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1984/2016

Tammie Farrell – NC	Naomi Johnson – NC	R.E. Rose – NC
Sam Pressley – TN	Kate Ferguson – SC	Seth Nannini – NC
Daniel Wakin – NC	Richard Bryant – NC	Bill Nicholson – NC
Tony Dale – SC	Randy Nash – NC	George McCutchen – SC
Lon Waggoner – NC	Charles Pendergraft – NC	Tony Pita – NY
Jonathan Wolfsohn – NY	Phillip Allen – SC	Skip Smith – SC
Bron Thompson – NC	Chuck Steiner – FL	Tim Hightower – TX
Don Butler – NC	Ben Brooks – NC	Nick Yarid – SC
Jamie Sledge – NC	Scott Saffter – NC	Jerolyn Newton – NC
Con McDonald – NC	Craig McDaniel – SC	Greg Hicks – NC
Todd Harden – KY	Spencer Hill – SC	Terry Bass - NC
Kathy Stringer – NC	Larry Stringer – NC	Ryan Mumy – NC
Rick Gardner – NC	Richard Fields – NC	Don Ferguson – SC
Charlie Upshaw – NC	Bruce Harris – SC	Dante McDowell – GA
Jeff Lockhart – NC	Jeff Bryson – SC	Gene Miller – NC
Mike Thomas – NC	Chris Jones - NC	Gerry Weber – SC
Chuck Martino – SC	Chad Carrick – NC	Rory McDonald – TX
Mike Reynolds - TX	Tom Gibson – GA	Butch Forgason - SC

**ATTENDEE LIST  
2016 ANNUAL SALES/COMPLIANCE  
CONFERENCE**

Gwen Barringer - NC	Don Carmichael - NC	Justin Chadwick - SC
Leonard Creech - NC	Hal Eddins - NC	Dan Gaugert - NC
Tim Hucks - NC	Roland Jones - NC	Ron King - NC
John Marriott - NC	Craig McDaniel Jr - SC	Jim Mothorpe - GA
Jerry Payne - NC	Brett Rutherford - NC	Kimberlee Sipe - NC
Susan Whitfield - NC	Chelsea Miller - MD	Michelle Onorio - MA
Gaetano Onorio - MA	Jim Parker - NC	Del Thomsen - SC
John Glasgow - NC	John Broom - NC	Devrin Avant - NC
Bert Bowe - NC	Peter Brambs - NC	Angela Diehl - NC
Cecil Creasy - NC	Lisa DeVine - NC	Rob Eades - SC
Justin Greenhill - NC	Jim Foushee - SC	Brad Helms - NC
Rebecca Kincaid - SC	Alan Long - NC	Cort Meinelshmidt - MD
Ken Nye - NC	Renita Owens - SC	Brian Thomas - SC
John Thorne - SC	Ryan Burton - NC	Wes Palmer - SC
Sherry Wolfe - NC	Bill Muncy - NC	Skip Watkins - NC
Frank Shields - NC	Ernie Panetti - SC	George Smith - NC
Andy Ingram - VA	Cat Manuel - NC	William Moore - NC

*Capital Investment Companies 23rd Annual  
Sales/Compliance Conference  
Grande Dunes Marriott, Myrtle Beach, SC  
May 19-21, 2016*

**AGENDA  
Thursday, May 19, 2016**

<b>Time</b>	<b>Presentation</b>	<b>Sponsor</b>	<b>Location</b>
9:30 - 11:30 am	President's Council Brunch		Oleander A
11:30 am	Registration/Lunch	Capital Investment Companies	Registration Alcove
12:00 - 12:05 pm	Welcome	Richard Bryant	Atlantic 1-4
12:15 - 12:25 pm	Introduction of Strategic Partners	Jerry Payne	Atlantic 1-4
12:25 - 1:30 pm	State of the Firm	Richard Bryant	Atlantic 1-4
1:30 - 1:50 pm	Redtail	Dusty Russell	Atlantic 1-4
1:50 - 2:10 pm	eMoney	Roger Romero	Atlantic 1-4
2:10 - 2:30 pm	DST	Thomas Rozman	
2:30 - 2:50 pm	Social Security Solutions	Steven Giato	
2:55 - 3:30 pm	Booth Time/Break		Atlantic 1-4
3:30 - 4:30 pm	Compliance	Ron King	Atlantic 1-4
4:30 - 5:00 pm	Capital Investment Counsel	Bobby Edgerton	Atlantic 1-4
5:00 - 6:00 pm	Cocktails and Awards	Richard Bryant	Atlantic 1-4

7:00 pm - Dine arounds sponsored by the Strategic Partners

## 2016 STRATEGIC PARTNERS

### Capital Investment Companies 23<sup>rd</sup> Annual Sales/Compliance Conference

### AGENDA Friday May 20, 2016

<u>Time</u>	<u>Presentation</u>	<u>Sponsor</u>	<u>Location</u>
6:45 - 7:15 am	Prayer Group	Greg Hicks	Atlantic 1
7:30 am	Continental Breakfast		Atlantic 4
8:00 - 8:05 am	Welcome	Richard Bryant	Atlantic 1-4
8:05 - 8:15 am	Bluerock Capital	Kim Comer	
8:15 - 8:25 am	Sierra	Andy Marshall	Atlantic 1-4
8:25 - 8:35 am	NorthStar	Sam Kinzeler	
8:35 - 8:45 am	Preferred Capital	Linda Cobelo	
8:45 - 8:55 am	Cole Capital	John Marshall	
8:55 - 9:05 am	TruLink	Andy Marshall	
9:05 - 9:15 am	Dividend Capital	Jason Roland	
9:15 - 9:45 am	Technology	Firelight - Jim Ferrell	Atlantic 1-4
9:45 - 9:55 am	Carter Validus	Andy Marshall	
9:55 - 10:05 am	Atef	Jim Ryan	
10:05 - 10:15 am	American Funds	Ken Krell	Atlantic 1-4
10:15 - 10:25 am	GW6 Holdings	Bill Achesson	
10:25 - 10:35 am	Franklin Square	Brent DeVantier	
10:35 - 10:45 am	First Trust	Josh Gongaware	
10:45 - 10:55 am	Steadfast	Dave Consolino	
10:55 - 11:05 am	Gulf South Energy	Tim Flanagan	
11:05 - 11:30 am	Booth Time/Break		Atlantic 1-4
11:30 - 12:30 pm	Motivational Speaker	Dereck Whittenburg	Atlantic 1-4
12:30pm	Box Lunch/Free Time		
12:30 pm	CIA's Compliance Session	Tess Ranby	Atlantic 1-4
4:30 - 6:30 pm	Pool Party		Pool Side

Allianz Life  
Matt Ohme

American Funds  
Ken Krell  
Billy Mills

ASH Brokerage  
Brendon Kelly  
Bob Buckingham - CUNA

Atef  
Jim Ryan  
Ace Kuklin

AXA  
Eric Brown

Cole Capital  
John Marshall  
Michelle Drummond

Bluerock Capital  
Kim Comer  
Chris Arvey  
Kamfar Ramin

Dividend Capital  
Jason Roland

First Trust  
Josh Gongaware

Franklin Square  
Brent DeVantier  
Rebekah Brooks

Gulf South  
Timothy Flanagan

GWG Holdings  
Sherry Pitts  
Bill Achesson  
Matt Paine

Jackson National  
Douglas Gresham

Lincoln Financial  
Turner Creech  
Steve Mortiz  
David Dickson

NorthStar  
Sam Kinzeler  
Zach Yeager

Preferred Capital  
Linda Cobelo  
Weldon Evans

Prudential  
Kit Cagle  
Kelly Chapple

Resource Financial  
Rick Joyner  
Teresa Thomson

SC Distributors  
Jennifer Dargie  
Andy Marshall  
Kyla Valles

Steadfast  
Dave Consolino  
Sean McEntegart  
Kyle Castle

## NOTES

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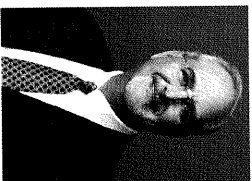
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### Capital Investment Companies 23<sup>rd</sup> Annual Sales/Compliance Conference

### AGENDA Saturday, May 21, 2016

<u>Time</u>	<u>Presentation</u>	<u>Sponsor</u>	<u>Location</u>
7:45 am	Buffet Breakfast		Atlantic 1-4
8:00 - 9:15 am	Ensemble Platform <i>"Social Media for Financial Professionals"</i>		Atlantic 1-4
9:15 - 9:45 am		Peter Montoya	Atlantic 1-4
9:45 - 10:45 am	Marketing Session		Atlantic 1-4
10:50 - 11:05 am	Break	Frank Maselli	
11:05 - 12:00 pm	Compliance	Ron King	Atlantic 1-4
12:00 pm	<b>CHARITY RAFFLE DRAWING</b>	<b>MUST BE PRESENT</b>	<b>TO WIN</b>
12:15 pm	Closing Remarks	Richard Bryant	Atlantic 1-4

NOTES



**Frank Maselli**

Frank Maselli is one of the most exciting, dynamic and entertaining speakers and trainers in the Financial Services Industry. He is a recognized expert in helping professionals reach new levels of success and he does it with tremendous insight, warmth and humor that have earned him "top speaker" acclaim at industry conferences for over a decade.

Frank is a former US Army officer and a thirty-year Wall Street veteran. He's been a top advisor, manager of the #1 complex at a major national brokerage firm, and the National Sales Manager for one of the largest and most successful mutual fund families in the world.

In 2006, Frank started his own training firm out of a deep passion to help advisors, wholesalers and managers develop the new skills needed for success in today's changing industry. He has written three best-selling books including the groundbreaking **Referrals The Professional Way**, **SEMINARS: The Emotional Dynamic**, and **40 Tips for the Under 40 Advisor**.

Frank's training programs are extraordinary in both their content and delivery. His ideas are modern, empowering, and built on a deep understanding of the new business we are in. He gets folks laughing, learning, and leaves them inspired and prepared to make positive changes in their business and their lives.

His programs reach right into the heart and give people the passion, energy and specific tools they need to thrive in this hyper-competitive environment. His ideas resonate with the top professionals in our industry and he brings intensity, genuineness and massive credibility to any conference agenda.

Frank is a member of The National Speakers Association and Mensa. A native New Yorker, Frank now lives in Raleigh, NC with his wife and two daughters.





**Peter Montoya**  
President, MarketingPro

Since its launch in 1997, Peter has helmed the nation's only advertising and marketing agency specializing exclusively in the needs of Financial Service Professionals. In the last decade he has logged over 1,000,000 flight miles, spoken to more than 30,000 audience members, created over 10,000 marketing pieces, developed more than 5,000 custom marketing plans, delivered over 1,000 presentations, worked with over 100 million-dollar producers, authored 3 best-selling books and launched 2 online marketing technology systems. To this end, he recently introduced the ultimate advertising compliance solution, "MarketingPro," which is revolutionizing the way Financial Advisors interact with their compliance officers, including the benefit of compliance pre-approval. Just one more way Peter is working to transform the way we do business.

A graduate of University of California, Irvine, Peter may hold a degree in Political Science, but he's a born entrepreneur - having spawned companies in the fields of fitness, finance, software, and marketing. He's an avid reader, film buff, and CrossFitter, and the proud father of two rambunctious, smart, independent children (aged 9 and 12.) Peter divides his time between Flagstaff, Arizona and Tustin, California.

# CAPITAL INVESTMENT COMPANIES®

INTEGRITY • INDEPENDENCE • INNOVATION

## 2016 Strategic Partners



**CAPITAL  
INVESTMENT  
COMPANIES®**  
INTEGRITY • INDEPENDENCE • INNOVATION

## Annual Spring Charity Event



*100% of the proceeds go to the*



**Special Olympics**  
North Carolina

*Prizes awarded Saturday,  
May 21st at 9AM*

*\*\*Must be present to win\*\**



Derek Whittenburg, who achieved national prominence as captain and star guard on NC State's 1983 national championship team, returned to his alma mater in the fall of 2013 as Senior Assistant to the Head Coach/Director of Player Development. In that role he serves as a mentor to the Wolfpack and assists with player development. In the two seasons since his return, Whittenburg has helped the Pack to a pair of NCAA Tournament appearances and a 44-28 record that includes the team's Sweet 16 berth in 2015.

He brings to the Wolfpack nearly 30 years of college basketball coaching experience. He began his coaching career as a graduate assistant at NCSU under the late Jim Valvano (1985-86). He went on to continue his coaching career at George Mason (1986-87) and Long Beach State (1987-88) as a full-time assistant before returning to Raleigh for a three-year stint (1988-91) as an assistant coach once again under Valvano. He was also an assistant coach at Colorado (1991-93), West Virginia (1993-94) and Georgia Tech (1993-99) before beginning his career as a head coach at Wagner College and Fordham University.

As head coach at Wagner College, Whittenburg led his team to two postseason appearances (2002 NIT and 2003 NCAA) in a four-year stint. His 2002-03 Wagner team won the NEC regular season and tournament championships and made the school's first ever trip to the NCAA Tournament. He was also named 2003 NEC Coach of the Year. As head coach at Fordham, Whittenburg inherited a program with no previous success since joining the Atlantic 10 Conference in 1995. In 2005 he managed to lead his team to an 18-12 record (10-6 in A-10) and a fourth place league finish. In his 10 years as a collegiate head coach at the two schools, he became known for running an organized program with no major violations while graduating better than 80 percent of his players who stayed for four years.

Most recently he served as a college basketball analyst for ESPN from 2011-13 and was a regional scout for the Utah Jazz in 2013. He was also the executive producer of the network's acclaimed 30 for 30 documentary, "Survive and Advance," the only two-hour production in the series. "Survive and Advance" has become one of the most watched pieces of ESPN's famed documentary series which won an Emmy for Outstanding Sports Documentary Series in May 2014.

Personally appointed by Coach Valvano as the only member from the 1983 Championship Team, Whittenburg has actively served on the Board of Directors since the inception of the Foundation. Over the last 22 years the Board has worked tirelessly to raise more than \$130M for cancer research.

A Washington, D.C. native and graduate of basketball powerhouse DeMatha Catholic High School, he played for the legendary Morgan Wootten and was inducted into the DeMatha Catholic Hall of Fame for his accomplishments as a member of DeMatha's first national championship basketball team in 1978. Whittenburg, a third-round selection of the Phoenix Suns in the 1983 NBA Draft, earned a B.S. in Business Administration from NC State in 1984. He is married to the former Jacqueline Williams of Raleigh.