

Harnessing Disruptive Innovation with Indices



Kim D. Arthur
CEO & CIO
Main Management, LLC

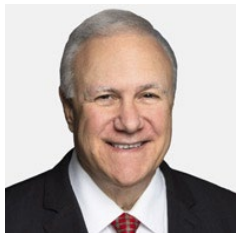
Kim D. Arthur is a founding partner of Main Management, LLC. He currently serves as Main's CEO and Portfolio manager. In 2009 Kim was recognized by Institutional Investor Magazine as a "Rising Star" of Foundations and Endowments. Kim is a regular speaker at national conferences and was a featured speaker at the Inside ETFs conference in Hollywood, Florida in January 2018. Kim has been profiled in articles by Index Universe and referenced in Barron's, Wall Street Journal, Business Week and Fortune Magazine among others. Kim began his financial career in 1987 when he joined Montgomery Securities in their Institutional Sales division, marketing U.S. equities to Japanese institutions. He was promoted to Managing Director of Institutional Sales in 1997 during the period when Montgomery was purchased by Nations Bank. By 1999 he had advanced to the transitional head of International Sales for Banc of America Securities, following Bank of America's takeover of Nations Bank. From 2000-2001 Kim was named the head of the Institutional Sales and Trading Department overseeing 60 sales traders in 6 cities. From January 2002 through August 2002 he was appointed the head of Equity Product Marketing. He served on the Investment Policy Committee and the Executive Management Committee at Banc of America Securities from 2000-2002.



Matthew Bartolini, CFA
Head of SPDR Americas Research
State Street Global Advisors

Matthew is a Vice President at State Street Global Advisors and Head of SPDR Americas Research. He manages a team responsible for the product research and analysis of SPDR ETFs, and the development of market outlooks, investment themes, and portfolio implementation ideas to help clients understand the market landscape and achieve their desired investment outcomes.

Matthew graduated from Northeastern University with a BS in Economics and earned his MBA at Northeastern with concentrations in Investment Analytics and Corporate Finance. He has earned the Chartered Financial Analysts designation and is a member of the CFA Institute and the Boston Security Analysts Society. He also holds the FINRA Series 7 and 63 licenses.



Bruce P. DeLaurentis
Principal & Founder
Kensington Asset Management

Mr. DeLaurentis' investment experience began in 1969 as an active trader and student of the stock market. In 1977 he became a registered representative with Underwood, Neuhaus & Co. in Dallas, TX. He adopted the Kensington name in 1984. The firm specializes in developing quantitative decision models that apply to the equity and fixed income markets and has licensed these models to a variety of financial firms over the years. Kensington received the highest national ranking for equity market performance by MoniResearch Newsletter, an independent rating service, for the period 1984 to 1987. Starting in 1992, he shifted focus to high-yield corporate bonds using separately managed accounts. He is a long-standing member of The National Association of Active Investment Managers (NAAIM).

Since 1992, Mr. DeLaurentis has guided the Kensington Managed Income program through two major bear markets, 2000 to 2002, and 2007 to 2009 with positive outcomes in both instances. Over that time, Managed Income has compiled one of the best track records in the U.S. for a tactical high-yield bond strategy. All of the quantitative/mathematical algorithms that drive Managed Income were created by Mr. DeLaurentis. Kensington is now broadening its product suite with the introduction of the Dynamic Growth strategy, which implements a quantitatively driven tactical approach focused on a portfolio of high growth equity ETFs.

He attended the Massachusetts Institute of Technology and graduated in 1975 from Hofstra University in New York with a bachelor's degree in economics. He was a chief warrant officer in the U.S. Army and served as a helicopter pilot. Following a tour in Vietnam from 1967 to 1968, he served as an instructor pilot.

For more information about Bruce P. DeLaurentis, go [here](#).



Ric Edelman
Ric Edelman, Founder
RIA Digital Assets Council

For 30 years, Ric Edelman has worked to teach everyday people about personal finance. He's widely regarded as one of the nation's top financial advisors, having been ranked #11 on the 2017 list of the nation's Top Wealth Advisors by Forbes.¹ He was previously ranked the nation's #1 Independent Financial Advisor three times by Barron's.² Ric is the 2017 recipient of the IARFC's Loren Dunton Memorial Award³ for Lifetime Achievement for his "substantial contribution to the financial services profession and the financial interests of the public." He is an inductee of Research magazine's Financial Advisor Hall of Fame,⁴ and has been named among the "15 most transformative people in the industry" by InvestmentNews⁵ and one of the investment advisory field's "10 most influential figures" by RIABiz.⁶ Ric is also a #1 New York Times bestselling author who has written nine books on personal finance. His most recent, *The Truth About Your Future*, was published in March 2017. For more information about Ric Edelman, go [here](#).

Advisory services offered through Financial Engines Advisors L.L.C. (FEA), a federally registered investment advisor and wholly owned subsidiary of Edelman Financial Engines, LLC. FEA may also be referred to as Edelman Financial Engines or Financial Engines.



Anu R. Ganti, CFA
Senior Director, Index Investment Strategy
S&P Dow Jones Indices

Anu R. Ganti is Senior Director, Index Investment Strategy at S&P Dow Jones Indices (S&P DJI). The index investment strategy team provides research and commentary on the entire S&P DJI product set, including U.S. and global equities, commodities, fixed income, and economic indices.

Prior to joining S&P DJI, Anu worked in the asset management space, completing a post-MBA rotational program at Russell Investments and working as a portfolio manager focusing on emerging market equities at Parametric Portfolio Associates (subsidiary of Eaton Vance).

Anu is a CFA charterholder and holds an MBA in finance and economics from Columbia Business School, and a bachelor's degree in finance and marketing from NYU's Stern School of Business.



Simeon Hyman, CFA
Head of Investment Strategy
ProShares

Simeon Hyman joined ProShares in 2013 as Head of Investment Strategy. Mr. Hyman leads ProShares' team of investment professionals engaged in portfolio analysis, product research and development, education and the delivery of investment strategies using the company's ETFs. He and his team are also responsible for the development and publication of research, white papers and other content to present ProShares as a leader in the ETF industry.

Prior to ProShares, Mr. Hyman spent several years at Bloomberg where he was Chief Investment Officer for Bloomberg's technology-driven wealth management business, BloombergBlack. He also served as Chairman of the Investment Committee and led the team of investment professionals tasked with the continuous delivery of investment advice, research content, and strategic and tactical asset allocation guidance. Before joining Bloomberg, Mr. Hyman was Head of Investment Strategy and Due Diligence for UBS. There, he established asset allocation and investment strategies for the \$300 billion UBS U.S. Wealth Management business and directed due diligence for the \$50 billion separately managed account business. Prior to UBS, Mr. Hyman served as the Chief Investment Officer of Lehman Brothers Trust Company.

Mr. Hyman earned bachelor's and master's degrees in economics from the University of Connecticut and an MBA from Columbia Business School. He holds Series 7, 24, 63 and 66 FINRA registrations and the Chartered Financial Analyst designation.



Benjamin M. Lavine, CFA, CAIA, RICP
Co-Chief Investment Officer
3D/L Capital Management

As an investment professional with over 20 years of experience in asset management and institutional consulting, I've had the (mis)fortune of experiencing three bear markets and four bull markets. In my current role at 3D/L, I oversee investment strategy and research for our strategic risk-based fund portfolios and 3rd party managed model programs. I work closely with our financial advisor partners to structure investment programs suitable to their clients' needs. I bring a versatile investment background and knowledge set having served as a portfolio manager on the developed markets equity team at Batterymarch Financial Management and as a vice president in the Funds Management Division at Wilshire Associates. Prior to joining 3D, I ran my own consulting practice providing advisory services to buy-side and sell-side firms. I earned my MBA at University of California, Los Angeles Anderson School of Management and my bachelor of arts at University of California, San Diego.

In addition to my role at 3D/L, I serve as an Advisory Board Member for WealthConductor, LLC, the developer behind IncomeConductor, which provides state-of-the-art retirement income planning built on time segmentation. As an advisor to IncomeConductor, I'm helping guide the company through a growth period, while further developing its offerings and bringing it to market. IncomeConductor arms enterprise, financial advisor and individual clients with an integrated retirement planning software that helps clients succeed in the income distribution market.



Dave Mazza
Managing Director, Head of Product
Direxion

David leads product R&D, strategy and management for the firm. Prior to joining Direxion, he was the Head of ETF Investment Strategy at OppenheimerFunds and led the firm's ETF Investment Marketing and ETF Specialist Teams. Prior to joining OppenheimerFunds, David led product strategy, positioning, and analysis as a Managing Director and Head of ETF and Mutual Fund Research at State Street Global Advisors (SSGA). Prior to that role, he was a member of SSGA's Global Enhanced Equity Group, responsible for stock-selection research, portfolio management and product strategy; across multiple quantitatively managed investment strategies.



Ben McMillan
Chief Investment Officer
IDX

Ben McMillan is a principal and founder, and the Chief Investment Officer and Chief Technology Officer, of IDX Insights, LLC and IDX Digital Assets, LLC. He is also a founder and the portfolio manager of RG Liquid Alts, LP. Previously, he was the portfolio manager at Ramsey Quantitative Systems Inc. (RQSI) where he developed and managed the RQSI Small Cap Hedged Equity Mutual fund. Prior to that he served as co-portfolio manager (and co-creator) of the Van Eck Long/Short Equity Index mutual fund since July 2012. Prior to joining Van Eck Global, Mr. McMillan worked at Lyster Watson & Co. where he developed and launched the Lyster Watson Long/Short Equity Replication strategy in 2009. Additionally, between 2007 and 2012, Mr. McMillan served as a co-founder of the cloud-based 13F analytics platform, AlphaStratus, which was acquired by eVestment in 2012. Mr. McMillan holds an MSc in Econometrics from the London School of Economics as well as an MA and BA in Economics from Boston University.



Travis Robinson, CFP
Senior Director, FA Channel Management
S&P Dow Jones Indices

Travis is Senior Director for the Canada and the Northwestern U.S. Region of the Financial Advisor Channel Management team at S&P Dow Jones Indices (S&P DJI). He is responsible for educating financial advisors on index-based investing with the aim of increasing the level and quality of due diligence across the industry. His mandate covers all asset classes and strategies available via our rules-based indices. His specific duties involve frequent and direct client contact through educational forums, webinars, and partner-sponsored events, as well as more focused delivery of S&P DJI research and content.

Travis has 20 years of experience in finance, covering portfolio construction and investment solutions with a full spectrum of clients. He has most recently served in senior sales roles in the capital markets with responsibility for the distribution of Market Linked Investments. His previous roles also include experience as a Financial Advisor and as a platforms specialist at a leading wirehouse broker dealer.

Travis holds a Bachelor of Arts degree from The College of New Jersey and is a Certified Financial Planner®. Travis and his wife Ellen have three young children. They live in Western Colorado and enjoy trail running, biking, skiing and spending time with out-of-state friends that visit Colorado.

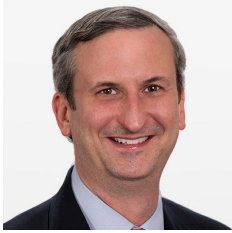


John van Moyland
Managing Director, Global Head of S&P Kensho Indices
S&P Dow Jones Indices

John van Moyland is Managing Director and Global Head of the S&P Kensho Indices at S&P Dow Jones Indices (S&P DJI), having formerly run the Financial Products division of Kensho Technologies, which was acquired by S&P Global in April 2018. He leads a team of quants and data scientists who leverage advanced analytics, machine learning, and NLP techniques to create truly differentiated custom baskets and indices, including the flagship S&P Kensho New Economy Indices.

Prior to his role at Kensho, John held senior technology, quantitative, and business transformation roles at a number of blue-chip financial institutions on both the buy and sell sides. As Head of Technology, Asia at Barclays Global Investors (subsequently Blackrock), he was responsible for all data and information technology activities supporting the USD 300 billion regional businesses. He also held a variety of senior roles at Morgan Stanley (New York & London), Fidelity International (London), and Mizuho International (London & Tokyo).

John read Law at the University of London and Information Technology at the American International University. He is also a keen rock climber and organic farmer when not contemplating the Fourth Industrial Revolution and ramifications thereof.



Ed Ware
Senior Director, FA Channel Management
S&P Dow Jones Indices

Ed is Senior Director for the Eastern Region of the Financial Advisor Channel Management team at S&P Dow Jones Indices (S&P DJI). He joined the firm in February 2014 after 8 years at Barclays Capital on the Structured Investment Solutions team. Ed's team at S&P DJI is responsible for educating financial advisors on benefits and strategies for index-based investing through ETFs. His specific duties involve speaking roles at educational forums, webinars, and partner-sponsored events, as well as more focused delivery of S&P DJI research and content.

Ed has over 15 years of industry experience in the design and distribution of retail investment products with the full spectrum of client channels. He has most recently served in senior capital markets sales roles with responsibility for exchange-traded products (ETPs) and over-the-counter structured products. In his previous role, Ed's team was recognized by multiple industry groups for its innovative role in making VIX® futures-linked strategies available to all investors.

Ed holds a bachelor's degree from the University of Pennsylvania. He is a U.S. Army veteran of the NATO Stabilization Force in Bosnia-Herzegovina and a member of the Veteran's group, VALOR, at S&P Global.



Shaun Wurzbach
Managing Director, Head of FA Channel Management
S&P Dow Jones Indices

Shaun Wurzbach is Managing Director and Global Head of Financial Advisor Channel at S&P Dow Jones Indices (S&P DJI). The financial advisor channel focuses on increasing financial advisors' awareness of and preference for index-based solutions.

Shaun joined S&P DJI in 2007 as head of the program management office. Shaun led the New York and London-based index calculation teams in 2008, culminating in a reorganizational effort that resulted in a combined international index analysis and production group.

Prior to joining S&P DJI, Shaun was a U.S. Army officer with over 20 years of active duty service, including combat operations as a reconnaissance platoon leader in Desert Shield and Desert Storm. Shaun was awarded the Bronze Star Medal and the Legion of Merit.

Shaun has a master's degree from the University of Chicago Booth School of Business and a bachelor's degree from The United States Military Academy at West Point. Shaun is a co-founder of VALOR (Veterans and Leaders for Organizational Results), an S&P Global employee resources group with 1,000 volunteers. In 2019, Shaun was selected to serve on a two-year term to S&P Global's Diversity and Inclusion Council.

¹ *Forbes* rankings are the opinion of SHOOK Research and are based on in-person and telephone due-diligence meetings and a ranking algorithm for advisors who have a minimum of seven years of experience, client retention, industry experience, compliance records and firm nominations, as well as quantitative criteria such as assets under management and revenue generated for the firm. Advisors are judged on individual contribution, but total team assets are shown; in some cases, significant, noncustodied assets are not included because of verification difficulties. Investment performance is not considered. Advisors do not pay to be in the ranking.

² According to *Barron's*, "The formula [used] to rank advisors has three major components: assets managed, revenue produced and quality of the advisor's practice. Investment returns are not a component of the rankings because an advisor's returns are dictated largely by each client's risk tolerance. The quality-of-practice component includes an evaluation of each advisor's regulatory record." The rankings are based on the universe of applications submitted to *Barron's*. The selection process begins with a nomination and application provided to *Barron's*. Principals of Edelman Financial Services, LLC self-nominated the firm and submitted quantitative and qualitative information to *Barron's* as requested. *Barron's* reviewed and considered this information, which resulted in the rankings on Aug. 27, 2012/Aug. 28, 2010/Aug. 31, 2009.

³ Presented by the International Association of Registered Financial Consultants (IARFC). Candidates must hold a professional designation and must have disseminated their comments on financial topics by having them widely published in articles, journals, books, etc. They must have provided outstanding personal service or leadership in the financial services industry. Nominees must have participated in some aspect of financial education to the public or to other members of the profession. Investor experience/returns were not considered.

⁴ *Research* magazine cover story "Advisor Hall of Fame," December 2004 (based on serving a minimum of 15 years in the industry, having acquired substantial assets under management, demonstrating superior client service and having earned recognition from peers and the broader community for how they reflect on their profession). Investor experience/returns were not considered as part of this ranking.

⁵ *InvestmentNews* 15th Anniversary Issue. June 23, 2013

⁶ The RIABiz listing of the 10 most influential figures in the Registered Investment Advisor industry is in recognition of notable, driven and influential executives who are advancing their firms and are considered to be influential in the RIA business. Investor experience/returns were not considered as part of this ranking.