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We are committed to helping develop the pipeline of diverse talent through our support of the CFP Board Center for Financial Planning and the greater investment community.

Together we can work to build the next generation of investment professionals who will carry this great profession forward.

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FOUNDATION

WELCOME

When the CFP Board Center for Financial Planning convened our inaugural Diversity Summit in 2018, we were struck by the incredible passion of our speakers and guests and their drive to make the financial planning profession more inclusive. The ideas generated and commitments made by firms, academic institutions, partner organizations, and financial planning professionals at that summit presented a promising path toward greater workforce diversity and inclusion in financial planning.

Today we are taking the discussion to the next level with a focus on accountability. We will explore the steps taken to increase the financial planning profession's racial and ethnic diversity since last year's summit, including stakeholder efforts to implement the Center's research-based recommendations in this area. We will showcase successful diversity and inclusion programs and identify critical lessons learned from a variety of firms, providing you with the tools to replicate or adapt these programs for your own needs. And we will feature an exciting lineup of dynamic speakers who will share their own personal stories and talk about their experiences making diversity and inclusion a priority in their work.

We are grateful to our Diversity Summit Signature Sponsors, Merrill Lynch and JP Morgan Chase; our Major Sponsors, Fiserv and Prudential; Center's Lead Founding Sponsor, TD Ameritrade Institutional; and Center Founding Sponsors, Northwestern Mutual and the Charles Schwab Foundation, in partnership with Schwab Advisor Services. Their generous contributions make this landmark event possible. We also thank the distinguished members of the Diversity Summit Host Committee for helping to shape today's agenda to ensure a meaningful and thought-provoking discussion.

We know that fostering and sustaining a diverse workforce is important to the financial planning profession's long-term success: A more inclusive workforce will be better prepared to meet the increasingly diverse needs and shifting demographics of the people we serve. Together we must accelerate the pace of change, energizing and motivating each other to change the face of our profession for the benefit of the public.

Thank you for joining us for the 2019 Diversity Summit. We hope you leave inspired to act.

Kevin R. Keller, CAE
Chief Executive Officer
CFP Board

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

2018 DIVERSITY SUMMIT



DIVERSITY SUMMIT HOST COMMITTEE



Cy Richardson

(Committee Chair)
Senior Vice President, National Urban League:
Chair of Diversity Advisory Group,
CFP Board Center for Financial Planning



Ronald J. Adams

Head of Field Diversity and Inclusion
Northwestern Mutual



Charles Adi

Principal
Blueprint 360, LLC



Jennifer Auerbach-Rodriguez

Director, Head of Strategic Growth Markets
Merrill Lynch



Louis Barajas, CFP®

Wealth & Business Manager
Wealth Management LAB



Danielle Beyer

Principal
Valor Equity Partners



Veronica (Ronnie) Charcalla

Vice President,
Culture & Engagement
Prudential Financial



Marguerita Cheng, CFP®

Chief Executive Officer
Blue Ocean Global Wealth



Rianka Dorsainvil, CFP®

Founder and CEO,
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“I am a CFP® Pro” Campaign Spokesperson



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



Valerie King

Senior Vice President,
Institutional Client & Investor Relations
Ariel Investments



Phuong Luong, CFP®

Founder and Financial Planner
Just Wealth, LLC



René Nourse, CFP®

President, Association of African American
Financial Advisors



Samuel Palmer

Managing Director and Head of
Business Development & Strategy
Chase Wealth Management



Gary Rozier

Managing Director,
Oak Street Real Estate Capital



Leslie Y. Tabor

Managing Director,
Business Consulting Services
Charles Schwab Advisor Services



Kara Underwood

Managing Director,
Head of Diversity & Inclusion
Morgan Stanley Wealth Management

NOVEMBER 13, 2019 JW MARRIOTT, WASHINGTON D.C.

7:30 a.m. - 8:00 a.m. **Registration**

7:30 a.m. - 8:00 a.m. **Breakfast**

8:00 a.m. - 8:20 a.m. **Welcome**

Kevin Keller, CEO, CFP Board

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

8:20 a.m. - 8:35 a.m. **Opening Remarks**

8:35 a.m. - 8:45 a.m. **Introduction to Opening Keynote**

Damian Rivera, CEO, Association of Latino Professionals for America (ALPFA)

8:45 a.m. - 9:00 a.m. **Opening Keynote**

Maria Contreras-Sweet, Founder, Contreras-Sweet Companies;
Former Administrator, Small Business Administration

9:00 a.m. - 9:50 a.m. **CFP Pro® Talks: Personal Reflections on Barriers and Opportunities**

- Moderator: Mark Tibergien, CEO, Advisor Solutions, BNY Mellon Pershing;
Chair of Workforce Development Advisory Group, CFP Board Center for Financial Planning
- John Campbell, CFP®, Director of Minority-Owned Business Engagement, Wilmington Trust
- Brittney Castro, CFP®, Founder and CEO of Financially Wise;
"I am a CFP® Pro" Campaign Spokesperson
- Luis Rosa, CFP®, Founder; Build a Better Financial Future
- Lauryn Williams, CFP®, Founder; Worth Winning, Former Olympian

9:50 a.m. - 10:05 a.m. **Break**

10:05 a.m. - 11:10 a.m. **Executive Roundtable: Why Diversity Matters**

- Moderator: Michelle Singletary, Columnist and Personal Finance Advisor, *The Washington Post*
- Kim Jenson, COO, SVP, Private Client Group, Raymond James
- Ileana Musa, Managing Director, International Wealth Management, Morgan Stanley
- Samuel Palmer, Managing Director and Head of Business Development & Strategy,
Chase Wealth Management
- Craig Young, Executive Director, Merrill Lynch Wealth Management

11:10 a.m. - 12:00 p.m. **The Future of Equality**

Introduction

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

Presentation

Kenji Yoshino, Chief Justice Earl Warren Professor of Constitutional Law, NYU School of Law

12:00 p.m. - 1:00 p.m. **Networking Lunch**

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1:00 p.m. - 2:15 p.m. **Diversity Program Case Studies**

- Moderator: Kate Healy, Managing Director, Generation Next, TD Ameritrade Institutional
- Ronald J. Adams, Head of Field Diversity and Inclusion, Northwestern Mutual
- Dr. Chia-Li Chien, CFP®, Director of the Financial Planning Program, California Lutheran University
- Amy Philbrook, Head of Diversity and Inclusion, Fidelity Investments
- Elissa Sangster, CEO, Forté Foundation
- Kara Underwood, Managing Director, Head of Talent and Learning Strategy, Morgan Stanley Wealth Management

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

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

Facilitators:

- Cheryl Creuzot, CFP®, President Emeritus, Wealth Development Strategies, LLC
- Crystal Hardie Langston, Principal, Chief Diversity Officer, Vanguard
- Cheryl Nash, President, Investment Services, Fiserv
- Robert Raben, President and Founder, The Raben Group
- Leslie Tabor, Managing Director, Business Consulting Services, Charles Schwab Advisor Services

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

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

- Moderator: Audra Bohannon, Senior Partner, Korn Ferry
- Cheryl Creuzot, CFP®, President Emeritus, Wealth Development Strategies, LLC
- Crystal Hardie Langston, Principal, Chief Diversity Officer, Vanguard
- Cheryl Nash, President, Investment Services, Fiserv
- Robert Raben, President and Founder, The Raben Group
- Leslie Tabor, Managing Director, Business Consulting Services, Charles Schwab Advisor Services

4:45 p.m. - 4:50 p.m. **Introduction of Closing Keynote**

Susan MacMichael John, CFP®, Founder and President of Financial Focus;
2019 Chair of CFP Board

4:50 p.m. - 5:05 p.m. **Closing Keynote**

Salene Hitchcock-Gear, President, Prudential Individual Life Insurance and Prudential Advisors

5:05 p.m. - 6:30 p.m. **Reception**

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The best teams value our individual differences as strengths. At Merrill, we work to create diverse teams and foster an inclusive environment where employees are valued for who they are and what they offer.

To learn more about how we support diversity, visit **bankofamerica.com/inclusion**.

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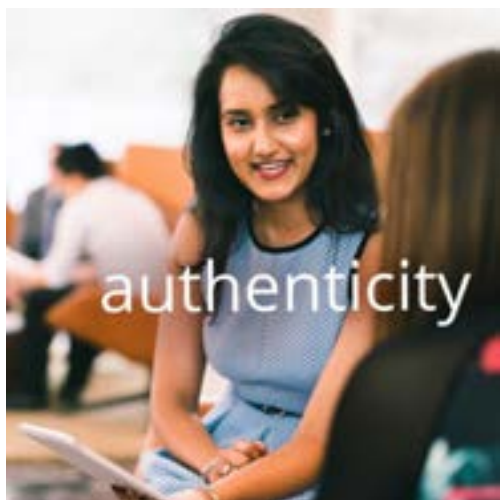
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Ronald J. Adams

Head of Field Diversity and Inclusion, Northwestern Mutual

Ronald J. Adams is the Head of Field Diversity and Inclusion (D&I) at Northwestern Mutual, where he leads a team of diversity practitioners responsible for the creation and execution of D&I strategies for the organization's career distribution system. In this role, Ron co-leads the Northwestern Mutual D&I Corporate Committee and serves on the Field Experience Talent Management Leadership Team focused on developing and delivering core components of the overall field talent strategy to ensure the industry-leading Northwestern Mutual career distribution system is strong and vibrant.

Ron joined Northwestern Mutual in January 2015. He previously served in the military for 26 years, holding leadership roles including the Wisconsin National Guard's Diversity Officer, Equal Employment Manager, Human Resources Branch Chief, Operations Officer, Public Affairs Officer, and Commander of a logistics company and a public affairs detachment, respectively. Ron continues his military career as a Coach, Observer, Trainer (OC/T) in the Army Reserves.

Ron is a founding board member and immediate past president of the Wisconsin Veterans Network (VetsNet) – a nonprofit organization serving veterans and their families throughout WI. He is a member of the national diversity committee for the Association for Advanced Life Underwriting (AALU). He serves as a member of the advisory committee and a young adult mentor for the MKE Fellows program, which is creating a pipeline of African-American male college graduates ready to return to Wisconsin to excel in their careers, build wealth, and become engaged leaders. Ron is an executive coach for mid-level cross-sector leaders enrolled in The African American Leadership Program (AALP) in partnership with The African American Leadership Alliance of Milwaukee and Cardinal Stritch University.

Ron is a recipient of the Army's General Douglas MacArthur Leadership Award, the NAACP Roy Wilkins Renown National Service Award and numerous military awards and decorations. He is a member of the American Legion and Veterans of Foreign Wars (VFW), the Honorable Order of Saint Barbara and the National Guard Officers Association. He is the past president of the board for the Greater Madison Federal Agency Association and past vice president of the board for the Milwaukee Homeless Veterans Initiative (MHVI). Ron holds a master's degree in Strategic Communications and Leadership (MASCL) from Seton Hall University and earned a bachelor's degree in Business Management from Phoenix University while serving in the military. Ron is a Results Certified Coach, through the NeuroLeadership Institute.

Ron and his wife, Angela, reside in Milwaukee, WI and they have one son and three daughters. He is originally from Brooklyn, NY, where his enthusiasm for sports, music and culture began.

Audra Bohannon

Senior Partner, Korn Ferry

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, including building and consumer products, financial services, food and beverage, healthcare, manufacturing and retail, pharmaceutical, technology and communication, and transportation.

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, senior vice president of Novations Group, and as partner and one of the business architects of J. Howard & Associates.

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.

Beyond Korn Ferry, Audra sits on the national boards of Community Builders and Accelerated College Experiences (ACE), and she serves on the Human Resources Committee of Big Sister Association of Greater Boston.





John Campbell, CFP®

Director of Minority-Owned Business Engagement, Wilmington Trust

John Campbell leads Wilmington Trust's business development initiatives in the minority business owner segment. With deep experience in fiduciary analysis, reporting and risk management, he also advises the senior fiduciary leadership team, leading innovative projects designed to enhance the delivery of fiduciary services across the organization.

John joined M&T Bank in 1986, which acquired Wilmington Trust in 2011. He has more than three decades of experience in the wealth management industry. He holds an MBA from Pennsylvania State University and a bachelor's degree in business administration from Bucknell University. He is a graduate of the Central Atlantic School of Trust and has attained the CERTIFIED FINANCIAL PLANNER™ designation. John also holds the FINRA Series 24, 7 and 66 Securities licenses and the Pennsylvania Life, Accident, and Health Insurance license.

He is recognized as a strong community advocate and is on the board of the McCormick Family Foundation, Kline Foundation, Harrisstown Development Corporation, and the Boys and Girls Club of Harrisburg. He is also the vice chair of the 2019 United Way Campaign of the Capital Region in Pennsylvania.



Brittney Castro, CFP®

Founder and CEO of Financially Wise and "I am a CFP® Pro" Spokesperson

Brittney Castro, CFP®, AAMS®, CRPC® is the founder and CEO of Financially Wise, Inc., a Los Angeles-based financial planning firm whose mission is to teach women and couples the art of managing their money the fun and simple way. As a CERTIFIED FINANCIAL PLANNER™, Chartered Retirement Planning Counselor, Accredited Asset Management Specialist, entrepreneur and speaker, Brittney works with busy professional women and couples who are ready to make their finances work for them and use their money to live the lives of their dreams. After years of working in the male-dominated world of financial planning, Brittney realized she wanted to work with clients the same way she talks about money with her girlfriends – in a smart, personal, feminine way that's compassionate, fun and nonjudgmental. Brittney has become a well-known financial expert and a go-to resource for national media outlets. She's been featured on CNN, CNBC, *The Wall Street Journal*, *The New York Times*, CBS, KTLA, Fox 11 News, *Glamour*, *Elle*, *Marie Claire*, *Darling*, *Entrepreneur*, *Woman's World*, *Financial Planning*, *Investment News*, *Registered Rep* magazine and many more. She's also a coveted speaker and host, and she loves spreading her wisdom about finance, entrepreneurship and smart investing to the masses. Brittney serves as the Chase Financial Education Ambassador, a role in which she helps spread financial literacy to more women and men. She is also a CFP® Pro spokeswoman in the CFP Board Center for Financial Planning campaign to educate more women and minorities about the career of financial planning. Finally, Brittney serves as an Entrepreneur Network Partner to provide entertainment, education and inspirational content to the millions of entrepreneurs seeking actionable, entertaining content. Away from the office, you can find Brittney working out, drinking coffee with steamed almond milk, reading, playing with her fur baby Arya and of course dancing!

Dr. Chia-Li Chien, CFP®

***Assistant Professor & Director of Financial Planning Program,
California Lutheran University***

Dr. Chia-Li Chien is an assistant professor and director of the financial planning program in the School of Management at California Lutheran University, a Hispanic-Serving Institution where about one-third of students are Latino. She holds a doctorate in financial and retirement planning and is a CERTIFIED FINANCIAL PLANNER™ and Project Management Professional. Before her academic career, she held several senior management positions in Fortune 500 companies including Diageo, ABB, CIGNA and RSA Insurance Group. She is a succession program director at Value Growth Institute and runs a succession consulting practice dedicated to helping female business owners increase the equity value of their firms. She wrote two award-winning books, *Show Me the Money* (2010) and *Work Toward Rewards* (2012). Palgrave MacMillan (Springer Nature) is planning to release her next peer-reviewed research book, *Enhancing Retirement Success Rates in the United States: Leveraging Reverse Mortgages, Delaying Social Security, and Exploring Continuous Work*, in spring 2020. She frequently speaks at local and national conferences. She frequently speaks at local and national conferences, hosts a succession blog at valuegrowthinstitute.com and leads pro bono projects. She is a national board director of Women in Insurance & Financial Services Association (WIFS).





Maria Contreras-Sweet

Founder, Contreras-Sweet Companies

Former Administrator, Small Business Administration

Maria Contreras-Sweet was sworn in as the 24th Administrator of the U.S. Small Business Administration (SBA) and as a member of President Obama's Cabinet on April 7, 2014.

The SBA is charged with supporting America's 28 million small businesses, which create a majority of U.S. jobs and employ half of our nation's private-sector workforce. SBA oversees the world's largest seed fund and the largest middle market fund of funds, as well as a \$120 billion loan portfolio. It also directs the world's largest business counseling network and one-quarter of the federal procurement activity to small businesses.

As a business leader, California state cabinet official and entrepreneur, Maria's achievements in bringing efficiencies and modernization to large-scale organizations have earned her international acclaim. Her drive to bring SBA into the digital age, and expand into broader domestic and global markets, has yielded record results in lending and contracting for small businesses.

Maria started three businesses, including a community bank in downtown Los Angeles, focused on small and mid-size businesses, where she served as its executive chairwoman for seven years.

Prior, Maria served as the California Cabinet Secretary of the Business, Transportation and Housing Agency, where she oversaw 44,000 employees, a \$14 billion budget, and 14 state departments, including the departments of Transportation, Highway Patrol, Housing, Financial Institutions, Corporations, Real Estate and Motor Vehicles. She also oversaw the creation of the Department of Managed Health Care and its Office of Patient Advocate. During the state's energy crisis, she was asked to serve on the board of California's electrical power grid, CA-ISO, and helped to stabilize the volatile energy market amid the state's rolling blackouts.

At the age of 24, Maria served as a district manager for the U.S. Census Bureau, hiring and managing 700 employees. She was then recruited by Westinghouse and joined their commercial division's 7-Up/RC Bottling Company, at the time the largest 7-UP bottler in the world, where she later became an equity partner. During her tenure, they posted double the national average sales and she helped lead California's legislative negotiations for the creation of the Beverage Container Recycling and Litter Reduction Act.

Maria is a founding director of The California Endowment, a \$3 billion foundation dedicated to improving the health status of Californians. She served on the boards of Blue Cross of California and numerous nonprofit organizations.

Maria sees entrepreneurship as a force that can change lives and lift whole communities around the world. Entrepreneurship helps people realize dreams and brings dignity to those who embrace its challenges.

Cheryl Creuzot

President Emeritus, Wealth Development Strategies

Cheryl D. Creuzot, a 35-year industry veteran, is currently the President and Chief Executive Officer of Wealth Development Strategies, LLC, a position she has held since 2001. Wealth Development Strategies, one of Houston's oldest comprehensive financial planning firms, offers contemporary, personalized solutions for individuals and business professionals who wish to protect, grow and efficiently distribute their wealth. The boutique firm consists of more than 30 associates who combine extensive financial experience and expertise to affect personalized client solutions. Cheryl carries the same spirit of service delivery to her numerous civic and charitable endeavors. She is currently a Director of the Greater Houston Partnership. She was also recently appointed as Chair to the University Of Houston Board Of Visitors and serves as Vice Chair of the University of Houston Foundation (Investment Committee). Cheryl serves on the Board of Visitors of the MD Anderson Cancer Center (Government Relations Committee), as well as the board of the Frenchy's Companies, a 45-year-old family owned restaurant and food processing organization. Cheryl is a member of the National Association of Corporate Directors and the Tri-City Chapter of Women Corporate Directors.



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 University and has completed the Securities Industry Institute program, sponsored by the Securities Industry and Financial Markets Association (SIFMA) at the Wharton School of Business.





Salene Hitchcock-Gear

President, Prudential Individual Life Insurance and Prudential Advisors

Salene Hitchcock-Gear is President of Prudential Individual Life Insurance, which includes Prudential Advisors. Prudential Individual Life Insurance is a business unit of Prudential that offers competitive solutions to meet the needs of consumers through the manufacturing and distribution of a diverse portfolio of life insurance products.

An insurance industry veteran with more than 30 years of experience, Salene joined Prudential in 2017 as Chief Operating Officer of Prudential Advisors, the company's national sales organization with more than 3,000 financial professionals, advisors and fee-based financial planners who offer clients a broad range of financial solutions. She was appointed president of both businesses in 2018.

Previously, Salene served as President and CEO of Ameritas Investment Corp. and President and CEO of Acacia Life Insurance Company.

Salene represents Prudential as a director on the Women Presidents' Organization Advisory Board. She also serves on the board of trustees of the American College of Financial Services.

Salene has a bachelor's degree from the University of Michigan, a J.D. from New York University School of Law, and FINRA Series 7 and 24 securities licenses. She is a member of the New York State Bar Association.

Kim Jenson

Chief Operating Officer, Raymond James & Associates

Kim Jenson is Chief Operating Officer of Raymond James & Associates (RJA) Private Client Group. Her responsibilities include prioritizing solutions and services for advisors and clients with a focus on productivity, growth and operational excellence. She leads several internal teams, including Planning & Strategy, Associate Financial Services and Investment Central.

Kim has more than 30 years of financial services experience, most recently as Managing Director and Market Head in UBS Financial Services' Chicago market. She previously served as Midwest Regional Director and as Chief of Staff for the CEO of UBS Wealth Management Americas. Kim also spent 15 years with Piper Jaffray in Minneapolis, where she held leadership roles in trust, product management, training and recruiting, and field management. She began her career with Norwest Bank Minnesota.

A graduate of Minnesota State University, Kim has also completed programs at the Securities Industry Institute at the Wharton School of Business and the Center for Creative Leadership at Duke Fuqua School of Business. Kim holds several securities, life and health insurance licenses, as well as the Certified Cash Manager designation. She has received multiple awards throughout her career, including the New York YWCA Women of Distinction, *Chicago Business Journal* Women of Distinction and the Ed Connolly Leadership Award. Kim has served on the board of trustees for the Minnesota Orchestra, Minnesota Public Radio, Chicago Foundation for Women and Stanley Manne Children's Research Fund, and currently serves on the Dean's Advisory Board for the University of South Florida, St. Petersburg campus.

Kim and her husband, Tom, reside in St. Petersburg, FL. She enjoys running, travel, sailing and spending time with her family in Minnesota..



Crystal Hardie Langston

Principal, Chief Diversity Officer, Vanguard

Crystal Hardie Langston is head of Vanguard Retirement Plan Access™, a comprehensive suite of 401(k) retirement plan services for small businesses. In prior roles, she worked in Corporate Strategy, Relationship Management, Team and Internal Sales in Vanguard Financial Advisor Services™, and as chief of staff for the Institutional Investor Group. Crystal joined Vanguard in 2005 as a relationship manager. Earlier in her career, she was a debt capital markets analyst with Bank of America Securities. Crystal earned a bachelor's degree from the University of Virginia and an MBA degree from Duke University's Fuqua School of Business. She is a cofounder and leader of the Vanguard Black Professional Network and is board chair of the Urban Tree Connection, a Philadelphia organization focused on community-based urban greening.





Ileana Musa

Managing Director, International Wealth Management, Morgan Stanley

Ileana Musa is the Co-Head of International Wealth Management and the Head of International Banking & Lending for Morgan Stanley. In this role she leads the segment and strategy that focuses on Morgan Stanley's International Client Advisors and international clients to ensure they have access to strategic solutions, services and thought leadership to address both sides of a client's balance sheet. Ileana is a member of Morgan Stanley's WM Management Committee, Latin America Management Committee, International Wealth Management Executive Committee, Morgan Stanley Private Bank, National Association Management Committee, Private Banking Group Executive Committee and the Private Banking Group Bank Leadership Committee.

Prior to joining Morgan Stanley she was the Global Client Segment and Strategy executive for Merrill Lynch Wealth Management. In this capacity, Ileana focused on international financial advisors to ensure the delivery of a consistent, goals-based wealth management experience for international high-net-worth and ultra-high-net-worth clients. Prior to this role, Ileana was head of International Credit & Banking within Bank of America's Global Wealth & Investment Management (GWIM) Banking group. In this role, she led the teams that supported and delivered integrated liquidity, cash management and lending solutions and services to financial advisors and high-net-worth clients in Latin America, Asia and Europe.

Ileana held several leadership roles in the domestic, international and affluent banking platforms at Bank of America and JPMorgan Chase, where she lent her talent in growing the cross-border wealth management business.

Ileana received her BBA degree, with a concentration in finance, from the University of Miami and an MBA degree in finance from Florida International University. Ileana is fluent in Spanish, is FINRA registered and is Six-Sigma Greenbelt certified.

Ileana sits on the Corporate Advisory Board of the Association of Latino Professionals for America (ALPFA) and she leads Women of ALPFA, a strategic initiative focused on advancing Latinas. Ileana serves on the Advisory Board of the Florida International University Honors College as well as the Board of the Cuban Heritage Collection at the University of Miami.

Ileana was recognized as one of the 2019 MAKERS at Morgan Stanley Wealth Management. She received the Latino Justice 2019 Latina Trailblazer Award honoring her professional and personal achievements in opening doors and new opportunities for other Latinas.

For three years in a row Ileana was recognized as one of ALPFA's Top 50 Most Powerful Latinas in corporate America, featured in *Fortune* magazine in 2017-2018. In 2016 Ileana was awarded the 2015 Top 10 Corporate Executives of the Year by *Latina Style* magazine.

Cheryl Nash

President, Investment Services, Fiserv

Cheryl Nash is President for Investment Services at Fiserv, the leading global provider of financial services technology solutions. Cheryl is responsible for driving the strategic vision and direction of the industry-leading technology solutions offered by Fiserv, which serve the wealth management industry. Cheryl has over 25 years of experience working in the wealth management industry and has been instrumental in the development of multiple strategy portfolios, more commonly known today as unified managed accounts (UMAs). \n\nIn her current position, Cheryl is the driving force behind the Investment Services Single Platform strategy, which comprises many initiatives that will result in: an integrated front-middle-back wealth management solution; a single managed-account platform; an aggregated view of client assets and liabilities to support goals-based wealth management; and a heightened focus on supporting the financial advisor with a digital advice offering to complement the service they deliver, increase their effectiveness, improve the investor experience and grow assets under management. Cheryl played significant roles in the acquisitions of Upstream Technologies and AdviceAmerica, providing Fiserv clients with an integrated trading environment and financial advice and planning technology, respectively. Cheryl is a recipient of the Money Management Institute's (MMI) prestigious Pioneer Award, which recognize individuals who embody MMI's mission to serve as an advocate and catalyst for growth in the managed accounts and wealth management industry. Cheryl is on the Board of Directors for the AdviceAmerica business at Fiserv. Cheryl sits on the MMI Leadership Advisory Council and is on the Board of Trustees for the MMI Gateway to Leadership Diversity program.



Samuel Palmer

Managing Director and Head of Business Development & Strategy, Chase Wealth Management

Samuel Palmer is a Managing Director and the Head of Business Development and Strategy for Chase Wealth Management (CWM). In his current role he is responsible for identifying and executing opportunities to drive growth, performance and health of CWM. He is the Chair of CWM's Diversity and Inclusion Programs, which aim to drive diverse thought, experience and equitable distribution of opportunity among CWM advisors. He is also managing the direct-to-consumer wealth management business.

Prior to JP Morgan, Sam spent 10 years at McKinsey and Company, where he advised executives of retail banks and wealth management firms on a number of topics ranging from overall strategy, to driving revenue growth, and value proposition design, working with leading firms across the U.S. and Europe.

Sam enjoys kitesurfing, skiing, and sailing, and is an avid musician. He graduated from Harvard University with a degree in Economics.





Amy Philbrook

Head of Diversity and Inclusion, Fidelity Investments

Amy Philbrook is the head of diversity and inclusion for Fidelity Investments, a leading provider of investment management, retirement planning, portfolio guidance, brokerage, benefits outsourcing and other financial products and services to more than 26 million individuals, institutions and financial intermediaries.

Amy assumed her current position in 2017 and leads the effort to ensure that Fidelity is a workplace and service provider where everyone can fully be themselves. In her role, she is responsible for creating and attracting a more diverse workforce, tapping into the power of our differences to develop and retain talent, creating a culture of inclusion, and showcasing Fidelity's reputation and brand as an inclusive employer and service provider.

Amy joined Fidelity in 1995 and has held a variety of positions throughout the firm, including in human resources, compliance, retirement investment services, marketing and sales, and quality assurance and risk management. Prior to joining Fidelity, she worked in human resources for Fish & Richardson P.C., an intellectual property and litigation firm.

Amy received a bachelor's degree in Political Science and Government from Northeastern University. She also holds the FINRA Principal Series 7 and 24 licenses.

Robert Raben

President and Founder, The Raben Group

Robert Raben, and the roughly 70 people who have joined him in the unique public policy firm he created in 2002, works to drive public policy in a humane and sensible direction; to bring diversity and equity to the boardrooms, think tanks and corporations of America; to create a fair judiciary; and to influence legislation that will broaden civil rights, reform our criminal justice system, and improve education for all our children.

Nearly 30 years of professional experience as an attorney, senior Capitol Hill staffer and Assistant Attorney General have given Robert a nuanced understanding of both the legal subtleties and the political realities of the issues he handles. In addition, he brings an aggressively bipartisan approach to the firm, built during a highly respected legislative career that began on Rep. Barney Frank's staff and concluded with House Judiciary Committee Chairman Henry Hyde's endorsement of his Justice Department appointment.

Robert served as counsel to Rep. Frank, as well as Democratic counsel for two subcommittees of the House Judiciary Committee (Constitution; Courts and Intellectual Property).

In 1999, Robert's reputation and effectiveness caught the attention of the White House, earning him an appointment as Principal Deputy Assistant Attorney General and, subsequently, Assistant Attorney General, Office of Legislative Affairs. After a unanimous confirmation vote by a Republican-controlled Senate, Robert was charged with overseeing Attorney General Janet Reno's legislative initiatives and handling extensive congressional oversight of the department.

Since 2002 he has run The Raben Group. Robert serves on the boards of the Joint Center for Political and Economic Studies, the Unidos Action Fund and former President Barack Obama's My Brothers' Keeper Alliance. Past board service includes the American Constitution Society, Alliance for Justice and the Iraqi Refugee Assistance Project

He is a serial NGO entrepreneur, having formed the Hispanics for a Fair Judiciary, the Friends of the Museum of the American Latino, Green 2.0, Committee for a Fair Judiciary, the March on Washington Film Festival and the Pasos Graduation ceremony for Latino law students.

Robert is a native of Miami, and a graduate of the Wharton School of Business and the New York University Law School.





Damian Rivera

CEO, Association of Latino Professionals for America (ALPFA)

Damian Rivera has served as ALPFA's CEO since September 2018. Prior to joining ALPFA, Damian was a Managing Director in Accenture's Resources Utilities practice for 21 years; he started his career as a coder in the company's Technology practice.

Most recently, Damian focused on customer care transformation work for utilities, including helping clients with strategically pivoting to digital capabilities as they look to improve customer engagement. Damian has performed digital transformation strategy and Implementation, customer information system builds, utility customer analytics and customer care operations work. Through these engagements he worked on all project phases including strategy development, system implementation, business process definition and operations.

Damian holds a bachelor's degree in Chemical and Biochemical Engineering from Rutgers University – College of Engineering and an MBA from Columbia University specializing in Social Entrepreneurship.

Damian's focus on social entrepreneurship would come as no surprise to people who know him. In addition to his client roles, he served as Accenture's Managing Director responsible for the North American Hispanic American Employee Resource Group ERG from 2011 – 2017. In this role he led the strategic direction of 16 ERGs across the U.S. engaging in internal career progression as well as local market activities focused on improving the community in which the ERG is based. Damian also served as the Office Diversity Advocate for Metro New York, which focuses on improving employee engagement across all of Accenture's Metro New York-based resources. Damian also serves on the National Board of Directors of Per Scholas, whose mission is to "Break the cycle of poverty by providing technology education, access, training and job placement services for people in underserved communities." Also, over the past year Damian has been volunteering as the Chief Digital Officer for ALPFA.

In 2018, Damian was listed in *Latino Leaders Magazine* as a member of their Top 101 Most Influential Latinos list.

In addition to his non-profit and diversity work, Damian is an angel investor having invested in tech start-ups with a social purpose mission.

Damian is married to his high school sweetheart, Idanis, and has two children, Damian Francisco, 17, and Ilanis, 15. When not working, Damian enjoys watching his son run track, and watching his daughter's artistic talents in photography. Damian also enjoys triathlons, having completed the NYC Triathlon 10 years in a row, and completed a charity bike ride from Toronto to Niagara Falls.

Luis Rosa, CFP®

Founder, Build a Better Financial Future

Luis Rosa focuses on helping people build a better financial future. Luis is a CERTIFIED FINANCIAL PLANNER™ professional and is enrolled to practice before the IRS. This diverse industry knowledge allows him to best serve his clients by understanding how one financial decision affects the other, allowing him to better guide them toward achieving their goals. Luis has been quoted in articles published in NBC News, Yahoo Finance, Investopedia, Business Insider, The Daily News, and other online publications. He's also one of the few Spanish-speaking CERTIFIED FINANCIAL PLANNER™ professionals in the country. Although he lives in the Las Vegas area, he works with clients all across the country using video conferencing. When not helping a client, volunteering, or hosting an event, you can find Luis eating at one of his favorite vegetarian/vegan restaurants in Los Angeles or Las Vegas.



Elissa Sangster

CEO, Forté Foundation

Elissa Sangster serves as CEO of Forté and brings to the role extensive knowledge of issues affecting women's abilities to seek, prepare for and attain business leadership positions, drawn from her prior experience as Assistant Dean and Director of the MBA Program at the McCombs School of Business at the University of Texas at Austin. There she oversaw all activities related to the full-time McCombs MBA program including marketing, admissions, student services and alumni relations. Before McCombs, Elissa was Assistant Director of the MBA Program at Texas A&M University's Mays School of Business. Elissa currently serves as Treasurer and Board Member for the Thirty Percent Coalition. She also sits on the Center's Women's Initiative Council. She is past Chair of the Graduate Management Admission Council (GMAC) Annual Industry Conference and formerly served as chair of MBA Student Services Professionals (MBA SSP). Elissa sits on the board of Forté as an ex-officio member. She enjoys reading, running, cooking and Aggie football. She lives in San Antonio with her husband, Jeremy, and their daughter, Anna Leigh. Elissa received her MBA and her bachelor's degree in English from Texas A&M University.





Michelle Singletary

Columnist and Personal Finance Advisor, The Washington Post

Michelle Singletary writes the nationally syndicated personal finance column *The Color of Money*, which appears in *The Washington Post* on Wednesdays and Sundays. Her award-winning column is syndicated by *The Washington Post* Writers Group and is carried in dozens of newspapers nationwide. She has written three personal finance books, including her latest, *The 21-Day Financial Fast: Your Path to Financial Peace and Freedom*. Singletary was the financial expert for “The Revolution,” a daytime program on ABC. For two years, she was host of her own national television program, “Singletary Says,” on TV One. She is a frequent contributor to various NPR programs and has appeared on national talk shows and television networks, including “Oprah,” NBC’s “Today,” “The Early Show on CBS” and CNN.

In her spare time, Singletary is the director of a ministry she founded at her church, in which women and men volunteer to mentor others who are having financial challenges. As part of this ministry, she and her husband also volunteer to teach financial literacy to prison inmates. She is a graduate of the University of Maryland at College Park. She has received the Distinguished Alumni Award from Johns Hopkins University, where she earned an MBA.

Leslie Y. Tabor

Managing Director, Business Consulting Services, Charles Schwab Advisor Services

Leslie Y. Tabor is a Managing Director with the Charles Schwab Advisor Services organization. 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 Center'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 (WINS) and the business advisor for all Charles Schwab San Francisco employee resource groups. She believes in the value that diversity brings to the workplace, 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 (PBWC), Financial Women of San Francisco and the 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 PBWC 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.





Mark Tibergien

CEO, Advisor Solutions, BNY Mellon Pershing

Mark Tibergien is Chief Executive Officer of Pershing Advisor Solutions, a BNY Mellon company. He is also a Managing Director for Pershing. In addition, he was named to BNY Mellon's Diversity & Inclusion Advisory Council to the CEO.

Prior to joining Pershing in 2007, he was a principal at the accounting and consulting firm, Moss Adams LLP, where he was partner-in-charge of the Business Consulting group, chairman of the Financial Services Industry group and partner-in-charge of the Business Valuation group. Previously, he was president of a nationally recognized bank and business training and consulting firm, a principal in an investment management and business valuation firm, a writer for a financial trade magazine, and a general assignment newspaper and radio reporter. He has worked with public and private companies on matters related to business management, transition planning and strategy formulation since 1976. This includes hundreds of independent registered investment advisors, broker-dealers, investment managers, insurance companies and other financial services organizations in the United States, Australia, Europe, the Middle East and Canada.

In a 2017 *Investment Advisor* survey, he was named The Most Influential Person in Financial Services, with almost half of respondents voting for him. For his contributions to the industry, in 2016 he was named to the 2016 *InvestmentNews'* Icons & Innovators list, which recognizes those who have shaped and transformed the financial advice profession. In 2015, *Private Asset Management* magazine honored him with a Lifetime Achievement Award for his dedication, commitment and achievements in the industry. He has been recognized 14 times by *Investment Advisor (IA)* magazine as one of the "25 Most Influential People" in the financial services industry and, in 2016, IA ranked him as number one in the "Top 7 Most Honored People in IA's 25 History." He received the 2015 Insiders Forum Leadership Award, and was named to the 2012 *InvestmentNews* "The Power 20" list. For eight consecutive years, *Accounting Today* recognized him as one of the "100 Most Influential" people in the accounting profession.

He is the author of four books published by Bloomberg Press (John Wiley & Sons), *Practice Made Perfect*, *How to Value, Buy or Sell a Financial Advisory Practice*, *Practice Made (More) Perfect* and the latest, *The Enduring Advisory Firm*, co-authored with Kim Dellarocca, Global Head of Marketing for Asset Servicing and Technology at BNY Mellon. He has also been a regular columnist for *Investment Advisor* magazine and monthly contributor to ThinkAdvisor.com on management issues since 2005. He has previously served in a variety of community and industry organizations including the Rotary Club of Seattle, Travelers Aid Society, the Foundation for Financial Planning, the International Association for Financial Planning and the SIFMA Foundation. Most recently, he was named to the Advisory Council for the Center for Financial Planning.

Kara Underwood

***Managing Director, Head of Diversity & Inclusion,
Morgan Stanley Wealth Management***

Whether it's numbers, people or fine-tuning a large organization, Kara Underwood has always loved puzzling out all the pieces and how they fit together as a whole.

Maybe it started with her love of Nancy Drew mysteries growing up. "I aspired to be an FBI agent," she recalls. Instead, Underwood, a math major at the College of the Holy Cross in Worcester, MA, chanced across a pamphlet for a financial services firm at the career center one day and, impressed by the variety of opportunities, applied for and got a position with Merrill Lynch's Private Client Development Program.

Math and mysteries notwithstanding, Underwood quickly discovered that she had a good read on people, their motivations and strengths, and how to help them develop their potential. It's a skillset she has plied to great advantage at Morgan Stanley, whether it's been developing and implementing a diversity strategy for the financial advisor ranks in Wealth Management or her current role as head of Field Talent Management.

Named a "Woman to Watch" by *Investment News*, Underwood says there's no secret to what makes her good at her job. "There is a misconception that finance is all about the numbers. It's really a relationship business" she says. A mother of two who earned her MBA from New York University by attending night classes while working fulltime, Underwood says she understands the struggle today to achieve more and just how hard it can be.





Lauryn Williams, CFP®

Founder of Worth Winning and Former Olympian

Lauryn Williams, CFP® is a 4-time Olympian, 3-time Olympic medalist and the first American woman to medal in both the Summer and Winter Olympic Games. While pursuing professional sports, Lauryn interacted with not one but two financial advisors that didn't provide the services she needed. She asked friends what they were doing about their finances and the answers were vague and unsettling. Constantly looking for ways to make a difference in the lives of others she decided to put her finance degree and MBA to use to fill the gap for young professionals. Eager to learn everything she then pursued the CERTIFIED FINANCIAL PLANNER™ certification. Her company, Worth Winning, offers virtual services to help young professionals get the answers to the financial question that matter most to them. Whether that is creating a budget, figuring out a plan for paying off student loans, setting goals for savings, or understanding your 401(k), Worth Winning is ready to help with all things personal finance.



Kenji Yoshino

Chief Justice Earl Warren Professor of Constitutional Law, NYU School of Law

Kenji Yoshino is the Chief Justice Earl Warren Professor of Constitutional Law at New York University School of Law. He was educated at Harvard (B.A. 1991), Oxford (M.Sc. 1993 as a Rhodes Scholar), and Yale Law School (J.D. 1996). He taught at Yale Law School from 1998 to 2008, where he served as Deputy Dean (2005-6) and became the inaugural Guido Calabresi Professor in 2006. His fields are constitutional law, anti-discrimination law, and law and literature. He has received several distinctions for his teaching, most recently the Podell Distinguished Teaching Award in 2014.

Yoshino is the author of three books—*Speak Now: Marriage Equality on Trial* (2015); *A Thousand Times More Fair: What Shakespeare's Plays Teach Us About Justice* (2011); and *Covering: The Hidden Assault on Our Civil Rights* (2006). Yoshino has published in major academic journals, including *The Harvard Law Review*, *The Stanford Law Review*, and *The Yale Law Journal*. He has also written for more popular forums, including *The Los Angeles Times*, *The New York Times*, and *The Washington Post*.

Yoshino makes regular appearances on radio and television programs, including those on NPR, CNN, PBS and MSNBC. In 2015, he became a regular contributor to *The New York Times Magazine's* podcast and column "The Ethicists."

In 2011, he was elected to the Harvard Board of Overseers for a six-year term. He also serves on the Advisory Board of the Center for Talent Innovation, the Board of the Brennan Center for Justice, the External Advisory Panel for Diversity and Inclusion for the World Bank Group, the Global Advisory Board for Out Leadership, and the Inclusion External Advisory Council for Deloitte.

He lives in New York City with his husband and two children.

Craig Young

Director, Market Executive, Merrill Lynch Wealth Management

Craig Young is the Merrill Lynch Market Executive of the Westchester-Greenwich Market. The market includes offices located in Westchester County and Southern CT. Craig is also a member of the Bank of America Black Executive Leadership Council, Chairman of the Merrill Lynch African American Leadership Council, and a member of the Merrill Lynch Market Executive Strategy Council.

Craig started his career as a financial advisor with Smith Barney. Since then, he has held a number of leadership positions across wealth management in Texas and California. Craig joined Merrill Lynch in 2015 as the Associate Market Executive for the Private Banking & Investment Group in Los Angeles, CA. Most recently, Craig was the Market Executive for the Pasadena Market in California.

Young earned a bachelor's degree in Business Administration from California Polytechnic State University, where he was a running back for the Mustangs from 1996 to 1999. He finished as the school's all-time leading rusher and was inducted into the Cal Poly Athletic Hall of Fame in September 2017 for his accomplishments. Craig was also an assistant football coach/offensive coordinator at Cal Poly University, Princeton University, and California State University, Sacramento.

Craig and his wife Lucy enjoy being involved in the arts and culture of the city, and love spending time with their two sons, Jackson and Hampton.



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Fiserv is proud to support the
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Morgan Stanley



Diversity Creates Change

At Morgan Stanley, a diverse, dynamic and inclusive culture underlies the success of our company. It widens our perspective, helps our employees achieve their professional objectives and allows us to better serve our clients.

We are proud to support the CFP Board Center for Financial Planning 2019 Diversity Summit

To learn more about Morgan Stanley's Diversity programs and our career opportunities visit ms.com/diversity.

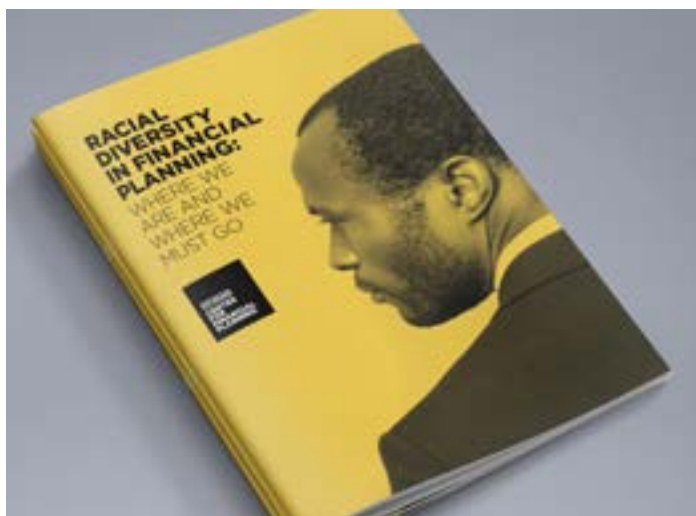
ABOUT THE CENTER FOR FINANCIAL PLANNING

The mission of CFP Board's Center For Financial Planning is to create a more diverse and sustainable financial planning profession. As part of its pursuit of this goal, the Center has developed a wide range of diversity-related initiatives, including:

Publishing *Making More Room for Women in the Financial Planning Profession*, a groundbreaking report that identifies barriers for women in the profession and how to address them.



Publishing *Racial Diversity in Financial Planning: Where We Are and Where We Must Go*, a thought leadership paper that outlines research-based, actionable solutions for key stakeholders to create a more diverse and inclusive profession.



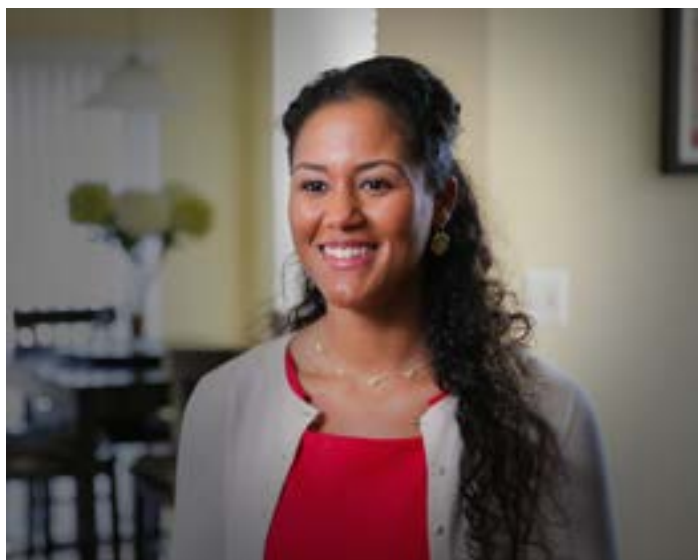
Publishing *Why Diversity Matters: How Workforce Diversity and Inclusion Accelerate Business Success in Financial Services*, a literature review demonstrating how greater diversity at all levels can help any organization align more closely with its customer base, recruit and retain top talent, and vastly improve the business decision-making process.



Hosting Diversity Summits to engage and hold stakeholders accountable for advancing diversity, equity and inclusion, by showcasing case studies and best practices for hiring, developing and retaining diverse CFP® professionals.



Launching the “I am a CFP® Pro” campaign to attract young, diverse talent into the profession by highlighting the many benefits of a career in financial planning and dispelling common misperceptions through “day-in-the-life” videos and stories shared on social media.



Providing Scholarships to Underrepresented Populations that support qualified students with completing education requirements for CFP® certification. The Center currently manages four scholarship funds – The Deena Jo Heide-Diesslin Foundation Challenge Match Scholarship, and the Milton Stern Scholars Fund, the Envestnet Scholarship Fund and the Richard B. (Dick) Wagner Memorial Scholarship Fund, a joint effort with FPA.

Launching the CFP Board Mentor Program to connect aspiring CFP® professionals with experienced CFP® professional mentors to help guide them through the certification process. The program offers a variety of mentor-mentee matching options, including gender, race and ethnicity.

Raising Awareness of the Profession Among Women through engagement of over 500 WIN Advocates to educate women and girls about careers in financial planning.

“The only way we are going to see more women enter this profession is if we do something about it and make ourselves seen! Through the WIN Advocate program, I have been able to promote the financial planning career path to women in my community. The program has also enabled me to mentor young women, including an aspiring CFP® professional who I hope to train and develop as an intern at my firm while she finishes her degree.”



Erin Voisin, CFP®
WIN Advocate,
Director of Financial
Planning, EP Wealth
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