

**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 <i>Assistant Vice President and Counsel</i> MFS Investment Management Lisa C. Hamman <i>Associate Managing Director</i> Independent Directors Council Tamara K. Salmon <i>Senior Associate Counsel</i> Investment Company Institute Margaret M. Sullivan, moderator <i>Vice President and Chief Underwriting Officer</i> 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 <i>Associate Counsel</i> ICIM Services, Inc. David U. Thomas <i>Senior Associate Counsel and Director of Cyber Risk Issues</i> ICIM Services, Inc.
11:15 a.m. – 12:00 p.m.	ICI Mutual: Looking Ahead Together John T. Mulligan <i>President</i> 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 <i>Neuroscientist, Founder and Former CEO</i> 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 <i>Senior Vice President</i> Guy Carpenter John T. Mulligan <i>President</i> ICI Mutual Insurance Company, RRG
11:15 – 11:45 a.m.	Hot Topics: New and Emerging Risk Management Issues Victor M. Frye <i>Chief Compliance Officer</i> ProShares J. Christopher Jackson <i>Senior Vice President and Of Counsel</i> Calamos Investment Management LLC Jennifer Whitman <i>Vice President, Corporate Insurance Manager</i> T. Rowe Price Group, Inc. Margaret M. Sullivan, moderator <i>Vice President and Chief Underwriting Officer</i> ICI Mutual Insurance Company, RRG
11:45 a.m. – 12:00 p.m.	Closing Remarks Julia S. Ulstrup <i>Executive Vice President and General Counsel</i> 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](#)