

ICI Mutual Insurance Company
RISK MANAGEMENT CONFERENCE
April 13-15, 2011
The Fairmont Hotel ~ Santa Monica, California

FINAL AGENDA

Wednesday, April 13, 2011

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

Thursday, April 14, 2011

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

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 – 9:45 a.m. **U.S. Regulatory Environment**

- The Evolving SEC
- Inter-Agency Relationships: SEC, FINRA, DOL, CFTC
- Regulatory Agenda and Priorities

Julia S. Ulstrup, Moderator
Associate Counsel
ICIM Services, Inc.

C. David Messman
Chief Legal Officer
Wells Fargo Funds Management

Thomas M. Mistele

Chief Operating Officer and General Counsel
Dodge & Cox

Paul F. Roye
Senior Vice President
Capital Research & Management Company

9:45 – 10:30 a.m

Going Global: Operating in a World Economy

- Foreign Regulatory Initiatives
- Compliance and Operational Challenges

Maggie Sullivan, Moderator
Senior Underwriter
ICIM Services, Inc.

Susan Olson
Senior Counsel – International
Investment Company Institute

Scott Stroh
Corporate Counsel and Compliance Officer
Saturna Capital

Jennifer Whitman
Director, Corporate Insurance
Legg Mason Inc.

10:30 – 10:45 a.m.

Break

10:45 – 11:30 a.m.

Trends in Outsourcing

- Outsourced Functions and Services
- Service Provider Oversight Techniques

David U. Thomas, Moderator
Associate Counsel
ICIM Services, Inc.

Laura Chasney
Vice President
T. Rowe Price Group, Inc.

Robert Dame
Senior Vice President
State Street Corporation

Robert M. “Bud” Slotky

Senior Vice President
U.S. Bancorp Fund Services, LLC

- 11:30 a.m – 12:30 p.m.** **Shop Talk Session (*optional*)**
- 12:30 – 1:30 p.m.** **Lunch**
- 1:30 – 2:30 p.m.** **Cultivating Conscience: How Good Laws Make Good People**

Professor Lynn A. Stout
Paul Hastings Professor of Corporate and Securities Law
UCLA School of Law
- 3:00 p.m.** **Tour of The Getty Villa departs (*optional*)**
- 3:30 p.m.** **Bike the Beach Path (*optional*)**
- 7:00 p.m.** **Reception and Dinner at Michael's**

Friday, April 15, 2011

- 8:00 – 9:00 a.m.** **Breakfast**

Understanding Your Bond and Policy (*optional*)

Daniel T. Steiner
Executive Vice President and General Counsel
ICI Mutual Insurance Company
- 9:00 – 9:15 a.m.** **Morning Remarks**

Michael J. Downer
Senior Vice President
Capital Research & Management Company
Vice Chairman, Board of Directors
ICI Mutual Insurance Company
- 9:15 – 10:00 a.m.** **Claims and Litigation Landscape**

Daniel T. Steiner

Executive Vice President and General Counsel
ICI Mutual Insurance Company

10:00 – 11:00 a.m.

Approaches to Risk Management

- Program Structures and Governance
- Role of CROs and Risk Committees
- Emerging Issues and Risk Assessments

Julia S. Ulstrup, Moderator

Associate Counsel
ICIM Services, Inc.

Nicholas D'Angelo

Director – Asset Management
PricewaterhouseCoopers LLP

Greg Reymann

Chief Compliance Officer and Chief Risk Officer
Transamerica Asset Management, Inc.

Kenneth J. Winston

Chief Risk Officer
Western Asset Management Company

11:00 – 11:45 a.m.

Dodd-Frank Progress Report

- Implications for the Fund Industry
- Whistleblower Provisions

David U. Thomas, Moderator

Associate Counsel
ICIM Services, Inc.

Michael J. Downer

Senior Vice President
Capital Research & Management Company
Vice Chairman, Board of Directors
ICI Mutual Insurance Company

Kathryn Sanders

Partner
O'Melveny & Myers LLP

11:45 a.m. – 12:15 p.m.

Focus on Insurance

- Market Trends
- Shareholder Derivative Demand Investigations (SDDI)
- Other New Coverages

John T. Mulligan

Vice President

ICI Mutual Insurance Company

12:15 – 12:30 p.m.

Closing Remarks

Lawrence R. Maffia

President

ICI Mutual Insurance Company

12:30 p.m.

Boxed Lunches Available