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Campbell University/Trust Education Foundation, Inc.
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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
Alpine Bank
Amarillo National Bank
American National Bank & Trust
ANB Bank
Argent Fiduciary Consulting Services
Arkansas State Bank Department
Atlantic Trust Private Wealth Management
Bank of Hawaii
BankVision, Inc.
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Bessemer Trust Company
BMO Financial Group
BNC National Bank
BNY Mellon
BOK Financial
Broadridge Financial Solutions
CA Dept. of Business Oversight
Cadence Bank, NA
Capital One Bank
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Constellation Trust Company
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Country Financial
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Federal Reserve Bank of Kansas City
Federal Reserve Bank of Los Angeles
Fidelity Investments
Fifth Third Bank
First American Trust, FSB
First Bankers Trust Services
First Foundation Bank
First Hawaiian Bank
First Interstate BancSystem, Inc.
First National Bank of Fort Smith
First National Bank of Omaha
First Western Bank & Trust
FirstMerit Bank
FIS
Frost Bank
GE Capital America
Greenleaf Trust
Hancock/Whitney Bank
Harper & Pearson Company, PC
Hemenway Trust Company
IBERIABANK
INTRUST Bank
JPMorgan Chase
JRB II
Kanaly Trust LTA
Kansas State Bank Commissioner
KeyBank
M&M Consulting, LLC
M&T Securities
MB Financial Bank
MEMBERS Trust Company
Mercantile Trust
Mid Atlantic Trust Company
Montana Division of Banking
MUFG Union Bank
MutualBank
National Advisors Trust Company, FSB
NBT Bancorp
Nebraska Dept. of Banking & Finance
New Tower Trust Company
Ohio Division of Financial Institutions
Old National Wealth Management
Old Point Trust
PNC
PWC
Reliance Financial Corporation
Renasant Bank
BSM US LLP
S.R. Snodgrass, PC
S&T Bank
Sandy Spring Bank
Security National Bank
South Dakota Division of Banking
South Dakota Trust Company
SunTrust Banks, Inc.
TD Ameritrade
The Bank of Missouri
The First National Bank in Sioux Falls
The Glenmede Trust Company
The Northern Trust Company
The Private Trust Company, NA
TIAA-CREF
TMI Trust Company
Tolleson Private Bank
U.S. Bancorp
Union Bank & Trust
USAA
Virginia Bureau of Financial Institutions
Washington Trust Bank
Webster Bank, NA
WeiserMazars LLP
Wells Fargo
Wilmington Trust
Zions Bancorporation
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 unequaled 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
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
- Attendee 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
- 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.
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  
10:45 am - 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
**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**

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**

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.
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.
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!
# 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

## WEEK AT A GLANCE

### SUNDAY

<table>
<thead>
<tr>
<th>Welcoming Remarks</th>
<th>Opening Keynote Address</th>
<th>General Session</th>
<th>General Session</th>
<th>Hosted Luncheon</th>
</tr>
</thead>
<tbody>
<tr>
<td>8:00 - 8:15 am</td>
<td>8:15 - 9:15 am</td>
<td>9:30 - 10:30 am</td>
<td>10:45 - 11:45 am</td>
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<td><strong>Strategic Advantages of a Strong Culture</strong></td>
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<td>Eugene F. Maloney</td>
<td>Jeff Korzenik</td>
<td>James D. Weddle</td>
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</tbody>
</table>

### MONDAY

#### 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

#### FIRM’S WELCOME RECEPTION – 6:30 – 8:30 PM

#### TUESDAY

<table>
<thead>
<tr>
<th>Keynote Session</th>
<th>General Session</th>
<th>General Session</th>
<th>General Session</th>
</tr>
</thead>
<tbody>
<tr>
<td>8:00 - 9:00 am</td>
<td>9:15 - 10:15 am</td>
<td>10:30 - 11:30 am</td>
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<td><strong>Conducting Interviews in the Twenty-first Century</strong></td>
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</tr>
<tr>
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<td>Cecelia A. Calaby</td>
<td>Don Rabon</td>
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</tr>
</tbody>
</table>

#### 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

<table>
<thead>
<tr>
<th>Session</th>
<th>Title</th>
<th>Speaker(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>ERISA Update - Considerations for Providers and Their Clients</td>
<td>David Kaleda</td>
<td></td>
</tr>
<tr>
<td>Discretionary Decisions</td>
<td>James M. Marion</td>
<td></td>
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<tr>
<td>The Three Lines of Defense – What Are the Results?</td>
<td>Grant Harbrecht</td>
<td></td>
</tr>
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### BREAKOUT SESSIONS – 10:30 - 11:30 AM

<table>
<thead>
<tr>
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### BREAKOUT SESSIONS – 1:15 - 2:15 PM

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

<table>
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<tr>
<th>Session</th>
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<tbody>
<tr>
<td>The Ins and Outs of Auditing a 401(k) Portfolio</td>
<td>Julia L. Kirby, Joshua Uhl</td>
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<td>J. Phil Buchanan</td>
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<td>Suzanne Brown Walsh</td>
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</tbody>
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### BREAKOUT SESSIONS – 3:45 - 4:45 PM

<table>
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### 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

<table>
<thead>
<tr>
<th>Category</th>
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<th>Speaker(s)</th>
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</thead>
<tbody>
<tr>
<td>Community Institutions</td>
<td>Bruce K. Goldberg, Gary E. Pelcak</td>
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<tr>
<td>Regional Institutions</td>
<td>Casey Jeanneret, Deanna Rankin</td>
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<tr>
<td>Large Institutions</td>
<td>Jennifer L. De Vries, David B. Jonke</td>
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<tr>
<td>Regulators</td>
<td>Scott Kelly</td>
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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.
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

Machelle 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.
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
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

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

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
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.

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

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.
Top Risk Issues Facing Corporate Trust in Today’s “Heightened Standards” World

David Ursa, CCTS
Managing Director
Group Head
Corporate Trust Services
MUFG 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
**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.

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**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
DELOITTLE & 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 / 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 / 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 / Regulator

Leader:

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

Conference Adjourns

11:30 am
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.passkey.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.
FIRMA 31st NATIONAL RISK MANAGEMENT TRAINING CONFERENCE
May 21-25, 2017

Register for:

☑ Conference
☑ Conference-Regulators
☑ Pre-Conference Workshop I
☑ Pre-Conference Workshop II
☑ Complimentary Focus Session (no charge, but pre-registration is requested)

Check one:

☑ Member $1,750.00*
☑ Non-member $1,995.00*
☑ Conference $1,450.00
☑ Conference $1,595.00
☑ Conference-Regulators $1,450.00
☑ Conference-Regulators $1,595.00
☑ Pre-Conference Workshop I $295.00
☑ Pre-Conference Workshop II $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

REGISTER ONLINE
Visit our website at www.thefirma.org.

TRAVEL
Call Mary at Action Travel at (800) 854-0601, ext. 3012 for travel arrangements.
Friends, please share this brochure with all your fiduciary colleagues!