

INCREASING  
CUSTOMER LOYALTY  
Through Better Service Delivery



Seaport Hotel

Boston, Massachusetts

October 4-5, 2011

# WELCOME TO NQR'S 2011 CLIENT CONFERENCE

The conference will include general sessions, client panel discussions, roundtables, and concurrent sessions that explore a variety of hot topics that affect service quality.

## GENERAL SESSIONS

- **Keynote: Industry Leader Roundtable**  
*Basil Fox, President, Franklin Templeton Investor Services*  
*Irene Pappas, President, Dreyfus Retail Services*  
*Michael Woodall, Head of Mutual Fund Shareholder Services, Putnam Investments*
- **Earning Loyalty Through Superior Customer Experiences**
- **Keynote: Winning the Customer**  
*Lou Imbriano, President and CEO, TrinityOne*
- **Social Media Practices**
- **The Cost of Doing It Wrong**

## CONCURRENT SESSIONS

- **The Client Experience**
- **NQR Portal Reporting**
- **Omnibus Oversight Considerations**
- **Cost Basis Preparedness**
- **Leading Practices Roundtables**

## TUESDAY October 4

	LOCATION
<b>7:45-8:45</b> Registration and Continental Breakfast	<i>Plaza Ballroom</i>
<b>8:45-9:00</b> Conference Welcome	<i>Plaza Ballroom</i>
<b>9:00-10:30</b> Industry Leader Roundtable	<i>Plaza Ballroom</i>
<b>10:30-10:45</b> BREAK	
<b>10:45-11:45</b> Earning Loyalty Through Superior Customer Experiences	<i>Plaza Ballroom</i>
<b>12:00-1:00</b> LUNCH	<i>Plaza C</i>
<b>1:00-2:00</b> Leading Practices Roundtables	
A. Call Center	<i>Seaport B</i>
B. Correspondence	<i>Plaza Ballroom</i>
C. Processing Operations	<i>Seaport A</i>
<b>2:00-2:15</b> BREAK	
<b>2:15-3:15</b> Concurrent Sessions	
A. The Client Experience	<i>Plaza Ballroom</i>
B. NQR Portal Reporting	<i>Seaport A</i>
<b>3:15-3:30</b> BREAK	
<b>3:30-4:30</b> Concurrent Sessions	
A. Omnibus Oversight Considerations	<i>Seaport A</i>
B. Cost Basis Reporting Preparedness	<i>Plaza Ballroom</i>

## WEDNESDAY October 5

	LOCATION
<b>8:15-8:45</b> Continental Breakfast	<i>Plaza Ballroom</i>
<b>8:45-9:45</b> Winning the Customer	<i>Plaza Ballroom</i>
<b>9:45-10:00</b> BREAK	
<b>10:00-11:00</b> Social Media Practices	<i>Plaza Ballroom</i>
<b>11:00-11:15</b> BREAK	
<b>11:15-12:15</b> Leading Practices Roundtables	
A. Call Center	<i>Seaport B</i>
B. Processing Operations	<i>Seaport A</i>
<b>12:15-1:15</b> LUNCH	<i>Plaza C</i>
<b>1:15-2:15</b> The Cost of Doing It Wrong	<i>Plaza Ballroom</i>
<b>2:15-2:30</b> Closing Comments	<i>Plaza Ballroom</i>

**PLEASE JOIN US  
FOR A RECEPTION**  
**Tuesday Evening, October 4**  
 4:30 p.m. - 5:30 p.m.  
 in the Plaza Garden

TUESDAY  
OCTOBER 4

## General Sessions

### Keynote: Industry Leader Roundtable

Whether supporting retail investors or institutional clients, financial services organizations face continual pressure to deliver more efficient and effective service, while also keeping pace with technological and market changes. It is not surprising that for many, it is a constant battle to keep pace with whatever may come next.

To lend perspective to the question of what's next, NQR is excited to host a panel discussion that asks senior leaders from our clients to share what keeps them awake at night. What are the critical challenges and opportunities facing our industry? How do we better understand and anticipate what our customers want and need? How do we engage all employees in the continual effort to best respond? Are we hitting the mark in building customer loyalty through superior service?

**Panelists:** Basil Fox, *President, Franklin Templeton Investor Services*  
Irene Pappas, *President, Dreyfus Retail Services*  
Michael Woodall, *Head of Mutual Fund Shareholder Services, Putnam Investments*

**Moderator:** David Driskill, *NQR Partner*

### Earning Loyalty Through Superior Customer Experiences

Diane Schmalensee, founder of Schmalensee Partners, will discuss how to use customer experience management to win recommendations, acquire new business, and avoid publicity that can damage client relationships. The session will describe in detail the "CACTUS" process for creating the superior customer experiences that result in customer loyalty. Moving through **Committing**, **Assessing**, **(Re)Committing**, **Touch Point Team Planning**, **Using** and **Pilot Testing**, and **Solidifying Improvement** to customer experiences. The process illustrates with financial service examples how to build the Moments of Magic and avoid the Points of Pain that drive customer experiences.

**Presenter:** Diane Schmalensee, *Founder, Schmalensee Partners*

## Concurrent Sessions

### The Client Experience

Today's financial service call centers face increasingly complex service delivery requirements. For many shareholders and financial service professionals, the call center is the primary point of contact with the investment management organization. Clients' needs for easy access, utility, and timeliness combined with the impact of technological advances, regulatory scrutiny, and the complexity of fund products have placed demands on all call centers. Learn from a panel of experts who will discuss their leading practices for enhancing the client experience in an ever-demanding marketplace and the critical role that the customer experience plays in client satisfaction and retention.

**Panelists:** Matt Kramper, *Direct Sales and Services Director, American Century Investments*  
Susan Frodl, *Senior Vice President, Head of Client-Facing Services, Wells Fargo Funds Management, LLC*

**Moderator:** Doug Fortin, *NQR Partner*

### NQR Portal Reporting

Our clients have asked for more real-time data that are easy to access and use. To meet this need, we are developing a series of on-line data portals that will provide a wide range of import, export, query, and reporting options. Our technology will allow clients to customize their reporting for a variety of audiences. This session will include a demonstration of some of the tools we have developed to date and an overview of expectations for future releases..

**NQR Facilitators:** Marianne Gonzalez, *Client Relationship Manager*  
Polly LeBarron, *Client Officer*

## Omnibus Oversight Considerations

As the shareholder servicing model continues to shift toward omnibus positions, investment companies face major challenges. Fund boards require assurances that fees match the level of shareholder servicing provided, that prospectus rules are being followed, and that shareholders are receiving appropriate service. Industry discussions suggest significant differences in how investment companies are approaching oversight, running the gamut from extensive site visits to review of SAS 70 audits and other forms of attestation.

Join our panel of industry experts as they discuss how investment companies are building their oversight programs and what they have identified as key areas of risk.

**Panelists:** Doug Anderson, *Managing Director, BNY Mellon*  
Eileen Hagerott, *Assistant Vice President, John Hancock Signature Services*  
Mike McNeill, *Division Vice President, Boston Financial*

**Moderator:** Geoff Bobroff, *President, Bobroff Consulting, Inc.*

## Cost Basis Reporting Preparedness

January 1, 2012, is looming large on the horizon. The members of this panel will review what actions their firms have taken or plan to take to prepare for compliance with the requirements of the Cost Basis Reporting regulations. Topics to be addressed will include operational impact, systems, stakeholder communications, and work flow. Panelists will discuss the challenges presented by the complexity of the new regulations, the ongoing education of employees and shareholders, and the operational and technological modifications being undertaken in preparation for the deadline.

**Panelists:** Brian Melter, *Senior Vice President, Head of Global Operations, Wells Fargo Funds Management Group*  
Tamara Haynes, *Assistant Vice President, OppenheimerFunds, Inc.*  
Donna Russo, *Vice President, Transfer Agent Operations, BNY Mellon*

**Moderator:** Darshna Varia, *Senior Manager, Deloitte & Touche LLP, Capital Markets Technology Services*

## Leading Practices Roundtables

Our extremely popular breakout sessions of roundtable discussions will provide an opportunity for NQR's clients to speak with their colleagues in other organizations, share ideas, and receive feedback on day-to-day operations, service, and quality issues.

- Call Centers
- Processing Operations
- Correspondence

## General Sessions

### Keynote: Winning the Customer

Lou Imbriano, author of *Winning the Customer*, is the President and CEO of TrinityOne, a unique marketing agency that takes a non-traditional approach to extending a company's brand. Mr. Imbriano consults with corporations, sports teams, and venues all around the globe on marketing and operational strategy, as well as new business development and social media strategy. Mr. Imbriano formerly served as Vice President and Chief Marketing Officer of the New England Patriots and Gillette Stadium for nine seasons and Chief Operating Officer for the New England Revolution for three seasons. In this inspirational presentation, Mr. Imbriano will discuss how to identify and understand your customer base, transform your business from transactional to relationship-oriented, recognize and enhance every client experience, build unbreakable relationships by connecting with people in meaningful ways, and D.E.L.I.V.E.R. in every customer encounter.

**Presenter:** Lou Imbriano, *President and CEO, TrinityOne*

### Social Media Practices

Social media provides an opportunity for communication to be an open and interactive dialogue among consumers and their service providers. Greg Wood, President and Founder of Woodhouse, a full-service social media agency, will discuss how social media can be leveraged for better and faster service delivery, for proactive understanding of customer needs, and as an approach for delighting customers. He will share social media case studies and best practices and discuss regulatory considerations.

**Presenter:** Greg Wood, *President, Woodhouse*

### The Cost of Doing It Wrong

We may have a reasonably good idea of what multiple interactions mean in terms of customer satisfaction and experience, but what is the cost in hard dollars? David Driskill will lead this interactive discussion on exploring the cost of not having a “one-and-done” interaction with your client. The goal of this session will be to gain clearer understanding of how firms are measuring the cost of multiple contacts and to identify the cost of processes that lead to not-in-good-order (NIGO) transactions. The discussion will also address what actions firms are taking to reduce multiple contacts and NIGO transactions.

**Presenter:** David P. Driskill, *NQR Partner and President of David Driskill Associates*

### Leading Practices Roundtables

Our extremely popular breakout sessions of roundtable discussions will provide an opportunity for NQR's clients to speak with their colleagues in other organizations, share ideas, and receive feedback on day-to-day operations, service, and quality issues.

- Call Centers
- Processing Operations

## PANELISTS AND SPEAKERS

### **Doug Anderson**

*Managing Director, BNY Mellon*

Doug Anderson has been involved with mutual funds for 27 of his 35 years in the financial services arena. He has held positions in accounting, training, systems and operations. Mr. Anderson started his funds career with Kemper Financial Services in both systems and operations and also was part of a third-party transfer agent, Supervised Service Company. He subsequently joined Delaware Investments, where he was responsible for their Customer Service and Transfer Agent functions. Recently, he moved to BNY Mellon Asset Servicing along with the Delaware Investments Customer Service and Transfer Agent Functions.

Mr. Anderson has been involved in many initiatives, conversions, and insourcing/outsourcing projects, including NSCC FundServ, Networking, and working with the major Transfer Agent System providers. His familiarity with various platforms and processes is useful when discussing industry initiatives and regulatory changes. He has served on many industry-related committees, including the ICI Transfer Agent and Broker/Dealer Advisory Committees, and was chairman of the ICI Operations Committee for 5 years.

Mr. Anderson has a B.S. in Accounting from the University of Kentucky.

### **Geoff Bobroff**

*President, Bobroff Consulting, Inc.*

Bobroff Consulting, Inc., provides custom-tailored business consulting services to firms in the investment management industry as well as boards of directors/trustees. Emphasis is placed on improving the profitability of the manager through strategic planning, product design, product pricing, and working with management or boards and their counsel during annual contract renewal efforts. Bobroff Consulting's principal employee, Geoffrey H. Bobroff, has held various positions in the investment management industry spanning 3 decades. Immediately prior to establishing his consulting practice in October 1993, he served as senior vice president of Lipper Analytical Services, Inc., overseeing the Denver office of Lipper. Previous positions included executive vice president of Integrated Resources, Inc., with responsibility for the money management, broker/dealer, and other operations of the firm, and executive vice president of J. & W. Seligman & Co., with responsibility for operations and financial affairs. Mr. Bobroff began his professional career 41 years ago as a trial attorney for the Securities and Exchange Commission in Washington, D.C.

**Basil Fox**

*President, Franklin Templeton Investor Services, LLC (FTIS)*

Basil Fox is president of Franklin Templeton Investor Services, LLC (FTIS), a subsidiary of Franklin Resources, Inc. FTIS is an SEC-registered transfer agent. Mr. Fox also serves as the AML Compliance Officer for Franklin Templeton Investments.

Mr. Fox joined Franklin Templeton Investments in 1984 as part of the Management Training Program. In 1992, Mr. Fox became a vice president with responsibility for establishing a disaster recovery site for the San Mateo, California, headquarters. In February 2000, he assumed his current role as president, overseeing the transfer agent operations in Rancho Cordova and San Mateo, California, and St. Petersburg, Florida. In October 2003, Mr. Fox added responsibilities for the transfer agent operations in Europe and Asia. He is also a director of Riva Financial Systems.

Mr. Fox earned a B.S. in finance from the University of San Francisco and an M.B.A. from Santa Clara University.

**Susan Frodl**

*Senior Vice President, Head of Client-Facing Services, Wells Fargo Funds Management, LLC*

Susan Frodl is senior vice president and head of Wells Fargo Funds Management's client-facing services organization. Ms. Frodl and her teams, located in Boston and Menomonee Falls, provide service and support to direct-to-fund investors, institutional sales teams, and the additional sales teams that are responsible for the distribution of mutual funds, separately managed accounts, and 529 products through wirehouses, independent broker/dealers, private bankers, and registered investment advisors. Wells Fargo's institutional client relationship teams, based in Charlotte, Menomonee Falls, and San Francisco, provide support to the institutional client base.

Ms. Frodl has spent 22 years in the industry and joined Wells Fargo in 2005 as part of the Strong Funds acquisition, where she held various positions, including client service team manager, brokerage product operations manager, and investor services team leader. She started her career at Strong in 1988. Ms. Frodl holds Financial Industry Regulatory Authority (FINRA) licenses 7, 24, 51, 63, and 65. She is based in Menomonee Falls, Wisconsin.

## **Eileen Hagerott**

*Assistant Vice President, John Hancock Signature Services*

Eileen Hagerott is an Assistant Vice President with John Hancock Signature Services, the Transfer Agent for John Hancock Funds, LLC, and has approximately 20 years of operations experience in the mutual fund industry. Her experience spans a variety of functions across the Transfer Agent, including both operations and client servicing for shareholders, advisors, and back office professionals. She currently is responsible for the Call Center, Dealer Services, Operations, Correspondence, and Training & Development, with staff located in Boston, Mass., Portsmouth, N.H., and Manila, Philippines.

Ms. Hagerott joined John Hancock in 1992. She assumed leadership responsibilities 2 years later and has since held numerous roles throughout the organization. She is currently taking a lead role in the expansion of John Hancock's Intermediary Oversight model.

Ms. Hagerott holds a Bachelor of Science degree from Northeastern University in Communication Studies with a concentration in Organizational and Interpersonal Communications, and is NASD Series 6, 63, and 26 licensed.

## **Tamara Haynes**

*Assistant Vice President, OppenheimerFunds, Inc.*

Tamara Haynes is an Assistant Vice President at OppenheimerFunds, Inc. Her responsibilities include oversight of all non-NSCC transaction processing and enterprise-level project management, as well as serving as corporate leader of the Denver Technology Agile Community and board member of the Leadership Council.

Ms. Haynes joined OppenheimerFunds in 2006. Prior to joining OppenheimerFunds, she held several management positions at Janus Capital Group. Ms. Haynes holds a B.A. in Communication from Metropolitan State College of Denver and is Series 6, 7, 26, and 63 licensed.

**Lou Imbriano**

*President and CEO, TrinityOne*

Lou Imbriano, author of *Winning the Customer*, is the President and CEO of TrinityOne, a unique marketing agency that takes a non-traditional approach to extending a company's brand. Mr. Imbriano consults with corporations, sports teams, and venues around the globe on marketing and operational strategy, as well as new business development and social media strategy. Mr. Imbriano formerly served as Vice President and Chief Marketing Officer of the New England Patriots and Gillette Stadium for 9 seasons and as Chief Operating Officer for the New England Revolution for 3 seasons. Mr. Imbriano speaks to colleges, businesses, and organizations on topics including relationship architecture, customer service, marketing, and social media. He also teaches sports marketing at his alma mater, Boston College.

**Matt Kramper**

*Direct Sales and Services Director, American Century Investments*

Matt Kramper is the Direct Sales and Services Director at American Century Investments. His current responsibilities include assisting with creating departmental strategies, goals, and development. He has oversight for many programs including Training, Business Consulting, Voice of the Client Program, Quality Assurance, Knowledge Resource Management, Internal Communications, and Business Continuity. Mr. Kramper has been with American Century Investments for the past 15 years. Prior roles included management of the Business Support, Investor Services, and Correspondence departments. He is a graduate of the University of Kansas and is Series 6 and 63 licensed.

## **Mike McNeill**

*Division Vice President, Boston Financial*

As Division Vice President, Mike McNeill oversees all aspects of the Financial Intermediary Administration (FIA) products and services at Boston Financial. His focus is on delivering a suite of tools designed to assist the broker/dealer distributed Fund companies in the oversight and servicing of their third-party relationships. Prior to joining Boston Financial, Mr. McNeill served as Senior Vice President of Investor Services at Putnam Investments, with responsibility for all aspects of home office operational relationships with the industry's largest wirehouses, banks, registered investment advisors, trusts, and broker/dealers. From 1995 to 1997, he served as a Unit Manager at Pioneer Investments, where he managed a team responsible for processing all monetary and non-monetary transactions for Pioneer's Retail and Retirement business. He began his career in 1989 as a Service Associate, and later Unit Manager, at American Express—The Shareholder Services Group.

Mr. McNeill has served on various industry committees, including the Investment Company Institute (ICI) Broker-Dealer Advisory Committee and the ICI Bank, Trust, and Recordkeeper Committee. He has also spoken on numerous industry panels and received the 2010 National Investment Company Service Association (NICSA) MVP award.

Mr. McNeill holds a Bachelor of Science in Business Administration (Marketing) from Bryant University.

## **Brian M. Melter**

*Senior Vice President, Head of Global Operations, Wells Fargo Funds Management Group*

Brian Melter is a Senior Vice President and Head of Global Operations for the Wells Fargo Funds Management Group team located in San Francisco, Boston, and Menomonee Falls, WI. In this role, he has overall responsibility for shareholder, dealer, and transfer agent operations for the Wells Fargo mutual fund, 529, closed-end fund, collective fund, and offshore products, representing over \$260 billion in assets under management.

Mr. Melter began his career at Wells Fargo in 2005, where his prior leadership roles have included the Retail Marketing and E-Business teams for the Funds Management Group. Before joining Wells Fargo, he was the Director of Electronic Commerce for Strong Financial Corporation, where he started as a licensed representative in 1995.

Mr. Melter earned a B.A. in Finance from the University of Wisconsin—Whitewater and currently holds Series 6, 7, 63, and 24 securities licenses.

**Irene Pappas**

*President, Dreyfus Retail Services, A Division of MBSC Securities Corporation*

Irene Pappas is President of Retail Services for Dreyfus Retail Services. She is responsible for managing the Dreyfus Retail Call Center and Operations Department, which handles all Retail customer service inquiries. In addition to the Call Center Operation, Ms. Pappas is responsible for managing infrastructure teams critical to the Retail operation, including training, quality assurance, correspondence/email, workforce management, and operational support.

Ms. Pappas began her career with Dreyfus in 1980 as an Account Executive, assuming management of Dreyfus's first Financial Center in her first year. She was promoted to Senior Vice President, then Executive Vice President, and in 2003 to her current position as President of Retail Services.

Ms. Pappas holds a Master's Degree in Public Administration from New York University.

**Donna Russo**

*Vice President, Transfer Agent Operations, BNY Mellon*

Donna Russo is a Vice President, Transfer Agent Operations, at BNY Mellon. Ms. Russo began her career at PNC Global Investment Servicing (GIS) in 1989 in Transfer Agency Operations and joined BNY Mellon Asset Servicing upon its acquisition of the PNC GIS business in July 2010. She is currently responsible for TA Operations projects. Prior to transitioning to a Process Improvement/Projects role, she had oversight of Global Operations TA functions, including transaction processing, correspondence, and transfer of assets.

Ms. Russo majored in Business Administration at Community College of Rhode Island and Rhode Island College. She is currently completing the Green Belt Six Sigma program.

## **Diane Schmalensee**

*Founder, Schmalensee Partners*

Schmalensee Partners founder, Diane Schmalensee, combines a background in marketing research and quality or change management, the building blocks of customer experience management. She has served on the Board of Directors of nearly a dozen organizations and is comfortable working with managers at all levels and in many departments. Before founding Schmalensee Partners in 1991, she worked as Vice President of the Marketing Science Institute, Vice President of Opinion Research Corporation, and Vice President for 2 major regional advertising agencies. She is an 8-time Examiner for the Malcolm Baldrige National Quality Award and has been a judge, trainer, and board member of the Massachusetts Quality Award since 1992. She has an M.B.A. from San Diego State University and a B.A. from Wellesley College.

Ms. Schmalensee has helped over 40 organizations build customer satisfaction, loyalty, and advocacy through improved customer experiences. Many clients have won prestigious awards such as the 2011 James W. West Quality Improvement Award, the Malcolm Baldrige National Quality Award, or their state quality awards. Her clients include large and small companies, not-for-profits, business-to-business, and business-to-consumer organizations.

## **Darshna Varia**

*Senior Manager, Deloitte & Touche LLP, Capital Markets Technology Services*

Darshna Varia is a Senior Manager in the Capital Markets Technology Services practice at Deloitte & Touche LLP. Over the past 15 months, Ms. Varia has assisted many Deloitte clients in their compliance with the new cost basis regulations. She has led impact assessments, enterprise planning, and implementation and testing assistance engagements for organizations including broker/dealers and mutual fund transfer agents.

Ms. Varia has a Bachelor of Science degree from the University of Kent at Canterbury, UK, and a Master of Science in Computer Information Systems from the McCallum Graduate School of Business at Bentley University, Waltham, MA.

**Greg Wood**

*President and Founder, Woodhouse*

Greg Wood is the President and Founder of Woodhouse, a full-service social media agency. Mr. Wood founded Woodhouse in 2009 after seeing a need for a company that both understands the fundamental underpinnings of social media and provides products and services that help brands activate strategies and achieve tangible business and marketing results. He is responsible for the overall leadership of the agency. He knows that the most important part of his job is to find, motivate, and lead extraordinary and talented individuals and to foster a culture of “collective performance.”

Mr. Wood has held executive roles at some of the leading advertising and marketing agencies including McCann Worldwide, Mullen, Digitas, and BEAM Interactive and has worked with a range of notable industries and brands, including Cadillac, eBay, Morgan Stanley, Walmart, Procter & Gamble, Turner Broadcasting, and Johnson & Johnson.

Mr. Wood is an active member of several non-profit organizations and serves as the Vice President of the Board for the Brain Aneurysm Foundation. He holds a B.A. from Providence College and an M.S. in Finance from the Carroll School of Management at Boston College.

**Michael J. Woodall**

*Head of Mutual Fund Shareholder Services, Putnam Investments*

Michael J. Woodall is the Head of Mutual Fund Shareholder Services for Putnam Investments, where he is responsible for providing an array of client services to retail advisors, broker/dealers, and shareholders. Under Mr. Woodall’s leadership, Putnam has been recognized across the industry for its award-winning service and dedication to clients and investors. Prior to his current role, Mr. Woodall led Putnam’s Enterprise Services and Business Planning and Development. A 28-year financial services industry veteran, he is the Chairman of the Board of Directors of NICSA, is a member of the ICI Operations Committee, and is on the DTCC Wealth Advisory Board. Before joining Putnam Investments, he held senior management positions at First Data Corp, 440 Financial, and Fidelity Investments. Mr. Woodall is a graduate of Northeastern University.

## **David P. Driskill**

*NQR Partner and President, David Driskill Associates (DDA)*

David Driskill is a founding partner at NQR and is the founder and president of David Driskill Associates, Inc. (DDA), a financial services consulting firm and sister company to NQR. Mr. Driskill, who specializes in opinion research, call center consulting, telephone skills training, management training, and performance quality measurement, helps clients use service quality as a competitive advantage. As a management consultant, he has provided industry research and management training to over 70 of the mutual fund industry's leading companies.

Mr. Driskill is a frequent public speaker in the mutual funds, brokerage, and retail banking industries. The challenge addressed by most of his presentations, writings, and consulting engagements is to convert the belief in the importance of service quality into practical, measurable, results-oriented action.

Mr. Driskill attended the Chicago City College system, Governors State University, American International College, and the University of Chicago. He received a B.A. and an M.A. in Psychology.

## **Douglas A. Fortin**

*NQR Partner*

Doug Fortin is a founding partner of NQR and oversees the day-to-day operations of the organization. Mr. Fortin has over 30 years of experience in systems and larger transfer agent operations. He began his career with Fidelity Investments, where he managed the company's IBM mainframe data center and started the firm's 401(k) servicing operation.

Prior to founding NQR with Joseph Watts and David Driskill, Mr. Fortin was president and co-founder of ISI, Inc., a data processing company that serviced large mutual fund companies, and was a vice president with Putnam Investments.

Mr. Fortin is a graduate of the University of Maine, studied business management at Harvard University, and earned a Six Sigma Green Belt from the University of Michigan.

**Marianne Gonzalez**

Client Relationship Manager, NQR

Marianne Gonzalez is a Client Relationship Manager in the Processing Operations Review Service of National Quality Review. Ms. Gonzalez joined National Quality Review in 2000. Prior to joining NQR, she was a Senior Director at MassMutual Life Insurance Company for 15 years. She had responsibility for all functions of the Variable/Fixed Annuity and Variable Life Insurance Operations department, which included Policy Issue, Payment Processing, Policy Change, Document Image Processing, and Commissions.

Ms. Gonzalez received a B.A. in Business from Western New England College in Springfield, Mass., and earned a Six Sigma Green Belt from the University of Michigan.

**Polly LeBarron**

*Client Officer*, NQR

Polly LeBarron is a Client Officer with relationship management responsibilities within National Quality Review's Correspondence Review, Transaction Processing Review, and Customer Satisfaction divisions. She has been with NQR since 1995.

Prior to joining NQR, Ms. LeBarron was a writer and editor for Wilson Business Abstracts, a publication of the H.W. Wilson Company, and an analyst at AIC Investment Advisors.

Ms. LeBarron earned a B.A. in Political Economy from Williams College. She is certified as a Quality Improvement Associate from the American Society for Quality (ASQ) and earned a Six Sigma Green Belt from the University of Michigan.

## NQR STAFF

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

Nate Abbott

Cathy Emery

Afri Ituen

Chad Mosher

Jeneil Russell

Michelle Ackerman

Scott Fagan

Pat Jones

Linda Mullen

Diane Ryan

Nick Ansaldi

Doug Fortin

Jonathan Jones

Dave Murphy

Tracey Sharpe

Kristen Bertolino

Conor Fortin

Valerie Jones

Sanju Nandwani

Patty Shea

James Blihar

Brian Fox

Rob Kozminski

Nancy Nazzaro

Mike Shields

Frank Boc

Jackie Garcia

Polly LeBarron

John Norton

Steve Silvia

Colleen Bolton

Ted Georgaklis

Gene Leonard

Colum O'Brien

Dan Spacco

Cary Chang

Ruth Georgevits

Julie L'Italien

Rory O'Donnell

Janet Stawasz

Catherine Coyne

Sandro Giacchino

Greg Martinage

Anne Marie Ohlson

David Swift

Ron Curtis

Dianne Gillis

Heather McCobb

Eric Ohlson

Steven Tepfer

Linda Davis

Marianne Gonzalez

Diane McLaughlin

Jen Perry

Katie Welch

Christine Devlin

Laura Hajj

Carolyn Meda

Raymond Pugliares

Rachel Whyte

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