
XALT RIA FORUM 2019

CHICAGO

JUNE 18 – 20

IIDA IDEA STUDIO

111 E. WACKER DRIVE, CHICAGO, IL 60601



www.xaltforum.com

Hosted by:



Co-Hosted By:

LINK Alts
Real Assets Adviser
The DI Wire
The Entrust Group
Mick Law, P.C.
AI Insight
Blue Vault



Dear Colleagues:

Alternative investments are sophisticated offerings with several distinct differentiations when compared to traditional stock- or bond-based investments; they often have little to no correlation as well as lower volatility, which can potentially lead to higher total return potential.

As a fiduciary, Registered Investment Advisers (RIAs) have a higher standard of care in determining whether these types of investments are in a client's best interest. An RIA must be willing to invest the time and energy in learning about how these investments work, what risks they carry, and when they should or shouldn't be utilized.

The XALT RIA Forum was created to provide RIAs with practical education, peer collaboration, and access to best-in-class alternative investment managers. Designed as one-part an immersive compliance and practice management workshop and one-part one-on-one meetings with "RIA friendly" alternative investment managers, attending the XALT RIA Forum will enable RIAs to:

1. Learn from subject matter experts RIA-specific regulatory requirements related to on-boarding alternative investments, including investor suitability, transactional, and billing best practices.
2. Network and idea share with like-minded RIAs on the "real world" challenges and opportunities that comes with incorporating a meaningful allocation to alternative investments.
3. Meet alternative investment managers that have been pre-qualified on their ability to serve RIA's interests.

As a bonus, our keynote speaker will help you uncover your "StoryBrand" that will revolutionize how you describe your practice to clients, prospects, and referral sources.

This is a bespoke event with space is limited to just 20 RIAs and 15 alternative investment managers. Don't miss out on this transformative opportunity. Register today!

Sincerely,

Darren Whissen
Partner, Aliso Advisors

AGENDA – Day 1

Tuesday, June 18, 2019*(All times are in Central Time)*

- 12:00 PM **XALT RIA Registration Table Opens**
Advisers: Check into your hotel, then come over to pick up your name badge and other registration materials.
- Investment Managers:** Attend our exclusive workshop on working with RIAs.
- 2:00 PM **Conference Begins. Welcome Remarks.**
- 2:30 PM **RIA Education Session 1**
Industry Dynamics & Practice Development
Learn about the most important trends affecting RIAs, including new threats and risks. A discussion on key regulatory issues, such as billing on illiquid assets. How a meaningful allocation to alternatives may be in a client's best interest.
- 3:00 PM **Investment Manager Introductions - Part 1**
Each Investment Manager will have 5 minutes at the podium to introduce themselves and their opportunity.
- 3:45 PM **Break**
- 4:00 PM **Investment Manager Introductions - Part 2**
Investment Manager introductions continue with each Manager having 5 minutes at the podium to introduce themselves and their opportunity.
- 5:00 PM **Closing Remarks. Select Manager Meetings**
As Day 1 concludes, Advisers will select which Investment Managers with which they would like to hold one-on-one meetings. Based on choices, a schedule will be created for you for the following day.
- 5:30 PM **Welcome Reception & Networking Mixer**
Time to relax, enjoy some appetizers and drinks, and socialize with all the other participants. Network and make important business connections.

AGENDA – Day 2

Wednesday, June 19, 2019

8:00 AM Breakfast

9:00 AM **Keynote Speaker: Building A StoryBrand**

Based off the Amazon #1 Best Seller book, "[Building a StoryBrand: Clarify Your Message So Customers Will Listen](#)" by Donald Miller, a certified StoryBrand coach will teach you the power of stories and how to build your very own StoryBrand. Delivered as one-part keynote speech, one-part hands on workshop.

10:30 AM **RIA Round Table Discussion - Part 1*****Addressing "Real World" Challenges and Solutions***

Part 1 of our Adviser Round Table Discussion series will help attending RIAs improve their operational efficiencies and customer service experience through idea sharing on any issues related to alternative investments. The discussion, led by Aliso Advisors, will begin with a report on attendees' pre-event survey responses.

11:10 AM **RIA Education Session 2*****Policies & Procedures Best Practices***

Part 1 of our Compliance Boot Camp serves as a primer for RIAs new to the world of direct investments. This session covers key regulatory and operational issues that must be addressed when incorporating non-liquid direct investments into a financial advisory practice. Objectives include: (a) key definitions every firm must include in its policies and procedures, (b) key regulatory issues that need to be addressed, and (c) operational and supervisory procedures that should be created.

11:40 AM **Break**11:50 AM **RIA Education Session 3*****Investor Suitability & Transaction Compliance***

Part 2 of our Compliance Boot Camp takes a deep dive into establishing (and enforcing) investor suitability protocols. In addition, a detailed review of what's required when completing a direct investment transaction will be discussed.

12:20 PM **Lunch**1:00 PM **Investment Manager One-on-Ones - Part 1**

The conference changes gears from education to due diligence. Organized as 15-minute one-on-one meetings, RIAs will have an opportunity to meet each Investment Sponsor personally, get specific questions answered, and quickly determine whether further due diligence is warranted.

3:00 PM **Break**3:15 PM **Investment Manager One-on-Ones - Part 2**

The conference continues with another round of 15-minute one-on-one meetings with Investment Managers.

AGENDA – Day 2 Continued**Wednesday, June 19, 2019**

5:15 PM **Break**

5:30 PM **Investment Manager One-on-Ones - Part 3**

The conference completes its final round of 15-minute one-on-one meetings with Investment Managers.

6:30 PM **Day 2 Concludes. Networking Mixer**

Day 2 concludes with another Networking Mixer. Here is an RIA's chance to ask follow-up questions of Investment Managers and make any final connections.

AGENDA – Day 3**Thursday, June 20, 2019**

8:00 AM **Breakfast**

8:45 AM **RIA Education Session 4**

Due Diligence Best Practices

What makes for good due diligence? What are the regulatory requirements and, perhaps more importantly, what is defensible when facing an arbitration?

9:30 AM **Adviser Round Table Discussion - Part 2**

Group Review of Investment Managers

Part 2 of our Adviser Round Table Discussion consists of a closed-door (e.g., no Investment Managers allowed in the room) review of all the Investment Managers who presented. This is an opportunity to share what RIAs learned and listen to the perspectives of both peers and due diligence experts on these programs.

12:00 PM **XALT RIA Forum Concludes**

ORD is approximately 40 minutes away, so the earliest RIAs should plan on flying out is 1:30 pm CT.

12:00 PM **Post-Event Investment Manager Only Round Table**

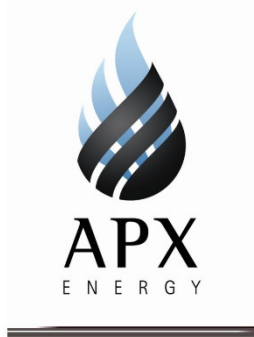
Investment Managers are invited to stay through the conference conclusion to participate in a round table discussion on the lessons learned in meeting the needs of RIAs. In addition, Investment Managers will receive their XALT RIA Forum scorecards and learn what RIAs really thought of them after the event.

ORD is approximately 40 minutes away, so the earliest Investment Managers should plan on flying out is 2:30 pm CT

PARTICIPATING INVESTMENT MANAGERS (a partial list)



TIME EQUITIES INC.



LOCATION / TRAVEL DETAILS

Accommodations:

Hotel Julian

[168 North Michigan Avenue, Chicago, IL 60601](https://www.hoteljulian.com/)

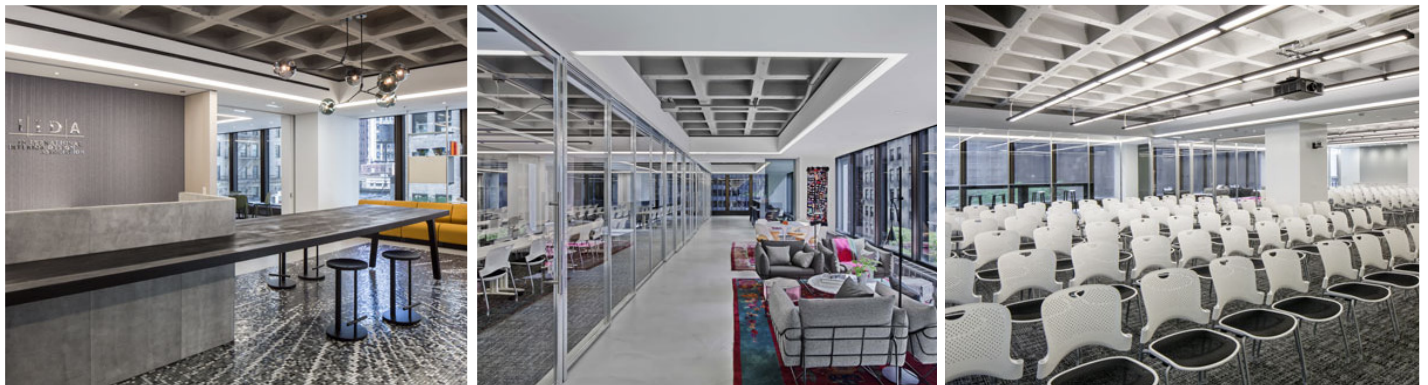


Conference Facility:

IIDA IDEA Studio

[111 E. Wacker Drive, Chicago, IL 60601](https://www.iida.org/idea-studio)

The facility is a short walk from the Hotel Julian.



Arriving by Car:

The Hotel Julian offers 24-hour valet parking services. Parking-related expenses maybe reimbursable per our attendance terms.

Arriving by Air:

Chicago O'Hare (ORD) is the nearest airport. Please review our attendance terms before registering to understand how to have your travel costs covered.

IPA ALTSEDGE CONFERENCE – JUNE 17-18

Did you know that the Institute for Portfolio Alternatives (IPA) is hosting their AltsEDGE Conference in Chicago June 17-18? The IPA AltsEDGE Conference offers education and practice management solutions for the RIA community on the dynamic and growing universe of portfolio diversifying investment (PDI) products.



Visit <https://www.ipa.com/altsedge2019> for more information.

It is possible to attend both events! Just let us know when registering, and we will help coordinate your registration and modified travel needs.

XALT RIA FORUM REGISTRATION

The XALT RIA Forum is complimentary for Registered Investment Advisers and your travel and accommodations may be reimbursed. Before registering, please review our attendance terms at <https://www.xaltforum.com/attendanceterms> for more information.

RIAs, please register at <https://www.xaltforum.com/events/xalt-ria-forum-chicago>.

Investment Managers, to participate please visit <https://www.xaltforum.com/becomeparticipatingmanager>.

Have any questions? Please send us a note at <https://www.xaltforum.com/>.

WHO IS ALISO ADVISORS?

At Aliso Advisors, our purpose is to help financial intermediaries secure sustainable growth through good compliance practices. In addition to our in-depth FINRA and SEC compliance consulting services, we specialize in assisting financial intermediaries prudently integrate direct investments into their investment portfolios.

Our services include:

- Direct Investment Onboarding (i.e., updating ADV, fee agreements, disclosure documents, etc.)
- Ongoing Direct Investment Due Diligence Sub-Advisory Services
- RIA Initial Registration
- Ongoing RIA Outsourced Compliance Services
- Broker / Dealer Initial Registration
- Ongoing Broker / Dealer Outsourced Compliance Services
- Direct Investment Sponsor Capital Markets Consulting

For more information about us, please visit <https://www.alisoadvisors.com/>.

