



CURRENT RISK ISSUES SEMINAR

Sponsored By



October 19, 2017

and hosted by

**The Federal Reserve Bank of Chicago
Chicago, Illinois**

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CURRENT RISK ISSUES SEMINAR

Chicago, IL ~ October 19, 2017

FIRMA and the Chicago Federal Reserve are pleased to present a Current Risk Issues Seminar in Chicago, Illinois, on **October 19, 2017**. This seminar features lectures from recognized industry experts and a trust legislative update from the American Bankers Association (ABA). The program content is designed to benefit risk management professionals at all skill levels, including fiduciary risk managers and executives, as well as audit managers and fiduciary compliance professionals. This program will provide six (6) Group-Live continuing education hours.

Our program will begin with **Kit Addleman**, Partner with Haynes & Boone, LLP law firm in Dallas, TX. Kit will provide a not-to-miss update on current trust / wealth legislative / regulatory issues and risks in the investment securities world.

Following Kit will be **Joel Miller**, Asset Management Policy Group Leader, Office of the Comptroller of the Currency in Washington, D.C. Joel will provide an update on OCC initiatives and current examination criticisms in bank fiduciary activities.

We end the morning sessions with **Alex Ryan**. Alex is a partner with Groom Law in Washington, DC. Alex will provide a critical update on the new DOL Fiduciary Standard and its significant impact areas for our wealth business units. He will also highlight key rulings affecting EB administrative risk.

After lunch, we begin our afternoon with **Don Andrews**, Partner & Global Practice Leader for Risk and Compliance with Reed Smith, LLP in New York. Issues regarding risk assessment and management bear little resemblance to even a few years ago. With fines growing and regulations in flux and subject to political whims, risk assessment and management are among the only tools that firms and financial institutions have to protect themselves from nearly unlimited regulatory, operational and reputation risk. Don will discuss and attendees will learn about New Fiduciary Regulations, rules regarding Operational Integrity, Cyber-Security, Settlement Cycles, Data Management and Integrity, Stress Testing, Customer Protection and Cultural Risk Management.

Our next session leader will be **Don Moore**. Don is President of Bearmoor, LLC which is headquartered in Charlotte, NC. Don is a nationally known industry consultant in the Trust and Asset Management marketplace. Don will discuss the critical topic of Risk appetite, which should govern all fiduciary decisions and strategies. Attendees will also learn about vital Key Risk Indicators as well as Potential Risk Indicators which guide and impact risk behavior and management. In addition, Don will discuss the concept of Fiduciary Risk Rating which is critical at all levels within the organization to understand the level of risk within the fiduciary account portfolios.

We will conclude our program with **McNeil Chestnut**. McNeil is former Deputy Attorney General for the State of North Carolina. McNeil will discuss key steps for all trustees when they face litigation. McNeil is a not-to-miss leader and expert for fiduciary litigation, courtroom procedure and preparation, and common sense.

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AGENDA

Thursday, October 19, 2017

Registration	7:30 to 8:00am	
Welcome and Introduction	8:00 to 8:15am	Hale Mast, <i>FIRMA Executive Director</i>
Current Securities Risks	8:15 to 9:15am	Kit Addleman, <i>Haynes & Boone, LLP</i>
OCC Examination Initiatives	9:30 to 10:30am	Joel Miller, <i>OCC</i>
ERISA and Fiduciary Rule Update	10:45 to 11:45am	Alex Ryan, <i>Groom Law</i>
Lunch (Provided)	11:45am to 1:00pm	
Emerging Risks within Wealth / Trust	1:00 to 2:00pm	Don Andrews, <i>Reed Smith, LLP</i>
KRI's and Risk Appetite	2:15 to 3:15pm	Don Moore, <i>Bearmoor, LLC</i>
When a Trust Goes to Court	3:30pm to 4:30pm	McNeil Chestnut, <i>Consultant</i>
Adjourn	4:30pm	

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Training Federal Reserve Bank of Chicago

Location: Moskow Auditorium
230 S. LaSalle Street, 3rd Floor
Chicago, Illinois 60604
(312) 322-2342

Dress: Business Casual, please - (No jeans, no tennis shoes)

CE Hours: 6 hours Group-Live credit for continuing education. CPEs are granted based upon a 50-minute hour.

Prerequisites: *This program is rated “Intermediate” because of the educational and/or experience requirements 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.*

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

Fees: FIRMA Member \$425; Non-Member \$580

Seminar Registration Deadline: **Friday, October 6, 2017**

Lodging: Seminar attendees may wish to make their own room reservations at the following area hotels: Club Quarters Central Loop (111 W Adams St.) 312-214-6400; Hampton Inn Majestic (22 W Monroe St.) 312-332-5052; Hilton Chicago (720 S. Michigan Ave.) 312-922-4400; Union League Club (65 W. Jackson Blvd.) 312-427-7800; The W Chicago City Center (172 W. Adams St.) 312-332-1200; JW Marriott Chicago (151 W. Adams St.) 312-660-8200.

CANCELLATION / REFUND POLICY:

Cancellations received through October 6, 2017, will be refunded less a \$25 service charge. Cancellations received October 7, 2017 through October 13, 2017, will be refunded subject to a \$125.00 service charge. Cancellations made after October 13, 2017, are not refundable.

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.

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REGISTRATION FORM

Full Name: _____

Nickname (for name badge): _____

Title: _____

Employer: _____

Business Address: _____

City: _____ State: _____ Zip Code: _____

Phone: () _____ Fax: () _____

Email: _____

Seminar Fee: (Choose One)

_____ \$425.00 FIRMA Member

_____ \$580.00 Non-Member

Payment Method: (Choose One)

_____ Payment is enclosed (**make check payable to "FIRMA"**)

_____ Please bill me

_____ Please charge my credit card (AmEx/Visa/MC/Discover):

Card #: _____

Exp. Date: _____ Security Code:: _____

Cardholder's Name (please print): _____

Cardholder's Signature: _____

Mail, email, or fax this page and advance payment by October 6, 2017 to:

Amy Caple

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Or register online at www.thefirma.org