cefa

October 9, 2013 • Boca Raton, Florida

THE ADVISOR SUMMIT on Closed-End Funds

Managing Retirement Income: *The Advantage of Closed-End Funds*

The Advisor Summit on Closed-End Funds is the fall event for financial advisors who want to know more about building income for their clients, and how to take advantage of the unique investment opportunities of closed-end funds. This conference will not only show you how to use closed-end funds to your clients' advantage but will also give you the opportunity to hear directly from industry leaders.

Over the course of several hours, you will learn how the structure of closed-end funds have the potential to deliver the reliable income your clients need in a slow global growth environment. **This event has been accepted for 3.5 CE Credit hours by the CFP Board and by IMCA towards the CIMA®, CIMC® and CPWA® certifications.**

October 9, 2013 • Boca Raton Resort & Club • Valencia Room • 501 East Camino Real

REGISTRATION 9:00 am

Please check in at the registration table during this time and visit the education center. Continuing education participants are required to check in by 9:30 am.

SESSION 1 9:30 am

Welcome

Anne Kritzmire, Managing Director, Closed-End Funds and Global Structured Products
Nuveen Investments

Closed-End Funds as Part of the Retirement Equation

Delivering a regular paycheck in retirement means considering all types of investment strategies that can help offer income. This session will review how the structure of closed-end funds is well-suited for attractive regular cash flow. Panelists will discuss the use of leverage, which can boost regular income. The closed-end fund experts will also dispel the sometimes mysterious nature of closed-end funds' discounts and premiums and how they may present additional opportunities for value.

SESSION 1 Approved for 2 hours continuing education credit!

Panel: Benefits of Closed-End Funds

Moderator: **Alison duPont,** Senior Funds Marketing Manager - U.S.
Aberdeen Asset Management

Panelists: **Jon Diorio**, Director
BlackRock

Cecilia Gondor, Executive Vice President and Chief Investment Officer
Thomas J. Herzfeld Advisors, Inc.

Chris Larsen, Director
Legg Mason

Markets: Opportunities and Challenges in Tax-Free Income

Daniel Close, CFA, Senior Vice President, Portfolio Manager
Nuveen Asset Management

LUNCH 11:30 pm

Special Presentation: How to Use CEFs to Enhance Income

Hear from an expert in closed-end funds and learn how he uses them in portfolio construction to enhance investor income.

Scott Weingarden, Vice President, Investments
The Starner Group of Raymond James & Associates, Inc.

SESSION 2
12:30 pm

The Unique Benefits of the Closed-End Fund Structure

Alternative Strategies for Global Diversification

Global

Astute investment professionals often recommend that investors seek income on a global scale. Diversifying globally has the potential to offer investors better risk-adjusted returns than investing solely in the U.S. This session will illustrate how investing beyond the U.S. borders can help deliver income in a slow growth environment.

Alan Goodson, Head of Product Management and Development - U.S.
Aberdeen Asset Management Inc.

European

This session will provide the opportunity to learn about the broad macroeconomic environment in Europe and diversification opportunities from other areas of the globe that offer income and growth potential to your clients.

Rainer Vermehren, Lead Portfolio Manager of the Germany Funds
Deutsche Asset & Wealth Management

SESSION 2
Approved for 1.5 hours continuing education credit!

Special Opportunities in Closed-End Funds

Energy Gone Wild: Discovering New Paths to Greater Energy Independence

It's hard to ignore the energy revolution underway in North America and how this exciting sea change in energy is driving activity from the oil patch to the consumer. This session provides educational insight on the robust drilling activity occurring in vast, resource-rich North American shales; the huge need for infrastructure to move the record-setting volumes of oil and natural gas now being produced; and investment options that helps investors capitalize on the exciting growth potential in a sector that helps fuel the lifeblood of economic growth for the U.S.

Ed Russell, Director
Tortoise Capital Advisors, LLC.

Convertibles

Referred to as "Senior Securities with Speculative Features" by Professors Graham and Dodd in their text Security Analysis, Convertibles are a useful alternative form of Equity-Income investing. They can provide higher yields than their underlying common shares, hold a position higher up in the capital structure and offer a growth component as well.

Tom Dinsmore, Chairman and Portfolio Manager
Dinsmore Capital Management

CONCLUSION
2:00 pm

Thank you for attending. Please help us make this event even better in the future by completing the survey. **If you are a continuing education participant please stop by the registration table to check-out and receive your certificate.**

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