



Client Conference 2003

Sharing
Quality
Strategies

June 26-27, 2003

Le Meridien Hotel

Boston, Massachusetts



Thursday June 26

7:45 – 8:15 a.m.

Registration and Continental Breakfast

Foyer, Salon Margaux, 2nd floor

8:15 – 8:30 a.m.

Welcome and Conference Overview

Salon Margaux, 2nd floor

Speakers

Doug Fortin, Partner, NQR
Joe Watts, Partner, NQR
David Driskill, Partner, NQR

8:30 – 10:30 a.m.

Keynote Address

Salon Margaux, 2nd floor

Speaker

Roger Hallowell,
Assistant Professor,
Harvard Business School

Service Quality in the Mutual Fund Industry: Economic Rationale, Human Resource Best Practices, and an Experiment at Putnam Entitled “Work at Home.”

Our keynote speaker, Roger Hallowell, Assistant Professor at Harvard Business School, will discuss the economic rationale for delivering superior customer value, including the role of service quality as part of that value. Professor Hallowell will explore some of the best practices leading service organizations use as they relate to human resources.

This segment of the conference will also include an interactive session on a new Harvard Business School case study written about the “Work at Home” program at Putnam Investments. Participants will be asked to play an active role in these discussions.

As an assistant professor at Harvard Business School, Roger Hallowell teaches the Executive Education course, Achieving Breakthrough Service, and teaches the second year elective course, Service Management. Professor Hallowell’s research examines strategy, human resources, and information technology for service firms. His work has appeared in Academy of Management Executive, Human Resource Management, Human Resource Planning, and The International Journal of Service Industry Management.

10:30 – 10:45 a.m.

Refreshment Break and NQR Electronic System Demonstrations

Foyer, Salon Margaux, 2nd floor

Benchmark Data and Industry Study Results

Salon Margaux, 2nd floor

This presentation will show where leading quality companies rank in such operational areas as turnover, telephone center performance, training, E-commerce, and transaction processing performance. We will present our findings from the 2003 NQR Mutual Fund Industry Study and comparative results from our internal quality review analysis. We will also discuss how top-performing companies differentiate themselves from the industry norm. Our goal is to enable companies to identify how changes such as new technology, staff reorganization, and new products and services can influence service delivery in their organization.

Breakout Sessions (3)

Our extremely popular breakout sessions will be even more robust this year than in previous years. These highly rated sessions have been expanded to give our clients the opportunity to attend more than one discussion group. Roundtable discussions will be held on both Thursday and Friday this year, providing an opportunity for NQR's clients to speak with their colleagues in other organizations, sharing ideas and receiving feedback on day-to-day operational issues. Whether you are involved in transaction processing, telephone call centers, or correspondence, these sessions will help you in solving specific service challenges you may be facing within your organization.

Luncheon

Esplanade, 2nd floor

5-Star Client Panel

Salon Margaux, 2nd floor

How did the top-performing companies achieve NQR's 5-Star service ratings? Join the discussion with a panel of NQR 5-Star service quality performers sharing how they managed to maintain top quality service delivery while undergoing radical corporate changes, including system conversions, mergers, and implementation of new quality measurements. The panelists, representing load and no-load funds, will discuss transaction processing and shareholder and broker/dealer communications.

Panelists Linda Warriner, *Senior Vice President, AIM Fund Services*
Wayne Venckus, *Director of Operations, DST Systems*
Lori Taylor, *Manager, Retirement Plan Services, OppenheimerFunds*
Monte Calvin, *1st Vice President, WM Group of Funds*
Mark Turrell, *Executive Vice President, PFPC, Inc.*

10:45 – 11:30 a.m.

Speaker

Doug Fortin,
Partner, NQR

11:30 a.m. – 12:45 p.m.

Telephones

*Salon Lafite
1st floor*

Transactions

*Salon Margaux
2nd floor*

Correspondence

*Salon Timberlay
1st floor*

12:45 – 1:45 p.m.

1:45 – 3:15 p.m.

Moderator

David Driskill,
Partner, NQR

3:15 – 3:30 p.m.

► **Refreshment Break and
NQR Electronic System Demonstrations**

Foyer, Salon Margaux, 2nd floor

3:30 – 4:00 p.m.

Speakers
NQR Partners

► **The NQR Institute**

Salon Margaux, 2nd floor

What will it take to move your organization to the next level? How can your organization leverage its strengths to forge strong relationships with your customers? The NQR Institute is a new initiative by NQR to provide clients with training tools and resources to improve their businesses. We are interested in obtaining your feedback regarding this new educational service.

4:00 – 5:30 p.m.

Speaker
Kathleen O'Halloran,
Director of Education

*National Investment
Company Service
Association (NICSA)*

► **Managing Gold Collar Workers:
Alchemy? Or “Chemistry”?**

Salon Margaux, 2nd floor

It takes a gifted manager to manage people well; it takes an extraordinary one to manage Gold Collar Workers well. Who are our Gold Collar Workers? How do we identify them, manage them, reward them, and retain them? Today's sluggish job market no longer affords Gold Collar Workers opportunities to leap either within the company or to your competition. How do we keep them fresh, motivated, and contributing?

Kathleen O'Halloran, seasoned industry educator and management development expert, conducts this 90-minute workshop on what it takes to manage Gold Collar Workers. Is it some long-lost science? Or is developing a “chemistry” with this remarkable and valued segment of our employee base the key to success?

5:30 – 7:00 p.m.

► **Cocktail Reception**

Esplanade, 2nd floor

Continental Breakfast

Foyer, Salon Margaux, 2nd floor

8:00 – 8:30 a.m.

Town Meeting General Session

NQR invites you to an open forum where clients exchange ideas, ask questions, and discuss current issues with NQR's partners and staff.

Salon Margaux, 2nd floor

8:30 – 9:30 a.m.

Moderators
NQR Partners

Refreshment Break and

NQR Electronic System Demonstrations

Foyer, Salon Margaux, 2nd floor

9:30 – 9:45 a.m.

Concurrent Sessions

NQR Institute, Part 2: Moving From Good To Great

Salon Timberlay, 1st floor

Every company wants to provide superior service and every customer demands it. Yet, consistent delivery of superior service remains elusive. How do you take customer service to the next level?

David Driskill will identify the specific skills and behaviors that comprise superior service. Through The NQR Institute's new professional certification program and training curriculum, telephone representatives will learn that the secret to customer retention lies in discovering opportunities to add value in even the most routine service inquiry. This session will demonstrate "The How-to Guide for Superior Client Service," a powerful new audiovisual training tool with real-world examples of superior service, including how to view difficult situations and challenging calls as golden opportunities to make a difference to the customer.

9:45 – 10:45 a.m.

Speaker
David Driskill,
Partner, NQR

Anti-Money-Laundering Compliance

Salon Margaux, 2nd floor

The initiatives of the SEC and Treasury continue to change the regulatory landscape and the costs associated with running a mutual fund operation. One recent initiative, the anti-money-laundering (AML) regulations, are now required under the USA Patriot Act. Examples of such regulations include the requirement for mutual funds to implement AML and customer identification programs. The panel from Deloitte & Touche will present an overview of current AML requirements applicable to mutual funds and their servicing agents and common operational concerns related to AML compliance.

Speakers

Bruce Treff, *Senior Manager,*
Regulatory Services Group
Deloitte & Touche

Miguel Miranda, *Manager,*
Investment Management
Business Advisory Services Group,
Deloitte & Touche

Friday
June 27

10:45 a.m. – 11:45 a.m.

▶ **Breakout Sessions (2)**

Telephones *Salon Timberlay, 1st floor*
Transactions *Salon Margaux, 2nd floor*

11:45 a.m. – 12:45 p.m.
Speakers

▶ **Sharing Quality Initiatives**

Salon Margaux, 2nd floor

Steve Hodlin, *Vice President of Operations Development and Quality, Boston Financial*

A panel of NQR clients share their strategies for implementing and supporting a company-wide focus on delivering high-quality service. Steve Hodlin, Vice President of Operations Development and Quality at Boston Financial, will focus on strategic and tactical initiatives for building expertise in the quality theories, implementing training sessions, and applying these skills to problem resolution and best practice development using quality teams from throughout the company. Harra Epner, Director of Training at Morgan Stanley, will focus on how techniques such as role playing can be used to build customer focus into the training program for telephone service representatives.

Harra Epner, *Director of Training, Morgan Stanley*

12:45 – 1:00 p.m.
NQR Partners

▶ **Wrap Up and Closing Remarks**

Foyer, Salon Margaux, 2nd floor



NQR Client
Conference
2003

We wish to thank all of our clients for your continuing support

NQR Staff

Nate Abbott
Lisa Amarosa
Elise Bayard
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Kathleen Browne
Mariza Cacawa
Bob Cavallo
Jennifer Clover
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Ron Curtis
Linda Davis
Darlene Dearden
Peter Dowdell
Mike Drees
David Driskill
Mike Dwyer
Cathy Emery
Karen Evans
Doug Fortin
Kristin Fortin
Brian Fox
Marianne Gonzalez

Karen Grimley
Bob Herrick
Rich Hoekstra
Maxine Houle
Vinny Howe
Harold Hutchings
Afri Ituen
Jonathan Jones
Marie Joseph
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Charlie Kelly
Patty Kelly
Rob Kozminski
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Rory O'Donnell
Diane O'Kelly
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Diane Ryan
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