



# FIRMA®

Fiduciary & Investment Risk Management Association

[WWW.THEFIRMA.ORG](http://WWW.THEFIRMA.ORG)



## 31ST NATIONAL RISK MANAGEMENT TRAINING CONFERENCE

**NEW ORLEANS, LOUISIANA  
MAY 21 - 25, 2017**



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Campbell University/ Trust Education Foundation, Inc.  
Cannon Financial Institute, Inc.  
Global Association of Risk Professionals (GARP)  
Securities Industry & Financial Market Association - Internal Auditors Society (SIFMA/IAS)

## Organizations Represented at the 2016 National Conference

Alaska Trust Company	Country Financial	Harper & Pearson Company, PC	Renasant Bank
Alpine Bank	Crowe Horwath LLP	Hemenway Trust Company	RSM US LLP
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BBVA Compass	Federal Reserve Bank of Los Angeles	MB Financial Bank	The First National Bank in Sioux Falls
Benefit Trust Company	Fidelity Investments	MEMBERS Trust Company	The Glenmede Trust Company
Bessemmer Trust Company	Fifth Third Bank	Mercantile Trust	The Northern Trust Company
BMO Financial Group	First American Trust, FSB	Mid Atlantic Trust Company	The Private Trust Company, NA
BNC National Bank	First Bankers Trust Services	Montana Division of Banking	TIAA-CREF
BNY Mellon	First Foundation Bank	MUFG Union Bank	TMI Trust Company
BOK Financial	First Hawaiian Bank	MutualBank	Tolleson Private Bank
Broadridge Financial Solutions	First Interstate BancSystem, Inc.	National Advisors Trust Company, FSB	U.S. Bancorp
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# CONFERENCE SCHEDULE

## SUNDAY, MAY 21

Workshop Check-in	11:30 am - 1:00 pm
Pre-Conference Workshops	1:00 - 4:00 pm
Conference Check-in	4:30 - 6:00 pm
New Attendee/New Member Reception	6:30 - 7:30 pm

## MONDAY, MAY 22

Late Conference Check-in	7:30 - 8:00 am
General Sessions	8:00 - 11:45 am
Hosted Luncheon	11:45 am - 1:00 pm
Breakout Sessions	1:00 - 4:30 pm
Roundtable Sessions	4:45 - 5:45 pm
Welcome Reception	6:30 - 8:30 pm

## TUESDAY, MAY 23

General Sessions	8:00 am - 12:45 pm
Complimentary Focus Session	2:30 - 4:30 pm

## WEDNESDAY, MAY 24

General Session	8:00 - 9:00 am
Breakout Sessions	9:15 - 11:30 am
Hosted Luncheon and FIRMA Annual Membership Meeting	11:45 am - 1:15 pm
Breakout Sessions	1:15 - 4:45 pm

## THURSDAY, MAY 25

General Sessions	8:00 - 10:15 am
Roundtable Sessions	10:30 - 11:30 am
Adjourn	11:30 am

*To Our Fiduciary Colleagues – A unique window...*

*Our fiduciary and investment risk industry is facing unprecedented responsibility to focus upon risk management as a cohesive team and to reshape fiduciary mandates across all products and services.*

*FIRMA's 2017 outstanding group of Conference sessions and speakers, displayed in this brochure, has been selected specifically by your peers as not-to-miss topics.*

*To the Business Line / First Line of Defense - FIRMA invites you to join us for state-of-the-industry business topics, including two special Trust Executive Focus Sessions. Additionally, FIRMA is the premier industry source for vital sharing of fiduciary risk management topics with audit, risk/compliance, and regulatory professionals. Never before has strategic cross-functional risk management been so intensely required and regulated.*

*To our valued fiduciary audit, compliance, and risk professionals - FIRMA proudly and steadfastly recognizes our pledge to bring to you the most current and in-depth industry issues that define, strengthen through understanding, and distinguish your critical roles.*

*We believe our 2017 Agenda is unequalled in value over a five-day period. Come engage with us and our expert speakers – learn, confirm, surpass, and network. Gain a distinct advantage within the fiduciary industry.*

*I urge you to peer into this Brochure's window. Turn these pages, invest in your expertise, and join us in New Orleans. See you there!*

*Hale Mast, CTA  
FIRMA Executive Director*



National Association of State Boards of Accountancy

The Fiduciary and Investment Risk Management Association, Inc.™ (FIRMA) 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 for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: [www.nasbaregistry.org](http://www.nasbaregistry.org).

# 31st National Risk Management Training Conference

FIRMA™ is proud to sponsor its thirty-first Annual National Risk Management Training Conference and we are pleased to bring outstanding topics and speakers back to New Orleans. Our demanding and challenging financial times continue and FIRMA has stood strong in our belief that there is no more vital time than now for training and understanding. In recognition of this, FIRMA is proud to provide training resources to risk management professionals who are responsible for asset/wealth management, broker/dealer/advisor activities, and insurance products.

Our national speakers will discuss the current trends in the industry, new products and specialized lines of business, and will provide insights to the management and control of associated risks. Our program is designed to provide valuable benefits to:

- Fiduciary Auditors and Compliance Officers
- Business Line Asset and Investment Management Professionals
- Fiduciary Executives
- Fiduciary Risk Management Professionals
- State and National Regulators
- Legal Counsel
- Certified Public Accountants

Our program will offer a unique combination of general sessions and individualized group sessions. Our general sessions will primarily address issues of significant importance to the risk and investment management industry. This year, we are pleased to continue our offerings of expanded breakout sessions, held on Monday, Wednesday, and Thursday with a total of 32 breakout sessions. These sessions focus on more specialized products and services from which attendees can choose the topics of most importance to their institutions. We are also pleased to offer two valuable Pre-Conference Workshops on Sunday prior to the start of the formal conference, as well as a 2-hour **Complimentary** Focus Session on Tuesday afternoon.

## Workshop Fees

Pre-Conference Workshops are \$295 for FIRMA members and \$395 for non-members.

## Conference Fees

Conference fees are \$1,750 for FIRMA members and \$1,995 for non-members. This fee includes all conference materials, daily continental breakfasts, morning and afternoon refreshment breaks, two luncheons and a Monday evening welcome reception.

**EARLY PAYMENT DISCOUNT - For conference payments received through March 17, 2017, the conference fees are \$1,650 for FIRMA members and \$1,895 for non-members.**

## Group Discounts

Group discounts to the above prices are available as follows. Group registrations must be received together, at the same time, and paid through a single invoice.

- 5% off the above fees for 5 registrations
- 10% off the above fees for 10 registrations

Special Fee Offer for Attendees from National and State Regulatory Agencies

- \$1,450 for Regulator FIRMA Members
- \$1,595 for Regulator FIRMA Non-Members

## Cancellation Refund Policy

**Cancellations received prior to April 29, 2017, will be refunded in full, less a \$25 service charge. Cancellations received April 29th through May 5th will be refunded subject to a \$250 service charge. Cancellations made after May 5th, 2017, are non-refundable.** No refunds will be processed unless the cancellation is made in writing. **Note: You may transfer your registration to another person at any time.**

FIRMA reserves the right to change speakers or reschedule or cancel sessions when necessary. FIRMA is not responsible for any penalties (e.g. airfare, hotels, etc.) that may be incurred should this program be canceled. For more information regarding seminar administrative policies such as complaint or refund, please contact our offices at 770-790-8355.

## Continuing Education

The 2017 Training Conference provides 23 Group-Live continuing education hours. The Pre-Conference Workshops each provide 3 Group-Live continuing education hours; the Complimentary Focus Session provides 2 Group-Live continuing education hours. For certified FIRMA members, all of these hours will be recognized as FIRMA-specific.

## Conference Education Prerequisites

There are no advance preparation requirements to be read or completed prior to attending this program.

The program skill level for this Conference is rated **“Intermediate.”** This program is rated Intermediate because of the educational and/or experience recommendations as follows:

- Attendee should be a Certified professional; **or**
- Attendees should have at least one year of general trust or fiduciary work experience in the fields of personal trust, employee benefit trust, audit, compliance, or risk management; **or**
- Attendees should have passed a one-week trust school course offered by Cannon Financial Institute or Campbell University, or an equivalent industry program; **or**
- Attendee should have attended a previous FIRMA education program.

## Tax Deductibility

The cost of continuing education (when taken to maintain or enhance professional development) may be tax deductible. Please consult with your tax accountant for more information.

## Special Hotel Incentives from FIRMA and our Host Hotel – The New Orleans Marriott

FIRMA feels it is important for our Conference Attendees to know that FIRMA has significant contractual risk if our Attendees do not stay at our host hotel. For 2017, FIRMA is pleased to offer to our government Attendees up to 25 government-rate rooms. In addition, for **all** FIRMA Conference Attendees staying at the New Orleans Marriott, each individual is eligible for one of three (3) special raffle prizes as an incentive:

- One (1) free registration certificate to the FIRMA 2018 Conference
- One (1) night hotel rooming fee rebated to Attendee's room bill
- One (1) gift voucher for a complimentary 2-night stay in a Marriott hotel

FIRMA always hopes our Attendees will choose to enjoy the convenience of our host hotel and, for 2017, especially the grand amenities offered at the New Orleans Marriott.

# SUNDAY, MAY 21, 2017

## Pre Conference Workshop I

1:00 - 4:00 pm

### **Fiduciary Risk Boot Camp**

Basic

**Donald F. Moore, Jr.**  
BEARMOOR, LLC  
Florissant, Colorado

Here is the perfect overview for those professionals seeking a primer on the inherent risks in the asset and wealth management world. Please join Don for this engaging and interactive session as he guides the audience in a broad analysis of fiduciary risk throughout all business lines within wealth – from a perspective of addressing both traditional product/services risk and emerging risks. This is a not-to-miss session for all levels of fiduciary expertise.

## Pre Conference Workshop II

1:00 - 4:00 pm

### **Aligning Risk Assessments and Testing Among the Three Lines of Defense**



**Deborah A. Austin, CTCP, CFSA**  
*Director*  
*Fiduciary Compliance Director*  
*Wealth Markets Global Trust Compliance*  
*MUFG*  
*San Diego, California*



**Christine L. Gedrock, CFIRS, CRCM, CBA, CFSA**  
*Vice President*  
*KEYBANK*  
*Cleveland, Ohio*



**Carol Severyn**  
*Executive Vice President and Chief Audit Executive*  
*FROST BANK*  
*San Antonio, Texas*

Attend this pre-conference workshop and learn how others are coordinating risk assessments and testing amongst the 1st, 2nd and 3rd lines of business. You will hear from three seasoned industry professionals who have experience within their respective lines. This Workshop is certain to have a lot of interactive discussion as well as a case study and best practices from around the industry.

## NEW ATTENDEE/NEW MEMBER RECEPTION

**6:30 - 7:30 pm**  
**Hosted by FIRMA**

FIRMA is delighted to host a special reception for our first-time Conference attendees and new FIRMA members. Our guests will learn about the events planned for the Conference week, will receive tips for navigating through the many sessions – both general and breakout, and they will learn about FIRMA's mission and the benefits of FIRMA membership. Guests are also encouraged to share questions with the FIRMA ambassadors. This informal reception provides an easy Conference introduction for our new attendees and members.



## Welcoming Remarks

8:00 - 8:15 am

FIRMA President Jennifer L. De Vries

## Opening Keynote Address

8:15 - 9:15 am

### ***Litigation Risk and Emerging Fiduciary Law Issues: How to Prevent a Lawsuit Challenging your Actions as a Fiduciary***



#### **Eugene F. Maloney**

*Executive Vice President & Corporate Counsel  
FEDERATED INVESTORS, INC.  
Pittsburgh, Pennsylvania*

You have been sued in court! Now what?

## General Session

9:30 - 10:30 am

### ***A Look Ahead for the U.S. and Global Economy***



#### **Jeff Korzenik**

*Senior Vice President and Chief Investment Strategist  
FIFTH THIRD BANK  
Chicago, Illinois*

Please join Jeff for an engaging session where attendees can hear answers to:

- What forces are supporting growth after nearly 8 years of economic expansion?
- What are the most likely triggers of recessions?
- What are the long-term structural risks to U.S. growth?
- What can we expect from the Fed?

## General Session

10:45am - 11:45 am

### ***Strategic Advantages of a Strong Culture***



#### **James D. Weddle**

*CEO, THE JONES FINANCIAL COMPANIES,  
LLP  
Managing Partner  
EDWARD D. JONES & CO., LP  
St. Louis, Missouri*

With increasing frequency, we turn on the television or open the newspaper and learn of financial institutions sustaining significant regulatory enforcement actions, monetary penalties, and reputation damage from a failure to establish and maintain a strong culture of compliance and ethical behavior. In this session, you will learn why successful organizations view a robust culture of compliance and ethical behavior not as a cost but rather a strategic opportunity to attract and retain clients, bolster profitability, and engage and inspire organization leaders, associates and stakeholders.

## Hosted Luncheon

11:45 am - 1:00 pm

## BREAK OUT SESSIONS – 1:00 – 2:00 PM

### **DOL Fiduciary Standard – Implementation Checkpoint**



**Bradford Campbell**  
*Counsel*  
DRINKERBIDDLE  
Washington, D.C.

Please join Brad for a discussion of various approaches and strategies he has seen in implementing the new DOL Fiduciary Rule. Attendees will learn critical readiness checkpoints – from both the business side and the regulatory side. Brad will also discuss emerging changes from the new Administration's banking oversight agenda.

### **Trust Executive Focus – Profitability Perspectives: Planning Pointers and Potential Pitfalls**



**Howard Safer, CPA / PFS**  
*Chief Executive Officer*  
ARGENT TRUST COMPANY  
Nashville, Tennessee

You can enhance your value to your organization by knowing the perspective of the FIRST LINE OF DEFENSE. Howard will share observations from five decades of risk management experience. Plan to return home with a better understanding of:

- Line executive's view of risk
- Organization's difficult compliance doubters
- Differentiating significant profitability concerns
- Evaluating short, intermediate and long term potential pitfalls

### **T+2 Settlements**

Emerging



**Satish G. Pattegar**  
*Fiduciary & Governance Risk Consultant*  
*Fiduciary & Investment Risk Oversight*  
*Wells Fargo Corporate Enterprise Risk Group*  
WELLS FARGO CORPORATION  
Minneapolis, Minnesota

Ready or Not...T+2 will be reality soon!!!! Attendees will learn: What does that mean to your organization? How has the US prepared for the transition from T+3 to T+2? What are the reasons for this transition? What do the impact assessments reveal? Are we headed toward T+1 or T+0 soon?

Let's discuss these and other questions you may have and leverage the experiences and understanding of the participants. We will also discuss the status of T+2 in Europe and Canada.

### **Investment Performance Reporting: The Do's and Don'ts When It Comes to What You Can or Should Show for Clients and Prospects**

Basic



**William T. Norris**  
*Private Wealth*  
*Managing Director | Chief Investment Officer*  
THE PRIVATEBANK  
Chicago, Illinois

This session will look at how firms and advisors approach "investment performance reporting" for clients and prospects, touching on what advisors should not do when showing investment performance and what they should be doing from a regulatory and practical approach. This session will review best practices that firms and compliance managers can implement in their practice to ensure compliance in the ever challenging environment we operate in.

## BREAK OUT SESSIONS – 2:15 – 3:15 PM

### Regulatory Panel



Moderator  
**John L. Clark, CTA, CRCM, CAMS**  
*Retirement & Institutional Services*  
*Trust Operations Manager*  
BB&T  
*Raleigh, North Carolina*

#### Joel Miller

*Asset Management Group Leader*  
OFFICE OF THE COMPTROLLER OF THE CURRENCY  
*Washington, D.C.*

#### Michael W. Orange, CFIRS

*Acting Examination Specialist Trust*  
*Policy and Program Development Section*  
FDIC  
*Washington, D.C.*

#### Deborah Perry

*Regional Director EBSA*  
US DEPARTMENT OF LABOR  
*Dallas, Texas*

#### Rebecca Zak

*Corporate Governance*  
*Division of Banking Supervision & Regulation*  
BOARD OF GOVERNORS OF THE FEDERAL RESERVE  
SYSTEM  
*Washington, D.C.*

This is always a valuable and not-to-miss session with our primary federal regulators. These agency leaders will share their current fiduciary examination and policy initiatives, each responding respectively to a series of questions posed by FIRMA. This unique format will allow attendees to hear how each agency is addressing financial reform.

### Trust Executive Focus - Understanding Succession Development



**Geoffrey A. Madsen**  
*Chief Executive Officer and President*  
INDEPENDENT TRUST COMPANY  
OF AMERICA  
*Rapid City, South Dakota*

Creating and implementing an effective succession process can feel like a moving target. The most successful families and companies spend more time developing candidates than developing lists. The process used to identify a successor is as much about soft skills and innate ability as it is about technical knowledge. We will discuss how culture drives values-based succession decisions.

### Elder Financial Fraud Prosecution



**Joanne Woodruff**  
*Assistant Criminal District Attorney*  
BEXAR COUNTY  
DISTRICT ATTORNEY'S OFFICE  
*San Antonio, Texas*

The Bexar County District Attorney's Office in San Antonio, Texas, has had an Elder Fraud Unit since 2004, handling the criminal prosecution of financial fraud cases where the victims are 65 and over. Discussion will include how the unit got started, the types of cases, how the cases arrive at the DA's office, what offenses are prosecuted, how the cases are processed, what unique issues are presented by elder fraud cases, and how to protect our seniors.

### Global Auction Trends and Their Effect on Tangible Assets

#### Reid Dunavant

#### Kevin Zavian

DOYLE NEW YORK, AUCTIONEERS AND APPRAISERS  
*New York, New York*

Newly affluent collectors around the world are driving certain sectors of the auction market to record levels, while other categories of tangible property are experiencing declining prices due to shrinking demand. Specialists Kevin Zavian and Reid Dunavant, both featured appraisers on the 'Antiques Roadshow,' will discuss the correlation between market trends and the pricing of specialty assets in today's globalized market.



## BREAK OUT SESSIONS – 3:30 – 4:30 PM

### **Regulatory Panel**

REPEAT SESSION

John Clark – Moderator

**Joel Miller**

**Michael W. Orange**

**Deborah Perry**

**Rebecca Zak**

### **Digital Investment Advice – Inside the Black Box**



**Sharon L. Corbett**

*Fiduciary Compliance Director*

CHARLES SCHWAB

TRUST COMPANY OF DELAWARE

Wilmington, Delaware

The adoption of “Robo-Advice” has sparked conversations about the risk, limitations and fees associated with digital investment advice. Compliance programs need to evolve to include oversight of the technology supporting the advice. During our session, we will discuss the expectations for the risk management of these advice programs, including model risk management, ongoing investment portfolio monitoring and conflicts of interest in portfolio construction.

### **Cyber Fraud has Evolved to Omni Channel**



**Ian Mitchell**

*Vice President*

*Director of Enterprise Fraud Risk Management*

FIFTH THIRD BANK

Cincinnati, Ohio

In this session, participants will be provided an overview of the fraud challenges that exist in a digital channel where anonymity (privacy) is cheered, cherished and revered. The digital landscape is evolving quickly, driven largely by increased consumer demands and technology advancements. Fraudsters are leveraging information gathered and increased functionality provided through digital channels to structure attacks across an institution’s various customer touch-points. Participants will be provided guidance and best practices to develop an anti-fraud program that can sustain the challenges of cross channel threats. Specific topics will include the need for increased organizational collaboration between Fraud, Information Security, IT and Operations.

### **Portfolio Management – Current Issues for Compliance and Risk Professionals**



**Thomas G. Kennedy**

*Principal, Director of Investment Management  
Compliance, BESSEMER TRUST*

*CCO, Bessemer Investment Management LLC and  
Old Westbury Funds, Inc.  
New York, New York*

This session will provide background on some current topical issues for compliance and risk professionals supporting a firm’s portfolio management function:

- Daily compliance techniques: Challenges in administering a uniform compliance monitoring program when you have mutual funds, private funds and common trust funds. Is there a one size fits all, or do you need a bigger boat?
- Trading oversight: When is it more important to trade for alpha than it is for best execution? Can that be a thing? Managing the expectations of examiners and auditors.
- SEC rulemaking: Expected changes to the portfolios, and the compliance program surrounding portfolio management, that stem from the SEC’s proposed liquidity and derivatives rules for registered investment companies.
- Dealing with complexity: the rising use of ETFs, index based investment strategies, and derivatives and other techniques even within actively managed “traditional” investment funds.
- Other topics: Things are happening fast, so stay tuned other topics of interest may arise after this brochure is printed!

# MONDAY, MAY 22, 2017

## ROUNDTABLE SESSIONS – 4:45 – 5:45 PM

Join your peers in four different roundtable discussion groups for discussions around best and leading practices to address current or emerging issues and challenges. We ask all Federal and State regulators in attendance to join the “Regulators” Roundtable. All other attendees may choose the “Community”; “Regional”; or “Large” Institutions Roundtables.

### Community Institutions

Leaders:



**Bruce K. Goldberg, CTA, CPA**  
*Managing Director / Deloitte Advisory*  
DELOITTE & TOUCHE LLP  
New York, New York



**Gary E. Pelcak, CTA, CFSA, CFE**  
*Chief Audit Executive*  
CENTRAL NATIONAL BANK  
Junction City, Kansas

### Regional Institutions

Leaders:



**Casey Jeanneret, CBA, CFIRS**  
*Senior Compliance Advisor*  
FIRST NATIONAL BANK OF OMAHA  
Omaha, Nebraska



**Deanna Rankin, CFIRS**  
*SVP, Trust Internal Audit Mgr*  
FROST BANK  
San Antonio, Texas

### Large Institutions

Leaders:



**Jennifer L. De Vries, CTA**  
*Senior Managing Director*  
*Wealth Management Administration,*  
*Risks, and Operations*  
MB FINANCIAL BANK, NA  
Rosemont, Illinois



**David B. Jonke, CTA, CPA**  
*Compliance Senior Director -*  
*Wealth and Asset Management Division*  
*Senior Vice President*  
FIFTH THIRD BANK  
Chicago, Illinois

### Regulators

This session is open only to Federal and State Regulators

Leader:



**Scott Kelly, CFIRS**  
*Deputy Director*  
SOUTH DAKOTA DIVISION OF BANKING  
Pierre, South Dakota

## FIRMA's Welcome Reception

The Cabildo Louisiana State Museum

701 Chartres Street

6:30 – 8:30 pm



## Keynote Session

8:00 - 9:00 am

### Embracing Risk as a Financial Priority



**Phil McHugh**  
*Executive Vice President*  
*Head of Wealth and Asset Management Division*  
**FIFTH THIRD BANK**  
*Cincinnati, Ohio*

Please join Phil as he shares his expertise and guidance in the areas of:

- Managing risk is everyone's responsibility.
- Employees who cut corners lose their jobs and those who "do it right the first time" are rewarded.
- Shared accountability means no accountability.
- Risk messages must come from senior leaders.
- Risk awareness must be embedded deep into the line of business.

Attendees will learn and expected outcomes will include:

- Enhanced client experience
- Increased profit margin
- Improved shareholder value
- Strengthened audit & regulatory ratings

## General Session

9:15 - 10:15 am

### ABA Trust Legislative Update



**Cecelia A. Calaby**  
*Senior Vice President*  
*Center for Securities, Trusts, and Investments*  
**AMERICAN BANKERS ASSOCIATION**  
*Washington, D.C.*

Policy makers are still busy with priority issues for this administration and ongoing Dodd-Frank Act and Fiduciary Standard implementation. Come to this session to hear what federal legislative and regulatory initiatives are underway in Washington that could have an impact on how you do business.

## General Session

10:30 am - 11:30 am

### Conducting Interviews in the Twenty-first Century - An Examination of Interview Impacting Dynamics



**Don Rabon, CFE**  
*SUCCESSFUL INTERVIEWING TECHNIQUES*  
*Hendersonville, North Carolina*

Within the societal setting, interviewers – be they manager, investigator, auditor, attorney, counselor or others – are the “canaries in the mind”. The rapidly changing dynamics of society are actualized, most acutely, in the construct of interpersonal communication. Interpersonal communication is nowhere more critical than in the conduct of the interview. Critical decisions – hiring, dismissal, charges, investigation directions, audit recommendations - are made on the basis of the interview. But, are the operational, interviewing assumptions of yesterday valid today? This session is designed to explore those changing dynamics and consider the subsequent interviewing modifications. Topics we will explore include:

- Interviewing the unfocused from an unfocused world;
- Interviewing Generation ME!;
- Detecting deception in the unremorseful;
- Gaining compliance from those inoculated against responsibility

## General Session

11:45 am - 12:45 pm

### Fiduciary Litigation



**McNeil Chestnut**  
*Former Deputy Attorney General*  
**STATE OF NORTH CAROLINA**  
*Raleigh, North Carolina*

McNeil Chestnut, an attorney and Visiting Professor of Fiduciary Law and Administration in Campbell University's Master of Trust & Wealth Management program, will walk you through some historic decisions that have shaped the wealth management business; explore some recent noteworthy decisions; and take a look at where the courts may be headed. One or two cases may leave you laughing out loud or asking — the trustee did what? Really!

# WEEK AT A GLANCE

SUNDAY

## Pre Conference Workshop I

1:00 - 4:00 pm

*Fiduciary Risk Boot Camp*  
Donald F. Moore, Jr.

## Pre Conference Workshop II

1:00 - 4:00 pm

*Aligning Risk Assessments & Testing  
Among the Three Lines of Defense*  
Deborah A. Austin, Christine L. Gedrock, Carol Severyn

## FIRST TIME ATTENDEE RECEPTION – 6:30 - 7:30 PM

MONDAY

### Welcoming Remarks

8:00 - 8:15 am  
FIRMA President  
Jennifer De Vries

### Opening Keynote Address

8:15 - 9:15 am  
*Litigation Risk and Emerging  
Law Issues*  
Eugene F. Maloney

### General Session

9:30 - 10:30 am  
*A Look Ahead for the U.S.  
and Global Economy*  
Jeff Korzenik

### General Session

10:45 - 11:45 am  
*Strategic Advantages of  
a Strong Culture*  
James D. Weddle

### Hosted Luncheon

11:45 am -  
1:00 pm

## BREAKOUT SESSIONS – 1:00 - 2:00 PM

*DOL Fiduciary Standard –  
Implementation Checkpoint*  
Bradford Campbell

*Trust Executive Focus –  
Profitability Perspectives:  
Planning Pointers and  
Potential Pitfalls*  
Howard Safer, CPA / PFS

*T+2 Settlements  
Emerging*  
Satish G. Pattegar

*Investment Performance  
Reporting: The Do's & Don'ts  
When It Comes to What You  
Can or Should Show for Clients  
and Prospects*  
William T. Norris

## BREAKOUT SESSIONS – 2:15 - 3:15 PM

*Regulatory Panel*  
Joel Miller  
Michael W. Orange  
Deborah Perry  
Rebecca Zak

*Trust Executive Focus –  
Understanding Succession  
Development*  
Geoffrey A. Madsen

*Elder Financial Fraud  
Prosecution*  
Joanne Woodruff

*Global Auction Trends and  
Their Effect on Tangible Assets*  
Reid Dunavant  
Kevin Zavian

## BREAKOUT SESSIONS – 3:30 - 4:30 PM

*Regulatory Panel*  
REPEAT SESSION  
Joel Miller  
Michael W. Orange  
Deborah Perry  
Rebecca Zak

*Digital Investment Advice –  
Inside the Black Box*  
Sharon L. Corbett

*Cyber Fraud has Evolved to  
Omni Channel*  
Ian Mitchell

*Portfolio Management –  
Current Issues  
for Compliance and Risk  
Professionals*  
Thomas G. Kennedy

## ROUNDTABLE SESSIONS – 4:45 - 5:45

*Community Institutions*  
Bruce K. Goldberg  
Gary E. Pelcak

*Regional Institutions*  
Casey Jeanneret  
Deanna Rankin

*Large Institutions*  
Jennifer L. De Vries  
David B. Jonke

*Regulators*  
Scott Kelly

## FIRMA'S WELCOME RECEPTION – 6:30 - 8:30 PM

TUESDAY

### Keynote Session

8:00 - 9:00 am  
*Embracing Risk as a  
Financial Priority*  
Phil McHugh

### General Session

9:15 - 10:15 am  
*ABA Trust Legislative  
Update*  
Cecelia A. Calaby

### General Session

10:30 - 11:30 am  
*Conducting Interviews in the  
Twenty-first Century*  
Don Rabon

### General Session

11:45 am - 12:45 pm  
*Fiduciary Litigation*  
McNeil Chestnut

## COMPLIMENTARY FOCUS SESSION – 2:30 - 4:30 PM

*Agile Risk Management: Aligning Risk Solutions to Enable Business Strategies*  
Dolores Atallo

**Keynote Session**

8:00 - 9:00 am  
**Governance, Board Responsibilities, and Making the Most of Internal Audit**  
 Alan R. Crain, Jr.

**HOSTED LUNCHEON**

11:45 am - 1:15 pm  
 Open to all Conference Attendees  
**FIRMA Annual Membership Meeting**  
 Jennifer L. De Vries, President

**BREAKOUT SESSIONS – 9:15 - 10:15 AM**

**ERISA Update - Considerations for Providers and Their Clients**  
 David Kaleda

**Discretionary Decisions**  
 James M. Marion

**The Three Lines of Defense – What Are the Results?**  
 Grant Harbrecht

**Common Internal Audit Themes for Community Bank Wealth Management Departments**  
 Machelle L. Rinko, CIA

**BREAKOUT SESSIONS – 10:30 - 11:30 AM**

**ERISA Update - Considerations for Providers and Their Clients**  
 REPEAT SESSION  
 David Kaleda

**Special Needs Trusts – Risks and Compliance**  
 Frances Fata

**Testers Testing Testers**  
 Susan Vogel-Vanderson

**Fraud in Wealth Management from Ponzi to Madoff and Beyond**  
 Craig L. Greene

**BREAKOUT SESSIONS – 1:15 - 2:15 PM**

**What Happens to the QPAM Exemptions When Your Institution is a Convicted Felon?**  
 Candace L. Quinn

**Mitigating Risks in Estate Settlement and Administration**  
 Lisa M. Garcia

**Elevating Risk Self-Assessments to the Next Level**  
 Raissa Horstmeier, CSOP

**Risk Appetite in Community Banks – Staying Between the Guardrails**  
 David G. Bilko

**BREAKOUT SESSIONS – 2:30 - 3:30 PM**

**The Ins and Outs of Auditing a 401(k) Portfolio**  
 Julia L. Kirby  
 Joshua Uhl

**The Future of Advising Our Clients**  
 J. Phil Buchanan

**Vendor Management at the Account Level**  
 Robert Dray

**Fiduciary Access to Digital Assets**  
 Suzanne Brown Walsh

**BREAKOUT SESSIONS – 3:45 - 4:45 PM**

**Top Risk Issues Facing Corporate Trust in Today's "Heightened Standards" World**  
 David Ursa, CCTS

**Conflicts of Interest – What Should be Keeping You Up at Night**  
 Stevan Savich, CFIRS

**Vendor Management at the Account Level**  
 REPEAT SESSION  
 Robert Dray

**The Future of Advising Our Clients**  
 REPEAT SESSION  
 J. Phil Buchanan

**Keynote Session**

8:00 - 9:00 am  
**The Investigation of the Wolf of Wall Street**  
 Gregory Coleman

**General Session**

9:15 - 10:15 am  
**The Changing Face of AML Compliance**  
 Harold Crawford  
 Robert G. Rowe, III

**ROUNDTABLE SESSIONS – 10:30 - 11:30 AM**  
**CONFERENCE HIGHLIGHTS & KEY TAKEAWAYS**

**Community Institutions**  
 Bruce K. Goldberg  
 Gary E. Pelcak

**Regional Institutions**  
 Casey Jeanneret  
 Deanna Rankin

**Large Institutions**  
 Jennifer L. De Vries  
 David B. Jonke

**Regulators**  
 Scott Kelly

# TUESDAY, MAY 23, 2017

## COMPLIMENTARY FOCUS SESSION 2:30 - 4:30 PM

### ***Agile Risk Management: Aligning Risk Solutions to Enable Business Strategies***

Advanced



**Dolores Atallo**  
*Managing Director*  
PROTIVITI  
New York, New York

Agile Risk Management promotes the central premise that business management and risk management should create a unified operating model with clear first, second and third line accountability. In the post financial crisis world, firms are expending significant time, money and resources to implement required changes to prioritize risk management and compliance activities. The time has come for proactive organizations to take the lead and adopt an agile risk management framework to better meet the expectations and challenges of today's stakeholders, including the board of directors, customers, shareholders, employees, and regulators. The resulting agile organization will be aligned in its strategy with enhanced operational excellence that supports customer satisfaction.



**The French Quarter**

## Keynote Session

8:00 - 9:00 am

### **Governance, Board Responsibilities, and Making the Most of Internal Audit**



**Alan R. Crain, Jr.**  
*Senior Vice President*  
*Chief Legal and Governance Officer*  
BAKER HUGHES INCORPORATED  
Houston, Texas

FIRMA is proud to sponsor Alan Crain's important discussion of the unique roles required within fiduciary governance – and how these may evolve in the future. How do we ensure that team members understand their duties and role in risk management? How does the Board make sure that it sees all matters with material risk considerations? When must risk questions come before the entire Board? Alan will discuss the practices, benefits, and challenges of implementing and maintaining a fiduciary governance structure that enhances ethical leadership, and conforms to applicable regulations and shareholder expectations. This is a not-to-miss session.

## BREAK OUT SESSIONS – 9:15 – 10:15 AM

### **ERISA Update – Considerations for Providers and Their Clients**



**David Kaleda**  
*Chartered Principal*  
GROOM LAW GROUP  
Washington, D.C.

This session will address EB trends impacting financial services providers and their clients including the Department of Labor's "investment advice" final regulation, DOL guidance, and current litigation.

### **Discretionary Decisions**



**James M. Marion**  
*National Fiduciary Advisor Executive*  
*Private Wealth Management*  
U.S. TRUST, BANK OF AMERICA  
Chicago, Illinois

Whether exercising a power to adjust under the relevant principal and income act, or distributing income or principal to a beneficiary under the terms of the trust, making discretionary decisions is fundamental to the role of the trustee. This session will explore: the basic components of discretionary decision-making by trustees; the development of policies and procedures for a broad range of discretionary decisions; and the risks associated with discretionary decision-making processes and documentation.

### **The Three Lines of Defense – What Are the Results?**



**Grant Harbrecht**  
*SVP, Chief Compliance Officer*  
FIFTH THIRD BANCORP  
Cincinnati, Ohio

Please join Grant as he discusses the following key issues:

- Now that the three lines have been established, what next?
- Where have the three lines been drawn?
- Were staff added to create the three lines, or did people just move around?
- Were new committees and governance created?
- Was new reporting created?
- Is there any confusion between the lines?

### **Common Internal Audit Themes for Community Bank Wealth Management Departments**

Basic



**Mabelle L. Rinko, CIA, CFIRS, CPA**  
*Senior Manager*  
CROWE HORWATH LLP  
New York, New York

This session will discuss common internal audit themes that have been identified within various Wealth Management Departments in Community Banks and Trust Companies. You can compare how your institution measures up against your peers. We will explore implementation strategies and discuss challenges institutions may face in trying to resolve compliance and internal control deficiencies.

## BREAK OUT SESSIONS – 10:30 – 11:30 AM

### **ERISA Update - Considerations for Providers and their Clients**

REPEAT SESSION  
David Kaleda

### **Special Needs Trusts – Risks and Compliance**



**Frances Fata**  
*Managing Director Personal Trust & Guardianship  
Services*  
MB FINANCIAL BANK, N.A.  
Rosemont, Illinois

Estate planners anticipate the increased use of Special Needs Trusts to address the needs of a growing disabled population. In this session, attendees will learn about different types of Special Needs Trusts and how the financial industry can best approach the risks associated with this growing segment of the industry.

### **Testers Testing Testers**



**Susan Vogel-Vanderson**  
*Chief Fiduciary Officer and Director,  
Business Controls*  
FIFTH THIRD BANK  
Cincinnati, Ohio

The three lines of defense model promotes redundant testing. What level of redundancy is optimal? In this session, we will explore alternate testing models and the quest for attaining the following goals for a testing program:

- Meet regulatory requirements
- Test close to the activity
- Reduce disruption to the line of business
- Enhance the control environment by increasing capacity for additional testing in the first line of defense
- Increase profit margin and shareholder value

### **Fraud in Wealth Management from Ponzi to Madoff and Beyond**



**Craig L. Greene, CPA/CFF, CFE, MCJ**  
*Partner*  
MCGOVERN & GREENE LLP  
Henderson, Nevada

In this interactive session, seasoned fraud buster, Craig L. Greene will share with you his knowledge of some of the more common types of fraud and embezzlement committed by those who manage the wealth of others. It will focus on the mindset and the profile of the fraudster and discuss the behavioral and procedural red flags that are often overlooked in trustee and fiduciary relationships. By contrasting the typical duties of the trustee or fiduciary against the potential portfolio risks Craig will show where things can and often do go wrong.

The objective of the session is to give you some tangible action points on preventing and detecting red flags of fraud and some pragmatic strategies for maximizing the recognition of early warning signs. Craig will discuss the typical profile of a fraudster, dealing with challenges of the “inform and account” requirements when assessing fraud risks, and other salient topics such as common fraud schemes perpetrated against the elderly, co-mingling of funds, loan schemes and other forms of mismanagement that lead to fraud.

## **Hosted Luncheon and Meeting**

11:45 am - 1:15 pm  
Open to all Conference Attendees

### **FIRMA Annual Membership Meeting**

**Jennifer L. De Vries**  
FIRMA President





## BREAK OUT SESSIONS – 1:15 – 2:15 PM

### **What Happens to the QPAM Exemptions When Your Institution is a Convicted Felon?**



**Candace L. Quinn**  
*Principal, Global Executive Compensation and Benefits*  
WEISERMAZARS LLP  
New York, New York

Please join Candace as she will discuss and attendees will learn:

- Prohibited Transactions and QPAM Exemptions under ERISA
- What happens to the QPAM Exemption if Institution is convicted of a felony
- How to Mitigate Loss of QPAM Exemption
- How to address DOL requirements to preserve QPAM Exemption
- Viability of Alternative ERISA Exemptions

### **Mitigating Risks in Estate Settlement and Administration**

Basic



**Lisa M. Garcia**  
*Chief Risk Officer*  
ATLANTIC TRUST PRIVATE  
WEALTH MANAGEMENT  
A CIBC Company  
Boston, Massachusetts

For many institutions, being a “trusted advisor” includes taking care of our clients’ financial matters not only during their lives, but also upon death. Appointment as Executor, Administrator or Personal Representative reflects the confidence clients have in us, as well as an expectation that the administration and disposition of their estates and settlement of obligations will be completed with care and diligence in a timely manner. Requirements for estate settlement and administration vary by state and often by local jurisdiction.

This session will focus on the high level requirements and inherent risks of estate settlement and administration, and the steps that may be taken to help mitigate the risks that accompany this important activity.

### **Elevating Risk Self-Assessments to the Next Level**



**Raissa Horstmeier, CSOP**  
*Vice President, Operational Risk Senior Manager*  
BMO HARRIS BANK N.A.  
Milwaukee, Wisconsin

This session will focus upon getting past the basic, comfortable and mechanical risk self-assessments.

Attendees will obtain a view on weaving in accountability, heightened standards and the business environment resulting in a holistic risk self-assessment. A mature process provides better engagement and elevates pro-active risk management practices by addressing what is meaningful to the business.

### **Risk Appetite in Community Banks – Staying Between the Guardrails**

Basic



**David G. Bilko**  
*EVP and Chief Risk Officer*  
UNION BANKSHARES CORPORATION  
Richmond, Virginia

Effective risk management is about establishing guardrails. This interactive session will focus on core principals and practical examples that community banks can utilize to build an effective Risk Appetite Framework, to include:

- Linkage between the strategic plan and risk appetite
- Establishing clear risk appetite and risk tolerance statements
- Oversight and reporting models that drive credible challenge

## BREAK OUT SESSIONS – 2:30 – 3:30 PM

### **The Ins and Outs of Auditing a 401(k) Portfolio**



**Julia L. Kirby, CTFA, CFAP**  
*Director*  
DELOITTE & TOUCHE LLP  
Washington, DC

#### **Joshua Uhl**

*Director*  
DELOITTE ADVISORY LLP  
Washington, DC

Please join Julia Kirby and Joshua Uhl of Deloitte and Touche LLP to learn the latest on internal audits relating to 401(k) accounts. They will talk about the impact of risk assessments, sample sizes, auditing techniques as well as integrating compliance components into your audit program. As we move beyond the compliance effective date of April 2017 for much of the Department of Labor's new Conflict of Interest Rule, changes to your audit program should be made to incorporate new compliance requirements that can affect this portfolio. Join us to learn what should already be in your program, what potential changes you will face over the coming year, and how to achieve effective and efficient audits of this critical area.

### **The Future of Advising Our Clients**



**J. Phil Buchanan**  
*Executive Chairman*  
CANNON FINANCIAL INSTITUTE  
Athens, Georgia

Clients of financial services firms are increasingly skeptical of the motivation behind the recommendations they receive from their wealth advisors, bankers, trust professionals, etc. Popular media has contributed to the angst. Regulatory agencies identifying poor relationship and sales practices contribute to this crisis of confidence. Many client facing professionals struggle to authentically communicate with their clients and this leads to a deterioration of trust. We must change these tones and mindset. We can do that by focusing more on the advice that we offer than the products we sell. By focusing on the advice predicated by the challenges and issues that clients face, we don't just meet a regulatory standard, we do the job for which we were hired. Join Phil Buchanan as we discuss the landscape of our industry and looking forward into the future of advice.

### **Vendor Management at the Account Level**



**Robert Dray**  
*Managing Director Trust Special Assets*  
MB FINANCIAL BANK, N.A.  
Rosemont, Illinois

In this session we will discuss how to efficiently assess and manage vendors, at the account level, in a manner that identifies, quantifies, and strives to mitigate any material risks associated with such relationships. This includes exercising appropriate due diligence, and risk analysis, prior to engagement, educating staff, creating a centralized vendor database, and monitoring post engagement.

### **Fiduciary Access to Digital Assets**



**Suzanne Brown Walsh**  
*Partner*  
MURTHA CULLINA LLP  
Hartford, Connecticut

You are behind the curve if you do not address digital property in estate planning, and estate and trust administration. Fiduciaries encounter special issues with access and disposition of digital property on a daily basis. This session will offer important planning tips and cutting edge advice for fiduciary administration of this unique set of assets.

You will learn about:

- Obstacles to a fiduciary's access to a decedent's digital accounts
- Planning tips to facilitate disposition of digital assets
- Revised Uniform Fiduciary Access to Digital Assets Act
- Cases under Computer Fraud and Abuse Act: Recent criminal password-sharing and TOSA violation cases

## BREAK OUT SESSIONS – 3:45 – 4:45 PM

### **Top Risk Issues Facing Corporate Trust in Today's "Heightened Standards" World**



**David Ursa, CCTS**  
*Managing Director  
Group Head  
Corporate Trust Services  
MUFU UNION BANK, N.A.  
San Francisco, California*

It is actually not a fairy tale, but once upon a time, if a Corporate Trust department followed decent procedures and stayed within the four corners of its account agreements, there was usually a "happily ever after" ending. However, in today's world, courts are accepting arguments about "implied duties and fiduciary standards" where documents clearly state otherwise. Existing regulations are being more broadly applied and new ones are passed with regularity. Audit (who often may not know this product) is looking for two and three checks on everything, when budgets for staffing barely allow for one. First and second lines are trying to not only adapt, but stay ahead of the game. Oh yeah, and somewhere in there is an expectation about the business actually making money.

Join this discussion to explore these challenges facing Corporate Trust and how to meet them.

### **Conflicts of Interest – What Should be Keeping You Up at Night**



**Stevan Savich, CFIRS**  
*Department of Financial Institutions  
THE STATE OF INDIANA  
Indianapolis, Indiana*

We will discuss the different roles of the Auditor, Compliance Officer, Risk Manager, and the Regulator all have in defining, assessing, and resolving fiduciary conflicts of interest and the important task of preventing the conflicts of interest from even occurring. Plenty of examples will be offered from Stevan's 37 years as a Federal Reserve Trust Examiner to keep you up at night. The names have been changed to protect the innocent!

### **Vendor Management at the Account Level**

REPEAT SESSION  
**Robert Dray**

### **The Future of Advising Our Clients**

REPEAT SESSION  
**J. Phil Buchanan**



*Jackson Square*

## Keynote Session

8:00 - 9:00 am

### ***The Investigation of the Wolf of Wall Street***



**Gregory Coleman**  
*Founder / CEO*  
COLEMAN WORLDWIDE ADVISORS  
*New York, New York*

Greg's presentation will take you inside the actual FBI investigation of Jordan Belfort, the infamous "Wolf of Wall Street." You'll hear intimate details of Belfort's rise to prominence and how the FBI subsequently brought down one of America's most notorious boiler-room stock fraudsters.

## General Session

9:15 - 10:15 am

### ***The Changing Face of AML Compliance***



**Harold Crawford**  
*Managing Director*  
K2 INTELLIGENCE  
*New York, New York*



**Robert G. Rowe, III**  
*Vice President & Associate Chief Counsel*  
*Regulatory Compliance*  
AMERICAN BANKERS ASSOCIATION  
*Washington, D.C.*

Financial institutions are on the front-line of the war to stop money laundering and financing of terrorist activities and the bar is rising higher and higher.

- We'll cover the fallout from the Panama Papers and the new Customer Due Diligence rule. How much do we need to know about legal entities? When do we need to know it? What about customers' customers?
- Can we share information? How do we balance disclosing information against protecting client privacy?
- What about de-risking? When is it safe to close an account? What steps are necessary to avoid criticism?

# THURSDAY, MAY 25, 2017

## ROUNDTABLE SESSIONS – 10:30 – 11:30 AM

### Conference Highlights & Key Takeaways / Community Institutions

Leaders:



**Bruce K. Goldberg, CTA, CPA**  
*Managing Director / Deloitte Advisory*  
DELOITTE & TOUCHE LLP  
New York, New York



**Gary E. Pelcak, CTA, CFSA, CFE**  
*Chief Audit Executive*  
CENTRAL NATIONAL BANK  
Junction City, Kansas

### Conference Highlights & Key Takeaways / Large Institutions

Leaders:



**Jennifer L. De Vries, CTA**  
*Senior Managing Director*  
Wealth Management Administration,  
Risks, and Operations  
MB FINANCIAL BANK, NA  
Rosemont, Illinois



**David B. Jonke, CTA, CPA**  
*Compliance Senior Director -*  
Wealth and Asset Management Division  
Senior Vice President  
FIFTH THIRD BANK  
Chicago, Illinois

### Conference Highlights & Key Takeaways / Regional Institutions

Leaders:



**Casey Jeanneret, CBA, CFIRS**  
*Senior Compliance Advisor*  
FIRST NATIONAL BANK OF OMAHA  
Omaha, Nebraska



**Deanna Rankin, CFIRS**  
*SVP, Trust Internal Audit Mgr*  
FROST BANK  
San Antonio, Texas

### Conference Highlights & Key Takeaways / Regulator

Leader:



**Scott Kelly, CFIRS**  
*Deputy Director*  
SOUTH DAKOTA DIVISION OF BANKING  
Pierre, South Dak

## Conference Adjourns

11:30 am

# 31st National Risk Management Training Conference

## NOTES

### **Hotel and Amenities**

The New Orleans Marriott Hotel  
555 Canal Street  
New Orleans, LA 70130  
504-581-1000

Stay in the heart of the city at the New Orleans Marriott. As one of the premier hotels in the French Quarter, you are placed within walking distance of festivals, food and fun. Enjoy easy access to popular restaurants, live music and Bourbon Street nightlife. Following an action-packed day, unwind in spacious rooms featuring contemporary decor, high-speed internet access, plush bedding and breathtaking city views. Gather with friends and colleagues to savor local flavors and comforting classics at the two celebrated restaurants, and get energized at Starbucks. The M Club Lounge offers exclusive access to flexible spaces for working, connecting and recharging. The state-of-the-art fitness center and outdoor saltwater pool are perfect for maintaining a regular exercise routine. Count on the friendly staff and breathe easy when you make a reservation at the New Orleans Marriott.

For information about the city of New Orleans, visit <http://www.neworleanscvb.com/calendar-events>.

### **Hotel Reservations**

Conference attendees will receive a reduced group rate of \$225.00 single or double occupancy for Sunday through Thursday. FIRMA also has 25 government rate rooms blocked at the New Orleans Marriott, from Sunday night through Wednesday night.

Hotel reservations may be made online at: <https://resweb.pass-key.com/go/FIRMA>. Please select "Attendee" for the group rate or "Government" for the government rate. Reservations may also be made over the phone by calling (888) 771-4429 (group name "FIRMA").

Attendees will be able to book up until our agreed cut off which is Friday, April 28, 2017 or until our block is sold out. **ALL RESERVATIONS MADE AFTER 5PM, APRIL 28, 2017, ARE SUBJECT TO AVAILABILITY.** The special FIRMA group rate will be honored (3) days prior and (3) days after the meeting dates, subject to availability.

### **Dress**

Casual dress is recommended for all conference functions. New Orleans enjoys a mild climate; the average temperature in mid-May is a high of 87 degrees with lows around 70 degrees at night. While attending conference sessions, a sweater or jacket is always recommended.

### **Airport Transportation Information**

(Prices approximate and subject to change)

The New Orleans Airport Shuttle is \$24.00 USD (one-way) – This shuttle travels from the airport to multiple downtown hotels and does stop at the New Orleans Marriott. The number for this airport shuttle is 504-522-3500. A taxi will cost approximately \$33.00 from New Orleans Airport to New Orleans Marriott (one-way).

The Marriott's concierge desk, sponsored by Limousine Livery, has its own airport shuttle that can provide a direct trip from the airport to our hotel and vice versa. This service is called My Airport Trip. You can input the number of passengers and the site will pre-populate a per person price by vehicle. Transportation can be arranged for one (1) up to nine (9) passengers, and multiple shuttles can be arranged at the same time. Here is the link to make those arrangements: <http://myairporttrip.com/program/new-orleans-marriott>

Larger vehicles can be arranged through Limousine Livery, directly at <http://www.limolivery.com/>

### **Americans with Disabilities Act**

FIRMA is pleased to assist in complying with ADA. If you are an attendee with a disability, please contact Hale Mast, FIRMA Executive Director, (803) 547-8964, to discuss any auxiliary aids needed to assist you from a communications, transportation, or architectural aspect. FIRMA will then inform the hotel of your special needs.

### **Special Events**

FIRMA is pleased to announce the following complimentary programs at this year's conference:

On Sunday evening, May 21st, FIRMA will host a reception for First-Time Conference Attendees / FIRMA New Members. Details are on page 3. Please indicate you are a first-time attendee on the conference registration form.

FIRMA's Board of Directors will host a special welcome reception at the historic Cabildo Louisiana State Museum, Jackson Square, on Monday evening, May 22nd, from 6:30-8:30pm. Come join us and enjoy this time to meet old and new friends attending the conference.

On Tuesday afternoon, May 23rd, FIRMA is offering a complimentary Focus Session from 2:30-4:30pm, entitled "Agile Risk Management and Risk Culture."

The FIRMA Annual Membership Meeting will be held following the hosted luncheon on Wednesday, May 24th. All conference attendees are invited to join us for lunch and the meeting.

# REGISTRATION FORM

## FIRMA 31st NATIONAL RISK MANAGEMENT TRAINING CONFERENCE May 21-25, 2017

- Register for:**
- Conference
  - Conference-Regulators
  - Pre-Conference Workshop  I  II
  - Complimentary Focus Session (*no charge, but pre-registration is requested*)
- Check one:**
- Member
  - \$1,750.00\*
  - \$1,450.00
  - \$295.00
  - Non-member
  - \$1,995.00\*
  - \$1,595.00
  - \$395.00

\* Take a \$100 discount if paid prior to March 17, 2017

Full Name – Mr. / Mrs. / Ms. \_\_\_\_\_

Name for Badge \_\_\_\_\_  **FIRST TIME ATTENDEE  
or NEW FIRMA MEMBER**

Title \_\_\_\_\_

Organization \_\_\_\_\_

Address \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Phone \_\_\_\_\_ Fax \_\_\_\_\_

E-mail Address \_\_\_\_\_

**NOTE: REGISTRATIONS FOR GROUP DISCOUNTS MUST BE SUBMITTED  
IN A SINGLE REGISTRATION FOR ALL INDIVIDUALS IN THE GROUP FOR DISCOUNT TO APPLY.  
If you are part of a group registration, please forward this completed form to your group coordinator. Thank you.**

I am part of a group registration

- Please Invoice
- Check enclosed (payable to FIRMA)
- Charge it:  VISA  MasterCard  Discover  American Express

Card Holder Name (Please Print) \_\_\_\_\_

Credit Card No. \_\_\_\_\_ Expiration Date \_\_\_\_\_ Security Code \_\_\_\_\_

Authorized Signature \_\_\_\_\_

**Conference Materials:** All 2017 Conference attendees may access and download the conference materials, speaker outlines, and handouts from the FIRMA website and the FIRMA mobile App prior to the Conference. Registered attendees will be notified when the speaker materials become available.

### BY MAIL

Copy and mail this complete form to:  
FIRMA, PO Box 669515, Marietta, GA 30066.

### BY TELEPHONE

Call us at (770) 790-8355, Monday-Friday,  
8 AM to 5 PM EST.

### BY FAX

Send this completed form to (770) 790-8363.

### BY E-MAIL

Our e-mail address is [thefirma@att.net](mailto:thefirma@att.net)

### REGISTER ONLINE

Visit our website at [www.thefirma.org](http://www.thefirma.org).

### TRAVEL

Call Mary at Action Travel at (800) 854-0601,  
ext. 3012 for travel arrangements.



FIRMA™  
Fiduciary & Investment Risk  
Management Association, Inc.  
PO Box 669515  
Marietta, GA 30066  
[www.thefirma.org](http://www.thefirma.org)

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colleagues!*

