



The Advantages of Closed-End Funds: *Seeking Income, Finding Value*

The Advisor Summit on Closed-End Funds (CEFs) is the event for financial advisors who want to know more about how to take advantage of the unique investment opportunities of CEFs to build income for their clients. This event will provide an in-depth look at the current market and how to use CEFs to find potential value and achieve income. Presenters include industry leading experts and CEF portfolio managers.

8:00 - 8:30 AM Registration & Breakfast

Continuing education participants are required to check in by 8:30 am.

8:30 - 9:20 AM The Role & Benefits of CEFs for Today's Investor

This conversation will highlight the benefits of the closed-end capital structure and dispel myths and misconceptions about CEFs. Get insight on what to look for when researching and evaluating CEFs. Hear how the use of leverage and the opportunity to buy at a discount can boost regular income and provide additional value.

Moderator: Anne Kritzmire, Managing Director, Closed-End Funds & Global Structured Products — **Nuveen Investments**

Stephen Minar, Vice President — **BlackRock**

Cara Esser, Senior Analyst & Strategist, Manager Research — **Morningstar, Inc.**

Amy Charles, Managing Director, Closed-End Fund and ETF Research — **Raymond James**

9:20 - 10:10 AM Accessing the North American Energy Value Chain

Seldom has there been such a dramatic shift in the energy landscape of any country, in such a short time period, as the one that is currently unveiling itself in North America. Uncover this dramatic disruption in the global energy balance and learn more about North American energy. This session will educate you on the energy value chain, how it impacts our country and the investment opportunities within it.

Ganesh Jois, CFA, Vice President, Portfolio Manager — **Goldman Sachs Asset Management**

Brian Sulley, CFA, Vice President — **Tortoise Capital Advisors, LLC**

10:10 - 11:00 AM Expand Income Opportunities for Your Clients

Many investors seek the stable and attractive income generated by bonds, but with today's low rate environment and concerns about rising interest rates, where are the opportunities and where are the risks? How can a fixed income portfolio protect against rising rates? In this session you will hear about trends in the credit markets, strategies that can generate income for clients in today's fixed income environment, as well as the closed-end fund structure and use of leverage with these asset strategies.

Tim Palmer, Managing Director, Portfolio Manager, Head of Global Bonds and Emerging Markets Sector Teams —

Nuveen Investments

Michael Buchanan, Deputy Chief Investment Officer — **Western Asset (Legg Mason)**

11:00 - 11:45 AM Lunch

11:45 AM - 12:35 PM A Closer Look at Business Development Companies (BDCs)

The search for yield is a critically important task for many investors. This session focuses on an often little discussed segment of the market known as business development companies (BDCs). Find out how BDC investments may be a potentially strong addition to an income portfolio. They provide an opportunity for investors to access emerging growth companies before they go public, and also to invest in a portfolio of floating-rate assets, which are typically only available to larger investors such as pension funds, university endowments and other larger institutions.

Aaron D. Peck, Chief Financial Officer & Chief Investment Officer — **Monroe Capital Corporation**

Michael Cimini, Head of Investor Relations — **Prospect Capital Corporation**

12:35 - 1:25 PM CEF Strategies for International Diversification

CEFs provide access to a wide variety of investment strategies, including longer-term, less liquid securities or markets due to their stable capital structure. In this session, the panel will provide insight on why CEFs may offer attractive investment opportunities for income and growth beyond the U.S. borders, and why you should consider using a closed-end fund structure.

Moderator: Renee Baker, Marketing Manager — **Aberdeen Asset Management**

Rennie McConnochie, Senior Business Development Manager — **Aberdeen Asset Management**

Jonathan Morgan, President & CEO — **Canadian General Investments, Limited**

Chris Warren, Managing Director — **Deutsche Asset & Wealth Management**

1:25 - 1:50 PM Alternative Strategies in the CEF Space

The current market environment has investors seeking alternatives to equity and fixed income investments, creating a secular shift towards investment in Real Assets. With interest rates beginning to rise and the potential for inflation looming – and as investors recognize the attractive, long-term benefits of Real Asset investment – this trend may accelerate. In this session, we will explore how real asset strategies can provide yield, growth and diversification within a closed-end fund structure.

Larry Antonatos, Managing Director — **Brookfield Investment Management**

Conclusion Continuing Education Credit Certification

At the conclusion of the event, continuing education participants will receive a certificate of completion. This event has been accepted for 5 CE Credit hours by the CFP Board and by IMCA for credit towards the CIMA®, CIMC® and CPWA® certifications.

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