

Field Supervision Meeting Crowne Plaza St. Paul - Riverfront

Monday, September 10, 2012

4:00 – 6:00 p.m.
Registration Window (lower level)

Registration

6:00 – 8:00 p.m.
Minnesota Boat Club

Welcome and supervisor dinner

Tuesday, September 11, 2012

8:00 – 8:30 a.m.
Kellogg Foyer

Breakfast

8:30 – 8:45 a.m.
Kellogg Suite

Welcome

Kevin Bachmann, President

8:45 – 9:15 a.m.

Call of duty: tough economy

Ruth Howell, Chief Compliance Officer

9:15 – 9:45 a.m.

Outside business activities and private securities transactions

Chad Kulzer, VP – Field Supervision & Compliance

9:45 – 10:15 a.m.

QAM and the evolving regulatory environment

Thad Ingersoll, CCO – Questar Asset Management

10:15 – 10:30 a.m.
Kellogg Foyer

Break

10:30 – 11:30 a.m.
Kellogg Suite

Law and Order: SIU

Marty Vanderzanden, Director – Special Investigation

11:30 – 12:00 p.m.

FINRA audit review

Ruth Howell, Chief Compliance Officer

Barry L. Seale, Director – Regulatory Compliance

12:00 – 1:00 p.m.
Garden Court

Lunch

1:00 – 1:30 p.m.
Kellogg Suite

Regulatory update

Barry L. Seale, Director – Regulatory Compliance

1:30 – 2:00 p.m.

Creating consistency in the supervisory interview process

Chad Kulzer, VP – Field Supervision & Compliance

Andrea Spraugel, Field Supervision Director

Field Supervision Meeting (continued)

2:00 – 2:30 p.m.

Identifying red flags

Bryan McMullen, Director – Surveillance Systems

2:30 – 3:00 p.m.

Rule 2111 – Know your customer and suitability

Thad Ingersoll, CCO – Questar Asset Management

3:00 – 3:15 p.m.

Kellogg Foyer

Break

3:15 – 3:45 p.m.

Kellogg Suite

Questar update – a look forward

Alex Barned, Chief Distribution Officer

3:45 – 4:15 p.m.

Firm Element: Regulatory focus

Andrea Sprangel, Field Supervision Director

4:15 – 4:45 p.m.

How technology keeps you compliant

Supervisor panel

4:45 p.m.

Wrap-up

Agenda subject to change

National Sales Conference
Crowne Plaza St. Paul - Riverfront

Tuesday, September 11, 2012

12:00 – 7:00 p.m.
Registration Window (lower level)

Registration

7:00 – 9:00 p.m.
Capitol Ballroom

Welcome reception

Wednesday, September 12, 2012

7:00 – 8:00 a.m.
Capitol Ballroom

Breakfast

Exhibit area open

8:00 – 8:15 a.m.
Minnesota Ballroom

Opening remarks

Kevin Bachmann, President

8:15 – 9:15 a.m.

Welcome to the experience economy

Keynote speaker: Joe Pine

9:15 – 9:30 a.m.
Capitol Ballroom

Break

Exhibit area open

9:30 – 10:30 a.m.
Minnesota Ballroom

Questar and the technology experience

Alex Barned, Chief Distribution Officer

Matthew Fries, Chief Investment Officer

10:30 – 10:45 a.m.

Field Advisory Board introduction

Alex Barned, Chief Distribution Officer

10:45 – 11:45 a.m.

**The 2012 elections and their implications for
the life and annuity industry**

Peter Lefkin, Senior Vice President of Government and
External Affairs, Allianz of North America

11:45 – 1:00 p.m.
Capitol Ballroom

Lunch with Questar Capital home office

Exhibit area open

1:00 – 2:00 p.m.
Minnesota Ballroom

The global economy, its present state

Christopher Morahan, BlackRock Portfolio Manager

2:00 – 2:10 p.m.

Transition to first breakout session

2:10 – 3:00 p.m.

Breakout session 1

3:00 – 3:10 p.m.

Transition to second breakout session

3:10 – 4:00 p.m.

Breakout session 2

4:00 – 4:10 p.m.

Transition to third breakout session

4:10 – 5:00 p.m.

Breakout session 3

Evening

Dine arounds - Sponsored by our strategic partners.

National Sales Conference
Crowne Plaza St. Paul - Riverfront

Thursday, September 13, 2012

7:00 – 8:00 a.m. Capitol Ballroom	Breakfast Exhibit area open
8:00 – 8:05 a.m. Minnesota Ballroom	Welcome Kevin Bachmann, President
8:05 – 8:30 a.m.	Distribution, a look ahead Tom Burns, Chief Distribution Officer Allianz Life Insurance Company of North America
8:30 – 9:15 a.m.	Questar and industry update Alex Barned, Chief Distribution Officer
9:15 – 9:30 a.m. Capitol Ballroom	Break Exhibit area open
9:30 – 10:30 a.m. Minnesota Ballroom	Tax-efficient strategies in retirement Jim Johnson, Vice President Advanced Markets Allianz Life Insurance Company of North America
10:30 – 10:40 a.m.	Transition to first breakout session
10:40 – 11:30 a.m.	Breakout session 1
11:30 – 12:30 p.m. Capitol Ballroom	Lunch with Questar Capital home office Exhibit area open
12:30 – 1:20 p.m.	Breakout session 2
1:20 – 1:30 p.m.	Transition to third breakout session
1:30 – 2:20 p.m.	Breakout session 3
2:20 – 2:30 p.m. Capitol Ballroom	Break Exhibit area open
2:30 – 3:20 p.m.	Breakout session 4
3:20 – 3:30 p.m.	Transition to general session
3:30 – 4:30 p.m. Minnesota Ballroom	Are you still relevant? Keynote speaker: Ross Shafer
4:30 – 4:45 p.m.	Wrap-up Kevin Bachmann, President
6:00 – 9:00 p.m.	Riverboat dinner cruise

National Sales Conference
Crowne Plaza St. Paul - Riverfront

Friday, September 14, 2012

7:00 – 7:30 a.m.
Capitol Ballroom

Breakfast

7:30 – 8:30 a.m.
Minnesota Ballroom

Annual compliance meeting

8:30 – 10:00 a.m.

Firm Element general session

Know your customer and suitability rules overview
Customer complaints: guidance and firm policies
AML annual update 2012

10:00 – 10:15 a.m.

Break

10:15 – 10:45 a.m.
Minnesota Ballroom

Firm Element breakout session
-Series 6 and/or Series 7

Deferred variable annuities: your responsibilities under
Rule 2330

Governors Hall I

-IA with securities registration

Investment advisers: Code of conduct

10:45 – 11:30 a.m.
Minnesota Ballroom

Firm Element general session

Ethics for the financial services professional

11:30 a.m.
Capitol Ballroom

Box lunch

Agenda subject to change