FIRMA®

Fiduciary & Investment Risk Management Association

VIRTUAL SEMINAR

CURRENT & EMERGING FIDUCIARY RISKS

Sponsored by
THE FIDUCIARY AND INVESTMENT
RISK MANAGEMENT ASSOCIATION, INC.
(FIRMA™)

WEDNESDAY,
OCTOBER 18, 2023

2023 FIRMA VIRTUAL SEMINAR

Current & Emerging Fiduciary Risks

FIRMA is thrilled to sponsor a virtual current risk issues seminar on **October 18, 2023**. This seminar features current topics and discussions from recognized industry experts. The program content is designed to benefit risk management and compliance professionals at all skill levels, including fiduciary risk managers and executives, as well as internal audit and fiduciary investment executives and administrators. This program will provide five **(5)** continuing education hours.

Our full day program will begin at 10:00 am ET with a **Regulatory Panel.** Representatives from the OCC, FDIC, and Federal Reserve in Washington, DC will speak. Please join us for an up-to-date discussion of each agency's fiduciary regulatory focus, initiatives, and examination priorities for the trust & wealth industry.

Following our Regulatory Panel, we welcome **Jason Roberts**, CEO of the Pension Resource Institute, LLC in Encinitas, CA. Jason will highlight the recent key updates affecting the DOL Fiduciary Rule decisions.

After lunch, we introduce **Trent Russell**, Founder of Greenskies Analytics in Birmingham, AL. In this session Trent will shorten the learning curve by doing real-time analytics where each attendee will walk away with multiple analytics testing procedures completed. Trent will also demonstrate how to easily create data visualizations. After this session, participants will be able to:

- Reperform two analytics tests on your own data that can be applied to almost any data set
- Understand the rules of visualization outliers and how to apply them
- Identify what's important to visualize and what's important not to visualize

Following Trent, we welcome Executive Panel members **Gaby Bailey, Patrick Renaud, David Villwock,** and **David Williams.** Our four senior fiduciary executives from different organizations and different lines of defense will discuss current topics affecting Personal Trust, regulatory impact issues, examination trends, and post-pandemic continuing challenges.

We conclude our program with **Suzanne Shier.** Suzanne is Of Counsel with Chicago's Levenfeld Pearlstein, LLC law firm. Suzanne will address both the Prudent Investor Rule as well as the Uniform Fiduciary Income and Principal Act. She will revisit the fundamentals of the Rules and examine the critical applications in wealth management today.

Video Recording – All sessions, other than our opening Regulatory Panel, will be recorded for playback availability by registered attendees.

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AGENDA

Wednesday, October 18, 2023
All times Eastern

Welcome and Introduction	9:50 to 10:00 am	**Hale Mast** *FIRMA*
Trust Regulator Panel	10:00 to 11:00 am	**Jamie Bazarow** *FED* **Tom Belcher** *FDIC* **Chizoba Egbuonu** *OCC*
DOL Fiduciary Rule Update	11:30 am to 12:30 pm	**Jason Roberts** *Pension Resource Institute, LLC*
Lunch	12:30 to 1:15 pm	
Data Analytics Explained	1:15 to 2:15 pm	**Trent Russell** *Greenskies Analytics*
Executive Panel	2:45 to 3:45 pm	**Gabrielle Bailey** *The Glenmede Trust Company* **Patrick Renaud** *The Glenmede Trust Company* **David Villwock** *JP Morgan Chase Bank* **David Williams** *Northern Trust Company*
Prudence and Principal: Uniform Prudent Investor Rule and Uniform Fiduciary Income and Principal Act Now	4:15 to 5:15 pm	**Suzanne Shier**, J.D. *Levenfeld Pearlstein, LLC*
Adjourn	5:15 pm	

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SEMINAR INFORMATION

CE Hours: 5 hours credit for continuing education. CE's are granted based upon a 50-minute hour.

Fees: FIRMA Member $500; Non-Member $775
Group Pricing (for groups of 3 or more) – FIRMA Member $425; Non-Member $700

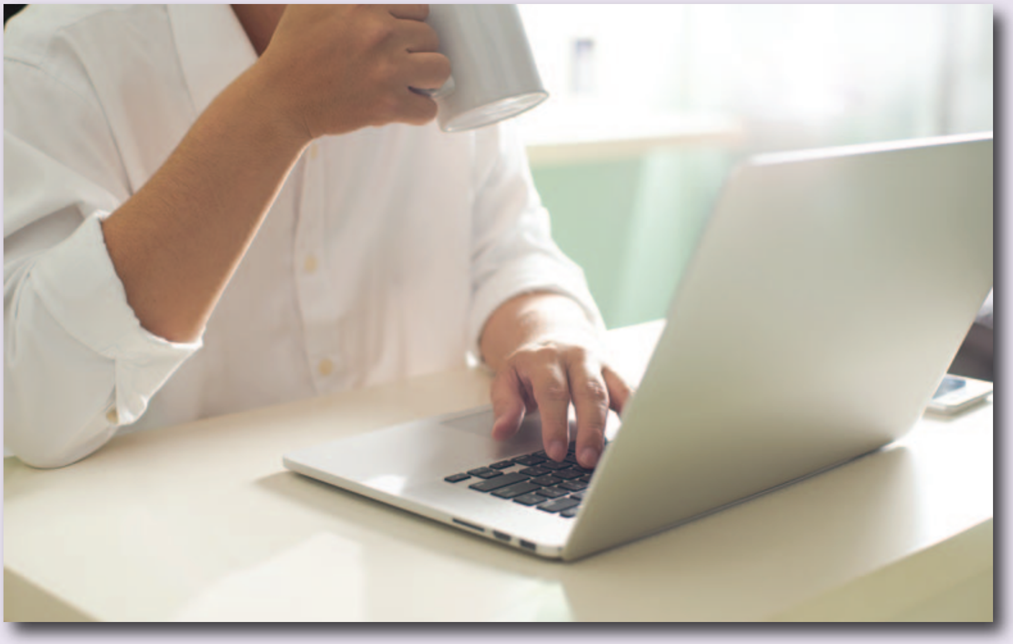
Seminar Registration Deadline: October 6, 2023

5 WAYS TO REGISTER

Online: https://thefirma.org/events.php?id=112
Email: thefirma@att.net or amy@thefirma.org
Phone: (770) 790-8355
Fax or **Mail** the registration form on the following page

For questions regarding this Seminar, please contact the FIRMA Office at 770-790-8355 / amy@thefirma.org.

Thank you



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October 18, 2023

REGISTRATION FORM

Full Name: ______________________________

Preferred Name: ______________________________

Title: ______________________________

Employer: ______________________________

Business Address: ______________________________

City, State, Zip ______________________________

Phone: ____________________ Fax: ____________________

Email: ______________________________

Conference Fee: *(Choose One)* **Please contact Amy Caple for Group Registration**

_________ $500 FIRMA Member

_________ $775 Non-Member

Group Pricing (for groups of 3 or more): $425 FIRMA Member; $700 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): ______________________________

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Mail or fax this page and advance payment, by October 6, 2023, to:
Amy Caple
FIRMA Office Manager

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