

# CURRENT RISK ISSUES SEMINAR



Sponsored By



**October 16 & 17, 2018**

**Key Center  
Cleveland, Ohio**

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# CURRENT RISK ISSUES SEMINAR

Cleveland, OH ~ October 16 & 17, 2018

FIRMA is pleased to sponsor a two-day Current Risk Issues Seminar in Cleveland, Ohio, on **October 16 & 17, 2018**. 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 and regulatory issues.

Following Tim will be **Scott Mayland**. Scott is an associate with Groom Law in Washington, DC. Scott 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.

We end the afternoon sessions with **Joanne Hindel**. Joanne is Vice President & Regional Fiduciary Executive for Fifth Third Wealth Management in Cleveland. Attendees will learn key focus areas of multi-state trust administration as impacted by jurisdictional local law.

Following our Tuesday 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 9<sup>th</sup> Floor foyer.

On Wednesday, October 17th, we begin our morning with **Chiz Egbuonu**, Asset Management Policy Group, Office of the Comptroller of the Currency in Washington, D.C. Chiz will provide an update on OCC initiatives and current examination criticisms in bank fiduciary activities.

Following Chiz, our session leader will be **Leon Wessels**, Corporate Business Development Manager of the Life Insurance Trust Company in Sioux Falls, SD. Leon will discuss and attendees will learn about the key risks in the administration of Irrevocable Life Insurance Trusts. Leon will also address the impact of the current SEC Best Interest Rule on life insurance products and the parallels between the DOL Rule on the annuity business. Attendees will also learn the potentially similar impact on the life insurance business, and what it all means to fiduciaries of life insurance trusts and to risk managers responsible for overseeing insurance professionals.

We will conclude our program with **Marilyn Smith**. Marilyn is a Compliance Risk Management Consultant with First Dimensions Consulting in Chicago, IL. Marilyn will lead an interactive discussion of the administrative risks in assessing complaints, as well as sound practices for managing fiduciary complaints.

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## AGENDA

### Tuesday, October 16, 2018

Seminar Registration	12:00 to 1:00pm	
Welcome and Introduction	1:00 to 1:10pm	Claire Skupski, <i>Key Bank</i>
ABA Trust Regulatory and Legislative Update	1:10 to 2:15pm	Tim Keehan, <i>ABA</i>
ERISA Update	2:30 to 3:30pm	Scott Mayland, <i>Groom Law</i>
Multi-State Administrative Risk	3:45 to 5:00pm	Joanne Hindel, <i>Fifth Third Bank</i>
<b><i>FIRMA Welcome Reception</i></b>	<b><i>5:15 to 6:15pm</i></b>	<b><i>Auditorium Foyer</i></b>

### Wednesday, October 17, 2018

Continental Breakfast	7:30 to 8:30am	
Current OCC Trust Initiatives	8:30 to 9:30am	Chiz Egbuonu, <i>OCC</i>
ILITs	9:45 to 10:45am	Leon Wessels, <i>Life Insurance Trust Company</i>
Assessing Fiduciary Complaints	11:00am to 12:00pm	Marilyn Smith, <i>First Dimensions Consulting</i>
Adjourn	12:00pm	

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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 \$440; Non-Member \$595

**Seminar Registration Deadline:** **Wednesday, October 3, 2018**

**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 2018** and ask for the KeyBank Room Block. Reservations must be made by **September 24, 2018**. 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 October 3, 2018, will be refunded less a \$25.00 service charge. Cancellations received October 4th through 9th will be refunded subject to a \$125.00 service charge. Cancellations made after October 9, 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.

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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)**

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

\_\_\_\_\_ \$595.00 Non-Member

**Payment Method: (Choose One)**

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

\_\_\_\_\_ Please bill me

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**Mail, email, or fax this page and advance payment by October 3, 2018 to:**

**Amy Caple**

**FIRMA Office (Cleveland 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)**