

Keys to Survival in Fiduciary Administration in the Current Environment



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- Board and Committee Responsibilities
 - Fiduciary Expertise
 - Account Acceptance and Asset Considerations
 - The Investment-Policy Statement
 - Reg 9 vs. the Administrative Review
 - Due Diligence
 - Managing Risk in Your Department
 - The DOL/Fiduciary Rule



June 29, 2017
SHAZAM Education Center
CBAI Headquarters
Springfield, IL

Course Introduction

Becky Kelly and Roger Pond discuss a variety of fiduciary issues in “Keys to Survival in Fiduciary Administration in the Current Environment” including: Board and Committee Responsibilities, Fiduciary Expertise, Account Acceptance and Asset Considerations, The Investment Policy Statement, Reg 9, Due Diligence and Managing Risk, and more.

As in the past, they will discuss Regulatory “hot topics” for 2017.

If you have issues you would like to hear about, please submit two weeks before the program and those will be included, as well. Please send topics to valeriej@cbai.com.

Who Should Attend?

Trust officers, associates, and managers as well as trust compliance and audit individuals would all benefit from attending this seminar.

About the Presenters

What Others Have Said:

“I love hearing Becky and Roger present. They are great – very knowledgeable and informative. The regulatory updates they provide are invaluable.”

*Barbara Jacobs,
VP and Trust Officer
Bank of Herrin*

“I liked the speakers’ expertise, experience, and stories. They provided practical knowledge. I enjoyed meeting and talking with other trust personnel from around the state and sharing practices.”

*John P. Synder
Assistant Trust Officer
State Street Bank & Trust
Company, Quincy*

“The speakers’ knowledge and real-life examples make for an exciting and understandable presentation. I liked their openness to answer questions on the spot.”

*Rick Solum,
Trust Administrator
Jersey State Bank,
Jerseyville*

Becky T. Kelly is a partner in The Fiduciary Education Center, LLC. Kelly most recently managed a community bank trust company. Previously, she was with Campbell University in its Trust Program creating an Executive Training Program and serving as trust placement officer. Prior to working with Campbell, Kelly was with Bank of America and its predecessors for 24 years in its Wealth Management Area. She is the dean of the Southeastern Trust School and executive director of the Trust Education Foundation, Inc. She has been in the trust field for more than 30 years. Kelly holds a B.S. from Longwood College, Farmville, VA, and an M.B.A. from James Madison University, Harrisonburg, VA, as well as being a Certified Financial Trust Advisor. She is a graduate of Southeastern Trust School, National Graduate Trust School, and Cannon Trust Schools I, II and III.

Roger A. Pond is a partner in The Fiduciary Education Center, LLC, which was established in 2002. Pond and Becky Kelly develop their own course curricula using Campbell University and its extensive Trust Library as a resource. Pond is a professor emeritus of the Trust Program at Campbell University, Buies Creek, NC, the only university to offer a trust degree in the United States. During Pond's 30-year trust career, he managed personal trust, employee benefits, corporate trust, and trust support areas including tax, real estate, and endowments and foundations. He is the assistant director of The Southeastern Trust School and the Certifying Trust Bankers School at Pinehurst, as well as a director of the Trust Education Foundation, Inc. and a member of the Duke Estate Planning Council. He holds a B.A. from Duke University, Durham, NC, and a J.D., *cum laude* from Washington and Lee University in Lexington, VA.

Pond and Kelly recently completed a Sheshunoff manual called *Trust Department Risk Management - Preparing for an Exam*. Both are active in teaching in the Accredited Trust Financial Advisor and Accredited Trust Operations Specialist designations offered through Campbell University and AccuTech University as well as the CTFA and other individually developed fiduciary training programs.

Key Topics

- Board and Committee Responsibilities
- Fiduciary Expertise
- Account Acceptance and Asset Considerations
- The Investment-Policy Statement
- Reg 9 vs. the Administrative Review
- Due Diligence
- Managing Risk in Your Department
- The DOL/Fiduciary Rule



Registration Fees

Fees include hand-out materials, refreshment breaks, and lunch. An income-tax deduction may be allowed for educational expenses undertaken to maintain or improve professional skills.

Cancellation Policy

Registrants cancelling two days prior to each seminar receive 100% refund; one day prior, 50%; the day of the seminar, no refund. **All cancellations must be made in writing prior to the seminar day. Invoices and training materials will be sent to all "no shows."**

CBAI MEMBER

One person.....	\$265
Two or more from same banking institution.....	\$245 each

****PROSPECTIVE-MEMBER**

One person.....	\$465
Two or more from same banking institution.....	\$445 each

CDD members receive a 10% discount.

***Only financial institutions/firms eligible for CBAI membership.*

Registration Form

KEYS TO SURVIVAL IN FIDUCIARY ADMINISTRATION IN THE CURRENT ENVIRONMENT

JUNE 29, 2017

Please Print

Name of Bank _____

Address _____

City, State, Zip _____

Tel. No. _____

Name/Title _____

E-Mail _____

(E-mail addresses are required for registration).

Name/Title _____

E-Mail _____

(E-mail addresses are required for registration).

I have special needs, please contact me before the seminar.

Please select your payment method.

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**If you are paying by credit card, please fill out the following information.
(Visa & MasterCard accepted).*

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901 Community Drive
Springfield, IL 62703-5184



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(217) 585-8738



Call it in:
(800) 736-2224 (Illinois only)
(217) 529-2265

Date and Location

June 29, 2017

SHAZAM Education Center
CBAI Headquarters
901 Community Drive
Springfield, IL 62703
217/529-2265

Agenda

Registration begins at 8:30 a.m. The seminar runs from 9 a.m. to approximately 4 p.m. A Continental breakfast and lunch are provided.

CBAI is a registered Public Accounting Continuing Professional Education (CPE) provider by the Illinois Dept. of Financial and Professional Regulation.

For More Information

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