



JASON C. ROBERTS, ESQ.

BIOGRAPHY, COMPENDIUM & REFERENCES

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JASON C. ROBERTS

Chief Executive Officer

Pension Resource Institute, LLC

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Jason C. Roberts is the Founder and CEO of the Pension Resource Institute (PRI) providing strategic consulting and training to retirement plan service providers (broker-dealers, RIAs, investment managers, recordkeepers, TPAs, etc.) and fiduciary education to plan sponsors. He is primarily responsible for tactical planning and business development at PRI and actively leads many of PRI's consulting projects.

Prior to founding PRI, Jason was a partner and co-chair of the Financial Services Group at Reish & Reicher – a leading ERISA law firm – where his practice focused on employee benefits and securities regulation. Jason continues to provide counsel on ERISA and investment-related matters through the Law Offices of Jason C. Roberts, Esq. and is frequently retained as an expert witness on fiduciary claims. He represents clients in federal and state court at the trial and appellate level (including the U.S. Supreme Court), FINRA arbitrations and government enforcement proceedings.

Jason was recently named as one of the “100 Most Influential in Defined Contribution” by the 401(k) Wire and a “Rising Star” by SuperLawyers Magazine. He currently serves on the steering committee for the American Society of Pension Professionals and Actuaries (ASPPA) 401(k) Summit and the membership committee for the National Association of Plan Advisers (NAPA).

Jason is a nationally-recognized speaker and has published numerous articles on fiduciary best practices, ERISA compliance and securities regulation. He is frequently quoted and interviewed by both professional and public publications, including *The Wall Street Journal*, *InvestmentNews*, *Dow Jones News*, *Registered Rep. Magazine*, *Reuters*, *Ignites*, *PLANSPONSOR Magazine*, *PlanAdviser Magazine*, *Institutional Investor*, *Fund Action*, and *FSI Voice*.

Jason received his B.S.B.A. in Finance & Banking from the University of Missouri and his J.D. from the University of California, Los Angeles (UCLA) School of Law. He is a graduate of FINRA's Compliance Boot Camp and has obtained the designation of Accredited Investment Fiduciary Analyst™ from the Center for Fiduciary Studies.



I. COMPENDIUM OF SPEECHES, PUBLICATIONS AND QUOTES

TOPIC	EVENT
<p>November 2011</p> <p>“Differentiation, Prospecting and Retention Strategies in the New Marketplace”</p> <p>October 2011</p> <p>“Staying Ahead of the Curve: New Challenges to Plan Sponsors & Opportunities for Advisers”</p> <p>“COMPLY: Labor Probe Seen Clarifying Fiduciary Rule”</p> <p>“Advanced ERISA and Fiduciary Compliance”</p> <p>“A Discussion of the Regulatory Landscape & a Proactive Approach with Sponsors”</p> <p>“Merrill Arms Reps With New Services for Retirement Plans”</p> <p>“Developing Retirement Plan Advisory Practice For The New Era”</p> <p>“Legislative Updates”</p>	<p><u>Speech:</u> LPL Financial Retirement Partners 2011 Annual Conference, November 6, 2011</p> <p><u>Speech:</u> Merrill Lynch Wealth Management, October 27, 2011</p> <p><u>Quote:</u> <i>Reuters</i>, October 25, 2011</p> <p><u>Speech:</u> 2011 NSCP National Conference, October 18, 2011</p> <p><u>Speech:</u> Center for Due Diligence 2011 Advisor Conference, October 17, 2011</p> <p><u>Quote:</u> <i>Reuters</i>, October 11, 2011</p> <p><u>Speech:</u> Goldman Sachs Asset Management, October 11, 2011</p> <p><u>Speech:</u> 401(k) Seminar, Morgan Stanley Smith Barney, October 6, 2011</p>
<p>September 2011</p> <p>“Developing Retirement Plan Advisory Practice For The New Era”</p> <p>“Labor Department Bends on 401(k) Rule, Insurers Cheer”</p> <p>“Staying Ahead of the Curve: New Challenges to Plan Sponsors and Opportunities for Advisers”</p> <p>“Staying Ahead of the Curve: New Challenges to Plan Sponsors and Opportunities for Advisers”</p> <p>“Participant Advice: A Win-Win Proposition”</p> <p>“Laboring Over A Fiduciary Standard”</p> <p>August 2011</p> <p>“Creating Opportunities through New Fee Disclosure Regulations”</p> <p>“Potential Liability for Fiduciary Advisers under ERISA”</p>	<p><u>Interview:</u> Center for Due Diligence, September 21, 2011</p> <p><u>Quote:</u> <i>Reuters</i>, September 19, 2011</p> <p><u>Speech:</u> Mass Mutual, September 13-14, 2011</p> <p><u>Speech:</u> LPL/Oppenheimer PLANADVISER National Conference Workshop, September 11, 2011</p> <p><u>Smart 401k:</u> Blog, September 7, 2011</p> <p><u>Quote:</u> <i>Financial Advisor Magazine</i>, September 2011</p> <p><u>Webinar:</u> Putnam, August 24, 2011</p>



<p>"Opportunities in the Regulatory Environment"</p> <p>"Adapting to the New Era of ERISA Reform"</p> <p>July 2011</p> <p>"Preparing Plan Sponsors for Fee Disclosure"</p> <p>"ERISA Reform: How to Convert Challenges into Opportunities for Advisers"</p> <p>"DOL Extends Compliance Date on Fee Disclosure Rules"</p> <p>"Nationwide Adds Third-Party Fiduciary Service"</p> <p>June 2011</p> <p>"John Hancock Launches Fiduciary Program For 401(k) Advisors"</p> <p>"In-Plan Guarantee Study Group"</p> <p>"Staying Ahead of the Curve: What the New DOL Regulations Mean to Plan Sponsors"</p> <p>"Legislative Update and Prospecting in the New Era"</p> <p>"Staying Ahead of the Curve: What the New DOL Regulations Mean to Plan Sponsors"</p> <p>"Legislative Update and Prospecting in the New Era"</p> <p>Successful Prospecting for Retirement Plan Advisors</p>	<p><u>Article</u>: DCPI Weekly Exchange, August 10, 2011</p> <p><u>Speech</u>: Cap Group, August 3, 2011</p> <p><u>Speech</u>: National Conference American Funds</p> <p><u>Speech</u>: Commonwealth Financial, July 19-20, 2011</p> <p><u>Speech</u>: NY Life, Top Producers Meeting</p> <p><u>Quote</u>: Ignites, July 14, 2011</p> <p><u>Quote</u>: Ignites, July 6, 2011</p> <p><u>Quote</u>: Ignites, June 30, 2011</p> <p><u>Speech</u>: Roundtable, LIMRA June 30, 2011</p> <p><u>Speech</u>: Freedom One Financial, June 23, 2011</p> <p><u>Workshop</u>: LPL/Independent Financial Partners, June 8, 2011</p> <p><u>Speech</u>: Fiduciary First, June 3, 2011</p> <p><u>Speech/Workshop</u>: Retirement Plan Educational Consulting Workshop, John Hancock, June 2, 2011</p>
<p>May 2011</p>	
<p>"ERISA Compliance for Broker-Dealers"</p>	<p><u>Speech</u>: FINRA Annual Conference, May 25, 2011</p>
<p>"Bank Strategies for Success"</p> <p>"Staying Ahead of the Curve: What the New DOL Regulations Mean to Plan Advisers and Sponsors"</p> <p>"Legislative Update"</p> <p>"Compliant and Competitive Strategies for RIAs"</p>	<p><u>Speech</u>: John Hancock, May 19, 2011</p> <p><u>Speech</u>: RW Baird, May 17-18, 2011</p> <p><u>Speech</u>: John Hancock, May 5, 2011</p> <p><u>Speech</u>: iShares, May 4, 2011</p>
<p>April 2011</p>	
<p>Competing for Plan Business: Turning Regulatory Challenges into Prospecting and Retention Opportunities</p>	<p><u>Speech</u>: Western Pension & Benefits Council, April 21, 2011</p>
<p>"Fee Disclosure Under 408(b)(2): Practical Guidance and Best Practices"</p>	<p><u>Speech</u>: Orange County NIPA, April 21, 2011</p>
<p>Regulatory Update</p>	<p><u>Webinar</u>: ASPPA, April 13, 2011</p>



"Legislative Landscape"	<u>Speech</u> : Lockton, Inc., April 12, 2011
Regulatory Update	<u>Webcast</u> : Triad Advisors, April 6, 2011
March 2011	
Invest and Retire Webinar	<u>Webinar</u> : March 31, 2011
DOL Regulatory Update	<u>Speech</u> : John Hancock, March 24 and March 29
SunTrust Slammed With 401(k) Suit Over Affiliated Funds	<u>Quote</u> : <i>Ignites</i> , March 23, 2011
Staying Ahead of the Curve: New Regulatory Challenges and Opportunities to Enhance Your Value Proposition, Part 1: Disclosure Management	<u>Article</u> : <i>DCPI Weekly Exchange</i> , March 23, 2011
Washington Update and Action Items	<u>Webinar</u> : Women in Pension Network, March 21, 2011
Update on DOL's Fee Disclosure Rule and Fiduciary Definition Proposed Rule	<u>Webinar</u> : <i>BD Week</i> , March 15, 2011
"The SEC – FINRA Creep Into Your Consulting Practice: What Securities Laws Advisors Need to Know"	<u>Speech</u> : ASPPA 401(k) Summit, Las Vegas, Nevada, March 6, 2011
"Brokerages Veer on Strategies for New Retirement Plan Rules"	<u>Quote</u> : <i>Reuters</i> , March 1, 2011
401(k)s Are Still Ok	<u>Quote</u> : Financial Advisor Magazine, March 2011
February 2011	
"Best Practices: Compliance with Retirement Issues"	<u>Speech</u> : NSCP West Coast Regional Meeting, Los Angeles, California, February 28, 2011
Fiduciary Fuzziness: What You Need to Know Now to Protect You and Your Clients	<u>Speech</u> : ASPPA Benefits Council, Atlanta Georgia, February 18, 2011
ERISA Compliance Guide: Tips and Traps from the Trenches	<u>Article</u> : Financial Services Institute, February 2011
The New Fiduciary	<u>Webinar</u> : 2011 Virtual PLANADVISER National Conference, February 10, 2011
Staying Ahead of the Curve: What the New DOL Regulations Mean to Plan Advisers and Sponsors	<u>Speech</u> : Cambridge Retirement Plan Summit, Scottsdale, Arizona, February 10, 2011
Staying Ahead of the Curve: What the New DOL Regulations Mean to Plan Advisers and Sponsors	<u>Speech</u> : Mutual of Omaha Sales Conference, Las Vegas, Nevada, February 8, 2011
"The Mixed Riches of Retirement Plans"	<u>Quote</u> : <i>Reuters</i> , February 2, 2011
CEO Roundtable	<u>Speech</u> : LIMRA Broker-Dealer Committee Meeting, Phoenix, Arizona, February 2, 2011
January 2011	
Department of Labor Changes and Retirement Plan Business: How Are Advisors Managing Risk and Navigating Changes?	<u>Webinar</u> : Morningstar, January 26, 2011
"Insurer spreads fiduciary umbrella to keep small plans"	<u>Quote</u> : <i>InvestmentNews.com</i> , January 23, 2011
401kWire's 2011 Hundred Most Influential People in Defined Contribution	<u>Honor</u> : Jason Roberts named #77, January 13, 2011
"Dealing with Investment Advice, Participant Disclosures & 408(b)(2)"	<u>Speech</u> : Los Angeles Benefits Conference, January 13, 2011
Podcast: "Regulatory Update: 408(b)(2), Investment Advice, & Outsourcing Investment Selection and Advice"	<u>Podcast</u> : Don Davidson of Advisors Access, January 12, 2011



"New Pru Shares Raise Bar on Fee Transparency"	<u>Quote</u> : <i>Ignites.com</i> , January 10, 2011
"DOL Regulatory Update"	<u>Speech</u> : John Hancock National Sales Meeting, Boston, Massachusetts, January 7, 2011
December 2010	
"DOL Takes 'More Active' Regulatory Role in 2010"	<u>Quote</u> : <i>Ignites.com</i> , December 30, 2010
"Glynn and Roberts Join Forces"	<u>Quote</u> : 401kwire.com, December 23, 2010
"DOL Regulatory Update"	<u>Speech</u> : John Hancock, December 21, 2010
"IRAs Popular Among Investors of All Ages: ICI"	<u>Quote</u> : <i>Ignites.com</i> , December 17, 2010
"How the DOL Changes May Affect Your Retirement Plan Business"	<u>Speech</u> : TD Ameritrade Webcast, December 16, 2010
"ERISA Compliance: Broker-Dealer Obligations"	<u>Speech</u> : FINRA Webinar, December 15, 2010
November 2010	
"DOL Rules Spur New Securian Plan Sponsor Service"	<u>Quote</u> : <i>Ignites.com</i> , November 18, 2010
"Adviser Success Stories and Best Practices"	<u>Speech</u> : LPL Webinar, November 16, 2010
"Financial Advisers Fear Possible Rollover Rules"	<u>Quote</u> : <i>InvestmentNews.com</i> , November 14, 2010
"What's next for your Broker Dealer from a Regulatory Perspective?"	<u>Speech</u> : CPI Executive Roundtable, Madison, WI, November 12, 2010
"Best Practices Roundtable Discussion"	<u>Speech</u> : CPI Executive Roundtable, Madison, WI, November 12, 2010
"Top Regulatory Issues and Opportunities for Retirement Plan Advisors"	<u>Speech</u> : Natixis Investment Leadership Conference, Chicago, IL November 8, 2010
"IRS Sets Sights On Small 401(k), 403(b) Plans for 2011"	<u>Quote</u> : <i>Ignites.com</i> , November 5, 2010
"ERISA & Fiduciary Compliance – Beyond the Basics"	<u>Speech</u> : NSCP National Meeting, Baltimore, MD November 3, 2010
"Washington Update"	<u>Speech</u> : Natixis LPL Webinar, November 2, 2010
"Proposed New Definition of ERISA Fiduciary Folds in BDs that Give Advice"	<u>Quote</u> : BD Week, November 1, 2010
October 2010	
"Cross-Selling Strategies & ERISA Compliance: Avoiding the Regulatory Crosshairs"	<u>Webinar</u> : CFDD and Reish & Reicher Webinar, October 28, 2010
"The Retirement Marketplace: Opportunities and Challenges for Broker-Dealers and Advisers--What Do Legal and Compliance Personnel Need To Know?"	<u>Speech</u> : ALI-ABA, The Financial Services Regulatory Revolution: Navigating the New World of Broker-Dealer and Investment Adviser Regulation, Supervision, and Sales Practices, Washington, D.C.
"Inadvertent Fiduciary Status: Common Pitfalls for Service Providers and Opportunities for Acknowledge Fiduciaries"	<u>Speech</u> : ASPPA Annual Conference, National Harbor, MD
"Update from Capital Hill"	<u>Speech</u> : CPI Retirement Academy, Boston, MA
"Inadvertent Fiduciary Status: Common Pitfalls for Service Providers and Opportunities for Acknowledged Fiduciaries"	<u>Speech</u> : ASPPA Annual Conference, National Harbor, MD
"Mandatory Fee Disclosure Could Trigger Flood of Participant Inquiries, Attorney Says"	<u>Quote</u> : BNA, October 15, 2010



"DOL Supports Plaintiffs in Unisys 401(k) Fee Suit"	<u>Quote</u> : <i>Ignites.com</i> , October 12, 2010
"ERISA Compliance for Plan Sponsors"	<u>Speech</u> : Castner/Joseph group, JP Morgan, Irvine
"DOL Supports Plaintiffs in Unisys 401(k) Fee Suit"	<u>Quote</u> : <i>Ignites.com</i> , October 10, 2010
"401(k) Advisers Ready for New Regulations"	<u>Quote</u> : <i>InvestmentNews.com</i> , October 10, 2010
"B-D Supervision of Independent RIA Activities"	<u>Speech</u> : CFDD Advisor Conference, Chicago, IL,
"What Type Of ERISA Fiduciary Are You & Why It Matters"	<u>Speech</u> : CFDD Advisor Conference, Chicago, IL
September 2010	
"Clearing It Up"	<u>Quote</u> : <i>Planadviser</i> , September-October 2010
"New Form ADV Part 2: It Picks Up Where 408(b)(2) Left Off"	<u>Quote</u> : <i>Planadviser</i> , September-October 2010
"Capital Hill Update"	<u>Speech</u> : CUNA, Chicago, IL
"New DOL Investment Advice Regulations: Finding the Right Level of Support"	<u>Speech</u> : Planadviser Live Webcast, September 9, 2010
"ICI Voices Concerns With DOL Fee Disclosure Rule"	<u>Quote</u> : <i>Ignites.com</i> , September 1, 2010
August 2010	
"Senators Want Target-Date Rule Applied to Other DC Options"	<u>Quote</u> : <i>Ignites.com</i> , August 30, 2010
"Will 12(b)-1 Plan Fizzle Without Champion?"	<u>Quote</u> : <i>InvestmentNews.com</i> , August 22, 2010
"Vanguard to SEC: Target-Date Rule Risks Confusing Investors"	<u>Quote</u> : <i>Ignites.com</i> , August 19, 2010
"Advisers Bullish on Auto-IRA Measure"	<u>Quote</u> : <i>InvestmentNews.com</i> , August 15, 2010
"Tips and Traps for Service Providers to Qualified Retirement Plans and IRAs"	<u>Speech</u> : Financial Service Professionals Web Conference
"General Dynamics to Settle 401(k) Suit for \$15.1M"	<u>Quote</u> : <i>Ignites.com</i> , August 10, 2010
"Fiduciary Responsibility: DOL Disclosure Rules Help Large Plans But Others Still Disadvantaged, Attorney Says"	<u>Quote</u> : BNA, <i>Pension & Benefits Daily</i> , August 2, 2010
"A Perfect Storm: Tips for Navigating ERISA Compliance"	Article: Practical Compliance & Risk Management for the Securities Industry, July-August 2010
July 2010	
"Turning Regulatory Changes into Effective Sales Strategies"	<u>Speech</u> : CUNA, Boston, MA
"ERISA Update"7/29	<u>Speech</u> : Retirement Leaders Forum Pre-Conference Training, Focus 10 on the American Dream, Boston, MA
"Overview of Pending Legislation and Regulation Affecting Plan Sponsors"	<u>Speech</u> : Intercare University, 401(k)/403(b) Fiduciary Boot Camp, La Jolla
"Revised DOL Fee Disclosure Rule Not As Onerous"	<u>Quote</u> : <i>Ignites.com</i> , July 20, 2010
"Court Raises Sponsor's Fiduciary Stake"	<u>Quoted</u> : <i>Fund Action</i> , July 19, 2010
"U.S. Dept of Labor Unveils 401(k) Fee Rules"	<u>Quote</u> : <i>Reuters.com</i> , July 15, 2010
"Labor Department Focuses on Retirement Plan Administrators"	<u>Quote</u> : <i>InvestmentNews.com</i> , July 11, 2010



June 2010	
"IRS 401(k) Compliance Questionnaire Worries Plan Sponsors"	<u>Quote</u> : <i>Ignites.com</i> , June 16, 2010
"Washington Update – What "Change" Could be Coming to Your Benefits Programs"	<u>Speech</u> : Plansponsor National Conference, Chicago, IL
"Wealth Manager-Will Brokers be Forced Out of 401(k) Business?"	<u>Quote</u> : <i>Reuters</i> , June 17, 2010
"DOL 401(k) Fee Regs Delayed; Industry Battles Over Bill"	<u>Quote</u> : <i>Ignites.com</i> , June 3, 2010
"House 401(k) Plan 'Slap in the Face' to Obama Administration"	<u>Quote</u> : <i>InvestmentNews</i> , June 1, 2010
"Overview of Pending DOL Regulations and Recommended Action Items"	<u>Article</u> : ASPPA, <i>Advisor Update</i> , June 2010
May 2010	
"DOL Expects to Issue Fee Disclosure Rules Despite Introduction of Bills, Official Says"	<u>Quote</u> : BNA, <i>Daily Report for Executive</i> , 100DER-EE-7, May 26 th
"401(k) Fee Disclosure Rule: Dagger to Brokers"	<u>Quote</u> : <i>InvestmentNews</i> , May 23, 2010
"ERISA Compliance"	<u>Speech</u> : FINRA Annual Conference, Baltimore, MD
"DOL New Rulings and Regulations"	<u>Speech</u> : IRS/ASPPA Mid-Atlantic Benefits Conference, Philadelphia, PA
"Guaranteed Income"	<u>Panelist</u> : UBS Financial Services Inc., Retirement Roundtable, Newport, RI
"ERISA Litigation and Fiduciary Best Practices"	<u>Speech</u> : UBS Financial Services Inc., Retirement Roundtable, Newport, RI
"Ask the Expert": An Open Discussion on Fiduciary Exposure and ERISA Bonding"	<u>Speech</u> : fi360 Annual Conference, Orlando, FL
"401(k) Participant Advice: What You Need to do to Protect Your Plan Sponsors and Yourself"	<u>Speech</u> : fi360 Annual Conference, Orlando, FL
"For Participant Advice, Advisors 'Can't Be All Things to All People'"	<u>Quote</u> : <i>401kWire.com</i> , May 7, 2010
"Fidelity, Unisys Fight Off 401(k) Excessive-Fee Claims"	<u>Quote</u> : <i>Ignites.com</i> , May 4, 2010
April 2010	
"Labor Dept. Inches Closer to Providing Target Date Guidance"	<u>Quote</u> : <i>InvestmentNews</i> , April 27, 2010
"Washington Update"	<u>Speech</u> : LPL Retirement Plan Symposium, Baltimore, MD
"ERISA Compliance Update"	<u>Speech</u> : Catlin Consortium, Boca Raton
"Pending Litigation and Legislative Update"	<u>Speech</u> : MassMutual Advisor Symposium, Annapolis, MD
"Risk Shifting through Reasonable Arrangements: Regulatory Update and Action Items"	<u>Speech</u> : SEBC Conference, Stone Mountain, GA
"ERISA Litigation and Fiduciary Best Practices"	<u>Speech</u> : UBS Financial Services Inc., Retirement Roundtable, Miami, FL
"New DOL Regs Likely to Step Up Service Provider Disclosure"	<u>Quote</u> : <i>Ignites.com</i> , April 15, 2010
"How Will Upcoming DOL Changes Affect Your 401(k)?"	<u>Speech</u> : The Sullaway & Nakashima Retirement Planning Group of Wells Fargo Advisors, San Diego
"Explore the Future of Target Date Fund Investing in Participant-Direct Retirement Plans"	<u>Speech</u> : Webinar, LIMRA



<p>"Disclosure Proposal 408B2 to Expose Conflicts"</p>	<p><u>Interview:</u> Kristen McNamara, DowJones Newswire, Dow Jones NewsPlus, April 5, 2010, http://www.marketwatch.com/video/asset/disclosure-proposal-408b2-to-expose-conflicts/FAFEB8D4-B6FE-46CB-B3E9-B3AF4E4EF071</p>
<p>March 2010</p>	
<p>"New U.S. Retirement Plan Rules Could Hit Brokers"</p>	<p><u>Quote:</u> <i>Reuters.com</i>, March 23, 2010</p>
<p>"Retirement Advice Rules Could Crimp Brokers"</p>	<p><u>Interview:</u> Kristen McNamara, DowJones Newswire, Dow Jones NewsPlus, March 30, 2010, http://online.wsj.com/video/retirement-advice-rules-could-crimp-brokers/8207E965-507C-418B-8C33-6354F4DD0E60.html</p>
<p>"The New 401K Playbook: An Insider's Perspective for Safeguarding Plan Sponsors by Designing a Successful Plan"</p>	<p><u>Speech:</u> Pension Architect, Pasadena</p>
<p>"Retirement Plan Advisers Should Expect Broader Definition of Fiduciary Status"</p>	<p><u>Quote:</u> <i>Planadviser</i>, March 23, 2010</p>
<p>"Retirement Income"</p>	<p><u>Panelist:</u> UBS Financial Services Inc., Retirement Roundtable, Newport Beach</p>
<p>"ERISA Litigation and Fiduciary Best Practices"</p>	<p><u>Speech:</u> UBS Financial Services Inc., Retirement Roundtable, Newport Beach</p>
<p>"Push to Curb Tainted Rollover Advice Could Hamstring IRA Sales"</p>	<p><u>Quote:</u> <i>InvestmentNews</i>, March 16, 2010</p>
<p>"Rep or Fiduciary? Labor Department Says, 'Choose'"</p>	<p><u>Quote:</u> <i>InvestmentNews</i>, March 14, 2010</p>
<p>"Talking Points: Investment Advice Regulations"</p>	<p><u>Podcast:</u> <i>Plansponsor.com</i>, March 2010</p>
<p>"Investment Advice Regs: Interview with Jason Roberts"</p>	<p><u>Podcast:</u> <i>Planadviser.com</i>, March 10, 2010</p>
<p>"Plaintiffs Poised to Win \$13.8M in Hartford 401(k) Suit"</p>	<p><u>Quote:</u> <i>Ignites.com</i>, March 2, 2010</p>
<p>"Inadvertent Fiduciary Status: Common Pitfalls for Service Providers and Opportunities for Acknowledged Fiduciaries"</p>	<p><u>Speech:</u> ASPPA 401(k) Summit, Orlando, FL</p>
<p>"Legal and Compliance Update"</p>	<p><u>Speech:</u> ASPPA 401(k) Summit, Orlando, FL</p>
<p>"Ask an Expert: Compliance and ERISA-Related Issues"</p>	<p><u>Panelist:</u> A Bold New World of Compliance, Ascendant Conference, Santa Monica</p>
<p>"Recent Trends in ERISA Regulations: Opportunities"</p>	<p><u>Speech:</u> A Bold New World of Compliance, Ascendant Conference, Santa Monica</p>
<p>"Regulatory Enforcement and Litigation"</p>	<p><u>Speech:</u> A Bold New World of Compliance, Ascendant Conference, Santa Monica</p>
<p>"Preparing for DOL Examinations and Responding to Information Requests"</p>	<p><u>Speech:</u> A Bold New World of Compliance, Ascendant Conference, Santa Monica</p>
<p>"PRACTICE MANAGEMENT: New Rules Likely To Shake Up IRA Advice"</p>	<p><u>Quote:</u> <i>Dow Jones Newswires</i>, March 3, 2010</p>
<p>February 2010</p>	
<p>"Senate Bill Stirs Retirement Plan Lobby"</p>	<p><u>Quote:</u> <i>InvestmentNews</i>, February 21, 2010</p>
<p>"Compliance and Risk Management"</p>	<p><u>Speech:</u> NSCP West Coast Meeting, San Francisco</p>
<p>"Legislative Update"</p>	<p><u>Speech:</u> Compliance Roundtable, La Canada</p>
<p>January 2010</p>	
<p>"Small Plans Largely Ignorant of 401(k) Basics: Study"</p>	<p><u>Quote:</u> <i>Ignites.com</i>, January 25, 2010</p>



"VALIC Sued Over Annuity Product"	<u>Quote</u> : <i>Fund Action</i> , January 20, 2010
"New 401(k) Regulations Could Prompt More Advisers to Move Toward Flat Fees"	<u>Quote</u> : <i>InvestmentNews</i> , January 3, 2010
December 2009	
"DOL Regulatory Updates Teleconference"	<u>Speech</u> : Teleconference, CPI Qualified Plan Consultants, Inc.
"Momentum Building for Annuities in Qualified Plans"	<u>Quote</u> : <i>Ignites.com</i> , December 24, 2009
"2010 Push for Income in DC Plans Expected"	<u>Quote</u> : <i>InvestmentNews</i> , December 13, 2009
November 2009	
"401(k) Advice Faces Critical Test in House"	<u>Quote</u> : <i>InvestmentNews</i> , November 29, 2009
"Labor Department to Rework Advice Reg"	<u>Quote</u> : <i>InvestmentNews</i> , November 22, 2009
"Labor Department Scraps Investment Advice Rule"	<u>Quote</u> : <i>InvestmentNews</i> , November 19, 2009
"Labor Department Cracking Down on Broker-Driven Rollovers"	<u>Quote</u> : <i>InvestmentNews</i> , November 18, 2009
"One way to Break Into the 401(k) Market"	<u>Quote</u> : <i>InvestmentNews</i> , November 15, 2009
"The Next Level: Key Focus Areas for Plan Advisors"	<u>Speech</u> : Co-presenter, NRP Annual Conference, Palm Springs
"Investment Advice and You a Winning Combination"	<u>Speech</u> : Co-presenter, NRP Annual Conference, Palm Springs
October 2009	
"Protect Yourself: Customer Arb Filings Continue To Rise"	<u>Quote</u> : <i>RegisteredRep.com</i> , October 29, 2009
"Labor of Love: Department of Labor Scrutiny on Investment Advisers"	<u>Speech</u> : MarketCounsel Member Summit, Princeton, NJ
"Customizing Your Own QDIA Asset Allocation Solution"	<u>Speech</u> : Co-presenter, CFDD Advisor Conference, Scottsdale, AZ
"Advanced ERISA: The Pension Protection Act of 2006- Its Impact on Advisers and Brokers"	<u>Speech</u> : National Society of Compliance Professionals Conference, Philadelphia, PA
"Fiduciary Compliance and ERISA Plan Governance"	<u>Speech</u> : National Society of Compliance Professionals Conference, Philadelphia, PA
"Trends, Claims & Settled Cases: How To Use Professional Liability Insurance To Grow Your Business"	<u>Speech</u> : Co-presenter, CFDD Advisor Conference, Scottsdale, AZ
September 2009	
"Walking a Tightrope"	<u>Quote</u> : <i>Planadviser</i> , September-October 2009
"The Great Default"	<u>Panelist</u> : Planadviser National Conference, Orlando, FL
"Congress to Tackle Rule on Retirement Advice"	<u>Quote</u> : <i>InvestmentNews</i> , September 20, 2009
"DOL Green Lights Summary Prospectus for DC Plans"	<u>Quote</u> : <i>Ignites</i> , September 10, 2009
"Investment Advice and Retirement Plan Participants"	<u>Interview</u> : Kristen McNamara, DowJones Newswire, Dow Jones NewsPlus, September 2009 http://link.brightcove.com/services/player/bcpid12786682001?bclid=16952128001&bctid=39593169001



"Washington Update"	<u>Speech</u> : QA3 Financial National Sales Meeting, Indianapolis, IN
"Washington Update"	<u>Speech</u> : Triad Advisors National Sales Meeting, San Diego
"Pitfalls for Registered Representatives Under ERISA"	<u>Article</u> : <i>LIMRA Regulatory Review</i> , September 2009
August 2009	
"Washington Update"	<u>Speech</u> : Transamerica Retirement Services Regional Sales Conference, Santa Monica
"Regulatory Challenges Under Proposed Reform Agenda"	<u>Speech</u> : LIMRA Regulatory Summit 2009, Windsor, CT
"Introduction to Retirement Plan Foundations Update from Capitol Hill"	<u>Speech</u> : Pre-conference Workshop, LPL National Sales Conference in San Diego
"Washington Update"	<u>Speech</u> : Transamerica Retirement Services Regional Sales Conference, Chicago, IL
"Washington Update"	<u>Speech</u> : CUNA Mutual Group, Retirement Plan Services Boston Symposium, Boston, MA
July 2009	
"Employees Name Investment Adviser in 401(k) Suit"	<u>Quote</u> : <i>InvestmentNews</i> , July 19, 2009
June 2009	
"Insurance-Affiliated Brokers Face Major Changes Under Obama Plan"	<u>Quote</u> : <i>InvestmentNews</i> , June 28, 2009
"Bill Advances to Require 401(k) Fee Disclosure"	<u>Quote</u> : <i>MarketWatch</i> , June 24, 2009
"Litigation and Enforcement Trends"	<u>Speech</u> : LIMRA/LOMA- Market Conduct Exchange Annual Meeting, Las Vegas, NV
"Disclosure and Reporting Requirements Post 408(b)(2)"	<u>Speech</u> : Investment Fiduciary Leadership Council, SoCal Fiduciary Roundtable, Irvine, CA
"Corporate Retirement Plans - Crisis in Confidence"	<u>Speech</u> : Co-presentation with Retirement Capital Group and Pension Architects, Corporate Retirement Plan Luncheon, Los Angeles, Costa Mesa, Santa Clara
"Target-Date Funds Under The Microscope"	<u>Quote</u> : <i>MarketWatch</i> , June 4, 2009
"Adviser Consents"	<u>Panelist</u> : Investment Fiduciary Leadership Council, SoCal Fiduciary Roundtable, Irvine, CA
"Washington Update"	<u>Panelist</u> : PLANSPPONSOR 2009 Plan Designs Conference, Chicago, IL
May 2009	
"Uncertain Times: Capitalizing on Opportunities in The Pension Protection Act"	<u>Speech</u> : Co-presenter, Financial Services Institute, Webinar for Financial Advisors
"Uncertain Times: Capitalizing on Opportunities in The Pension Protection Act"	<u>Speech</u> : Co-presenter, Financial Services Institute, Webinar for Broker-Dealers
"Market Volatility and Your 401(k): Meeting your Responsibilities and Managing your Liabilities in today's Uncertain Environment."	<u>Speech</u> : The Sullaway Nakashima Group of Wachovia Securities, Escondido and Carlsbad, CA
"RIAs Taking on More Liability"	<u>Quote</u> : <i>Fund Action</i> , May 11, 2009
"Unpleasant Surprise May Loom in Fine Print of Andrews Bill"	<u>Quote</u> : <i>Fund Action</i> , May 11, 2009
"Fiduciary Participant Advice (PPA): Can It Work in Your Practice and How Do You Manage the Fiduciary Liability"	<u>Speech</u> : fi360 Conference, Scottsdale, AZ



April 2009	
"Washington Update for Plan Advisors"	<u>Speech</u> : MassMutual's Advisor Symposiums, Scottsdale, AZ
"Fiduciary Practices - Study Panel"	<u>Speech</u> : Western Pension & Benefits Spring Conference, Burbank, CA
"Protecting Participants - Fiduciary Advice"	<u>Speech</u> : Western Pension & Benefits Spring Conference, Burbank, CA
"What's New with 401(k) Fiduciary Compliance"	<u>Speech</u> : Intercare University, Update on 401(k) Fiduciary Compliance, La Jolla and Carlsbad, CA
"Fiduciary Best Practices"	<u>Panel</u> : Moderator, Alpha Hedge 15th Annual Institutional Investment Conference, San Francisco, CA
"Compliance Watch: Watch What You Say About Retirement"	<u>Quote</u> : <i>The Wall Street Journal</i> , April 21, 2009
"Feds Wag Finger at Target Date Funds Amid Losses"	<u>Quote</u> : <i>InvestmentNews</i> , April 12, 2009
"Tips on Managing Investment-Related Risks"	<u>Article</u> : <i>RLR&C Report to Plan Sponsors</i> , Vol. 12, No. 1
March 2009	
"American Funds Sued Over Botched 401(k) Conversion"	<u>Quote</u> : <i>Ignites</i> , March 24, 2009
"Investment Advice for Participants: Capturing Rollovers"	<u>Article</u> : <i>RLR&C Bulletin</i> , March 19, 2009
"Washington Update"	<u>Speech</u> : MassMutual Retirement Services Symposiums, Orlando, FL
"Investment Advice for Participants: Prohibited Transactions and Level Fee Advice"	<u>Article</u> : <i>RLR&C Bulletin</i> , March 12, 2009
"Investment Advice to Participants: What the 'Final' DOL Regulation Means"	<u>Article</u> : <i>RLR&C Bulletin</i> , March 4, 2009
"The QDIA Regulations Open the Door for New Default Options"	<u>Quote</u> : Special Issue of <i>Planadviser</i> , 2009 Adviser Buyer's Guide, March 2009
February 2009	
"401(k) Participants May Have Madoff Claim"	<u>Quote</u> : <i>Defined Contribution & Savings Plan Alert</i> , Vol. V, No. 5, February 9, 2009
"Disclosure Obligations Post 408(b)(2)"	<u>Speech</u> : Los Angeles Chapter of the Western Pension and Benefits Conference, Los Angeles, CA
"DOL Final Rules on Investment Advice and their Effect on Broker-Dealers and RIAs Servicing IRAs and Plan Participants"	<u>Speech</u> : Los Angeles Broker-Dealer Compliance Roundtable, NSCP, La Canada, CA
"Experts Mull Whether Advice From Agents Can be Unbiased"	<u>Quote</u> : <i>InvestmentNews</i> , February 1, 2009
January 2009	
"ERISA & the Employee Retirement Plan Business"	<u>Speech</u> : OneVoice 2009: FSI's Broker-Dealer Conference, San Antonio, TX
November 2008	
"An Overview of the Retirement Plan Marketplace"	<u>Speech</u> : Co-presenter, LIMRA and LOMA's Compliance and Market Conduct Exchange, San Antonio, TX



October 2008	
“Department of Labor Proposals for Rendering Investment Advice on ERISA plans and IRA Accounts”	<u>Speech</u> : Co-presenter, Financial Services Institute, webinar
“Service Contracts For RIAs & BDs Under the DOL’s 408(b)(2)”	<u>Speech</u> : Co-presenter, Center for Due Diligence Advisor Conference, Phoenix, AZ
September 2008	
“QDIA Essentials: How to Choose Between Target-Date Funds, Balanced Funds, and Managed Accounts for a Plan—The Pros and Cons of Each”	<u>Speech</u> : Panelist, PLANADVISER National Conference, Orlando, FL
January 2008	
“The Pension Protection Act – Challenges and Opportunities”	<u>Speech</u> : Panelist, Financial Services Institute’s Annual Broker-Dealer Conference, Orlando, FL
“Emerging Trends for PPA Fiduciary Advisers”	<u>Article</u> : <i>ASPPA Journal</i> , Winter 2008, Vol. 38, No. 1

II. REFERENCES

Randy Long – SageView Advisory Group	Founder and CEO	(800) 814-8742
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