

# RISK ISSUES & COMPLIANCE

October 21, 2021

Presented Virtually

9:00 a.m. – 5:00 p.m.



## 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 has been submitted for six (6) continuing education credits.

## Speakers

**David Stankiewicz**, *Technical Expert for Asset Management Policy in the Market Risk Policy Division, Office of the Comptroller of the Currency.*

David will provide an update on OCC initiatives and current examination criticisms in bank fiduciary activities, including the OCC's view on crypto currency.

**Jeanne Wilson**, *Principal, Groom Law, Washington, D.C.*

Jeanne 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.

**John Tennaro, CIMA<sup>®</sup>, CSRIC<sup>™</sup>**, *Head of ESG & Impact Investing Solutions, CIBC Private Wealth Management, Washington, D.C.*

John will discuss and attendees will learn about current ESG guidelines, applications, and ESG investment management.

**Andrew Tanner**, *COO, Specialty Asset Management, Bank of America, Dallas.*

Andrew will discuss and attendees will learn the critical administrative process and decision making required across the common specialty asset categories. Attendees will also learn the impact of the two major regulatory pronouncements for unique and hard-to-value assets.

**Neil Bohlen, CIA, CAMS**, *Audit Director, Wells Fargo's Wealth & Investment Management Audit Team, Charlotte, NC.*

Neil will discuss hot topics and risks seen within trust audits.

**Brad Franko**, *National Sales Director, CINGO SOLUTIONS, St. George, UT.*

**Rob Slater**, *Co-Founder and COO, 10XTS, Cincinnati, OH.*

Learn the specialized risks in the administration of unique assets.

## October 21, 2021

8:50 – 9:00 a.m.

**Welcome and Introduction**  
Chelsea Brown, *TBA*

9:00 – 10:00 a.m.

**Current OCC Trust Initiatives**  
David Stankiewicz, *OCC*

10:15 – 11:15 a.m.

**ERISA / DOL Update**  
Jeanne Wilson, *Groom Law*

11:15 a.m. – 12:15 p.m.

**ESG Investing**  
John Tennaro, *CIBC*

12:15 – 1:15 p.m.

**Lunch Break**

1:15 – 2:15 p.m.

**Unique / Hard-To-Value Assets**  
Andrew Tanner, *Bank of America*

2:30 – 3:30 p.m.

**Trust Audit Hot Topics**  
Neil Bohlen, *Wells Fargo*

3:45 – 4:45 p.m.

**Technology & Custody Challenges within FinTech / Crypto / Blockchain / Bitcoin**  
Brad Franko, *Cingo Solutions*  
Rob Slater, *10XTS*

4:45 p.m.

**Adjourn**

## 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

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### 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 14, 2021**. There is no refund after this date. Extenuating circumstances are reviewed on an individual basis. Substitutions are permitted without added cost or penalty.

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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.

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