

# CURRENT RISK ISSUES & COMPLIANCE SEMINAR

October 25, 2019

San Antonio, Texas



## About the seminar

This seminar features current topics and discussions from recognized industry experts and is designed to benefit risk management and compliance professionals of all skill levels, including fiduciary risk managers and executives, as well as audit managers and fiduciary and investment executives and administrators.

## CE Credits

This program will provide six (6) continuing education hours.

## Speakers

**Tim Keehan**, *Senior Counsel, ABA's Center for Securities, Trust, and Investments, Washington, D.C.*  
Update on the current trust legislative and regulatory issues in Washington affecting the trust & wealth industry.

**Ed Thomson**, *National Bank Examiner, Office of the Comptroller of the Currency*  
Update on OCC initiatives and current examination criticisms in bank fiduciary activities.

**Kim Breithaupt**, *Managing Partner, Argent Fiduciary Consulting Services, Ruston, LA*  
Learn about current issues creating conflicts of interests within wealth and trust and how to mitigate their attendant risks.

**Arsalan Malik**, *Groom Law, Washington, D.C.*  
Highlight of key rulings affecting EB administrative risk as well as current litigation rulings. Attendees will also learn the status of the DOL Fiduciary Rule.

**Bradley Beshea**, *EVP and Fiduciary Compliance Manager, Frost Bank.*  
At this Roundtable, attendees are invited to pose issues or problems that they would like to discuss.

**Richard Jacobs**, *SVP, Innovest Systems LLC, Arlington, TX*  
Learn the specialized risks in the administration of unique assets.

## Friday, October 25, 2019

7:45 – 8:15 a.m.

### Continental Breakfast & Registration

8:15 – 8:30 a.m.

### Welcome and Introduction

Bradley Beshea, *Frost*

8:30 – 9:30 a.m.

### Trust Regulatory and Legislative Update

Tim Keehan, *ABA*

9:30 – 9:45 a.m.

### Break

9:45 – 10:45 a.m.

### Current OCC Trust Initiatives

Ed Thomson, *OCC*

10:45 – 11:00 a.m.

### Break

11:00 a.m. – 12:00 p.m.

### Conflicts of Interest

Kim Breithaupt, *Argent Fiduciary Consulting Services*

12:00 – 1:00 p.m.

### Hosted Lunch

1:00 – 2:00 p.m.

### ERISA Update

Arsalan Malik, *Groom Law*

2:00 – 2:15 p.m.

### Break

2:15 – 3:15 p.m.

### Roundtable Discussion

Bradley Beshea, *Leader*

3:15 – 3:30 p.m.

### Break

3:30 – 4:30 p.m.

### Unique Assets

Richard Jacobs, *Innovest*

4:30 p.m.

### Adjourn

## Program Location

### Frost Bank

111 West Houston Street  
San Antonio, Texas 78205

## Nearby Hotels

There are many hotels in the area. Listed below are a few convenient options.

### Embassy Suites San Antonio Riverwalk-Downtown

125 East Houston Street  
San Antonio, TX 78205  
[www.embassysuites3.hilton.com](http://www.embassysuites3.hilton.com)  
(210) 226-9000

### Hotel Valencia Riverwalk

150 East Houston Street  
San Antonio, TX 78205  
[www.hotelvalenciariverwalk.com](http://www.hotelvalenciariverwalk.com)  
(210) 227-9700

### Drury Inn & Suites Riverwalk

San Antonio  
201 N St Mary's Street  
San Antonio, TX 78205  
[www.druryhotels.com](http://www.druryhotels.com)  
(210) 212-5200

## Questions?

Contact us at (888) 839-8778 or (512) 472-7391 or email [trust@texasbankers.com](mailto:trust@texasbankers.com).

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## REGISTRATION

REGISTER ONLINE AT [WWW.TEXASBANKERS.COM/TRUST](http://WWW.TEXASBANKERS.COM/TRUST) OR  
COMPLETE A SEPARATE FORM FOR EACH REGISTRANT

Mail: Texas Bankers Association • P.O. Box 2569 • Austin, Texas 78768-2569  
Email: [trust@texasbankers.com](mailto:trust@texasbankers.com) • Fax: 512-473-2560 • Phone: 512-472-7391

\$395 TBA/FIRMA member     Nonmember: \$675

### Cancellation Policy

All requests for refunds must be submitted in writing. Please email to [trust@texasbankers.com](mailto:trust@texasbankers.com). Full registration fees will be refunded if written notice is received no later than **October 18, 2019**. There is no refund after this date. Extenuating circumstances are reviewed on an individual basis. Substitutions are permitted without added cost or penalty.

Name  Mr.  Ms.

Title \_\_\_\_\_ Bank or Company \_\_\_\_\_

Street Address \_\_\_\_\_ City, State, Zip \_\_\_\_\_

Mailing Address (if different from above) \_\_\_\_\_ City, State, Zip \_\_\_\_\_

Phone \_\_\_\_\_ Email Address \_\_\_\_\_

To expedite your registration, please include any other names you have used (i.e. maiden name, formal name or nickname) and, if applicable, any other financial institutions you have previously worked for.

Other Names \_\_\_\_\_ Other Financial Institutions \_\_\_\_\_

Please note any special accommodations below (i.e. ADA, food allergies, dietary requests, etc.):

**REGISTER ONLINE AT [WWW.TEXASBANKERS.COM/TRUST](http://WWW.TEXASBANKERS.COM/TRUST)**