FIRMA SEMINAR
Current Risk Issues
AGENDA

Thursday, November 12, 2009

Registration	7:30 - 8:30 am	
Welcome & Introduction	8:30 - 8:45 am	Hale Mast, FIRMA Executive Director
Trust Legislative Update	8:45 - 9:45 am	Cris Naser, ABA
Fiduciary Litigation Headlines	10:00 - 11:00 am	Dominic Campisi, Evans, Latham, and Campisi
Risk Managers Heed the Call – The Times They Are A-Changin'	11:00 am - 12:00 noon	David DeMuro, O'Melveny & Myers
Lunch (Provided)	12:00 noon - 1:00 pm	
Enterprise Risk Management & New Developments	1:00 - 2:30 pm	Dolores Atallo-Hazelgreen, Deloitte
AML Hot Issues	2:45 - 4:00 pm	John Byrne, Consultant
Due Diligence Lessons from Madoff	4:00 - 5:00 pm	Trey Ruch, Sterne Agee

Friday, November 13, 2009

Continental Breakfast	7:30 - 8:30 am	
OCC Examination Initiatives	8:30 - 9:45 am	Nanna Goodfellow, OCC
Hot Topics Roundtable	10:00 - 11:00 am	Marilyn Smith, Harris Bank
ERISA Update	11:00 am - 12:00 noon	Roberta Ufford, Groom Law
Lunch (Provided)	12:00 noon - 1:00 pm	
Fiduciary Key Risk Indicators	1:00 - 2:00 pm	Regina Stover, BONYMellon
Financial Reform Impact Issues	2:00 - 3:00 pm	Marty Lybecker, WilmerHale
Adjourn	3:00 pm	

2009 CURRENT RISK ISSUES SEMINAR REGISTRATION FORM

November 12 & 13, 2009 • New York, New York
For online registration, please go to our website: www.thefirma.org.

Full Name: ____________________
Please include professional designation(s)

Nickname (for name badge): ____________________

Employer: ____________________

Title: ____________________

Business Address: ____________________

City: ____________________

State: ____________________ Zip: ____________

Phone: (____) ____________________

Fax: (____) ____________________

Email: ____________________

Conference Fee:

- ☐ $350.00 FIRMA Member or GARP member (please specify)
- ☐ $500.00 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: ____________

Cardholder'sSignature: ____________________

Mail or fax this form and advance payment by **October 30, 2009,** to:

FIRMA Office
Amy Caple (New York Seminar)
PO Box 507
Stockbridge, GA 30281
(678) 565-6211
(678) 565-8788 FAX

The Fiduciary and Investment Risk Management Association, Inc. ™ (FIRMA) is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Avenue North, Suite 700, Nashville, TN, 37219-2417. Web site: www.nasba.org.

CURRENT RISK ISSUES SEMINAR

NOVEMBER 12 & 13, 2009

Morgan Stanley Corporate Conference Center
New York, NY

Sponsored by

FIRMA®
Fiduciary & Investment Risk Management Association

FIRMA is pleased to present a two-day Current Risk Issues Seminar in New York City, on November 12 & 13, 2009. 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 fifteen (15) Group-Live continuing education hours.

On Thursday, November 12th, the full day program will begin with Cris Naser, Senior Counsel in the ABA's Regulatory Affairs division. Cris will give us, as always, an invaluable update on the current legislative issues in Washington affecting our industry. Following Cris, we welcome Dom Campisi, partner in the San Francisco law firm of Evans, Latham & Campisi. Dom will provide key insights for recent fiduciary litigation cases.

Rounding out the morning session, we are pleased to have back with us David DeMuro. Dave is Senior Counsel with O'Melveny & Myers, LLP in New York. Dave is an internationally known speaker and expert in compliance and risk management practices. Dave will address the changes ahead for financial risk management and attendees will learn what professionals need to change and how to be most effective.

After lunch, we welcome Dolores Atallo-Hazelgreen, Firm Director with Deloitte & Touche in New York. Dolores is an internationally known expert on enterprise risk management. Attendees will be able to identify the current critical issues with ERM and the recent compliance developments of importance.

At mid-afternoon, we welcome John Byrne, one of the country's leading experts in AML governance. Attendees will learn the up-to-date AML compliance issues, risks, and challenges with AML enforcement.

We will end the afternoon with Trey Ruch, CEO of Stern Agee Asset Management, in Birmingham, AL. Trey will conclude the day with a "hot topic" presentation of the due diligence lessons learned from the Bernie Madoff affair. Attendees will learn about risk management practices with sub-custodians.

On Friday, November 13th, we begin the day with Nanna Goodfellow, Senior Trust Examiner in the Asset Management Division of the Comptroller of the Currency. Nanna will provide an update on OCC Financial Reform initiatives and current examination activities in bank fiduciary activities. Following Nanna, we are pleased to welcome Marilyn Smith. Marilyn is VP & Associate Chief Compliance Officer at Harris Bank in Chicago. This interactive session with Marilyn will allow attendees to pose risk management issues or problems that they would like to discuss and receive guidance, corrective suggestions, or resolution.

Completing our morning session, we welcome Roberta Ufford, with the Groom Law Group in Washington, DC. Attendees will learn employee benefits "hot issues" including service provider fee disclosure regulation, disclosure to 401(k) plan participants, and new guidance on investment advice programs for individual retirement accounts and 401(k) plan participants.

On Friday afternoon, we are pleased to have back two renowned speakers. Regina Stover, SVP & Chief Fiduciary Officer with BONYMellon will discuss Fiduciary Key Risk Indicators. Attendees will learn and identify critical KRI best practices. Ending the day, we welcome Marty Lybecker, partner in the Washington DC law firm of Wilmer Hale. Marty will provide us with a valuable update to current Financial Reform impact issues.

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The program skill level for this seminar is rated "Intermediate". Please refer to the "Seminar Information" section of this brochure for the educational and/or advance prerequisites for this seminar.

SEMINAR INFORMATION

Location: Training:
Morgan Stanley Corporate Conference Center
1585 Broadway - 41st floor
New York, NY 10022
(between 47th and 48th Street)

Dress: Business Casual, please (No jeans, no tennis shoes)

CE Hours: 15 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.

Fees: FIRMA or GARP Member $350; Non-Member $500

Registration Deadline: Friday, October 30, 2009

Cancellation/Refund Policy:

Cancellations received prior to October 30, 2009, will be refunded in full. Cancellations received October 30, 2009 through November 6, 2009, will be refunded subject to a $50.00 service charge. Cancellations made after November 6, 2009, are not refundable.

For more information regarding seminar administrative policies such as complaint or refund, please contact our offices at 678-565-6211. Thank you.

Hotel Reservations: Seminar attendees may wish to make their own room reservations at the following area hotels:

Crowne Plaza Manhattan/Times Square 212-977-4000;
Sheraton Manhattan 212-581-3300;
"W" New York/Times Square 212-930-7400;
Courtyard New York Manhattan/Times Square 212-391-0088;
Best Western President 212-246-8800; or the
Renaissance New York/Times Square 212-765-7676.

Seminar Notes: A continental breakfast will be served each day, beginning at 7:30 am. Lunch will be provided on both days. Dress for all sessions is business casual. You may wish to bring a jacket or sweater to the seminar because the training room is normally cool.