

ICI Mutual Insurance Company
RISK MANAGEMENT CONFERENCE
April 15-17, 2026
Hotel AKA – Alexandria, Virginia

FINAL AGENDA

Wednesday, April 15, 2026

5:00 – 7:00 p.m. **Welcome Reception**

Thursday, April 16, 2026

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

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

Julia S. Ulstrup

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

8:45 a.m. – 9:45 a.m. **Shifting Regulatory Priorities and Focus Areas**

Steven I. Amchan

Deputy General Counsel
ICIM Services, Inc.

Erica Evans

Assistant General Counsel
Investment Company Institute

Jan M. Folena

Partner and Co-Chair, Securities and Regulatory Enforcement
Stradley Ronon

Julia S. Ulstrup,

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

9:45 a.m. – 10:30 a.m. **Retailization of Private and Alternative Investments**

Steven I. Amchan

Deputy General Counsel
ICIM Services, Inc.

Sandhya Ganapathy

Chief Legal Officer

Privacore Capital LLC

Debra W. Sutter

Partner

Simpson Thacher & Bartlett LLP

Julia S. Ulstrup, moderator

Executive Vice President and General Counsel

ICI Mutual Insurance Company, RRG

10:30 a.m. – 10:45 a.m.

Break

10:45 a.m. – 11:30 a.m.

Digital Assets and Tokenization: What's Next

Val Dahiya

Partner, Co-Head of Securities & Derivatives Regulatory Solutions

Morrison Foerster

Kelley A. Howes

Partner, Chair of Investment Management Group

Morrison Foerster

11:30 a.m. – 12:00 p.m.

Litigation Developments and Claims Overview

Steven I. Amchan

Deputy General Counsel

ICIM Services, Inc.

Virginia S. Barry

Associate Counsel

ICIM Services, Inc.

12:00 p.m. – 1:00 p.m.

Lunch

1:00 p.m. – 2:30 p.m.

Keynote Address – You and AI: Navigating Judgment, Trust, and Risk in the Workplace

Alexandra Mislin

Associate Professor of Management

Kogod School of Business, American University

2:30 p.m. – 2:45 p.m.

Break

2:45 p.m. – 3:30 p.m.

Shop Talk (*optional*)

- 4:00 p.m. – 5:30 p.m. Optional Activity**
- **Walking Tour of Old Town Alexandria**
- 7:00 p.m. Reception and Dinner at Julia's on the Potomac**

Friday, April 17, 2026

- 8:00 – 9:00 a.m. Breakfast**
- Optional Educational Session**
- **Understanding Your Bond and Policy**
- 9:00 a.m. – 9:30 a.m. President's Remarks**
- John T. Mulligan**
President
ICI Mutual Insurance Company, RRG
- 9:30 a.m. – 10:15 a.m. Fraud Prevention and Authentication in the Digital Age**
- Kelly O'Donnell**
Senior Director, Operations and Transfer Agency
Investment Company Institute
- Kevin Seymour**
Senior Director, Fraud Prevention
SS&C Technologies
- 10:15 a.m. – 10:30 a.m. Break**
- 10:30 a.m. – 11:00 a.m. Insurance Market Update**
- John T. Mulligan**
President
ICI Mutual Insurance Company, RRG
- 11:00 a.m. – 11:45 a.m. Hot Topics**
- David Goldman**
General Counsel
Gabelli Funds
- Heidemarie Gregoriev**
Counsel
Vedder

Nick Wilson
Director – Audit and Risk
Artisan Partners

Margaret M. Sullivan, Moderator
Vice President and Chief Underwriting Officer
ICI Mutual Insurance Company, RRG

11:45 a.m. – 12:00 p.m. New ICI Mutual Publications

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

12:00 p.m. Boxed Lunches Available To Go

ICI Mutual Insurance Company, RRG
RISK MANAGEMENT CONFERENCE
April 15-17, 2026
Selected Reference Materials

Shifting Regulatory Priorities and Focus Areas

[SEC, SEC Announces Enforcement Results for Fiscal Year 2025 \(Apr. 7, 2026\)](#)

[SEC, Speech, Paul S. Atkins, Chairman, Prepared Remarks Before SEC Speaks \(Mar. 19, 2026\)](#)

[SEC, Paul S. Atkins, Chairman, Testimony Before the U.S. Senate Committee on Banking, Housing, and Urban Affairs \(Feb. 12, 2026\)](#)

[SEC, Speech, Brian Daly, Director, Division of Investment Management, Artificial Intelligence and the Future of Investment Management \(Feb. 3, 2026\)](#)

[SEC, Remarks to the American Bar Association's Federal Regulation of Securities Committee's Private Funds Subcommittee and Investment Advisers and Investment Companies Subcommittee \(Dec. 2, 2025\)](#)

[SEC, 2026 Examination Priorities \(Nov. 17, 2025\)](#)

[Stradley Ronon, Back to Basics, Continued: SEC Asset Management Enforcement Trends So Far in FY2026 | Securities & Regulatory Enforcement \(Mar. 18, 2026\)](#)

[Stradley Ronon, SEC Asset Management Enforcement in Fiscal Year 2025 and Beyond: The Atkins Commission's 'New Day' | Securities & Regulatory Enforcement \(Nov. 12, 2025\)](#)

[ICI: Updating What "Small" Means in Today's Asset Management Industry | Investment Company Institute \(Apr. 8, 2026\)](#)

[ICI Comment Letter to the Financial Services Committee on the Modernization of the '40 Act | Investment Company Institute \(Feb. 9, 2026\)](#)

[ICI to SEC: E-Delivery Can Save Investors Billions | Investment Company Institute \(Nov. 19, 2025\)](#)

Retailization of Private and Alternative Investments

[Simpson Thacher, Department of Labor Releases Proposed Rule Aiming to Reduce Litigation Risk Associated With 401\(k\) Plans Including Access to Private Markets Assets \(Apr. 2, 2026\)](#)

[Simpson Thacher, Uyeda Outlines Case for Increasing Closed-End Fund Access to Private Investments, Registered Funds Regulatory Update, \(Feb. 9, 2026\)](#)

[Simpson Thacher, Registered Funds Regulatory Update \(Jan. 8, 2026\)](#)

[Simpson Thacher, A Close Look at the Evolving Interval Fund Space \(December 2, 2025\)](#)

[Simpson Thacher, Co-Investment Programs: From Byzantine to Spartan \(August 15, 2025\)](#)

[Simpson Thacher, President Orders Department of Labor and Securities and Exchange Commission to Democratize Access to Alternative Assets for 401\(k\) Plans \(Aug. 7, 2025\)](#)

[ICI, A Practical Step Toward Expanding Access to Private Markets Through Regulated Funds | Investment Company Institute \(Apr. 1, 2026\)](#)

Digital Assets and Tokenization: What's Next

[SEC, Speech, Paul S. Atkins, Chairman, Regulation Crypto Assets: A Token Safe Harbor \(Mar. 17, 2026\)](#)

[Press Rel. SEC Clarifies the Application of Federal Securities Laws to Crypto Assets \(Mar. 17, 2026\)](#)

[SEC, Speech, Commissioner Mark T. Uyeda, Remarks at the Asset Management Derivatives Forum 2026: Treasuries and Tokenization \(Feb. 9, 2026\)](#)

[SEC, Paul S. Atkins, Chairman, Opening Remarks at Joint SEC-CFTC Harmonization Event – Project Crypto \(Jan. 29, 2026\)](#)

[SEC, Statement, Division of Corporation Finance, Division of Investment Management, Division of Trading and Markets, Statement on Tokenized Securities \(Jan. 28, 2026\)](#)

[Morrison Foerster, SEC Issues Updated Guidance on Crypto Asset Classification, Client Alert \(Mar. 23, 2026\)](#)

[Morrison Foerster, SEC and CFTC Announce Joint “Project Crypto” Initiative and Signal Coordinated Regulatory Push for Digital Asset Markets \(Jan. 30, 2026\)](#)

[Morrison Foerster, SEC Staff Statement on Tokenized Securities – Innovation as a Regulated Evolution, Client Alert \(Jan. 28, 2026\)](#)

Litigation Developments and Claims Trends Overview

[ICI Mutual, Claims Trends: A Review of Claims Activity in the Mutual Fund Industry \(January 2025–March 2026\) \[A “preview copy” will be provided to conference attendees.\]](#)

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

Keynote Address: You and AI: Navigating Judgment, Trust, and Risk in the Workplace

[Alexandra Mislin, Associate Professor of Management, Kogod School of Business, American University](#)

[Alexandra Mislin et al., A Call for Transdisciplinary Trust Research in the Artificial Intelligence Era, Humanit. Soc. Sci. Comme'ns 12, 1124 \(2025\)](#)

Fraud Prevention and Authentication in the Digital Age

[ICI, Resource Hub, Fraud Prevention](#)

New ICI Mutual Publications

[ICI Mutual, Independent Directors Council, Insurance Considerations for Fund Independent Directors \(2026\)](#)

[ICI Mutual, Investment Company Bond Insurance: A Guide for Insureds \(2025\)](#)