Defense Fund (EDF), Whitney served as a strategist, cat herder and trusted advisor in dozens of state and federal political campaigns. She also developed, launched and grew the Fisheries Leadership and Sustainability Forum – a partnership between EDF, Duke and Stanford. Whitney developed everything from the curriculum for fisheries managers to managing the steering committee, budget and partners for the Fisheries Forum.

In developing the Fisheries Forum, Whitney adopted a 'soup to nuts' management process. She developed the curriculum for and identified experts in fisheries science, law and policy to help educate federal fisheries managers. Her subtle, yet persuasive approach with fishermen and state and federal employees earned her respect. Within a few short years, due to Whitney's continuous relationship building, and well-executed and informative events, the National Marine Fisheries Service asked the Forum to lead an entire sector of the largest conference in the United States focused on the reauthorization of the Magnuson-Stevens Act – Managing Our Nation's Fisheries Conference.

Whitney earned a bachelor's degree in political science from Middlebury College and a J.D. from American University's Washington College of Law. She also won the International Chamber of Commerce's (ICC) International Mediation Competition in Paris, France.

Jocelyn D. Wright, MBA, CFP®

**Managing Partner, Ascension Investment Advisors, and Consultant,
The American College of Financial Services**

Jocelyn D. Wright is the Founder and Managing Partner of Ascension Wealth Management LLC (“Ascension”). As an advisor she partners with her clients to design a personalized holistic strategy to help them reach their financial goals. Jocelyn has over 15 years of financial services experience. She holds the CERTIFIED FINANCIAL PLANNER™ designation; is qualified as a FINRA Series 7 General Securities Representative and Life & Health representative; and has passed the NASAA Series 63 Uniform Securities Agent State Law Examination and NASAA Series 65 Uniform Investment Adviser Law Examination.

Prior to forming Ascension, Jocelyn was a financial advisor affiliated with First Genesis Financial Group in the Greater Philadelphia area, Miles Wealth Management, LLC and Wealth Development Strategies, LP in Houston, Texas. In addition, she was an Equity Research Analyst in the Global Asset Management Group at JPMorganChase and a Research Assistant at Nomura Securities, Inc. Jocelyn graduated with honors from Howard University with an MBA in Finance and received a bachelor’s degree in Business Administration (Finance) from the University of Delaware.

Jocelyn is passionate about educating the community and enjoys speaking at conferences and conducting seminars on economic empowerment, debt reduction and investing. She has presented to such groups as Consumer Credit Counseling Service, Delta Sigma Theta Sorority, Inc., Houston Independent School District, National Black MBA Association and Texas Southern University. Jocelyn is a member of Delta Sigma Theta Sorority, Inc. and National Black MBA Association. She has been quoted in Black Enterprise Magazine



ABOUT THE CENTER FOR FINANCIAL PLANNING

The Center for Financial Planning seeks to create a more diverse and sustainable financial planning profession so that every American has access to competent and ethical financial planning advice. The Center brings together CFP® professionals, firms, educators, researchers and experts to address profession-wide challenges in the areas of diversity and workforce development, and to build an academic home that offers opportunities for conducting and publishing new research that adds to the financial planning body of knowledge.

As part of its mission, the Center manages innovative programs to advance diversity and workforce development in the financial planning profession. You can learn more about these programs below.



“I AM A CFP® PRO”

CFPro.org

The “I am a CFP® Pro” awareness campaign aims to encourage more young people, particularly women and people of color, to pursue financial planning careers. The campaign features video stories from young CFP® pros, information and resources for young people to pursue the career, as well as a toolkit for CFP® pros and schools to spread the message.



SCHOLARSHIPS

CenterforFinancialPlanning.org/Scholarships

Center’s scholarships support qualified students from underrepresented populations in financial planning to complete education requirements for CFP® certification. The Center currently manages two scholarship funds – The Deena Jo Heide-Diesslin Foundation Challenge Match Scholarship, and the Milton Stern Scholars Fund – with two additional scholarship funds to be launched in 2019 – the Envestnet Scholarship Fund and the Richard B. (Dick) Wagner Memorial Scholarship Fund, a joint effort with FPA.

CFP BOARD MENTOR PROGRAM

CenterforFinancialPlanning.org/Mentor

The CFP Board Mentor Program allows aspiring CFP® professionals to receive insights and guidance from experienced CFP® professionals volunteering as mentors. The program allows mentor-mentee matching based on a variety of options, including gender and race/ethnicity.

WIN ADVOCATES

CFP.net/WINAdvocate

WIN Advocates are CFP® professionals who volunteer to raise awareness of financial planning careers to women and girls in their communities. Over 500 of these dedicated volunteers nationwide share their stories with students, girls’ organizations and womens’ groups and work to raise awareness of gender diversity within their own firms.

CFP BOARD CAREER CENTER

CFP.net/Career-Center

The Center’s online career portal provides job and internship opportunities, online career fairs, as well as targeted access to highly qualified candidates who hold or are pursuing CFP® certification.



SUPPORT THE CENTER

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Visit CenterforFinancialPlanning.org/Volunteer or contact us at mail@CenterforFinancialPlanning.org to learn about rewarding volunteer opportunities to help advance the Center's important mission.

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Make a tax-deductible donation to the Center at CenterforFinancialPlanning.org/Donate or contact us at **800-487-1497**.

100% of your donation directly supports the Center's programs.

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If your company is interested in supporting the work of the Center, please contact Rochelle Zeidman, Managing Director of Development, at rzeidman@cfpboard.org or **202-379-2255**.

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