

“Future Client and Future Advisor”

Date: Wednesday, May 5, 2021

Location: Online Virtual Presentation via Zoom

Time: 12:00 pm – 1:00 pm

Format: Lecture – 1 hour

Phone: 419-764-4387

Presenters: George Nichols III, President & CEO, The American College of Financial Services and Dien Yuen, JD, LL.M. (International Law), CAP®, AEP®

PROGRAM DESCRIPTION:

Demographic shifts are pushing advisors to serve an expanding and diverse client base. What are some of the trends advisors should be aware of and how can they effectively respond? This session aims to demystify the demographic trends of current and future clients, the journey to diversify the financial sector, and the concept of cultural competency.

In this conversational program, Assistant Professor of Philanthropy Dien Yuen and The American College of Financial Services President and CEO George Nichols III will walk us through the trends and lived experiences needed to build your practice.

PROGRAM OUTLINE

The following time components have been assigned to this topic to allow the presenters sufficient time to cover the subject matter.

1. Demographic trends (12:00 pm – 12:15 pm)
 - a. Demographic shifts – majority/minority groups
 - b. Wealth in diverse communities

2. Diversity in the financial sector (12:15 pm – 12:40 pm)
 - a. What the data shows
 - b. Importance of diversity and inclusion in the financial sector
 - c. Challenges in implementing diversity and inclusion goals
 - d. Recommendations and examples of improving the talent pipeline

3. Cultural competency (12:40 pm – 1:00 pm)
 - a. Definition
 - b. Cultural norms and how it affects client relationship and planning
 - c. Examples of how financial firms cater to affinity groups

COURSE OBJECTIVES/PURPOSE:

After this course, participants should have a good understanding of the following:

- Demographic trends of future and current clients
- Diversity and inclusion in the financial sector
- Cultural competency and how it affects financial planning

LEVEL OF INSTRUCTION: Intermediate

ABOUT THE PRESENTERS:



George Nichols III currently serves as the 10th President and CEO in the storied history of The American College of Financial Services. His experience in the public and private sector included a 17-year stint at New York Life, where he held principal roles in sales, strategic initiatives, and public policy. He most recently served as executive vice president in charge of the Office of Governmental Affairs at the company.

Prior to joining New York Life, Nichols was Kentucky's first African-American insurance commissioner and he was the first African-American president of the National Association of Insurance Commissioners (2000). Nichols was recently honored as one of "The Ten to Watch in 2021" by WealthManagement.com.

Nichols currently sits on the Boards of City Year, the U.S. Chamber of Commerce, Main Line Health, and Republic Bank, a regional bank originated in Nichols' home state of Kentucky. He is also a member of the Board of Regents at one of his alma maters, Western Kentucky University.

Nichols received his Associate's degree from Alice Lloyd College, a liberal arts school in eastern Kentucky, before earning his Bachelor's degree from Western Kentucky University. He began his career in financial services after receiving his Master's Degree from the University of Louisville.

Dien Yuen, JD/LLM, CAP®, AEP® holds the Blunt-Nickel Professorship in Philanthropy at The American College of Financial Services, where she teaches in the Chartered Advisor in Philanthropy (CAP)® program.

Prior to joining the College, Professor Yuen served as Managing Director and Fiduciary Advisor for a wealth management firm assisting high net-worth individuals, families, and charitable institutions. Her former positions include Chief Philanthropy Officer at Give2Asia, Vice President and Senior Trust Officer at U.S. Trust, Executive Director of the IIT Bombay Heritage Fund, Vice President of the Asian Pacific Fund, and Planned Giving Director of the American Cancer Society. She is also the founder of a boutique social impact research and advisory firm serving clients in the U.S. and Asia.

Professor Yuen serves on the boards of the American Council on Gift Annuities (ACGA), The 1990 Institute, and Angel Island Immigration Station Foundation. She is on the advisory boards of GlobalSF, Asia Society of Northern California, Philanthropic Ventures Foundation, and Arowana Impact Capital Group.

Professor Yuen holds the professional designations of Chartered Advisor in Philanthropy® (CAP®) from The American College of Financial Services and the AEP® designation from NAEPC. She received her LL.M. in International Law at Golden Gate University, her Juris Doctorate (JD) from the University of Toledo College of Law, and her Bachelor of Arts (BA) in Political Science from Adrian College.



INSTRUCTOR CRITERIA FOR CLASSROOM:

Instructors are selected, based on these criteria:

- Experience
- Knowledge & expertise on topic
- Teaching experience
- Professional credentials

Our instructors are well respected in the industry, with many years of work experience. Many are published authors who have been requested to appear on radio and television programs because of their expertise and they have presented programs across the country to attorneys, CPAs, CFPs, Trust Officers and financial planning professionals.

PROVIDER:

The Association Office – 7517 Wind River Drive, Sylvania OH 43560 Phone: 419-764-4387

Email: theassocoffice@gmail.com

OH Insurance Provider: #659 MI Insurance Provider: #0567 IN Insurance Provider: #82722

CFP Board of Standards Sponsor: #3038 OH Accountancy Board: #0268

Provider will apply for Ohio CLE credits for most programs