

Thursday, December 2, 2021 | 10:30 am - 12 noon ET

## SPEAKER BIOS



### SHAWN BRAYMAN

Director of Financial Planning Methodology | Morningstar

For the past 30 years, Shawn Brayman was the President of PlanPlus Inc. and more recently CEO of PlanPlus Global, an amalgamation of two world leaders in Fintech solutions for financial planners and advisors – FinaMetrica and PlanPlus. FinaMetrica led the world with psychometric risk tolerance assessments and PlanPlus created the world's first global platform for financial planning. PlanPlus Global delivered advisory platform solutions to users in over 35 countries and 12 languages.

In April 2020 Morningstar purchased PlanPlus Global and over the last two months has been integrating staff and customers into their operations in Canada, US, Australia and elsewhere. Shawn has remained fully engaged, taking on the role of Director of Financial Planning Methodology for Morningstar. Shawn will be working with other researchers and thought leaders in Morningstar to maximize the impact their research can have on advisors to empower investor success to achieve their goals. Financial Planning solutions will form a cornerstone of this effort as part of a new product group at Morningstar, a NASDAQ listed firm with global reach and impact.

Shawn has a B.Sc. in Applied and Computational Mathematics and a Master's Degree from York University focusing on Predictive Expert Systems, a form of software technology commonly referred to as "artificial intelligence." In 1986 Shawn became involved in the knowledge engineering and development of an early financial planning expert system for a Canadian insurance company. In 1990 Shawn started PlanPlus Inc. and has been working in the financial planning field ever since, delivering software, training and business consulting services. Shawn completed the Chartered Financial Planning program in 1997 and has been working with financial planners around the globe ever since, gaining a unique perspective on challenges faced by individual practitioners and large financial institutions that implement advice driven sales channels. Having worked with firms in North and South America, the Caribbean, Asia and Europe – both experienced planning organizations and firms in the initial stages of introducing financial planning – has provided Shawn with a unique understanding of this industry and emergent profession.

In 2003 Shawn and others helped to draft the "*Financial Planning Best Practices Guide*" for the 15,000 members of Advocis – Canada's first comprehensive best practice manual.

In 2006 Shawn was instrumental in the development of the "Advice Transition Program", a 60-hour Continuing Education program for advisors that is designed to help them transition their practices from a traditional product sales model to a professional financial planning practice. This program was awarded the "Advisor Education Award" for Canada in 2007.

In September 2007, Shawn was presented the Financial Frontiers Award, a global research award by the Journal of Financial Planning and the Financial Planning Association for leading research in the field of financial planning. Shawn's paper "*Beyond Monte Carlo: A Replacement for a Misunderstood Technology*" outlined major gaps in the use of Monte Carlo Simulations in the industry and introduced a ground breaking new approach called a Reliability Forecast.

In 2009 Shawn was the instigator of [www.planipedia.org](http://www.planipedia.org), the world's first community-based "wiki" dedicated to financial planning. It was launched in October at the FPA conference in Anaheim, won the "Best New Initiative" in the financial services industry in Canada that year and since its launch has generated "Supporters" from associations, academics, authors and planners from over 20 countries and 10 languages worldwide.

In October 2011 Shawn was presented with the Academy of Financial Services Best Paper Award for his submission on "*Defining and Measuring Risk Capacity*". Shawn's paper was chosen from many topics submitted by international scholars.

In September 2013 Shawn was elected to the Board of Directors of the Financial Planning Association (FPA), Denver, CO. The FPA is the largest association of professional financial planners in the world with over 23,000 members from about 30 countries. Shawn has served as Chair or Board Liaison for the Global Advisory Committee for a number of years, been active on various other committees and task forces including the Global Academic Community.

In 2013 Shawn and PlanPlus launched the "PlanPlus Global Financial Planning Awards" which are now in their 6th year with financial planners from around the world competing for one of three prestigious awards –The Americas, Europe and Asia. PlanPlus has also supported similar peer reviewed awards programs for Canada, Malaysia, Singapore, Germany and Israel.

In 2015 Shawn and the PlanPlus team were selected by the Ontario Securities Commission, Investor Advisory Panel, to head up a research project on "*Current Practices for Risk Profiling in Canada and Review of Global Best Practices*".

In 2016 Shawn was a volunteer representative on the Digital Advice Working Group for the CFP Board in Washington DC. This group included representatives from most of the top fintech "robos" in the world day and was tasked with exploring scenarios of how Fintech would impact financial advisors by 2021.

In September 2016 Shawn, along with co-author Dr. John Grable, was awarded the Best Applied Research Award at the Financial Planning Association annual conference in Baltimore. The research was on "Current Practices in Risk Profiling". In October 2016 Shawn, along with coauthor Larry Frank Jr. was awarded the CFP Board Best Research Paper Award at the Academy of Financial Services conference in Las Vegas. This paper was on "Combining Stochastic Simulations and Actuarial Withdrawals into One Model". This paper was published by the *Journal of Financial Planning*, November 2016.

Shawn currently sits as a Member of the Board of the Academy of Financial Services, [www.academyfinancial.org](http://www.academyfinancial.org) which is a global academic organization located in the USA that publishes the *Financial Services Review* and holds one of the primary academic research conferences in the financial services sector. In 2019 Shawn was presented a *Special Recognition Award* by the Academy of Financial Services for his work to build stronger links between academics and practitioners.

Shawn was a volunteer member of FPA Annual Conference Task Force, which was held in Minneapolis, MN, Oct 16-18, 2019, the largest financial planning conference held globally. Aside from other responsibilities, Shawn coordinated sponsorship for special sessions bringing together "The World's Best Financial Planning Research" with award winners from *The Journal of Financial Planning* (FPA US), the *Financial Services Review* (AFS) and the *Financial Planning Research Journal* (FPAF/FPA Australia).

Shawn is a frequent speaker at industry events on topics of technology, financial planning best practices, research, and practice management. He has presented to audiences both large and small in Canada, USA, UK, Ireland, Netherlands, Hungary, Russia, Hong Kong, China, Japan, Singapore, Malaysia and more. Shawn brings a unique combination of technical, business and financial planning knowledge to any audience.



### GREG DAVIES

Head of Behavioural Science | Oxford Risk

Greg is a specialist in applied behavioural finance, decision science, responsible investing, and financial wellbeing.

He founded the banking world's first behavioural finance team at Barclays in 2006, which he led for a decade.

In 2017 he joined *Oxford Risk* to lead the development of behavioural software to help people make the best possible financial decisions.

Greg holds a PhD in Behavioural Decision Theory from Cambridge; has held academic affiliations at UCL, Imperial, and Oxford; and is author of *Behavioral Investment Management*.

Greg is also Chair of *Sound and Music*, the UK's national charity for new music; and creator of *Open Outcry*, a 'reality opera' premiered in London in 2012, creating live performance from a functioning trading floor.

### SEAN MCGRATTEN

Senior Director, Regulatory Management and Governance | RBC Wealth Management

Sean is part of a team with global accountabilities for regulatory issues impacting RBC's wealth businesses, working with business unit and functional partners to assess impacts of regulatory change, advocating on behalf of RBC and its clients, and implementing related changes to policies and procedures. Prior to his current role, Sean was Assistant General Counsel, RBC Law Group, leading the team providing legal advice and support to RBC's Canadian registered securities distribution businesses. Before joining RBC, Sean was Vice President & Legal Counsel with DundeeWealth, Legal Counsel on the Market Regulation Team at the Ontario Securities Commission, and privately practiced corporate, commercial, and litigation law. Sean was called to the Ontario Bar in 2001, has an LL.B. from Osgoode Hall Law School and a B.A. from Western University.



### MARTIN SPRINGALL

Manager, Compliance Policy & Governance | Raymond James Ltd.

Oversee policy and regulatory change management projects for RJL, including leading on CFR implementation for the firm.

Previously held roles in compliance and the business at TD Canada Trust and CIBC, in monitoring and testing, policy and reporting, and digital channels.