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**November 13, 2018**

and hosted by

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

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# CURRENT RISK ISSUES SEMINAR

Chicago, IL ~ November 13, 2018

FIRMA and the Chicago Federal Reserve are pleased to present a Current Risk Issues Seminar in Chicago, Illinois, on **November 13, 2018**. 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 **Phoebe Papageorgiou**, Senior Counsel with the ABA's Center for Securities, Trusts, and Investments. Phoebe will provide a not-to-miss update on current trust / wealth legislative and regulatory issues.

Following Phoebe will be **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.

We end the morning sessions with **Jenny Eller**. Jenny is a partner with Groom Law in Washington, DC. Jenny will highlight key rulings affecting EB administrative risk as well as current litigation rulings. Attendees will also learn the status of the DOL Fiduciary Rule decisions.

After lunch, we begin our afternoon with **Brian Stoeckert**, Managing Partner at Stratis Advisory of San Francisco, CA. Brian will discuss cryptocurrency. Attendees will learn what cryptocurrencies are and their types, their use, their risks, their controls, as well as the strategies employed in their oversight and application.

Our next session leader will be **Ronald Varney**. Ronald is Principal of Ronald Varney Fine Art Advisors, which is headquartered in New York, NY. He will discuss and attendees will learn the role of financial and legal advisors in the Art Market. Topics will include: client taste and collecting history; appraisals; and insurance / conservation decisions.

We will conclude our program with **John Tennaro**. John is SVP, Senior Investment Executive with CIBC in Boston, MA. John will discuss the current complexities surrounding social investing and Environmental, Social and Governance (ESG) risk criteria. Attendees will learn the fiduciary's role in establishing and monitoring ESG's impact upon current portfolio management.

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## AGENDA

### Tuesday, November 13, 2018

Registration & Continental Breakfast	7:30 to 8:00am	
Welcome and Introduction	8:00 to 8:15am	Hale Mast, <i>FIRMA Executive Director</i>
ABA Trust Regulatory and Legislative Update	8:15 to 9:15am	Phoebe Papageorgiou, <i>American Bankers Association</i>
OCC Examination Initiatives	9:30 to 10:30am	Tish Dalton, <i>OCC</i>
ERISA Update	10:45 to 11:45am	Jenny Eller, <i>Groom Law</i>
Lunch (Provided)	11:45am to 1:00pm	
Crypto Currency	1:00 to 2:00pm	Brian Stoeckert, <i>Stratis Advisory</i>
All That Glitters: A Guide to the Art Market for Advisors	2:15 to 3:15pm	Ronald Varney <i>Ronald Varney Fine Art Advisors</i>
Social Investing and ESG	3:30pm to 4:30pm	John Tennaro, <i>CIBC</i>
Adjourn	4:30pm	

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Chicago, IL ~ November 13, 2018

**Training** Federal Reserve Bank of Chicago

**Location:** Moskow Auditorium  
230 S. LaSalle Street, 3<sup>rd</sup> 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 \$440; Non-Member \$595

**Seminar Registration Deadline:** **Friday, October 26, 2018**

**Lodging:** Attendees must make hotel reservations individually. FIRMA has a block of 10 rooms at Chicago’s Union League Club (65 W. Jackson Blvd.) 312-427-7800. Attendees should identify themselves for the “**FIRMA**” Room Block. Reservations must be made by **October 1, 2018. FIRMA’s group rate is \$199.** Additional area hotels include: 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; The W Chicago City Center (172 W. Adams St.) 312-332-1200; JW Marriott Chicago (151 W. Adams St.) 312-660-8200. FIRMA does not have room blocks at these hotels.

## **CANCELLATION / REFUND POLICY:**

Cancellations received through October 26, 2018, will be refunded less a \$25 service charge. Cancellations received October 27th through November 6th will be refunded subject to a \$125.00 service charge. Cancellations made after November 6, 2018, 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.

# CURRENT RISK ISSUES SEMINAR

Chicago, IL ~ November 13, 2018

## REGISTRATION FORM

Full Name: \_\_\_\_\_

Nickname (for name badge): \_\_\_\_\_

Title: \_\_\_\_\_

Employer: \_\_\_\_\_

Business Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Phone: (     ) \_\_\_\_\_ Fax: (     ) \_\_\_\_\_

Email: \_\_\_\_\_

**Seminar Fee: (Choose One)**

\_\_\_\_\_ \$440.00 FIRMA Member

\_\_\_\_\_ \$595.00 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 26, 2018 to:**

**Amy Caple**

**FIRMA Office (Chicago Seminar)**

**PO Box 669515**

**Marietta, GA 30066**

**(770) 790-8355 Telephone**

**(770) 790-8363 Fax**

**thefirma@att.net**

**Or register online at [www.thefirma.org](http://www.thefirma.org)**