

ICI Mutual Insurance Company
RISK MANAGEMENT CONFERENCE
April 10-12, 2024
The DeSoto Hotel – Savannah, Georgia

FINAL AGENDA

Wednesday, April 10, 2024

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

Thursday, April 11, 2024

8:00 – 9:00 a.m. **Meeting Registration and Continental Breakfast**

9:00 – 9:15 a.m. **Welcome and Opening Remarks**

Julia S. Ulstrup

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

9:15 – 10:00 a.m. **Regulatory Roulette: Proposals, Priorities, and Predictions**

Mary Clarke-Pearson

Senior Legal Counsel
Janus Henderson Investors

Dorothy M. Donohue

Deputy General Counsel – Securities Regulation
Investment Company Institute

Amy Ward Pershkov

Shareholder
Vedder Price P.C.

Julia S. Ulstrup, moderator

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

- 10:00 – 10:45 a.m.** **Spotlight on Outsourcing**
- Amanda Gibbons**
Assistant Vice President and Counsel
MFS Investment Management
- Lisa C. Hamman**
Associate Managing Director
Independent Directors Council
- Tamara K. Salmon**
Senior Associate Counsel
Investment Company Institute
- Margaret M. Sullivan, moderator**
Vice President and Chief Underwriting Officer
ICI Mutual Insurance Company, RRG
- 10:45 – 11:00 a.m.** **Break**
- 11:00 – 11:15 a.m.** **Litigation Developments and Claims Trends Overview**
- 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. – 12:00 p.m.** **ICI Mutual: Looking Ahead Together**
- John T. Mulligan**
President
ICI Mutual Insurance Company, RRG
- 12:00 p.m.** **Lunch**
- 1:00 p.m.** **Keynote Address: Techno-Optimism in a World of Disruptive Technology**
- Dr. Cori Lathan**
Neuroscientist, Founder and Former CEO
AnthroTronix, Inc.
- 2:30 p.m.** **Shop Talk (optional)**

3:30 p.m.

Optional Activity

- **Historic Home and Garden Tour: The Andrew Low House** (*Please join this group if you are not participating in Shop Talk.*)

4:00 p.m.

Optional Activity

- **Historic Home and Garden Tour: The Andrew Low House** (*Please join this group if you are participating in Shop Talk.*)

7:00 p.m.

Reception and Dinner at Noble Fare

Friday, April 12, 2024

7:30 – 8:30 a.m.

Breakfast

Optional Educational Session

- **Understanding Your Bond and Policy**

8:30 – 9:15 a.m.

Artificial Intelligence (AI) and the Fund Industry

Suzanne E. Christensen

*Senior Vice President – Head of Enterprise Risk Management
Franklin Templeton*

Mark Diamond

*Founder, President and CEO
Contoural, Inc.*

Julia S. Ulstrup, moderator

*Executive Vice President and General Counsel
ICI Mutual Insurance Company, RRG*

9:15 – 10:00 a.m.

Shareholder Authentication: Tales from the Trenches

Kelly O'Donnell

*Director, Operations and Transfer Agency
Investment Company Institute*

John Ramirez

*Vice President
T. Rowe Price Investment Services, Inc.*

David U. Thomas

*Senior Associate Counsel and Director of Cyber Risk Issues
ICIM Services, Inc.*

10:00 – 10:15 a.m.

Break

10:15 – 10:45 a.m.

States and the Escheatment Process: Finding Accounts You Didn't Know You Lost

Tamara K. Salmon

*Senior Associate Counsel
Investment Company Institute*

10:45 – 11:15 a.m.

Insurance Market Update

James Martin

Senior Vice President

Guy Carpenter

John T. Mulligan

President

ICI Mutual Insurance Company, RRG

11:15 – 11:45 a.m.

Hot Topics: New and Emerging Risk Management Issues

Victor M. Frye

Chief Compliance Officer

ProShares

J. Christopher Jackson

Senior Vice President and Of Counsel

Calamos Investment Management LLC

Jennifer Whitman

Vice President, Corporate Insurance Manager

T. Rowe Price Group, Inc.

Margaret M. Sullivan, moderator

Vice President and Chief Underwriting Officer

ICI Mutual Insurance Company, RRG

11:45 a.m. – 12:00 p.m.

Closing Remarks

Julia S. Ulstrup

Executive Vice President and General Counsel

ICI Mutual Insurance Company, RRG

12:00 p.m.

Boxed Lunches Available

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RISK MANAGEMENT CONFERENCE
April 10-12, 2024
Selected Reference Materials

Regulatory Roulette: Proposals, Priorities and Predictions

[SEC, Index of SEC Rulemaking Activity](#)

[In re the Enhancement and Standardization of Climate-Related Disclosures for Investors, Order Issuing Stay, Securities Act Release No. 11280, Securities Exchange Act Release No. 99908 \(April 4, 2024\)](#)

[Investment Company Institute Memo, SEC Adopts Final Rules on The Enhancement and Standardization of Climate-Related Disclosures for Investors; Recording of ICI Overview of the Final Rules Now Available \(Mar. 6, 2024\)](#)

[Press Release, SEC Adopts Rules to Enhance and Standardize Climate-Related Disclosures for Investors \(March 6, 2024\)](#)

[Press Release, SEC Announces Departure of William Birdthistle; Natasha Vij Greiner Named Director of the Division of Investment Management \(Feb. 28, 2024\)](#)

[Speech, Remarks at New York City Bar Association Compliance Institute, Gurbir Grewal \(Oct. 24, 2023\)](#)

[Press Release, SEC Adopts Rule Enhancements to Prevent Misleading or Deceptive Investment Fund Names \(Sept. 20, 2023\)](#)

[Press Release, SEC Adopts Money Market Fund Reforms and Amendments to Form PF Reporting Requirements for Large Liquidity Fund Advisers \(July 12, 2023\)](#)

[Press Release, SEC Proposes Enhanced Safeguarding Rule for Registered Investment Advisers \(Feb. 15, 2023\)](#)

[Press Release, SEC Proposes Enhancements to Open-End Fund Liquidity Framework \(Nov. 2, 2022\)](#)

[Press Release, SEC Proposes to Enhance Disclosures by Certain Investment Advisers and Investment Companies About ESG Investment Practices \(May 25, 2022\)](#)

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

[Vedder Price, Investment Services Regulatory Update March 2024, Vedder Thinking \(Mar. 12, 2024\)](#)

[Vedder Price, Investment Services Regulatory Update February 2024, Vedder Thinking \(Feb. 7, 2024\)](#)

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

Spotlight on Outsourcing

[Press Release, SEC Proposes New Oversight Requirements for Certain Services Outsourced by Investment Advisers \(Oct. 26, 2022\)](#)

[Speech, Statement on Proposed Amendments Regarding Service Providers Oversight, Gary Gensler \(Oct. 26, 2022\)](#)

[Investment Company Institute, Joint Comment Letter to SEC on Outsourcing by Investment Advisers \(Dec. 22, 2023\)](#)

[IDC Comment Letter on SEC's Rule Proposal on Outsourcing by Investment Advisers \(December 27, 2022\)](#)

Litigation Developments and Claims Trends Overview

ICI Mutual, Claims Trends: A Review of Claims Activity in the Mutual Fund Industry (January 2023–March 2024) [A “preview copy” will be provided to conference attendees.]

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

Keynote Address: Techno-Optimism in a World of Disruptive Technology

Corinna Lathan, Ph.D., *Inventing the Future: Stories from a Techno-Optimist* (Lioncrest Publishing, 2022) [A copy of Dr. Lathan’s book will be provided to conference attendees.]

[Invent the Future \(Dr. Lathan’s website, including blog posts and other resources\)](#)

Artificial Intelligence (AI) and the Fund Industry

[Press Release, SEC Charges Two Investment Advisers with Making False and Misleading Statements About Their Use of Artificial Intelligence \(March 18, 2024\)](#)

[Speech, Chair Gary Gensler, “AI, Finance, Movies, and the Law” Prepared Remarks before the Yale Law School \(Feb. 13, 2024\)](#)

[Press Release, SEC Proposes New Requirements to Address Risks to Investors From Conflicts of Interest Associated With the Use of Predictive Data Analytics by Broker-Dealers and Investment Advisers \(July 26, 2023\)](#)

[Contoural WhitePaper – Creating An AI Governance Program](#)

States and the Escheatment Process: Finding Accounts You Didn’t Know You Lost

Investment Company Institute, [Lost Property Resource Center](#)