

CURRENT RISK ISSUES SEMINAR



Sponsored By



October 4 & 5, 2017

**Key Center
Cleveland, Ohio**

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Cleveland, OH ~ October 4 & 5, 2017

FIRMA is pleased to sponsor a two-day Current Risk Issues Seminar in Cleveland, Ohio, on **October 4 & 5, 2017**. This seminar features lectures from recognized industry experts and topics specifically covering current fiduciary risk issues. The program content is designed to benefit fiduciary 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) continuing education hours.

Our first day program will begin with **Tim Keehan**, Senior Counsel with the ABA's Center for Securities, Trusts, and Investments. Tim will provide a not-to-miss update on current trust / wealth legislative issues.

Following Tim will be **Jeanne Wilson**. Jeanne is a partner with Groom Law in Washington, DC. Jeanne will provide a critical update on the new DOL Fiduciary Standard and its significant impact areas for our wealth business units. She will also highlight key rulings affecting EB administrative risk.

We end the afternoon sessions with **Denise Lettau**. Denise is Vice President & Senior Trust & Fiduciary Specialist with Wells Fargo Private Bank in Ft. Lauderdale, heading their Life Management Services Group. Attendees will learn the latest issues in elder financial abuse, new regulatory oversight requirements, and elder risk management.

Following our Wednesday sessions, FIRMA is proud to host a Welcome Reception for all attendees and speakers, from 5:15 to 6:15pm. Our reception will be held just outside the Gillespie Auditorium in the 9th Floor foyer.

On Thursday, October 5th, we begin our morning with **Tish Dalton**, Asset Management Policy Group, Office of the Comptroller of the Currency in Washington, D.C. Tish will provide an update on OCC initiatives and current examination criticisms in bank fiduciary activities.

Following Tish, our session leader will be **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.

We will conclude our program with **Luke Dembosky**. Luke is a partner with the law firm of Debevoise & Plimpton, LLP in Washington, D.C. Luke will lead an interactive discussion of the latest cyber risk developments, including those affecting the SWIFT system, and how financial firms and other leading companies are approaching these issues. The discussion will include regulatory and litigation trends, and how these are influencing the way that companies prepare for and manage cyber-security incidents. In so doing, Luke will draw on his many years of leading national security and cyber-crime investigations for the Justice Department, along with his private practice experience assisting a range of clients globally in addressing cyber threats.

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AGENDA

Wednesday, October 4, 2017

Seminar Registration	12:00noon to 1:00pm	
Welcome and Introduction	1:00pm to 1:10pm	Mickey Agnew, <i>Key Bank</i>
Trust Legislative Update	1:10pm to 2:15pm	Tim Keehan, <i>ABA</i>
ERISA and Fiduciary Rule Update	2:30pm to 3:30pm	Jeanne Wilson, <i>Groom Law</i>
How to Prevent Elder Financial Abuse	3:45pm to 5:00pm	Denise Lettau, <i>Wells Fargo Private Bank</i>
<i>FIRMA Welcome Reception</i>	<i>5:15pm to 6:15pm</i>	<i>Auditorium Foyer</i>

Thursday, October 5, 2017

Continental Breakfast	7:30am to 8:30am	
Current OCC Trust Initiatives	8:30am to 9:30am	Tish Dalton, <i>OCC Policy Supervision</i>
Emerging Risks within Wealth / Trust	9:45am to 11:00am	Don Andrews, <i>Reed Smith, LLP</i>
Cyber Risk / Cyber Crime Developments	11:15am to 12:15pm	Luke Dembosky, <i>Debevoise & Plimpton, LLP</i>
Adjourn	12:15pm	

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- Training Location:** Key Center
9th Floor - R.W. Gillespie Conference & Education Center
Case Western Auditorium, 127 Public Square
Cleveland, Ohio 44114
- Parking:** Parking is available at the Marriott adjacent to Key Center for approximately \$20.00 per day.
- 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, September 15, 2017**

Lodging: Attendees must make hotel reservations individually. FIRMA has a room block of 20 rooms at Marriott Key Center. Please call reservations at (216) 696-9200 or (888) 236-2427. Attendees should identify themselves with **KeyBank FIRMA Conference 2017** and ask for the KeyBank Room Block. To book online, click [here](#). Reservations must be made by **September 13, 2017**. **FIRMA’s group rate is \$132.**

Alternately, the Doubletree Hotel is located nearby at 1111 Lakeside Avenue. For reservations, call (216) 241-5100. Please note: FIRMA does not have a room block at the Doubletree.

CANCELLATION / REFUND POLICY:

Cancellations received through September 15, 2017, will be refunded, less a \$25.00 service charge. Cancellations received September 16, 2017 through September 22, 2017, will be refunded subject to a \$125.00 service charge. Cancellations made after September 22, 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 September 15, 2017 to:

Amy Caple

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Or register online at www.thefirma.org