

**ICI Mutual Insurance Company, RRG
VIRTUAL RISK MANAGEMENT CONFERENCE
April 6-8, 2022
Via Zoom – All Times Eastern**

FINAL AGENDA

Wednesday, April 6, 2022

2:00 – 3:30 p.m.

2022 Regulatory Update: New Leadership, New Initiatives

Dorothy M. Donohue

Deputy General Counsel – Securities Regulation
Investment Company Institute

Amy Ward Pershkov

Shareholder
Vedder Price

Julia S. Ulstrup, Moderator

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

Spotlight on Cybersecurity Risk Management

Tom Nash

Director
KPMG – Cyber Security Services

Charlotte Nicholson

Director
KPMG – Financial Services Regulatory & Compliance Risk

Michael Sullivan

Principal
KPMG – Financial Services Regulatory & Compliance Risk

Developments in Fund Industry Litigation and Claims: Year in Review

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 7, 2022

2:00 – 3:30 p.m.

What's New at ICI Mutual

Barry Fink

Chair, Board of Directors

ICI Mutual Insurance Company, RRG

Independent Trustee

American Century Funds

Daniel T. Steiner

President

ICI Mutual Insurance Company, RRG

An Introduction to Cryptocurrency and Digital Assets

Paulita A. Pike

Partner

Ropes & Gray LLP

Shop Talk: Small Group Discussions and Networking

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

Friday, April 8, 2022

2:00 – 3:30 p.m.

Insurance Market Update

John T. Mulligan

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

Challenges in Risk Transfer: Insights and Observations from Risk Managers

Karen Bachman

Corporate Insurance Manager
The Vanguard Group, Inc.

Chris B. White

Vice President, Global Insurance & Risk
Capital Group Companies Global

John T. Mulligan, Moderator

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

Hot Topics: New and Emerging Risk Management Issues

Ryan M. Charles

Mutual Fund Administration Supervisor
U.S. Bank Global Fund Services

Pamela M. Conover

Vice President and Deputy General Counsel
T. Rowe Price Associates, Inc.

Randall S. Fillmore

Chief Compliance Officer
Aquila Investment Management LLC

Margaret M. Sullivan, Moderator

Director, Underwriting Department
ICIM Services, Inc.

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RISK MANAGEMENT CONFERENCE
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Selected Reference Materials

2022 Regulatory Update: New Leadership, New Initiatives

[SEC Organizational Chart](#) (as of Mar. 15, 2022)

[Vedder Price, Division of Examinations Risk Alert Identifies Compliance Issues at Registered Investment Companies](#), Newsletter (Nov. 19, 2021)

[SEC Division of Enforcement, SEC Announces Enforcement Results for FY 2021](#) (Nov. 18, 2021)

[Press Release, William Birdthistle Named Director of Division of Investment Management](#) (Dec. 21, 2021)

[Proposed Rule, The Enhancement and Standardization of Climate-Related Disclosures for Investors](#) (Mar. 21, 2022)

[Speech, William Birdthistle, Remarks at the ICI Investment Management Conference](#) (Mar. 28, 2022)

[SEC, EXAMS, 2022 National Exam Program Examination Priorities](#) (Mar. 29, 2022)

[ICI ESG Resource Center](#)

Spotlight on Cybersecurity Risk Management

[Regulatory Alert, SEC Adviser/Fund Cybersecurity](#), KPMG (February 2022)

[Speech, SEC Chair Gary Gensler, Cybersecurity and Securities Laws](#) (Jan. 24, 2022)

[Press Release, SEC Proposes Cybersecurity Risk Management Rules and Amendments for Registered Investment Advisers and Funds](#) (Feb. 9, 2022)

[ICI Cybersecurity Resources](#)

An Introduction to Cryptocurrency and Digital Assets

[Paulita Pike and David M. Geffen, Fund Directors' Oversight of Investments in Cryptocurrencies and Other Digital Assets, The Review of Securities and Commodities Regulation](#) (Oct. 6, 2021)

[Speech, Commissioner Caroline A. Crenshaw, Digital Asset Securities – Common Goals and a Bridge to Better Outcomes](#) (Oct. 12, 2021)

[Speech, Commissioner Hester M. Pierce, Lawless in Austin](#) (Oct. 8, 2021)

[Press Release, BlockFi Agrees to Pay \\$100 Million in Penalties and Pursue Registration of its Crypto Lending Product](#) (Feb. 14, 2022)

[U.S. Department of Labor, Compliance Assistance Release No. 2022-01, 401\(k\) Plan Investments in "Cryptocurrencies"](#) (Mar. 10, 2022)

[Chair Gary Gensler, Prepared Remarks of Gary Gensler On Crypto Markets, Penn Law Capital Markets Association Annual Conference](#) (April 4, 2022)

[SEC, Investor.gov, Digital Assets](#)

Fund Industry Claims Trends

ICI Mutual, Claims Trends: A Review of Claims Activity in the Mutual Fund Industry (January 2021–March 2022) [“preview copy” to be provided directly to conference attendees]

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

[ICI Mutual, Operational Errors and Insurance](#) (July 2021)