



**Our Renowned Speaking  
Faculty:**

Hugh R. Lamle, *President*

**MD SASS**

Jeff White, *President*

**FAMILY CFO, LLC**

Michael Benedetto, *Managing Director, Investor*

*Relations, SOUTHPAW ASSET MANAGEMENT*

Edward Stavetski, *Senior Consultant*

**ASSET STRATEGY CONSULTANTS**

Elliot Dornbusch, *Founder, Chief Investment*

*Officer, CLEARVIEW PARTNERS LLC*

William Masucci, *Advisor*

**DIMINO FAMILY OFFICE**

Jay Gould, *Partner*

**PILLSBURY WINTHROP SHAW PITTMAN LLP**

Gregory Nowak, *Partner*

**PEPPER HAMILTON LLP**

Rainey Sellairs, *Managing Director*

**MORGAN CREEK CAPITAL MANAGEMENT**

**LLC**

James Rosebush, *Founder*

**THE WEALTH AND FAMILY MANAGEMENT**

**GROUP**

Donald A. Steinbrugge, CFA, *Managing Partner*

**AGECROFT PARTNERS, LLC**

Erik Bernhardt, *Director*

**PACIFIC ALTERNATIVE ASSET**

**MANAGEMENT COMPANY, LLP**

Michael Dubin, *Managing Director*

**SILVERCREST ASSET MANAGEMENT**

**GROUP, LLC**

Paul Eckel, *CEO*

**EMERGING MANAGER, LLC**

Thomas Barron, *Managing Director*

**RAIL-SPLITTER CAPITAL MANAGEMENT, LLC**

Holly Singer, *President*

**HS MARKETING, LLC**

Marc Bender, *Partner*

**MERLIN SECURITIES**

James Hayes, *Partner and Managing Director*

**AURORA INVESTMENT MANAGEMENT LLC**

Chip Perkins, *Principal*

**PERKINS FUND MARKETING**

Jerry Davis, *Chairman / CEO*

**NEW ORLEANS EMPLOYEES' RETIREMENT**

**SYSTEM**

George Roeck, *COO/CFO*

**CHARTER BRIDGE CAPITAL MANAGEMENT,**

**L.P.**

David Harmston, *Partner, Head of Client Group*

**ALBOURNE AMERICA LLC**

Richard Dukas, *President & CEO*

**DUKAS PUBLIC RELATIONS**

Mitch Ackles, *Principal*

**HEDGE FUND PUBLIC RELATIONS**

Lisa Vioni, *President*

**HEDGE CONNECTION**

Erik Landsness, *Managing Director*

**REVERE CAPITAL ADVISORS LLC**

Ricardo Cortez, *President, Global Distribution*

**BROADMARK ASSET MANAGEMENT**

Lauren Colonna, *Principal/Creative Director*

**OVIS CREATIVE**

Marianna Bracco, *Managing Director*

**MARATHON ASSET MANAGEMENT**

Cathleen M. Ritterreiser, *Director of Investor*

*Relations, CONCORDIA ADVISORS*

Matthew Root, *Partner*

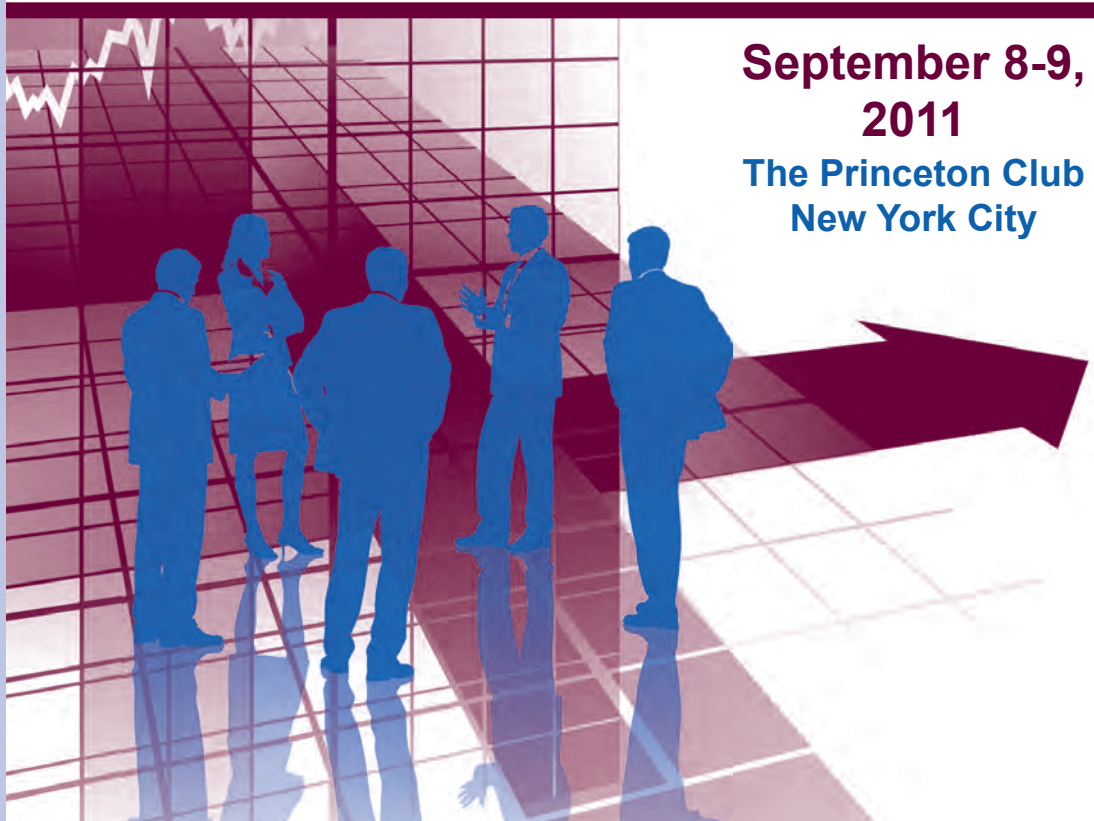
**SERENGETI ASSET MANAGEMENT**

# Marketing and Client Servicing for Hedge Funds

*Innovative Strategies to Grow and Retain Your Client Base*

**September 8-9,  
2011**

**The Princeton Club  
New York City**



**More interactive than ever!** Turbo charge your capital raising power by hearing directly from investors and investment consultants!

**Topic highlights include:**

- Defining your edge: how can you differentiate your fund?
- Where are allocators looking to invest?
- How are consultants and investors comparing managers' performance?
- Expanding your distribution reach through mutual funds
- What are the marketing pitfalls that can throw you out of the game immediately?
- Explaining dips in past performance
- Building a strong and compliant marketing tool kit
- How to tweak your presentation to make it truly compelling
- Marketing risk management: Effectively explaining your risk policies and procedures
- Addressing investors' transparency requirements while staying compliant
- Regulatory update: The latest SEC & FINRA requirements on hedge fund marketing and PR

**To Register: Call 800-280-8440 or visit us at [www.frallc.com](http://www.frallc.com)**

## The Conference Organizers



Financial Research Associates provides the financial community with access to business information and networking opportunities. Offering highly targeted conferences, FRA is a preferred resource for executives and managers seeking cutting-edge information on the next wave of business opportunities. Please visit [www.frallc.com](http://www.frallc.com) for more information on upcoming events.



The Hedge Fund Business Operations Association is an industry-run association. Our mission is to support hedge fund CFOs, COOs and CCOs and their need for networking opportunities, provide an unbiased platform to exchange new ideas, and develop a forum/clearinghouse of pertinent information about hedge fund business operations. To achieve this goal, the association focuses on providing hedge fund operations personnel with reliable and practical information through industry updates, articles, educational summits, useful web links, and industry directories. For more information and to join, visit the association's website at [www.hfboa.org](http://www.hfboa.org).

### Are you capturing your fund's full capital-raising potential? How can you get a competitive edge?

Boost your fundraising and client servicing prowess by attending Financial Research Associates' **Marketing and Client Servicing for Hedge Funds** conference, slated for **September 8-9, 2011** at the Princeton Club in **New York City**. This is the **ONLY** event completely focused on winning marketing and client servicing strategies in the hedge fund arena!

You'll hear directly from consultants and investors about what they're looking for in a fund, and about the specific questions they'll be asking. Other key issues to be discussed include:

- Getting prepared to answer your prospects' toughest questions
- How to upgrade your marketing toolkit: pitch book, monthly fact sheets, investor letters and due diligence questionnaires
- Creating customized and targeted presentations
- Expanding your reach through mutual funds
- Effectively explaining your risk management strategy
- Best practices for timely and compliant investor reporting
- Legal minefields in using social media and email
- ...and much more!

Register today by calling 800-280-8440 or visit us at [www.frallc.com](http://www.frallc.com)

I look forward to seeing you in New York in September!

Sincerely,

*Alexandra Proca*

Alexandra Proca, *Conference Director*  
**FINANCIAL RESEARCH ASSOCIATES, LLC**

*P.S. New this year! Would you like specific feedback on your investor presentation? Sign up by emailing [aproca@frallc.com](mailto:aproca@frallc.com)*

### Sponsorship and Exhibit Opportunities

Enhance your marketing efforts through sponsoring a special event or exhibiting your product at this event. We can design custom sponsorship packages tailored to your marketing needs, such as a cocktail reception or a custom-designed networking event. To learn more about sponsorship opportunities, please contact Kathie Eberhard at (704) 341-2439 or [keberhard@frallc.com](mailto:keberhard@frallc.com).

### Who Should Attend?

This conference is designed specifically for senior investment professionals with responsibilities in the following areas:

- Hedge Fund Managers
- Fund of Funds Managers
- Investor Relations and Client Servicing Professionals
- Directors of Marketing

#### Related Professionals

- Third Party Marketers
- Marketing, Advertising and PR Firms
- Prime Brokers
- Third Party Administrators

### Top Ten Reasons to Attend

- Learn directly from investors what has changed in their manager selection process
- Determine specific ways to effectively differentiate yourself from your competitors
- Ask consultants YOUR specific questions: what is it you've always wanted to know about their manager selection process?
- Turbo-charge your marketing toolkit and improve your print and online marketing strategy
- Discover how to effectively explain your risk management strategy
- Meet the transparency challenge by learning to address the specific questions investors will ask
- Hear all about client servicing best practices in this new era: delivering compliant reports, handling account questions, maintaining records
- Get the latest updates on the SEC and FINRA regulations and how they directly affect your marketing strategy
- Get real-time direct feedback from investors about your pitch
- Network! Network! Network! This is the must-attend event to establish the contacts that will seal the deal!

### Media Partners



### We're Social!



#MarketingHF

To Register: Call 800-280-8440 or visit us at [www.frallc.com](http://www.frallc.com)

# Marketing and Client Servicing for Hedge Funds

## Day One: September 8th, 2011

8:00 – 8:45 *Continental Breakfast and Registration*

8:45 – 9:00

### Chair's Welcome

*Chair:*  
TBD

9:00 – 10:15

### Investors Speak Out: What We're Looking for and What We'll Be Asking

In this time and age when the rules of the game have changed, investors are very carefully weighing out their options regarding investments in hedge funds. Find out directly from the source exactly what you need to know to market your fund in the best possible way.

- What investors are looking for: identifying what return streams are of interest today
- Trends in fund allocations
- What we're looking for in a manager
- What makes a manager stand out in front of the competition: helping you define your edge and differentiate your fund
- What we'll ask that we didn't ask before about correlation, volatility, downside protection risk, liquidity

*Panelists:*

Erik Bernhardt, *Director*  
**PACIFIC ALTERNATIVE ASSET MANAGEMENT COMPANY, LLP**

Elliot Dornbusch, *Founder, Chief Investment Officer*  
**CLEARVIEW PARTNERS LLC**

Jeff White, *President*  
**FAMILY CFO, LLC**

Michael Dubin, *Managing Director*  
**SILVERCREST ASSET MANAGEMENT GROUP, LLC**

*Moderator:*  
TBD



10:15 – 10:35 *Refreshment and Networking Break*

10:35 – 11:20

### Ask the Investment Consultants: Q&A

In this highly interactive session, come prepared with your specific questions for our panel of consultants. A few topic starters are:

- How exactly are consultants comparing managers' performance?
- When selecting a new manager, what are the key elements consultants first look at?
- What are some red flags consultants watch out for?

*Speakers*

Edward Stavetski, *Senior Consultant*  
**ASSET STRATEGY CONSULTANTS**

David Harmston, *Partner, Head of Client Group*  
**ALBOURNE AMERICA LLC**

11:20 – 12:15

### Getting Prepared to Answer Your Prospects' Toughest Questions

- Liquidity, use of lockups, gates
- Fees
- Leverage
- Does size really matter?
- Explaining blips in your past performance
- Positioning yourself to address diversification
- Effectively responding to questions about operational infrastructure

*Speakers*

Hugh R. Lamle, *President*  
**MD SASS**

Erik Landsness, *Managing Director*  
**REVERE CAPITAL ADVISORS LLC**

George Roeck, *COO/CFO*  
**CHARTER BRIDGE CAPITAL MANAGEMENT, L.P.**

*Moderator:*

Jay Gould, *Partner*  
**PILLSBURY WINTHROP SHAW PITTMAN LLP**



12:15 – 1:30

*Networking Luncheon*  
Contact Kathie Eberhard for opportunities to sponsor this Networking Luncheon:  
keberhard@frallc.com

1:30 – 2:30

### Developing and Upgrading Your Marketing Toolkit

Whether you are developing your first marketing campaign or you are upgrading the existing one, make sure you have everything in place that will pique investors' interest. Learn directly from seasoned marketing professionals how to:

- Cover the right message
- Get to the point
- Leverage your capabilities
- Enhance your capital raising power
- Gain useful tips & avoid common pitfalls
- Improve your print and online marketing strategy with better:
  - Pitch books
  - Monthly fact sheets
  - Investor letters
  - Due diligence questionnaires
- PLUS! Industry-specific best practices for website development to help you stay compliant

*Speakers*

Holly Singer, *President*  
**HS MARKETING, LLC**

Marc Bender, *Partner*  
**MERLIN SECURITIES**

Lisa Vioni, *President*  
**HEDGE CONNECTION**



2:30 - 2:50

*Refreshment and Networking Break*

2:50 – 3:30

## Winning Strategies for Stand-out Customized and Targeted Presentations

Every day, investors are being bombarded with sales pitches coming through all channels and the process of choosing the right asset manager can be daunting. Make sure you design a targeted, effective presentation that makes you stand out.

### Speaker

Lauren Colonna, *Principal/Creative Director*

**OVIS CREATIVE**

3:30 – 4:15

## Integrating a Public Relations Plan into Your Fundraising Strategy

- Media relations do's and don'ts
- Crisis communication: communicating during good times and bad

### Speakers

Richard Dukas, *President & CEO*

**DUKAS PUBLIC RELATIONS**

Mitch Ackles, *Principal*

**HEDGE FUND PUBLIC RELATIONS**

4:15 Day One Sessions Adjourn

# Day Two: September 9th, 2011

8:15 - 9:00 Continental breakfast

9:00 – 9:15

## Chair's Welcome and Re-Cap of Day One

### Chairperson:

TBD

9:15 – 10:15 Industry Panel!

## Best Strategies to Grow Your Client Base

- Qualifying your prospects: who's looking for what you are selling
- Explaining your strategy and refining your elevator pitch
- Differentiating yourself from the competition

### Speakers

Michael Benedetto, *Managing Director, Investor Relations*

**SOUTHPAW ASSET MANAGEMENT**

Paul Eckel, *CEO*

**EMERGING MANAGER, LLC**

Thomas Barron, *Managing Director*

**RAIL-SPLITTER CAPITAL MANAGEMENT, LLC**

### Moderator:

Donald A. Steinbrugge, *CFA, Managing Partner*

**AGECROFT PARTNERS, LLC**



10:15 - 10:30

Refreshment and Networking Break

10:30 – 11:15

## Marketing Risk Management: Effectively Explaining Your Risk Management Strategy and Policies

In this time and age of high scrutiny, funds must be able to succinctly communicate their risk management policies and procedures. Learn ways to adapt to increased transparency requirements by successfully communicating your risk policies.

### Speakers

James Hayes, *Partner and Managing Director*

**AURORA INVESTMENT MANAGEMENT LLC**

Matthew Root, *Partner*

**SERENGETI ASSET MANAGEMENT**

11:15 – 12:00

## Crucial Factors to Consider When Deciding to Use Third-party Marketing Services

- Understanding your marketing needs
- Realistically evaluating and balancing back-end costs
- Deciding the size of the third-party marketing firm that would best serve your needs

### Speakers

Donald A. Steinbrugge, *CFA, Managing Partner*

**AGECROFT PARTNERS, LLC**

Chip Perkins, *Principal*

**PERKINS FUND MARKETING**



12:00 - 1:15

Networking Luncheon

Contact Kathie Eberhard for opportunities to sponsor this Networking Luncheon: keberhard@frallc.com

1:15 – 2:00 Regulatory Update!

## The Implications of the Latest SEC & FINRA Requirements on Hedge Fund Marketing

- Pitfalls to avoid in your marketing communications plan
- What do the disclosure documents need to contain?
- Safeguarding measures in media exposure
- Marketing and advertising compliance and legal considerations in social media use
  - What's being asked from us in the dreaded "sweep" letter?
  - What is exactly is a "pre-existing" relationship and how do we define it in the social media age?

### Speaker

Gregory Nowak, *Partner*

**PEPPER HAMILTON LLP**

2:00 – 3:00 New This Year!

## Getting to Know You Better: Managers and Investors Learn from Each Other in a Highly Interactive Session

In this role-playing session, hear how investors are analyzing managers' pitches and what catches their attention. Then, use their answers to tweak your own presentation. Come prepared with questions; this is your chance to get specific feedback! If you'd like direct feedback about your pitch, (real or hypothetical), please contact Alexandra Proca at aproca@frallc.com or at 831-465-2282.

### Investor Panel

William Masucci, *Advisor*

**DIMINO FAMILY OFFICE**

James Rosebush, *Founder*

**THE WEALTH AND FAMILY MANAGEMENT GROUP**

Jerry Davis, *Chairman / CEO*

**NEW ORLEANS EMPLOYEES' RETIREMENT SYSTEM**

To Register: Call 800-280-8440 or visit us at [www.frallc.com](http://www.frallc.com)



3:00 - 3:15

Refreshment and Networking Break

3:15 – 3:45

## Expanding Your Distribution Through Mutual Funds

One of the fastest growing areas in the financial services industry is hedge funds and traditional money managers offering alternative strategies through mutual funds. In this session, we will discuss:

- Major reasons for the growth of alternative mutual funds and the value proposition versus hedge funds and traditional long only funds
- Considerations in making the transition from the hedge fund distribution model to the alternative mutual funds model
- The evolution of the hedge fund structure to the alternative mutual funds structure and the pros and cons of the types of structures offered
- Who are the major players in this space and the current state of the alternative mutual fund segment
- Distribution of these funds through various platforms—major and regional broker/dealers, RIAs, independent B/Ds—as well as institutional investors
- European distribution through the UCITS III structure
- Marketing and sales support in the distribution of these products

### Speaker

Ricardo Cortez, *President, Global Distribution*

**BROADMARK ASSET MANAGEMENT**

3:45 – 4:30

## Client Servicing Best Practices: Proven Ways to Effectively Communicate with Your Existing Clients

More than anything else, gaining and maintaining investor trust has been the key ingredient in a successful communication strategy. Make a quick check-up list and see where your client servicing department stands

- Delivering compliant and timely reports to your clients:
  - Documents
  - Records
  - Reporting
  - Client newsletter
- Maintaining your distribution list for performance and estimates
- Handling account questions
- Processing subscription documents and maintaining records

### Speakers

Rainey Sellairs, *Managing Director*

**MORGAN CREEK CAPITAL MANAGEMENT LLC**

Marianna Bracco, *Managing Director*

**MARATHON ASSET MANAGEMENT**

Cathleen M. Ritterreiser, *Director of Investor Relations*

**CONCORDIA ADVISORS**

### Moderator:

William Masucci, *Advisor*

**DIMINO FAMILY OFFICE**

4:30

Conference adjourns

# Important Information

### To Register:

Fax: 704-341-2640

Mail: Financial Research Associates  
18705 NE Cedar Drive  
Battle Ground, WA 98604

Phone: 800-280-8440

Online: [www.frallc.com](http://www.frallc.com)

## Marketing and Client Servicing for Hedge Funds

### Innovative Strategies to Grow and Retain Your Client Base

September 8-9, 2011

### The Princeton Club

15 West 43rd Street, New York, NY 10036

(212) 596-1200

If you require overnight accommodation for this conference, please contact any of the following nearby hotels to check their best available corporate rate, or consult your local travel agent. Please note that FRA has not negotiated rates with any of these hotels.

### Area Hotels:

Mansfield Hotel – (212) 944-6050

Algonquin Hotel – (212) 840-6800

City Club Hotel – (212) 921-5500

Royalton Hotel – (212) 869-4400

Iroquois Hotel – (212) 840-3080

Sofitel Hotel – (212) 354-8844

## Fees and Payments:

The fee for attendance at the **Marketing and Client Servicing for Hedge Funds** conference is: \$2095

**Please make checks payable to Financial Research Associates, and write code B795 on your check.** You may also pay by Visa, MasterCard, Discover, or American Express. Purchase orders are also accepted. Payments must be received no later than **September 1st, 2011.**

### Team Discounts:

- Three people will receive 10% off.
- Four people will receive 15% off.
- Five people or more will receive 20% off.

In order to secure a group discount, all delegates must place their registrations at the same time. Group discounts cannot be issued retroactively. **For more information, please call Kathie Eberhard at 704-341-2439 or email [keberhard@frallc.com](mailto:keberhard@frallc.com)**

### SOFT DOLLAR YOUR CONFERENCE REGISTRATION!

This FRA conference may be eligible under section 28(e) of the Securities Exchange Act of 1934 for payment via soft dollars. For further information or a Soft Dollar Application form, please visit our website [www.frallc.com/softdollars.aspx](http://www.frallc.com/softdollars.aspx).

### Cancellations:

If we receive your request to cancel 30 days or more prior to the conference start date, your registration fee will be refunded minus a \$250.00 administrative fee. Cancellations occurring between 29 days and the first day of the conference receive either a 1) \$200 refund; or 2) a credit voucher for the amount of the original registration fee, less a \$250.00 administrative fee. No refunds or credits will be granted for cancellations received after a conference begins or for no-shows. Credit vouchers are valid for 12 months from the date of issue and can be used by either the person named on the voucher or a colleague from the same company.

**Please Note:** For reasons beyond our control it is occasionally necessary to alter the content and timing of the program or to substitute speakers. Thus, the speakers and agenda are subject to change without notice. In the event of a speaker cancellation, every effort to find a replacement speaker will be made.

## Marketing and Client Servicing for Hedge Funds

### To Register:

Fax: 704-341-2640  
Call: 800-280-8440  
Online: [www.frallc.com](http://www.frallc.com)

Mail: Financial Research Associates  
18705 NE Cedar Drive  
Battle Ground, WA 98604



Financial Research Associates  
200 Washington St. Ste. 101  
Santa Cruz, CA 95060

PRSR STD  
U.S. POSTAGE  
PAID  
BURLINGTON, VT  
PERMIT NO. 21

Please Mention This  
Priority Code  
When Registering



**Attention Mailroom:** If undeliverable, please forward  
to the **Director of Marketing**

- Yes! Register me for the conference: \$2095**
- Please contact me: I'm interested in a Group Discount Rate for my team.
- Please contact me: I'm interested in Marketing Opportunities at this event.
- I wish to receive updates on FRA's upcoming events via fax, email & phone.

Signature: \_\_\_\_\_

Name \_\_\_\_\_ Title \_\_\_\_\_  
Company \_\_\_\_\_ Dept. \_\_\_\_\_  
Address \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_  
Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_  
Email \_\_\_\_\_

Please bill my:  MasterCard  Visa  Amex  Discover

Card Number \_\_\_\_\_

Exp. Date \_\_\_\_\_ Name on Card \_\_\_\_\_

Signature \_\_\_\_\_

Check enclosed  Please bill me later

*Make checks payable to Financial Research Associates and write B795 and  
attendee(s) name on your check.*

Conference Code: B795



Financial Research Associates and the Hedge Fund  
Business Operation Association Proudly Present

The **ONLY** event specifically  
focused on HF marketing!

# Marketing and Client Servicing for Hedge Funds

*Innovative Strategies to Grow and Retain Your Client Base*

**More interactive than ever!** Turbo charge your capital  
raising power by hearing directly from investors and  
investment consultants!



**September 8-9,  
2011**

**The Princeton Club  
New York City**

To Register: Call 800-280-8440 or visit us at [www.frallc.com](http://www.frallc.com)