

**WE NEED YOUR OPINION**

**Reactions to the 2007 SIFMA  
Savings and Retirement Symposium**

**Please drop off this form at the SIFMA Registration Desk or with any  
SIFMA staff person when the Conference concludes, or mail or fax it to:**

Securities Industry and Financial Markets Association

Attention: Liz Varley

1425 K Street, NW, Suite 700, Washington, DC 20005

Fax: (202)-216-2102

**How did you find out about the Conference?**

Brochure     SIFMA Website     Industry Publication     Co-Worker     Friend     Other

**Please circle your reactions to each Conference element shown below, omitting any you missed. Legend:**

E = Excellent    VG = Very Good    G = Good    F = Fair    P = Poor

Overall, how do you rate the total Conference?

Circle your overall rating here.

➔ ➔ ➔ ➔ ➔ ➔ ➔

**E    VG    G    F    P**

Preparation of speakers and panelists as a group

**E    VG    G    F    P**

Your rating of the extent to which you derived  
practical, usable information and ideas.

**E    VG    G    F    P**

Smoothness with which the Conference logistics were  
organized and run.

**E    VG    G    F    P**

Your rating of the hotel's sleeping room accommodations.

**E    VG    G    F    P**

Your rating of the hotel's meeting facilities.

**E    VG    G    F    P**

**THURSDAY, MARCH 1**

**General Session**

Keynote Address

**David M. Walker, GAO**

**E    VG    G    F    P**

**General Session**

Retirement Crossroads: Will DC Plans Provide a Secure Retirement?

**James Cornell, Fidelity**

**E    VG    G    F    P**

**Karen Friedman, Pension Rights Center**

**E    VG    G    F    P**

## Workshops

### A Health Savings Accounts Primer

<b>Peter Bacon</b> , Assurant Health	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Reggie Karas</b> , Millenium Turst Company	<b>F</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Darren Wilcox</b> , Dutko Worldwide	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Moderator Gary Pitkofsky</b> , Morgan Stanley	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>

### Alternatives to Mutual Funds: The World of ETFs, Collective Trusts . . .

<b>Steve Ferber</b> , AST Trust Company	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Patrick Kendall</b> , Diversified Investment Advisors	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Stuart Odell</b> , Intel Corporation	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Moderator Laura Gough</b> , Robert W. Baird & Co.	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>

## Luncheon Speaker

<b>David Irwin</b> , The VIP Forum	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
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## Workshops

### Beneficiary Designations: Satisfying Clients and Managing Beneficiary . . .

<b>Tonia Bottoms</b> , Merrill Lynch	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Carol Gransee</b> , OppenheimerFunds, Inc.	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Edwin Leavitt-Gruberger</b> , Windels Marx	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Moderator, Susan Lee Pepsin</b> , Wedbush Morgan Securities	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>

### Preparing for Automatic Savings Arrangements

<b>Edward Ferrigno</b> , PSCA/401(k) Council of America	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Judy Miller</b> , Senate Finance Committee	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Erin M. Sweeney</b> , EBSA	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Moderator Gregory J. Reynders</b> , Edward Jones	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>

## General Session

### Managing Retirement Income Streams

<b>Frederick Conley</b> , Genworth	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Garth Bernard</b> , MetLife	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Tom Meehan</b> , Edgemoor Capital Management	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Moderator Charles D. Robinson</b> , NorthwesternMutual	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>

## **FRIDAY, MARCH 2**

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## General Session

### Investment Advice Exemptions: Challenges and Opportunities

<b>Taylor Hammons</b> , Morgan Keegan	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Melanie Nussdorf</b> , Steptoe & Johnson	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Moderator Patrick Rieck</b> , Citigroup	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>

**Workshops**

Retirement Plan Fee Disclosures: Getting Ready For Change

<b>Lynn Dudley</b> , American Benefits Council	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Eric Serron</b> , Steptoe & Johnson	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Kristen L. Zarenko</b> , EBSA	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Moderator Liz Varley</b> , SIFMA	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>

IRA Regulatory Developments

<b>W. Thomas Reeder</b> , US Treasury	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Theresa Fry</b> , AG Edwards	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Moderator, Laura Grogan O'Mara</b> , Merrill Lynch	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>

**General Session**

Product Manufacturer Roundtable

<b>James Brockelman</b> , John Hancock	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Steve Ulian</b> , Fidelity	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>James McCarthy</b> , Morgan Stanley	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>
<b>Moderator James Cahn</b> , M & I Trust	<b>E</b>	<b>VG</b>	<b>G</b>	<b>F</b>	<b>P</b>

Favorable Impressions — Please jot down any aspects of the Conference that stand out in your mind as particularly good.

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Unfavorable Impressions — Please tell us the areas that we can improve on.

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Are there any subjects or speakers that you would like to suggest for next year's Conference?

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Any there any Vendors you would like to see at next year's Conference?

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Any other comments or reactions?

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**IF YOU HAVE NOT RATED THE VERY FIRST ITEM, PLEASE DO SO NOW.**

(Optional) Name: \_\_\_\_\_

(Optional) Firm: \_\_\_\_\_