

**ICI Mutual Insurance Company, RRG  
RISK MANAGEMENT CONFERENCE  
April 3-5, 2019  
The Sagamore Pendry Hotel – Baltimore, Maryland**

**FINAL AGENDA**

**Wednesday, April 3, 2019**

**7:00 – 9:00 p.m.**                      **Welcome Reception**

**Thursday, April 4, 2019**

**7:30 – 8:30 a.m.**                      **Meeting Registration and Continental Breakfast**

**8:30 – 8:45 a.m.**                      **Welcome and Opening Remarks**

**Julia S. Ulstrup**  
*Vice President and General Counsel*  
ICI Mutual Insurance Company, RRG

**8:45 – 9:45 a.m.**                      **Electronic Communication, Social Media, and Compliance**

**Jane Jarcho**  
*Senior Adviser – Asset Management Practice*  
Promontory Financial Group, LLC

**Gretchen L. Klebasko**  
*Managing Director, Associate General Counsel*  
Legg Mason Global Asset Management

**Mark D. Perlow**  
*Partner*  
Dechert LLP

**Julia S. Ulstrup, Moderator**  
*Vice President and General Counsel*  
ICI Mutual Insurance Company, RRG

- 9:45 – 10:00 a.m.**                      **What’s New at the SEC?**
- Julia S. Ulstrup**  
*Vice President and General Counsel*  
ICI Mutual Insurance Company, RRG
- 10:00 – 10:15 a.m.**                      **Break**
- 10:15 – 11:00 a.m.**                      **Shareholder Litigation in the Fund Industry**
- Daniel T. Steiner**  
*President*  
ICI Mutual Insurance Company, RRG
- David U. Thomas**  
*Senior Associate Counsel and Director of Cyber Risk Issues*  
ICIM Services, Inc.
- 11:00 – 11:15 a.m.**                      **Claims Trends and Regulatory Update**
- Virginia S. Barry**  
*Associate Counsel*  
ICIM Services, Inc.
- David U. Thomas**  
*Senior Associate Counsel and Director of Cyber Risk Issues*  
ICIM Services, Inc.
- 11:15 a.m. – 12:15 p.m.**                      **CCOs vs. CROs: Roles, Responsibilities, and Relatedness**
- Daniel S. Bender**  
*Executive Director, Financial Services Advisory*  
Ernst & Young, LLP
- Victor M. Frye**  
*Executive Director, Chief Compliance Officer*  
ProShare Advisors LLC
- Ric Weible**  
*Vice President and Chief Risk Officer*  
T. Rowe Price Group, Inc.
- Margaret M. Sullivan, Moderator**  
*Director, Underwriting Department*  
ICIM Services, Inc.



**9:15 – 10:15 a.m.**

**Prospectus/Disclosure-Based Liability Risk Management**

**Dorothy M. Donohue**

*Deputy General Counsel – Securities Regulation*

Investment Company Institute

**Laura E. Flores**

*Partner*

Morgan, Lewis & Bockius LLP

**David H. Reinmiller**

*Vice President and Associate General Counsel*

American Century Investments

**Julia S. Ulstrup, Moderator**

*Vice President and General Counsel*

ICI Mutual Insurance Company, RRG

**10:15 – 11:00 a.m.**

**Managing Defense Costs**

**Heidemarie Gregoriev**

*Counsel*

Vedder Price P.C.

**Stephen G. Topetzes**

*Partner*

K&L Gates LLP

**David U. Thomas, Moderator**

*Senior Associate Counsel and Director of Cyber Risk Issues*

ICIM Services, Inc.

**11:00 – 11:15 a.m.**

**Break**

**11:15 – 11:45 a.m.**

**Insurance Market Overview**

**John T. Mulligan**

*Senior Vice President and Chief Underwriting Officer*

ICI Mutual Insurance Company, RRG

**11:45 a.m. – 12:15 p.m.**

**Hot Topics**

**Joy Ausili**

*Co-Chief Executive Officer*

Mutual Fund Administration, LLC

**David M. Goldman**  
*General Counsel*  
Gabelli Funds, LLC

**Laurene E. MacElwee**  
*Vice President Fund Advisor Compliance*  
Pacific Life Fund Advisors LLC

**Margaret M. Sullivan, Moderator**  
*Director, Underwriting Department*  
ICIM Services, Inc.

**12:15 p.m.**

**Closing Remarks**  
**Boxed Lunches Available**

**ICI Mutual Insurance Company, RRG**  
**RISK MANAGEMENT CONFERENCE**  
**April 3-5, 2019**

**Selected Reference Materials**

**Electronic Communication, Social Media and Compliance**

[SEC: Guidance on the Testimonial Rule and Social Media](#) (Mar. 2014)

[SEC National Exam Program Risk Alert: Observations from Investment Adviser Examinations Relating to Electronic Messaging](#) (Dec. 14, 2018)

[ONPOINT / A legal update from Dechert's Financial Services Group, OCIE Publishes Risk Alert on the Use of Electronic Messaging by Investment Advisers and Employees](#) (Jan. 2019)

[Promontory Currents - The Compliance Predicament: Monitoring Electronic Communications of Personnel at Regulated Financial Services Entities](#) (Jan. 2019)

[National Labor Relations Board \(NLRB\): Social Media](#)

[NLRB, Office of the General Counsel, Memorandum GC 18-04: Guidance on Handbook Rules Post-Boeing](#) (Jun. 6, 2018)

[NLRB: Pier Sixty, LLC](#)

[NLRB: Triple Play Sports Bar](#)

**What's New at the SEC?**

[SEC: Analytics Office](#)

[SEC: Division of Economic and Risk Analysis](#)

[SEC Division of Enforcement 2018 Annual Report](#) (Nov. 8, 2018)

[SEC National Exam Program Risk Alert: Risk-Based Examination Initiatives Focused on Registered Investment Companies](#) (Nov. 8, 2018)

[SEC Office of Compliance Inspections and Examinations Announces 2019 Examination Priorities](#) (Dec. 20, 2018)

[Speech, SEC Commissioner Kara M. Stein, From the Data Rush to the Data Wars: A Data Revolution in Financial Markets](#) (Sept. 2018)

[Speech, SEC Chairman Jay Clayton, Testimony on “Oversight of the U.S. Securities and Exchange Commission” \(Dec. 11, 2018\)](#)

### **Claims Trends and Regulatory Update**

ICI Mutual, Claims Trends (hard copy “preview edition” in folder)

[ICI Mutual, Investment Management Litigation Notebook](#)

### **Prospectus/Disclosure-Related Liability Risk Management**

[SEC: Disclosure Reference Material](#)

[SEC: Fund Disclosure at a Glance](#)

[Speech, Director of Division of Investment Management Dalia Blass, Keynote Address – ICI Securities Law Developments Conference \(Oct. 25, 2018\)](#)

[Speech, SEC Chairman Jay Clayton, Remarks to the SEC Investor Advisory Committee \(Dec. 13, 2018\)](#)

[Brent J. Fields Named Associate Director in the Division of Investment Management \(Feb. 2019\)](#)

[SEC Division of Investment Management Organizational Chart](#)

[SEC Agency Rule List – Fall 2018, Modernization of Investment Company Disclosure \(Pre-Rule Stage\)](#)

[Sample] Board of Trustees Registration Statement Policy and Procedure Review (hard copy in folder)

Morgan Lewis, Responsibilities of Trustees in Connection with Registration Statement of Disclosure, March 2019 (hard copy in folder)

[Lorenzo v. Securities and Exchange Commission, 2019 U.S. LEXIS 2295 \(Mar. 29, 2019\)](#)

### **Managing Defense Costs**

[ICI Mutual Insurance Company, Risk Management Study: Managing Defense Costs \(2004\)](#)