

Agenda

Time	Session
9:30 a.m. – 10:00 a.m.	Registration & Breakfast
10:00 a.m. – 10:15 a.m.	Welcome Remarks <i>Stephen Saxon</i>
10:15 a.m. – 11:00 a.m.	SEC Fiduciary Proposal: An overview of Regulation Best Interest, the Investment Adviser Standard of Conduct, and the Form CRS Relationship Summary <i>Speakers: David Kaleda, Kevin Walsh</i>
11:00 a.m. – 12:00 p.m.	Making Sense of the Different Fiduciary Standards: A discussion of how the SEC built Regulation Best Interest on the foundation of DOL’s Fiduciary Rule, developments under state law, and enforcement risk <i>Speakers: Tom Roberts, George Sepsakos</i>
12:00 p.m. – 12:30 p.m.	Lunch Service
12:30 p.m. – 1:00 p.m.	Reading the Tea Leaves: A panel discussion about the future of the SEC rules as well as an update on the Fifth Circuit’s decision <i>Speakers: Jenny Eller, Kathy Ireland (K.D. Ireland Consulting), Sarah Buescher (Investment Adviser Association), Kevin Walsh, Ross McSweeney</i>
1:00 p.m. – 2:45 p.m.	Navigating the Uncertainty: An in-depth look at approaches to key business practices, including – <ul style="list-style-type: none"> • Rollover recommendations • Participant advice programs • Compensation structures • Contracting <i>Speakers: Erin Cho, Michael Kreps, Scott Matheson (CAPTRUST), Rick Matta, Stephen Saxon, Tom Roberts</i>
2:45 p.m. – 3:00 p.m.	Break
3:00 p.m. – 4:00 p.m.	Peer-to-Peer Breakout Sessions: An opportunity for participants to discuss key issues and learn from their peers <ul style="list-style-type: none"> • Track 1: Approaches to Rollovers George Washington (Lobby Level) <i>Facilitators: Michael Del Conte, Jason Lee, David Olstein</i> • Track 2: Retirement Plan Sales Ben Franklin (Lower Lobby Level) <i>Facilitators: Jenny Eller, Tom Roberts</i> • Track 3: Participant Advice, Education, & Other Communications Salon (Lobby Level) <i>Facilitators: David Kaleda, Ellen Goodwin, Stephen Saxon</i>
4:00 p.m. – 4:30 p.m.	Pulling It All Together <i>Speaker: Jenny Eller</i>
4:30 p.m. – 5:30 p.m.	Cocktail and Networking Reception



GROOM LAW GROUP

2018 Fiduciary Fly-In



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The St. Regis, Washington, DC