

WEDNESDAY, APRIL 20, 2005

8:00 – 9:00 a.m.

Registration and Continental Breakfast

Sponsored by **usbancorp**
Fund Services, LLC

9:00 – 10:15 a.m.

Leveraging Technology to Address Omnibus Accounting Challenges

Moderator: James Whittemore, *Project Manager*
SunGard Investor Accounting Systems, Inc.

Chuck Gallant, *Senior Vice President,*
Business Development
PFPC

Chip H. Miller, *Executive Vice President*
Access Data Corp.

Fred Potts, *Senior Vice President,*
Asset Management Client Services
Charles Schwab & Co.

Gregg Wolf, *Manager - Client Relations*
UMB Investment Services Group, Inc.

Now, more than ever, investment management companies are looking for technology solutions to assist them with managing risk and ensuring compliance in an ever-changing regulatory environment. With the implementation of the new CCO rules along with a host of outstanding proposals at the Commission, funds are looking for technology solutions to facilitate complying with these requirements. In this overview session, a panel of industry experts will discuss technology issues associated with:

- Market timing monitoring
- Sub-accounting and omnibus issues
- Redemption fees application

10:15 – 10:30 a.m.

Break



10:30 – 11:30 a.m.

Making Accuracy Count!

Evelyn Mareth, *President*
The Accuracy Company

Do your employees make mistakes in processing transactions? Do they enter incorrect data, transpose numbers, leave out key information, or misspell customers' names? Do you wish they would concentrate better on their work?

Systems approaches, such as revising application forms and simplifying processes, can only do so much. They don't eliminate human error. Evelyn Mareth, accuracy expert and author, has pioneered a unique approach to accuracy improvement by focusing on the visual and perceptual side of human error.

Test and improve your skills as she demonstrates techniques for reducing mistakes – mistakes that cost money and frustrate customers. Discover:

- The highest-impact mistakes and what causes them
- Techniques for data transfer
- How to find individual error patterns
- How to hear and say data correctly
- Expert proofreading skills
- How to improve employees' concentration
- Using on-the-job coaching to maintain improved accuracy

11:45 a.m. – 1:00 p.m.

Luncheon and Keynote Speaker

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Stop Fussing with Your Incentive Formula! Getting Your Priorities Right



Brad Hill, *Lead Consultant*
Tandehill Human Capital

Incentive pay is part of a bigger picture. What are we trying to improve? How are we going to improve? Why are we going to improve? Learn what your incentive formula should do for your organization. Join noted consultant, Brad Hill as he discusses:

- Improving everyone's performance
- Supporting continuous improvement
- Encouraging the right employee behaviors
- Communicating business priorities

1:15 – 3:15 p.m.

Industry Roundtables

First introduced in the Fall 2004 Regional Meeting, join us as we once again present a series of roundtable discussions that will foster the exchange of ideas, concerns and questions on today's perplexing topics. Take advantage of this chance to learn from other professionals on best practices and challenges that face our industry. Check out the descriptions of the roundtable topics and bring your questions for a lively discussion. Attendees will have an opportunity to participate in two roundtables.

Call Center Best Practices

Managing a call center brings challenges with balancing caller satisfaction and meeting quality and productivity goals. How are you deploying automation, performance management, training, and human resources practices to manage performance?

Operations/Processing Best Practices

In today's environment, expense management is a priority focus. The mantra is to do more with less. Does your organization have a best practice to share? How do you inspire and motivate quality output and process amid cutback concerns? How do you know you're producing output that both satisfy customer expectations and are in line with organizational goals?

New Hire Best Practices

With the constant push toward automation, new hires are expected to learn more detailed information about our industry in less time and to deploy that knowledge in their new roles at a quicker pace. "On-boarding" is the idea of clearly defining what you need the new hires to do, training them to do it and placing them in areas where they can immediately start contributing to your organization's goals. How are you on-boarding new hires in your organization? Are learning paths clearly defined? How do you measure your new staff's effectiveness?

Regulatory Best Practices

The increased focus of regulators on our industry has heightened awareness of the need for equitable practices in our day-to-day environment. Consistency is important when addressing issues such as market timing and late trading. The need to monitor and ensure this consistency is critical, but may result in burdening your existing resources. How are you managing the increased expectations and the monitoring and reporting of information? What practices have you implemented to ensure compliance?

3:15 – 3:30 p.m.

Break

3:30 – 4:30 p.m.

Industry Roundtable Summaries

Learn from your colleagues, as best practices from the two Industry Roundtable Discussions are summarized and shared.

4:30 – 5:30 p.m.

Reception

Sponsored by



STATE STREET.

THURSDAY, APRIL 21, 2005

7:00 - 10:00 a.m.

Tour of Harley Davidson

NICSA's Midwest Regional Meeting takes you behind-the-scenes at Harley Davidson, world renowned for its quality operations and customer loyalty. Join us for a site visit to the Harley Davidson's Powertrain Operations Plant to view exclusive exhibits and stop on the factory floor. Attendees will get a glimpse behind-the-scenes at what it takes to create an American legend.

Space is limited; attendees must pre-register for the site visit. To attend the tour, you must bring a government issued photo I.D. and you must wear completely enclosed shoes.

There are no cameras permitted in the factory, however, you are welcome to sit on the bikes and take pictures in the lobby area. During the tour cameras can be stored in complimentary lockers.

Meet in lobby at 7:00 a.m. Bus will leave the hotel at 7:15 a.m. sharp. Tour begins at 8:00 a.m. Bus will return to the hotel by 10:00 a.m.

Midwest Committee Co-Chairs

Maureen Quill
UMB Fund Services

Anita Zagrodnik
*Ariel Capital Management/
Ariel Mutual Funds*

Special Thanks

Wilma Collado
Boston Financial Data Services

Leslie Lynch
*The Academy of Financial Services
Studies, LLC*

Kim McAuliffe
AIM Investments

Maureen Quill
UMB Fund Services

TO REGISTER:

Send completed form with payment to

NICSA:

36 Washington Street, Suite 70
Wellesley Hills, MA 02481

or fax to (781) 416-7065 (credit card payments only)

CANCELLATION DEADLINE:

WEDNESDAY, MARCH 30, 2005

Cancellations must be received in writing no later than 4:00 p.m. (Eastern Time) on the above date to qualify for a refund. No refunds will be issued for cancellations received after the deadline.

Substitutions are permitted with advance written notice.

Please call NICSA at (781) 416-7200 if you have any questions or for complaint resolution.

REGISTRATION FEES

(Check one) Fees indicated are per individual attendee. Registration may not be split/shared among attendees.

- \$225.00** Early Bird Member Discount* **\$295.00** Regular Member Discount* **\$495.00** Non-Member

Register by March 30, 2005

**Early Bird Registrations: Early Bird and Member discounts are available to NICSA members only. Act now to take advantage of this special offer! To join NICSA, call us at 781-416-7200 or visit us at <http://www.nicsa.org/join>*

ROUNDTABLE DISCUSSIONS – Choose two.

- Call Center Best Practices** **New Hire Best Practices**
 Operations/Processing Best Practices **Regulatory Best Practices**

Site Visit to Harley-Davidson

*Check here for the April 21st site visit
Space on the tour is limited.*

ATTENDEE INFORMATION

(Please type or print legibly. Use separate forms for multiple attendees.)

COMPANY: _____

ADDRESS: _____

CITY: _____ STATE: _____ ZIP: _____

NAME: _____

TITLE: _____ FUNCTIONAL AREA: _____

BADGE NAME (NICKNAME): _____ DIRECT PHONE: (_____) _____

E-MAIL: _____ FAX: (_____) _____

PAYMENT OPTIONS

- REGISTRATION WILL NOT BE ACCEPTED WITHOUT PAYMENT.

I will be attending at the: **Early Bird** **Member Rate** **Non-Member Rate** **AMOUNT: \$** _____
See registration fees above.

Charge my credit card: AMEX VISA MC DINERS

Account Number: _____ Exp. Date: _____ Cost Center: _____

Signature: _____ Print Name: _____

Enclosed is a check for \$ _____ **(payable to NICSA).**

CPE

NICSA is pleased to offer this group-live learning activity to attendees who are seeking CPE credits. Up to 2.5 CPE units are available for attendees of this conference. The conference sessions require no advanced preparation, no pre-requisite study and are appropriate for all who have a basic understanding of the investment management industry.

NICSA is registered with the National Association of State Boards of Accountancy (NASBA), as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses of CPE credit. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Avenue North, Suite 700, Nashville, TN, 37219-2417. Web site: www.nasba.org

ACCOMODATIONS

A limited number of sleeping rooms are available for NICSA attendees at the Hyatt Regency Milwaukee. **Please make hotel reservations no later than Wednesday, March 23, 2005** by calling Hyatt Regency Milwaukee directly at (414) 276-1234 and referencing the National Investment Company Service Association (NICSA).

Hyatt Regency Milwaukee
333 West Kilbourn Avenue
Milwaukee, WI 53203

Room Rates: \$105 Single / Double

N I C S A

Midwest Regional Meeting Focusing on: **Industry Trends and Best Practices**

April 20 – 21, 2005
Hyatt Regency Milwaukee
Milwaukee, WI



people
PEOPLE WITH SOLUTIONS
with solutions

36 WASHINGTON STREET, SUITE 70
WELLESLEY HILLS, MA 02481

TEL: 781.416.7200 FAX: 781.416.7065
WWW.NICSA.ORG

CPE CREDITS ARE AVAILABLE TO NICSA MEETING ATTENDEES