



2023 RISK MANAGEMENT CONFERENCE
ST. REGIS HOTEL, PARK CITY, UTAH
MAY 7-10, 2023

Monday May 8, 2023	SPEAKERS	TOPIC
7:30-9:00	Breakfast	
9:00-9:15	Lilian Morvay, CEO IBDC-RIAC	Opening Remarks
9:15-10:00	Kevin Gannon of Robert A. Stanger Interviewer: Gary Saretsky of Saretsky Hart Michaels + Gould)	Industry Overview/Interview
10:00-10:45	Panel 1 Lead: Michael Schwartzberg of Winget Spadafora & Schwartzberg Eric Michaels of Saretsky Hart Michaels + Gould Ellen Slipp-Mediator Sarah Kreisman of Independent Financial Group	What are the top 10 claims that are made against IBs and RIAs and what protocols to follow to mitigate these claims.
10:45-11:00	Coffee Break	
11:00 - 11:45	Panel 2 Lead: Jonathan Sterling of Saretsky, Hart Michaels + Gould Derek Anderson of Winget Spadafora & Schwartzberg Bryon Romine of Kessler Collins Kim Levy of Concorde Investment Services	Why is arbitrating an alternative product claim like the Wild, Wild, West?
11:45-12:30	Panel 3 Lead: Paul Horn of H2Cyber Scott Sherman of Nelson Mullins	Title: Cybersecurity Insurance & Regulation

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	<p>Hillary Wells of Lewis Roca James Noblett of Advisor Group</p>	<p>Cybersecurity regulatory requirements. What are they and how does a BD and RIA satisfy these requirements.? Cyber security claims update.</p>
12:30-2:00	Lunch	
1:00-2:00	Breakout Session	<ol style="list-style-type: none"> 1. The state of E & O insurance for IBs and RIAs. Lilian Morvay, John McKenna of ARC Excess and Surplus 2. A candid conversation with two experts who testify regularly at arbitrations: Miriam Lefkowitz and Sander Ressler of Essential Edge
2:00-2:45	<p>Panel 4 Lead: Mike Kell of iCapital Michael Freeman of Due Diligence Works Sam Cohen of Marshall Dennehey Warner Coleman & Goggin Todd Snyder of Snyder Kearney Altidar.com</p>	<p>Educational and technology tools that may save you in the long run if you are named in an arbitration/lawsuit. Arbitration case studies demonstrating the value of good documentation.</p>
2:45-3:30	<p>Panel 5 Lead: Miriam Lefkowitz of Coda Advisory Group and Miriam Lefkowitz, LLC Dionne Fajardo of Englander Fischer Myra Nicholson of International Assets Advisory Ed Barkel of Lewis Roca</p>	<p>SEC's New RIA Rules: Advertising, Solicitation, etc.</p>

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3:30-4:15	<p>Panel 6</p> <p>Lead: Chad Weaver of Freeman Mathis & Gary Sean Needham of Reminger Peter Fogarty of Everest Insurance Kate DiGeronimo of Mound Cotton</p>	<p>Why is it important for IBDs and RIAs to purchase D & O insurance? Because regulatory actions are on the rise!</p>
4:15-5:00	<p>Panel 7</p> <p>Lead: Chris Parrington of Zuber Lawler Jason Chung of Zuber Lawler Philip Milestone of Zuber Lawler Jeff Gery of Alto Securities</p>	<p>Emerging Markets: Crypto, Cannabis and Psychedelics</p>
6:30 – 9:00	Cocktails and Dinner	
Tuesday May 9		
7:30-9:00	Breakfast	
9:00-9:45	<p>Panel 8</p> <p>Lead: Ira Hammerman of Bates Group Nancy Hendrickson of DA Davidson Craig Vollono of American Portfolios Cory Manning of Nelson Mullins</p>	<p>A look at the SEC’s and FINRA’s 2023 priorities and guidance for IBDs and RIAs on how to navigate regulatory scrutiny.</p>
9:45-10:30	<p>Panel 9</p> <p>Lead: Sherri Cooke of BFP Consulting Justine Morehead of Core Pacific Advisors Todd Snyder of Snyder Kearney Miles Hart of Saretsky, Hart Michaels + Gould</p>	<p>360 Degree Due Diligence What is the standard due diligence process from each participant’s perspective (product manufacturer, 3rd party due diligence, and product distributor) and how does it vary by product profile – and what trends, challenges, opportunities do we see in this process?</p>
10:30-10:45	Coffee Break	
10:45-11:30	<p>Panel 10</p> <p>Lead: David Baugh of O’Hagan Meyer Dan Hetzel of O’Hagan Meyer Ben Biard of Winget Spadafora & Schwartzberg Jessica Levine of Winget Spadafora & Schwartzberg</p>	<p>Alternative Product Due Diligence: A deconstruction of GWG, GPB and what we have learned from other failed product litigation.</p>

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11:30-12:15	<p>Panel 11</p> <p>Lead: Amir Tadjedin of Tadjedin Thomas and Engbloom Law Group</p> <p>Mickey Wright of Lloyd Gray Whitehead & Monroe Barry Temkin of Mound Cotton Frank Skinner of Gloor Law and Arbitration</p>	Enforcement by Regulation of Reg BI
12:15-1:00	<p>Panel 12</p> <p>Lead: Dionne Fajardo of Englander Fischer Atea Martin of Berkshire Hathaway Elizabeth Fellmeth of Freeman Mathis & Gary Miriam Lefkowitz Coda Advisory Group and Miriam Lefkowitz, LLC</p>	Outside RIAs/Hybrid IBDs, What is the IBDs supervisory responsibilities? What enforcement actions are we seeing involving outside RIAs and hybrid IBDs? Does the IBDs E & O insurance policy provide protection for the IBD and the outside RIAs?
	Lilian Morvay CEO IBDC-RIAC	Closing Remarks
1:30 – 5:00	<p>Afternoon Activity Spa Treatment Mines & Wines Tour Golf - Cancelled Due To Weather – Too Much Snow!</p>	
7:00 – 10:00	Cocktails – Dinner	