CRAMER ROUNDTABLE SERIES

Structured Products

10.15.26 | The Cosmopolitan *of* Las Vegas

CRAMER & associates

AGENDA*

8:00am	**Opening Remarks & Introductions**	**Jack Cramer**
8:20am	**Building a Billion-Dollar Structured Products Business** **Discussion Focus:** How firms are driving advisor adoption, removing friction, and scaling business through technology. **Be Prepared To:** Share what's driving your firm's growth, what's holding you back, and what you would do differently to build a billion-dollar business.	**Vishal Desai** – Citi **Lauren Drenning** – LPL **Charly Thornton** – MassMutual
9:50am	**Goal-Based Portfolio Theory & Defined-Outcome Investing in Transition** **Discussion Focus:** How goal-based investing is being put into practice and how growth of defined-outcome ETFs could reshape the structured notes market. **Be Prepared To:** Share how your firm approaches goal-based investing, where defined-outcome ETFs fit, and whether they complement, expand, or compete with structured notes.	**Michael D'Auria** – JPMorgan **Tiago Fernandes** – SP Intelligence
11:10am	**FINRA: What Are They Looking For?** **Discussion Focus:** What recent FINRA exams reveal about structured products supervision, concentration, training, documentation, and post-trade monitoring. **Be Prepared To:** Share your compliance team's priorities, how FINRA guidance is shaping your practices, and what you are doing to stay ahead.	**Liz Grari** – Cetera **Josh Freeman** – Sanctuary
11:50am	**Lunch**	

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12:50pm	**Inside the Issuers: What's Next for Structured Products?** **Discussion Focus:** How issuers are navigating growth, evolving demand, capacity, innovation, and increasing competition. **Be Prepared To:** Share what you are hearing from advisors and distributors, where you see opportunities and risks, and what your firm is preparing for next.	**Raul Perez –** Wells Fargo **Thab Maly –** Morgan Stanley **Scott Kerbel –** Marex
2:00pm	**What's Still Getting in the Way?** **Discussion Focus:** In curated groups, identify the biggest barriers to the next stage of industry growth and where technology, process, regulation, education, or collaboration could make the greatest impact. **Be Prepared To:** Leave your breakout with one priority friction point, a recommended solution, and who could own it. Bring your group's recommendation to the full Roundtable, including who can move it forward and why it matters.	**Breakout Session**
3:05pm	**Breakout Presentations: What Do We Fix First?** **Discussion Focus:** Hear each group's top friction points, proposed solutions, and who could help move them forward. Identify common themes, differing perspectives, and opportunities for industry-wide progress. **Be Prepared To:** Share your group's priority friction point, proposed solution, and who can help make it happen. Be ready to build on the others' ideas and identify opportunities for the industry to work together.	**John Marone –** InspereX **Andrew Kuefler –** Moment
3:55pm	**Ask Anyone Anything** **Discussion Focus:** An open, unscripted forum for candid peer perspectives, ideas, challenges, and lessons learned. **Be Prepared To:** Bring a question you'd like the group to answer.	**Open Forum**
4:15pm	**Closing Remarks**	**Rhonda Kulhanek**

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