

FIRMA SEMINAR Current Risk Issues AGENDA

Wednesday, September 23, 2009

Registration	7:30 - 8:30 am	
Welcome & Introduction	8:30 - 8:45 am	Ally Kidik Key Bank
Trust Legislative Issues	8:45 - 10:00 am	Sally Miller, ABA
AML Risk Update	10:15 - 11:30 am	John Byrne, Consultant
ERISA Update	11:30 am - 12:00 noon	Roberta Ufford, Groom Law
Lunch (Provided)	12:00 noon - 1:00 pm	
IRA Risk Issues	1:00 - 2:30 pm	Roberta Ufford, Groom Law
Financial Reform as well as Madoff Impact Information	2:30 - 4:00 pm	Marty Lybecker, WilmerHale
Fiduciary Hot Topics	4:00 - 5:00 pm	Roundtable Leader: Marilyn Smith, Harris Bank

Thursday, September 24, 2009

Continental Breakfast	7:30 - 8:30 am	
Current OCC Trust Initiatives	8:30 - 9:30 am	Greg McDougale, OCC
Insurance Risks	9:45 - 11:00 am	Scott Kirby, Advanced Settlements, LLC
Merger & Acquisition Due Diligence	11:00 am - 12:00 noon	Kim Dessormeau, TD Banknorth
Lunch (Provided)	12:00 noon - 1:00 pm	
FINRA Hot Topics	1:00 - 3:00 pm	Carla Romano, FINRA
Adjourn	3:00 pm	

2009 CURRENT RISK ISSUES SEMINAR REGISTRATION FORM

September 23 & 24, 2009 • Cleveland, Ohio
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's Signature: _____

Mail or fax this form and advance payment by
September 11, 2009, to:

FIRMA Office
Amy Caple (Cleveland 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

SEPTEMBER 23 & 24, 2009

Key Center
Cleveland, Ohio

Sponsored by



FIRMA is pleased to sponsor a one day Current Risk Issues Seminar in Cleveland, Ohio, on September 23 & 24, 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 Wednesday, September 23rd, the full day program will begin with Sally Miller, Senior Counsel in the ABA's Center for Securities, Trusts, and Investments. Sally will give us, as always, an invaluable update on the current legislative issues in Washington affecting our industry. Following Sally, 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.

Rounding out the morning session and into the afternoon 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.

At mid-afternoon, 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. Attendees will also learn the unique impact issues that the industry is learning from the Bernie Madoff affair.

We will end the afternoon with 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.

On Thursday, September 24th, we begin the day with Greg McDougle, Senior Trust Examiner in the Asset Management Division of the Comptroller of the Currency in Chicago. Greg will provide an update on OCC Financial Reform initiatives and current examination activities in bank fiduciary activities. Following Greg, we are pleased to welcome Scott Kirby, Managing Partner of Advanced Settlements, LLC in Orlando. Scott will discuss the risks and opportunities found in life insurance life settlements and best practices in the administration of life insurance in trust accounts.

Completing our morning session, we welcome Kim Dessormeau, VP and Compliance Officer with TD Banknorth in Burlington, VT. Kim has led her bank through recent mergers and acquisitions. Attendees will learn key due diligence steps and critical best practices for the M&A process.

On Thursday afternoon, we welcome Carla Romano, SVP and Regional Director of FINRA's Chicago Office. Carla will share and attendees will learn the current FINRA examination and policy issues for securities regulation.



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:

Key Center
9th Floor, R.W. Gillespie Conference
& Education Center
Case Western Auditorium,
127 Public Square
Cleveland, Ohio 44114

Lodging:

Marriott Cleveland Downtown
at Key Center
127 Public Square
Cleveland, OH 44114
(Connected to the bank)

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, September 11, 2009

Cancellation/Refund Policy:

Cancellations received prior to September 11, 2009, will be refunded in full. Cancellations received September 11, 2009 through September 18, 2009, will be refunded subject to a \$50.00 service charge. Cancellations made after September 18, 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: Please make reservations at the Cleveland Marriott, Key Center by calling (216) 696-9200 or (888) 236-2427. The Marriott is offering a room rate of \$129.00 per night for single/double occupancy. When making your reservations, please ask for "FIRMA" rate of \$129.00. **Please make your hotel reservations by September 1, 2009.**

Parking: Parking is available adjacent to the Marriott and Key Center for approximately \$20.00 per day.