

## Events

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### Featured Professionals

Matthew T. Boos

Sten-Erik Hoidal, CIPP

Sandra Smalley-Fleming

Karen Sandler Steinert

### Related Services

Investment Management

## Don't be Caught Off Guard: Strategies to Manage Risk for Investment Advisors

### Event

06.26.2018

American Swedish Institute

Hosted By: Fredrikson, Charles Schwab and BMO Global Asset Management

Ahmed Abdul-Jaleel, Assistant Regional Director with the U.S. Securities and Exchange Commission, will offer a view from the SEC during next week's program on Strategies to Manage Risk for Investment Advisors.

Join co-sponsors Fredrikson, Charles Schwab and BMO Global Asset Management as leading regulatory, industry experts and attorneys provide Investment Advisors with strategies for their businesses and clients on two pressing issues: how to minimize cybersecurity risk and the impact of data breaches and what Investment Advisors need to know about diminished capacity and elder care to best serve and protect the assets of their aging client population.

Note: Applications for CLE and CPE credits will be submitted for this program.

### Agenda:

#### 1:30 p.m.

Registration and Networking

#### 2:00 p.m.

Updated Strategies to Manage Cybersecurity Risks

We've all seen the headlines — cybercrime is becoming an all-too-common occurrence. Because of the sensitive data they handle, RIAs are a prime target. This discussion will focus on strategies RIAs can use to mitigate cybersecurity risk for their businesses and their clients.

Moderator: Sten-Erik Hoidal, Shareholder, Fredrikson & Byron, P.A.

Panelists:

- Paul Ewing, Senior Technology Consultant at Schwab Institutional
- Melissa M. Gilbertson, Assistant Vice President, Investment Advisory Services Manager, Mairs & Power, Inc.

# Don't be Caught Off Guard: Strategies to Manage Risk for Investment Advisors



- Damien Riehl, Vice President, Stroz Friedberg

## **3:15 p.m.**

Elder Strategies for Your Firm

With an aging client population, what are the signs of diminished capacity that RIAs need to be aware of to protect their clients and their assets? New regulations give guidance about what protections should be implemented to best serve these clients.

Moderator: Sandy Smalley-Fleming, Shareholder, Fredrikson & Byron, P.A.

Panelists:

- Lisa J. Bleier, Managing Director and Associate General Counsel, Public Policy & Advocacy, SIFMA
- Matthew T. Boos, Shareholder, Fredrikson & Byron, P.A.
- Joe Ransom, Managing Director, Business Empowerment & Risk Solutions, Charles Schwab Investor Services
- Karen Sandler Steinert, Shareholder, Fredrikson & Byron, P.A.

## **4:15 p.m.**

A View from the SEC

Speaker: Ahmed Abdul-Jaleel, Assistant Regional Director, U.S. Securities and Exchange Commission

## **4:30 p.m.**

Networking reception

## **6:00 p.m.**

Program conclusion