

ICI Mutual Insurance Company, RRG
VIRTUAL RISK MANAGEMENT CONFERENCE
April 14-16, 2021
Via Zoom – All Times Eastern

FINAL AGENDA

Wednesday, April 14, 2021

2:00 – 3:30 p.m.

**2021 Regulatory Update: New Administration, New Priorities
and
Spotlight on ESG: Compliance and Risk Issues**

Dorothy M. Donohue
Deputy General Counsel – Securities Regulation
Investment Company Institute

Amy D. Roy
Partner
Ropes & Gray LLP

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

Fund Industry Claims Trends

Virginia S. Barry
Associate Counsel
ICIM Services, Inc.

David U. Thomas
Senior Associate Counsel and Director of Cyber Risk Issues
ICIM Services, Inc.

Thursday, April 15, 2021

2:00 – 3:30 p.m.

Operational Errors and Insurance: Raising Awareness

Daniel T. Steiner
President
ICI Mutual Insurance Company, RRG

What's New at ICI Mutual

Julia S. Ulstrup

Senior Vice President and General Counsel
ICI Mutual Insurance Company, RRG

Shop Talk: Small Group Discussions and Networking

- Participants will be assigned to a breakout room by the Zoom host

Friday, April 16, 2021

2:00 – 3:30 p.m.

Welcome from the Chair

Barry Fink

Chair, Board of Directors
ICI Mutual Insurance Company, RRG
Independent Trustee
American Century Funds

Insurance Market Developments

Paul Kim

Head of Strategy and Product Development
Aon

John T. Mulligan

Senior Vice President and Chief Underwriting Officer
ICI Mutual Insurance Company, RRG

Preparing for a “New Normal”: People, Places, and Policies

Tamara K. Salmon

Associate General Counsel
Investment Company Institute

Julia S. Ulstrup

Senior Vice President and General Counsel
ICI Mutual Insurance Company, RRG

Hot Topics: New and Emerging Risk Management Issues

Armando Capasso

Vice President, Chief Compliance Officer
PGIM Investments, LLC

Amy Ward Pershkov

Shareholder
Vedder Price

Cathy M. Stoner

*Senior Vice President, Chief Compliance Officer and Chief
Financial Officer*
Schwartz Investment Counsel, Inc.

Margaret M. Sullivan, Moderator

Director, Underwriting Department
ICIM Services, Inc.

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RISK MANAGEMENT CONFERENCE
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Selected Reference Materials

Regulatory Update

[SEC Organizational Chart](#) (as of Apr. 5, 2021)

[Risk Alert: Select COVID-19 Compliance Risks and Considerations for Broker-Dealers and Investment Advisers](#) (Aug. 12, 2020)

[Risk Alert: OCIE Observations: Investment Adviser Compliance Programs](#) (Nov. 19, 2020)

[Risk Alert: The Division of Examinations' Continued Focus on Digital Asset Securities](#) (Feb. 26, 2021)

SEC Division of Examinations, [2021 Examination Priorities – Division of Examinations](#) (Mar. 3, 2021)

SEC Division of Enforcement, [Enforcement Annual Report 2020](#) (Nov. 2, 2020)

Public Statement, Allison Herren Lee, Acting SEC Chair, [Statement on Empowering Enforcement to Better Protect Investors](#) (Feb. 9, 2021)

Public Statement, Allison Herren Lee, Acting SEC Chair, [Statement on Contingent Settlement Offers](#) (Feb. 11, 2021)

Ropes & Gray, [SEC Updates Framework for Fund Fair Valuation Practices](#) (Dec. 9, 2020)

Ropes & Gray, [Division of Investment Management Requests Comment on Rule 17a-7 Trades](#) (Mar. 16, 2021)

ESG Spotlight

Public Statement, Allison Herren Lee, Acting SEC Chair, [Statement on the Review of Climate-Related Disclosure](#) (Feb. 10, 2021)

Speech, Allison Herren Lee, Acting SEC Chair, [Every Vote Counts: The Importance of Fund Voting and Disclosure](#) (Mar. 17, 2021)

Speech, Allison Herren Lee, Acting SEC Chair, [A Climate for Change: Meeting Investor Demand for Climate and ESG Information at the SEC](#) (Mar. 15, 2021)

Press Release, [SEC Announces Enforcement Task Force Focused on Climate and ESG Issues](#), (March 4, 2021)

Press Release, [SEC Responds to Investor Demand by Bringing Together Agency Information About Climate and ESG Issues](#) (Mar. 23, 2021)

[Risk Alert: The Division of Examinations' Review of ESG Investing](#) (Apr. 9, 2021)

[Investment Company Institute \(ICI\), ESG Investing Resource Center](#)

[ICI Webinar: ESG Fund Investing: The 2021 Landscape](#) (Feb. 16, 2021)

[ICI Explains: An ESG Roadmap](#) (Feb. 19, 2021)

Ropes and Gray, [Department of Labor Announces Non-Enforcement Policy for Trump-Era ESG and Proxy Voting Rules](#) (Mar. 11, 2021)

Ropes & Gray, [SEC Staff Issues Risk Alert on ESG Investing](#) (April 13, 2021)

Fund Industry Claims Trends

ICI Mutual, Claims Trends: A Review of Claims Activity in the Mutual Fund Industry (January 2020–March 2021) [“preview copy” provided directly to conference attendees]

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