

ICI Mutual Insurance Company
RISK MANAGEMENT CONFERENCE
April 12-14, 2023
The Don CeSar Hotel – St. Petersburg, Florida

PRELIMINARY AGENDA

Wednesday, April 12, 2023

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

Thursday, April 13, 2023

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

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

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

8:45 – 9:30 a.m. **Regulatory Roundup**

Victor M. Frye
Chief Compliance Officer
ProShares

Jessica L. Reece
Partner
Ropes & Gray LLP

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

9:30 – 10:15 a.m.

Today's Fund Independent Directors: Their Role and Responsibilities

Lisa C. Hamman

Associate Managing Director
Independent Directors Council

Patricia Louie

Independent Trustee
Oakmark Funds

Steven J. Paggioli

Independent Trustee
AMG Funds

Margaret M. Sullivan, moderator

Director, Underwriting Department
ICIM Services, Inc.

10:15 – 10:30 a.m.

Break

10:30 – 11:00 a.m.

Spotlight on SEC Enforcement

Jessica L. Reece

Partner
Ropes & Gray LLP

Tamara K. Salmon

Senior Associate Counsel
Investment Company Institute

Julia S. Ulstrup, moderator

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

11:00 – 11:30 a.m.

Two Turtles Deep: Some Thoughts on ESG Investing

Daniel T. Steiner

President
ICI Mutual Insurance Company, RRG

11:30 a.m. – 12:00 p.m. What to Expect in the Claims Process

Paul Kim

Head of Strategy and Product Development
Aon

Amy Ward Pershkow

Shareholder
Vedder Price P.C.

Julia S. Ulstrup, moderator

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

12:00 p.m. – 12:15 p.m. Litigation Developments and Claims Trends

Virginia S. Barry

Associate Counsel
ICIM Services, Inc.

Julia S. Ulstrup

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

12:15 p.m. Lunch

1:30 p.m. Keynote Address

- **The Truth of the Matter is...It's Complicated: How to Sort Out Fact from Fiction in a Polarized World**

Aaron Sharockman

Executive Director
PolitiFact at The Poynter Institute

3:00 p.m. Shop Talk (*optional*)

4:00 p.m. Optional Activity

- **Guided Beach Exploration Eco-Tour**

7:00 p.m. Reception and Dinner

Friday, April 14, 2023

8:00 – 9:00 a.m.

Breakfast

Optional Educational Session

- **Understanding Your Bond and Policy**

9:00 – 9:15 a.m.

Presidents' Address

Daniel T. Steiner

President

ICI Mutual Insurance Company, RRG

John T. Mulligan

Senior Vice President and Chief Underwriting Officer

President-Elect

ICI Mutual Insurance Company, RRG

9:15 – 10:00 a.m.

Insurance Perspectives

Paul Kim

Head of Strategy and Product Development

Aon

Daniel T. Steiner

President

ICI Mutual Insurance Company, RRG

John T. Mulligan, *moderator*

Senior Vice President and Chief Underwriting Officer

ICI Mutual Insurance Company, RRG

10:00 – 10:15 a.m.

Break

10:15 – 11:00 a.m.

Electronic Communications and Compliance

Armando Capasso

Head of North America Compliance

T. Rowe Price

Richard F. Kerr

Partner

K&L Gates LLP

Tamara K. Salmon, *moderator*

Senior Associate Counsel

Investment Company Institute

11:00 a.m. – 11:45 a.m. Hot Topics: New and Emerging Risk Management Issues

Courtney Bernazzani

Assistant Vice President and Senior Manager – Enterprise Risk
MFS Investment Management

Neal Crowley

Director, Global Insurance Management
Franklin Resources, Inc.

Amy Ward Pershkow

Shareholder
Vedder Price P.C.

Margaret M. Sullivan, moderator

Director, Underwriting Department
ICIM Services, Inc.

11:45 a.m. – 12:00 p.m. Closing Remarks

Julia S. Ulstrup

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

12:00 p.m. Boxed Lunches Available

ICI Mutual Insurance Company, RRG
RISK MANAGEMENT CONFERENCE
April 12-14, 2023
Selected Reference Materials

Regulatory Roundup

[SEC Organizational Chart](#)

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

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

[SEC Proposes to Regulate Investment Advisers' Outsourcing, Recordkeeping Included](#), Ropes & Gray (November 8, 2022)

[SEC Memo, SEC Adopts Amendments for Summary Shareholder Reports and Fee Information in Investment Company Advertisements](#) (Oct. 28, 2022)

[SEC Adopts Streamlined Shareholder Reports For Mutual Funds And ETFs; Fee Information In Fund Advertisements](#), Ropes & Gray (Nov. 3, 2022)

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

[Statement on Open-End Funds](#) (Nov. 2, 2022)

[SEC Proposes Overhauled Open-End Fund Liquidity Framework Including Mandatory Swing Pricing](#), Ropes & Gray (Nov. 15, 2023)

[SEC, EXAMS, 2023 National Exam Program Examination Priorities](#) (Feb. 7, 2023)

[Speech, William Birdthistle, Remarks at the ICI Investment Management Conference](#) (Mar. 20, 2023)

[SEC Proposes Enhanced Safeguarding Rule For Registered Investment Advisers](#), Ropes & Gray (Mar. 20, 2023)

Today's Fund Independent Directors: Their Role and Responsibilities

[IDC White Paper, Navigating Intermediary Relationships](#) (Dec. 2022)

[IDC Statement on SEC Swing Pricing Proposal](#) (Feb. 14, 2023)

[IDC White Paper, Board Oversight of Derivatives](#) (March 2023)

Spotlight on SEC Enforcement

[SEC Division of Enforcement, SEC Announces Enforcement Results for FY 2022](#) (Nov. 15, 2022)

[Grubir S. Grewal, Remarks at Securities Enforcement Forum](#) (Nov. 15, 2022)

Two Turtles Deep: Some Thoughts on ESG Investing

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

[Proposed Rule, Enhanced Disclosures by Certain Investment Advisers and Investment Companies about Environmental, Social, and Governance Investment Practices](#) (May 25, 2022)

[Proposed Rule, Investment Company Names](#) (June 17, 2022)

[ICI ESG Resource Center](#)

[Department of Labor's ESG Rule Attacked on Multiple Fronts](#), Ropes & Gray (Feb. 9, 2023)

[Navigating State Regulation of ESG Investments](#), Ropes & Gray (interactive website)

What to Expect in the Claims Process

What to Expect in the Claims Process (April 2023) [“advance copy” to be provided directly to conference attendees]

Litigation Developments and Claims Trends

ICI Mutual, Claims Trends: A Review of Claims Activity in the Mutual Fund Industry (January 2022–March 2023) [“preview copy” to be provided directly to conference attendees]

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

Keynote Address: The Truth of the Matter is...It's Complicated: How to Sort Out Fact from Fiction in a Polarized World

Angie Drobnič Holan, [The Principles of the Truth-O-Meter: PolitiFact's methodology for independent fact-checking](#), POLITICO (Apr. 18, 2022).

Angie Drobnič Holan, [7 steps to better fact-checking](#), POLITICO (Aug. 20, 2014).

Podcast: [PolitiFAQ](#).

Electronic Communications and Compliance

[SEC Charges 16 Wall Street Firms with Widespread Recordkeeping Failures](#) (Sept. 27, 2022)

[Message Received: SEC Zeros in on Off-Channel Communication, K&L Gates](#) (Feb. 14, 2023)