

ICI Mutual Insurance Company
RISK MANAGEMENT CONFERENCE
April 7-9, 2010
Hotel Contessa ~ San Antonio, Texas

FINAL AGENDA

Wednesday, April 7, 2010

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

Thursday, April 8, 2010

7:45 – 8:30 a.m. **Meeting Registration and Continental Breakfast – Contessa Ballroom B**

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

Lawrence R. Maffia
President
ICI Mutual Insurance Company

Steven J. Paggioli
Trustee
Professionally Managed Portfolios
Chairman, ICI Mutual Risk Managers Committee

8:45 – 10:00 a.m. **The Post-Credit Crisis Landscape**

- What have we learned about risk?
- What have we learned about investors?
- What is the outlook for regulatory and legislative reform?

Lawrence R. Maffia, Moderator
President
ICI Mutual Insurance Company

Donald C. Auerbach
Chief Government Affairs Officer
Investment Company Institute

Barry Fink
Executive Vice President, Chief Operating Officer
American Century Investments

Bruce E. Meikle
Senior Vice President and Chief Compliance Officer
The Capital Group Companies, Inc.

10:00 – 10:15 a.m.

Break

10:15 – 11:30 a.m.

Social Media and Compliance

- Introduction to Social Networking
- Corporate Policies and Risk Management

David U. Thomas, Moderator

Associate Counsel
ICIM Services, Inc.

Doug Cornelius

Chief Compliance Officer
Beacon Capital Partners, LLC

Gretchen Klebasko

Director of Intellectual Property, Associate General Counsel
Legg Mason & Co., LLC

Pauline C. Scalvino

Chief Compliance Officer
The Vanguard Group, Inc.

11:30 a.m. – 12:00 p.m.

Update on *Jones v. Harris*

Daniel T. Steiner

Executive Vice President and General Counsel
ICI Mutual Insurance Company

12:00 – 1:00 p.m.

Lunch - Anaqua

1:00 – 1:30 p.m.

“Making Sense of Mistakes: Understanding and Avoiding Operational Errors”

Daniel T. Steiner

Executive Vice President and General Counsel
ICI Mutual Insurance Company

1:30 – 2:30 p.m.

Investment Management Oversight

- Implementation and Automation
- The Human Factor

Julia S. Ulstrup, Moderator

Associate Counsel
ICIM Services, Inc.

Frank Knox

Vice President and Chief Compliance Officer
John Hancock Investment Company Operations

W. Richard Mason

Corporate Counsel and Chief Compliance Officer
Madison Investment Advisors, Inc.

David J. Thelander

Founder
Thelander Advisers

2:30 – 2:45 p.m.

Break

2:45 – 3:30 p.m.

Shop Talk Session (*optional*)
Group 1 – Cedar
Group 2 – Laurel

4:00 p.m.

Alamo Tour or Riverwalk Boat Tour (*optional*)
Meet in Main Lobby

7:00 p.m.

Reception and Dinner at Boudro's
207 N. Presa Street
San Antonio, TX 78205

Friday, April 9, 2010

8:15 – 9:00 a.m.

Continental Breakfast – Contessa Ballroom B

9:00 – 9:45 a.m.

Claims and Regulatory Update

David M. Smith

Associate Counsel
ICIM Services, Inc.

Julia S. Ulstrup

Associate Counsel
ICIM Services, Inc.

9:45 – 11:00 a.m.

Disclosure: Managing the Message

- Process and Players
- Class Action Litigation
- Summary Prospectus in Action

Daniel T. Steiner, Moderator

Executive Vice President and General Counsel
ICI Mutual Insurance Company

Steven J. Paggioli

Trustee

Professionally Managed Portfolios

Chairman, ICI Mutual Risk Managers Committee

David M. Smith

Associate Counsel

ICIM Services, Inc.

11:00 – 11:45 a.m.

Structuring Insurance Programs

- Addressing Fund Industry Risks
- Defining Scope of Coverage
- Role of Reinsurance

John T. Mulligan

Vice President

ICI Mutual Insurance Company

11:45 a.m. – 12:00 p.m.

Closing Remarks

12:00 p.m.

Boxed Lunches Available – Contessa Ballroom A