



CURRENT RISK ISSUES SEMINAR

Sponsored By



November 14, 2019

**Evercore Trust Company, N.A.
Park Avenue Plaza, 55 East 52nd Street
New York, NY**

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CURRENT RISK ISSUES SEMINAR

New York, NY ~ November 14, 2019

FIRMA is pleased to sponsor a one day Current Risk Issues Seminar in New York, on **November 14, 2019**. This seminar features lectures from recognized industry experts and topics specifically covering current fiduciary risk issues. 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) continuing education hours.

Our program will begin with **Tish Dalton**, Technical Expert with the 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.

Next on the agenda, we welcome **Alexander Ryan**. Alex is a Partner with Groom Law in Washington, DC. Alex 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.

We end the morning sessions with **Mary Ann Lowney**, Compliance & Operational Risk Executive at Bank of America Private Bank in Boston, MA. Mary Ann will lead a discussion of the broad conflicts of interest involved with Reg W.

After lunch, we begin our afternoon with **Phoebe Papageorgiou**, Vice President / Trust Policy with the ABA. Phoebe will provide a not-to-miss update on current trust / wealth legislative and regulatory issues

Next, we welcome **Hal Crawford**, Managing Director with Alvarez & Marsal, LLP, in New York. Hal will lead a discussion of the latest developments within AML / BSA in the wealth and fiduciary industry.

We will conclude our program with **Todd Flubacher**. Todd is a Partner with Morris, Nichols, Arsht & Tunnell, LLP, in Wilmington, DE. Attendees will learn the latest risk issues associated with directed trusts.

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AGENDA

Thursday, November 14, 2019

Continental Breakfast & Registration	7:30am to 8:00am	
Welcome and Introduction	8:00 to 8:15am	Hale Mast, <i>FIRMA</i>
Current OCC Trust Initiatives	8:15 to 9:30am	Tish Dalton, <i>OCC</i>
ERISA Update	9:45 to 10:45am	Alexander Ryan, <i>Groom Law Group, Chartered</i>
Reg. W	11:00am to 12:00pm	Mary Ann Lowney, <i>Bank of America Private Bank</i>
Lunch (Provided)	12:00 to 1:00pm	
Trust Legislative / Regulatory Update	1:00 to 2:00pm	Phoebe Papageorgiou, <i>ABA</i>
AML	2:15 to 3:15pm	Hal Crawford, <i>Alvarez & Marsal</i>
Directed Trusts	3:30 to 4:30pm	Todd Flubacher, <i>Morris, Nichols, Arsht & Tunnell LLP</i>
Adjourn	4:30pm	

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Training Evercore Trust Company

Location: Evercore Presentation Room
55 East 52nd Street, 23rd Floor
New York NY 10055

646-259-7222 (Patricia De La Cruz)

Attendees may enter the building either on 52nd or 53rd Streets between Madison Ave. and Park Ave.

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 25, 2019**

Lodging: Seminar attendees may wish to make their own room reservations at the following area hotels: **Lotte New York Palace** (455 Madison Ave.) 212-888-7000; **Omni Berkshire Place** (21 East 52nd) 212-753-5800; **The New York Hilton** (1335 6th Ave.) 646-459-6500; **Hilton Garden Inn** (206 East 52nd Street / 2nd & 3rd) 212-794-6000.

CANCELLATION / REFUND POLICY:

Cancellations received through October 25, 2019, will be refunded less a \$25 service charge. Cancellations received October 26, 2019 through November 1, 2019, will be refunded less a \$125 service charge. Cancellations made after November 1, 2019, 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

_____ 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 25, 2019 to:

Amy Caple

FIRMA Office (New York Seminar)

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Marietta, GA 30066

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(770) 790-8363 Fax

thefirma@att.net

Or register online at www.thefirma.org